

# Proposal Development System (PDS) System-To-System (S2S) Educational Session

Presented By:

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### TOP TEN THINGS A PRINCIPAL INVESTIGATOR SHOULD KNOW ABOUT SUBMITTING A GRANT/CONTRACT PROPOSAL FROM WASHINGTON UNIVERSITY

- 10) **Washington University** is always the **awardee**. Therefore the recipient of an award is Washington University and **not** an individual **Principal Investigator (PI)**.
- 9) The **PI** should first **contact** and **work** with his/her **department** research **administrator** to submit a proposal. The Grants and Contracts (G&C) Office provides service to the PI via the department administrator in reviewing and processing a proposal to **ensure compliance** with and **adherence** to University, School of Medicine, and Sponsor **guidelines**.
- 8) **All proposals** must be accompanied by Washington University's **Proposal Certification (PC) form**. The PC form must be completed in its entirety and contain the **PI's signature** along with **signature** of the **Department Chair** or **Division Chair**.
- 7) Per School of Medicine policy and as required by all federal and most non-federal sponsors, proposal applications **require an institutional signature**. As Institutional Signatory, **G&C requires time** to review the proposal to **ensure adherence with sponsor guidelines and compliance**, both, internal (WU) and external (Federal, State, City, etc.).



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- 6) **Proposals** submitted **without G&C review risk non-compliance** with Sponsor, University, and School of Medicine guidelines, which can result in **rejection** of the proposals, **delay** in receiving an award, **loss** or **reduction of direct costs**, and/or **delay of fund set-up**.
- 5) Eligibility:
  - a.) In order **to be PI** on a **research** or **career** award:
    - i. The School of Medicine **requires** that an individual be at least **.5 FTE** with Washington University, and hold a **faculty position** (i.e., Instructor or higher).
    - ii. Visiting faculty, adjunct faculty, lecturers, and emeriti are **not eligible** to be PI. **Exceptions require the Dean's approval**.
  - b.) Individual **fellowships** are held by postdoctoral research scholars, and/or individuals in training (i.e., non-employee) who receive **a stipend** by the University.
  - c.) **Sponsor guidelines** regarding **PI eligibility** need to be **followed**, in **conjunction** with University and School of Medicine requirements.
  - d.) **Any exceptions** to the above will need **approval** from the Department Chair and/or Dean and/or Sponsor.
- 4) Conflict of Interest
  - a.) For **proposals** submitted to **NIH** (National Institutes of Health), **NSF** (National Science Foundation), and **AHA** (American Heart Association), due to these Sponsors' **specific policies**, the PI plus all personnel the **PI** has designated as **"key"** **must have** a current **Conflict of Interest (COI)** disclosure form on file **prior** to the **submission** of application. (NOTE: COI expires 12 months after its submission)
  - b.) **Other proposals: COI disclosure is not mandatory** at **time of submission** for the **PI** and those the PI has designated as **"key"**, but **will need** to occur **by the time** a fund is **set up for the award**



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#### 3) Effort requirements:

- a.) In **all research** and **career** award proposals, the **PI must** devote **measurable effort**, whether directly charged or voluntarily cost shared.
- b.) In a **NIH proposal**, the PI and all personnel the PI has designated as **“key” must devote measurable effort**, per NIH GPS definition\*.

#### 2) Indirect cost rate:

- a.) For **proposals to** all Federal sponsors, as well as, state and local government sponsors, **Washington University’s negotiated rate must be applied** to the project budget, **unless a differing sponsor rate** is documented in a particular Request for Application (RFA)/Funding Opportunity Announcement (FOA).
- b.) For **other proposals** (e.g, corporations, voluntary health agencies, foundations, etc), **official policy** regarding indirect cost rate must be applied to project budgets. **Official policy** normally will be referenced in the **Sponsor’s formal proposal/award guidelines**. Personal correspondence (emails/phone calls) from a Sponsor will not be accepted by WUSM as **official policy**. If there is **no official policy**, then **Washington University School of Medicine’s default rate must be applied**. Any **exceptions** are to be submitted to G&C for review by the **Dean**.

#### 1) Response Time:

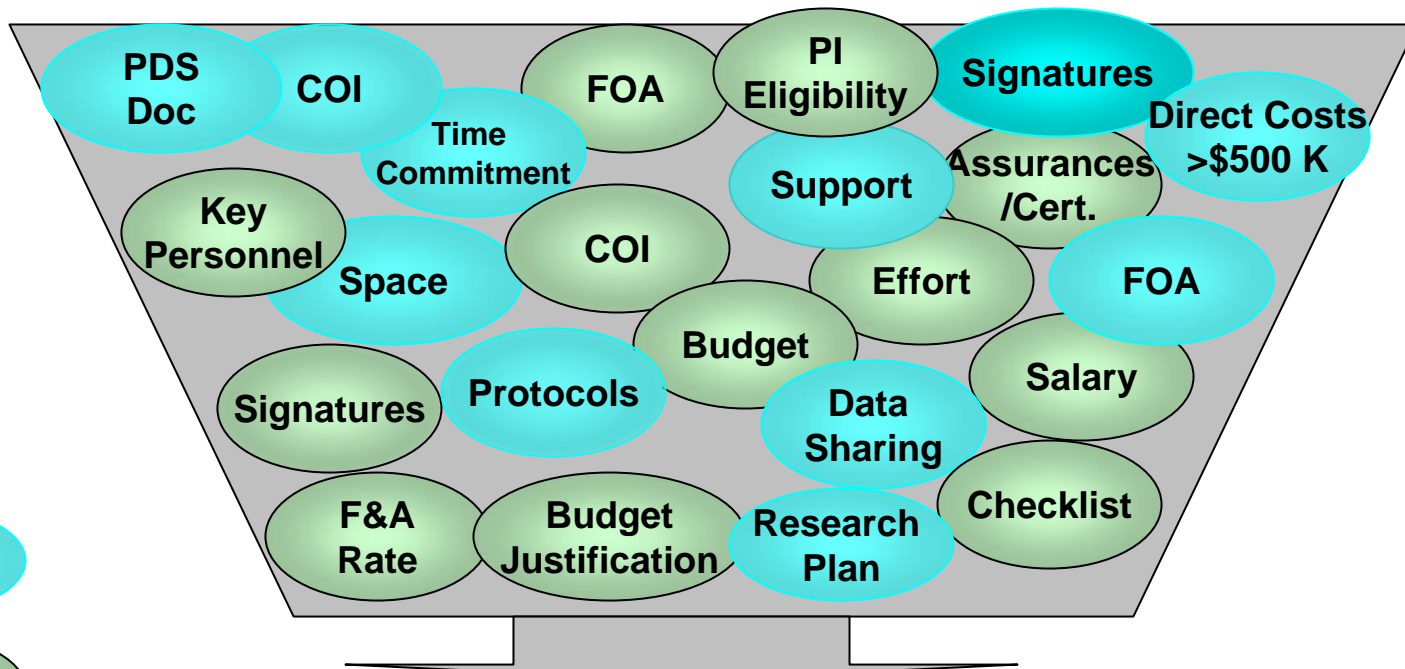
- a.) Any item submitted to G&C should allow for a adequate response time (i.e. response from G&C). **In the case of a proposal, G&C needs (5) full WU working days to adequately review proposals.**

\* NIH definition of *key personnel*: The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for key personnel.

PI's Idea

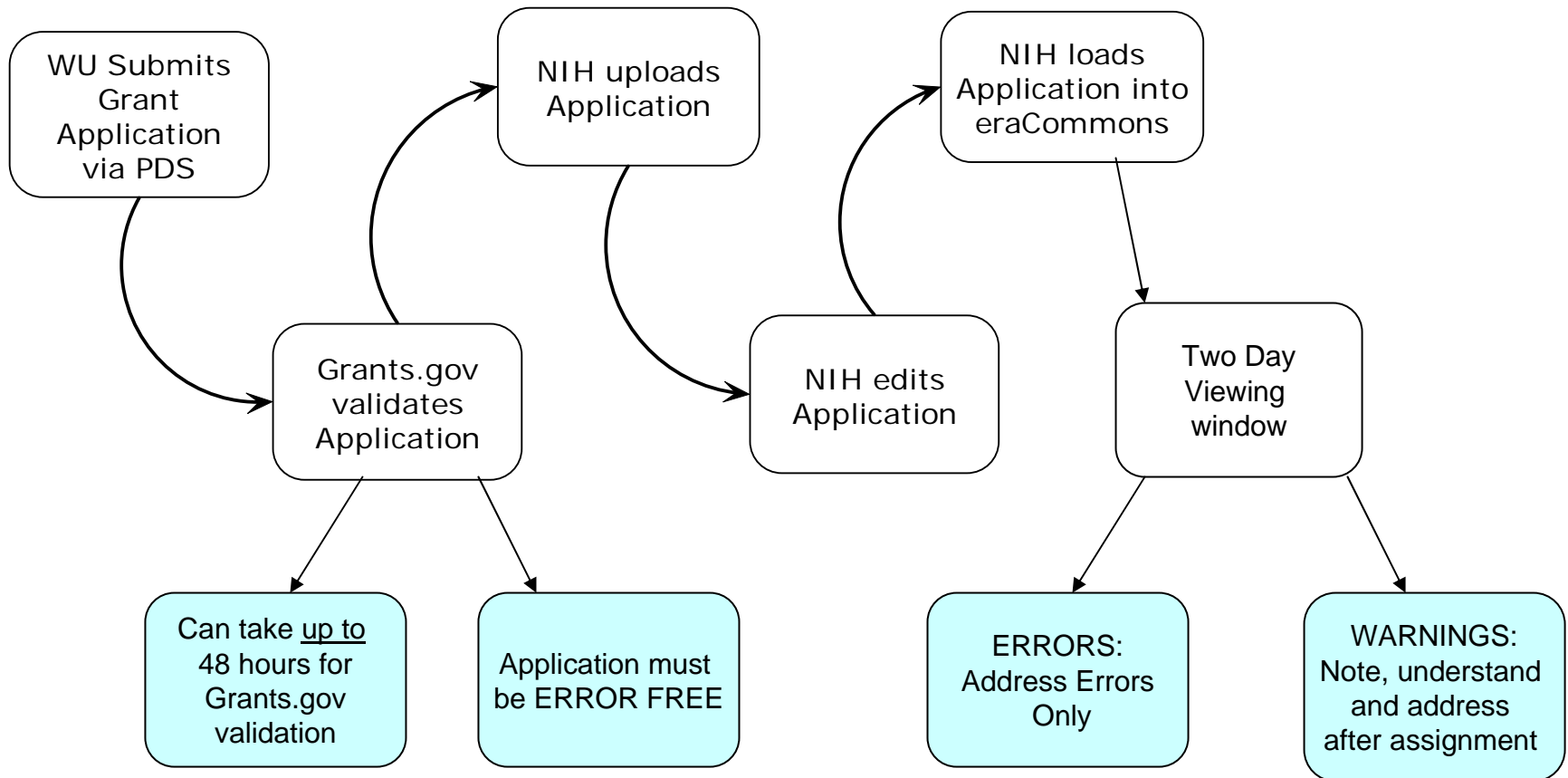
Department Administrator

Grants & Contracts



Finished Application

## Application Flow After Internal Process and Approval



## Next Steps

- PIs need to register **correctly** with NIH eRA Commons, NSF Fastlane and any other applicable federal funding agency.
  - ~ PI's **do not** register with Grants.gov
  - ~ Review E-Application website: <http://era.nih.gov/ElectronicReceipt/>
- The PI must hold a PI account and be **affiliated** with Washington University
- Principal Investigators (PIs) **should work through their Department Administrator & Central Administration** to be registered in the NIH eRA Commons & NSF Fastlane
- Must have PureEdge Viewer installed in order to manipulate the application packages. **Check with your IT folks for permission and assistance in downloading this software**

# **Gee, If Only Someone Would Have Told Me!**

- **BE PROACTIVE – COMMUNICATE, COMMUNICATE AND COMMUNICATE**
- **REVIEW THE FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) CAREFULLY, THOROUGHLY AND ADHERE!**
- **DETERMINE WHAT REGULATORY APPROVALS ARE REQUIRED & SEEK ASSISTANCE**
- **DETERMINE INTERNAL NEEDS/REQUIREMENTS/RESPONSIBILITIES**
- **BREAKDOWN REQUIREMENTS AND ASSIGN ROLES, RESPONSIBILITIES AND OWNERSHIP**
- **OBTAIN REQUIRED DEPARTMENTAL SIGNATURES**
- **OBTAIN INSTITUTIONAL SIGNATURES**

## Take Aways ....

- **Start early !!!**
- Science **may rule**, but.....
  - ~ You need to **communicate** with your Department Administrator **early** and **often**
  - ~ **Work closely** with your Department Administrator
- **Finish early !!!**
- **Communicate** with your Department Administrator
- Submit **EARLY !!!**
- Applications (e.g. NIH) must be received by Grants.gov no later than 5:00pm St. Louis time, day of deadline
  - ~ **ERROR FREE**

# Helpful URLs

- Grant and Contracts:
  - ~ <http://grantsandcontracts.wustl.edu/>
- Research Office (Danforth Campus)
  - ~ <http://wuro.wustl.edu/>
- Research at Washington University
  - ~ <http://research.wustl.edu/>
- Proposal Development Resources
  - ~ <http://proposalhelp.wustl.edu/>
- eSubmission
  - ~ <http://research.wustl.edu/eSUB2.htm>
- Human Research Protection Office
  - ~ <http://medicine.wustl.edu/~hsc/>
- Animals Studies Committee
  - ~ <http://medicine.wustl.edu/~asc/>

Contact Information

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