

# OGRD Memorandum 1

## Proposal Development and Processing

WASHINGTON STATE UNIVERSITY

The Office of Research  
Office of Grant and Research Development

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## SECTION I

### GENERAL INFORMATION

Research, instruction, public service, and scholarly or creative activities are major functions of the faculty of Washington State University. All academic units of the university encourage and facilitate these activities. The Office of Grant and Research Development (OGRD) provides information and services to those seeking extramural support. It is also responsible, as the University's Authorized Institutional Official, for the final review and transmission of all requests for extramural support. This memorandum describes present WSU procedures which have evolved over a period of years. Section I, II and III deal with the development of proposals or other solicitation of extramural funding, while Section IV describes the review and approval procedures of Washington State University.

The procedures which follow apply to all extramural proposals including support from foundations, industry, businesses and charitable organizations. The requests are coordinated by the OGRD and are reviewed and approved by appropriate university personnel. The OGRD insures that the transmittal of requests are appropriate and serves as the central clearinghouse for extramural proposals. If applications are to be submitted to individuals, alumni or a select group, the WSU Foundation should be contacted at once. The OGRD and WSU Foundation will assist in determining the most effective approach to these specialized funding sources. If sponsors require Applicant to be specifically 501(c)(3) and required documentation for charitable organization status, i.e., articles of incorporation, secretary of state certification letter, etc. then OGRD will process the proposal and consider the WSUF as WSU's sponsor. WSUF, in turn, should submit the proposal to the Applicant. If there are no specific requirements listed in the request for proposal, then WSU (OGRD) can submit as an entity "similar in status to a 501(c)(3).

Amongst its diverse array of services, the OGRD provides assistance in locating funding sources, proposal preparation, and preliminary budget development. Grant and Contract Coordinators are available to advise faculty and administrators on appropriate facilities and administrative costs, employee benefits, cost-sharing, and related matters. Detailed information related to these items is provided in a separate document on Proposal Budget Assistance (OGRD Memorandum No. 2) that will be periodically updated. If you do not have this item for the current fiscal year, please check with the OGRD. Proposals or activity requiring access to classified material or involving proprietary controls, conflicts of interest, biohazard research, human subjects, or animals should be discussed with OGRD staff prior to each proposal's completion.

Some departments and colleges have fiscal officers to assist with budget and proposal preparation.

## SECTION II

### GRANT AND CONTRACT PROPOSALS

The format of a grant or contact proposal normally consists of a prescribed set of components. The section below applies primarily to research proposals, but the major headings may be readily adapted to other types of applications. Some sponsoring agencies, such as the Public Health Service, use printed forms; however, all proposals should include certain general topics as suggested below:

- A. COVER PAGE - The cover page summarizes important identifying information: the proposal title; the name, address and telephone number of the project director; the agency and program name for the submission; the project's beginning and ending dates; and the budget request.

B. ABSTRACT AND TABLE OF CONTENTS - To be an effective and complete proposal, an abstract and table of contents should be included. A well-written abstract encapsulates the entire proposal, conveying the *who, what, where, when, why, and how* of the proposed project.

C. INTRODUCTION - This section should briefly describe the objectives of the contemplated research or other activity, indicating work directly or closely related which may be in progress, and including other pertinent background information. A short review of the subject treated by the proposal, designed to show the status of the investigator's knowledge at the time of submission, is frequently an effective starting point. Also, a statement of critical issues to be resolved by the proposed work may also be helpful.

D. PROJECT DESCRIPTION - This section describes the need for the project, goals, objectives, and the hypothesis or research questions. The statement of goals presents the vision of the worth and overall contribution of the proposed project. The statement of objectives should be presented in measurable, quantifiable terms.

E. AVAILABLE FACILITIES AND EQUIPMENT - Available facilities and available major items of equipment adapted or suited to the proposed project should be described. When these facilities and equipment reside within a university-wide unit, the facility director should be consulted during the preparation of the proposal. The OGRD keeps on file descriptions of major facilities (Computing Center, Library, Electron Microscopy, Social and Economic Sciences Research Center, etc.). These can be used when appropriate to simplify proposal preparation.

F. LIST OF PERSONNEL - The names and titles of faculty members, senior research personnel, and other professional staff involved in the project should be provided.

G. BIOGRAPHY AND LIST OF PUBLICATIONS - Most sponsoring agencies request this information for each faculty member and senior professional person directly engaged in the project.

H. BUDGET

1. A statement of funds required to accomplish the objectives should be included as a separate section of the proposal. Guidelines for preparation of the budget are discussed in OGRD Memo #2.

2. Proposals for the extension or renewal of existing projects.  
Proposals to renew or revise budgets in existing grants must be processed by the OGRD. Unless the policy of the agency involved provides for a carryover of unexpended funds, it is likely that any unexpended balance in an existing grant will be subtracted by the agency from the total budget requested for any requested renewal period.

I. OTHER INFORMATION TO INCLUDE--

1. Other Sources of Support - If a proposal is to be sent to more than one agency, this fact should be stated in the proposal and the other agency or agencies named.
2. Change of Principal Investigator or Title of Project - In a renewal application such information should be clearly shown in order to avoid confusion and possible delay in transmittal and proper receipt of the application. During grant or contract period, a change of principal investigator requires approval of the chair, dean, the OGRD, and, usually, the approval of the sponsoring agency.
3. Applicant Institution - Application forms provided by granting agencies frequently provide a section for the name and address of the applicant organization. In all cases this section should be completed to read only "Washington State University, c/o Office of Grant and Research Development, Pullman, Washington 99164-3140."

SECTION III  
REVIEW AND APPROVAL

- A. REVIEW OF PROPOSALS - Careful review of proposals for extramural support examines (1) the appropriateness of the activity for university sponsorship, (2) its relationship to the academic program, (3) its commitment of faculty time, (4) its continuation beyond the grant period, and (5) the use of university facilities.

All proposals for extramural support of university sponsored activities or programs must be reviewed prior to transmission to the external source

of funding. This includes requests for support of research, academic, scholarly, creative, instructional, extension, and service activities, and for research facilities, traineeships, and fellowships, institutes, and special teaching programs. Review of proposals includes the following considerations:

1. The substance and merit of the proposal, including the academic appropriateness and desirability. Projects will be accepted only when consistent with the following objectives: (1) the education of the undergraduate, graduate and postdoctoral student; the advancement of knowledge through research and scholarship; the preservation and dissemination of knowledge; the creation of works of art; and the advancement of the public welfare.
2. Protection of the rights and welfare of human subjects where the proposed research involves their use. This review will be accomplished by the appropriate Institutional Review Board (IRB) in accordance with university, state, and federal policy. The reviews conducted by the IRB are coordinated by the OGRD.
3. Principal investigators proposing research involving the use of biohazardous agents, recombinant DNA molecules and known carcinogens, mutagens, or infectious diseases should review the Washington State University Biosafety Policy (OGRD Memorandum #13). Current federal guidelines require that projects conducting recombinant DNA experiments must have a Memorandum of Understanding on file with the Office of Grant and Research Development and the University Biosafety Committee prior to the initiation of the project.
4. Commitments of faculty and staff time and the possible effects of such commitments on the teaching and other obligations of the personnel involved.
5. Salary arrangements, e.g., provision for summer support, for a division of support during the academic year, or other compensation.
6. Requirements for space and facilities, especially if requirements cannot be met with space and facilities already available.
7. The budget, especially a verification that all costs including facilities and administrative costs are accurately determined; that needs are realistically estimated and stated; that items included are not

contrary to the policies of the university or the grantor; and that matching funds are available when they are a condition of the grant.

8. Obligations to be assumed by WSU as the grant terminates.

- B. UNIVERSITY APPROVAL OF PROPOSALS - Please submit each proposal with the form "Request for Approval of Application for Extramural Support," as an internal cover checklist. Route the proposal through (and with signatures from) the chair, director and/or dean of your college, and then to the Office of Grant and Research Development.

It must be emphasized that the review exercised at each level of this procedures must not be perfunctory. The scientific merit or appropriateness of the project, ability of the unit to carry out the program successfully, university commitments, protection of human subjects (if involved), the care of laboratory animals (if involved), and the impact on the educational activities of the university must be carefully evaluated at each step. On the other hand, these reviews must be completed and the proposal forwarded expeditiously.

Careful attention to the following will expedite the review:

1. Peer Review - One of the best ways to increase the merit of a proposal--and thereby its chances of receiving funding--is to have it reviewed before finalization by competent peers who are familiar with the problem. This can be done by colleagues at WSU or by specialists elsewhere. The questions they raise, or parts they do not understand, are almost always the same ones that are found by reviewing panels of agencies. Answering these questions prior to submission increases the probability of funding.
2. Review by the Chair - The principal investigator presents the proposal for a grant, contract (or the renewal of an existing grant or contract), or cooperative agreement to the chair of the department. Budgetary information and statements concerning the use of personnel, space, and facilities for the contemplated activity should accompany the proposal, as specified by the "Request for Approval of Application for Extramural Support" form. The chair's review and signature constitute the departmental endorsement of all aspects of the proposal.
3. Review by the (Director) Dean - The proposal is then presented by the chair of the department to the college director and/or dean for review and approval. The director's and/or dean's reviews related to the substance and merit of the proposal as well as to the budget, to

the salary and employment of present or proposed personnel, and to all aspects of the proposal which may affect the role and mission of the college, and use of space and facilities assigned to the department and the college.

4. Review by the Office of Grant and Research Development - Following approval and endorsement by the dean, the proposal is transmitted to the Office of Grant and Research Development. This office will arrange for the final review of the proposal for conformity to university policies, financial or legal questions, for approval of commitments by university central research facilities, as well as commitments on the part of the university for personnel, space, cost-sharing, or matching costs.

When all arrangements are completed, the proposal will be signed by the Office of Grant and Research Development Director who is the official designated to give final approval and to transmit all proposal for the university. The university cannot legally honor any obligations, expressed or implied, which have not been properly authorized.

C. DEADLINES FOR PROPOSALS - To comply with the application deadline of a sponsoring agency, e.g., the Public Health Service, Department of Education, etc., a proposal should be approved by the department chair and presented to the dean of the college in enough time to provide for a reasonable review. If the proposal involves complex administrative or fiscal arrangements, e.g., interdisciplinary programs, additional time should be allowed for internal review and approvals. After approval by the dean's office, proposals are to be submitted to the Office of Grant and Research Development two (2) working days prior to the proposal submission day. Failure to meet this deadline may jeopardize the on-time submission of the proposal. Proposals not meeting this deadline shall be submitted with conditional approval only. In these cases, the PI shall be responsible for making appropriate changes to the proposal, at a later date, if subsequent review reveals that the proposal is incomplete, contains errors, inaccuracies, misrepresentations, or does not conform with University or sponsoring agency requirements. In addition, the University reserves the right to withdraw the proposal if subsequent review reveals any of the same problems listed in the previous sentence.

Many agencies and foundations have deadlines for the submission of new proposals. These are usually stated in the information brochure or other organization publications. In the case of the PHS, for instance, new or competing renewal proposals have a series of deadlines while non-competing renewals must meet a deadline set by the project period

itself. This date is stated in the renewal application packet sent to the principal investigator usually 90-120 days before the end of the project period. If the packet is not received, contact the Office of Grant and Research Development at once

Proposals to be submitted where there is no agency deadline should be processed through the appropriate administrative channels to the Office of Grant and Research Development. These will be reviewed in order of receipt. Proposals should generally be submitted at least six months prior to the project's planned starting date to provide time for review by the agency. If any agency, such as the National Science Foundation or the Department of Energy, which normally does not have deadline dates has established one for this particular program, be sure this is indicated clearly on the "Request for Approval of Application for Extramural Support."

Informal discussion of proposals outside of university channels and prior to university review should be undertaken with caution. Where such discussions are involved in developing agreements for outside support, it is highly desirable to inform the chairperson and dean at all stages, and provide copies of correspondence, even at the preliminary stages, to the Office of Grant and Research Development.

- D. FORMS FOR PROCESSING PROPOSALS - Every proposal must be accompanied by a "Request for Approval of Application for Extramural Support" form. This form serves to indicate approval of the proposed project, and commitment by various signatures to terms and agreements stated therein. This form is a checklist for use within the university only and is not transmitted to the outside agency. Copies are provided for each person in the review chain. When the proposal is transmitted to the agency, a copy will be returned to the principal investigator, department chair, the dean, and other appropriate officers to indicate the date of transmittal. Form sets are available from the Office of Grant and Research Development.

Several agencies, e.g., PHS, the National Endowment for the Humanities, American Cancer Society, the Petroleum Research Fund, require the research proposals be submitted on forms furnished by the agency. These forms are normally stocked by the Office of Grant and Research Development or may be requested directly from the agency.

- E. NUMBER OF COPIES OF PROPOSALS - The number of copies of proposals required by sponsoring agencies varies. Some agencies, e.g., the PHS, use a single reproducible form. Others do not prescribe a standard form, but require as many as twenty copies for some programs and as few as five

for others. Please clearly indicate on the "Request for Approval of Application for Extramural Support" checklist the number of signed copies and total number of copies required. If the Principal Investigator is uncertain about the number, the Office of Grant and Research Development should be contacted. If the agency requirement cannot be determined, it is recommended that at least three copies of the proposal be provided for the agency.

In addition to the copies required by the granting agency, three copies should be forwarded for retention by the chair, dean, and the Office of Grant and Research Development. Additional copies may be required for animal review, WTC or other signatures as appropriate.

#### F. CHECKLIST OF ITEMS ON "REQUEST FOR APPROVAL OF APPLICATION FOR EXTRAMURAL SUPPORT"

The following list of items has been prepared as an aid in the preparation and review of grant and contract proposals at Washington State University. Its use will aid in reducing delays caused by rewriting and revising and it will thereby facilitate the review of proposals within the university. The checklist also offers guidance in supplying answers to questions contained within the form entitled "Request for Approval of Application for Extramural Support," which must accompany all extramural applications.

1. Has space been identified? Specific rooms and buildings and percent thereof should be identified and explained on page 2 of the REX form.
2. Will space currently available require alteration or remodeling?
  - A. Are any renovations required such as partitions, ceilings, painting, lighting, additional electrical power, water or other special services?
  - B. If renovations are required, are funds for these changes included as direct costs in the proposal or are the dollars to be provided by the university? Have the necessary university approvals been obtained for the changes and support of the renovations?
3. Will the proposed project be conducted off campus? If so,
  - A and if non-university space is required:
    1. have rental or lease arrangements been confirmed with the Business Service Office and is the cost included in the direct cost request?

2. is renovation of non-university space required? Has cost of remodeling been included in the proposal?

B. if new space is to be constructed:

1. have requirements been discussed with appropriate university officers (chairperson, dean, Facilities Planning Office) and have funds for planning and construction been requested in the grant?

4. Are radiation safety or other safety considerations involved? If radiation considerations are involved, the PI must indicate on page 2 of the REX form if they are an authorized user.
5. Are carcinogens, mutagens, infectious diseases, recombinant DNA or hazardous waste involved? All proposals that include recombinant DNA, etc. must be reviewed by the Institutional Biosafety Committee. Indicate conditions on page 2 of the REX form. The OGRD will coordinate this review.
6. Are HUMANS involved as experimental subjects? ANIMALS? If human subjects are involved in the project, have you reviewed the WSU Human Subjects Policy Statement and Procedures (OGRD Memorandum 4, dated May 1, 1992)? If animals are required, have arrangements been made for their humane care and handling? Is space available in the department or college facilities? The Director of the Laboratory Animal Resource Center (LARC) should be consulted regarding standards for care of experimental animals. (Request OGRD Memorandum 12, WSU Policy Regarding Responsibility for the Care and Use of Laboratory Animals and contact the LARC.)
7. Are security classifications, publication restrictions or delays required?
- A. Are you familiar with the WSU Policy on Restricted Research?
- B. Has the proposal been discussed in this regard with your chairperson, dean, and the Dean of the Graduate School?
- C. Have security matters, including safekeeping of facilities and security clearances, been discussed with the OGRD?
8. Is more than one department, school, or college involved in the project? Or a branch campus? Will the indirect cost be divided?: If individuals from other departments, colleges or institutions are participating in the proposal, have these arrangements been cleared with their chairpersons

and deans? In the case of other institutions, has the role of each institution been clearly stated? Will there be a joint budget or separate budgets? These arrangements must be cleared with the Office of Grant and Research Development before the formal proposal is submitted.

9. Will a central service facility be utilized? (Computer Center/Electron Microscopy Center/Nuclear Radiation Center/Bioanalytical Lab/Technical Services/Science, Learning and Instructional Center/Visualization, Analysis, and Design in the Molecular Sciences). If so, the principal investigator should discuss scheduling and cost in the proposed budget. The Director's approval must be documented. Will facilities or services not presently available at WSU be required? How will they be provided? Are the appropriate costs included in the proposed budget? The Purchasing Office can be helpful in obtaining information on availability and costs.
10. Are facilities and administrative costs reimbursed at LESS than established university rates? If so, check with the Director of the Office of Grant and Research Development immediately. Any arrangements for reimbursement at less than the established rates must be cleared in advance by the central university administration. It is very unlikely that WSU will approve any project that does not recover full indirect costs at the established audited rates.
11. Does the proposal commit university funds for matching? Equipment acquisition? Other? Is cost sharing required? Explain who will meet these commitments and secure their explanation and initials on page 2 of the REX form. If there are matching requirements (as with NSF equipment proposals), who will provide the matching dollars? Explain. This is not the same as cost-sharing in token amounts by a percentage commitment of the principal investigator's effort, or that of other personnel. Matching funds are specific dollars that must be provided by the university.
12. Does the proposal provide compensation IN EXCESS of regular salary for project personnel? Any such arrangements should be reviewed carefully by your chairperson, director or dean. Limitations exist that should be considered by an investigator. Contact the OGRD for WSU extra compensation policy.
13. Is a state/regional/area Clearing House approval necessary? If in doubt, call the Office of Grant and Research Development. (This process has been discontinued by the state government.)

14. Is this a Washington Technology Center (WTC) affiliated project? If so, identify.

Page 2 of the Request for Approval of Application for Extramural Support provides space for answering the above questions which appear on page 1 of the form. A short abstract of the proposed project is also requested on page 2. The summary should express the purpose and the essential elements of the proposed activity, but should be written in terms that can be understood by the non-specialist.

15. Is a subcontract associated with this request? Name of subcontractor:
16. Will an award create a potential conflict of interest with the sponsor/university (i.e. financial/business or salaried position)?

#### G. OTHER DETAILS

To expedite the process, please note the following:

- A. Has the "Request for Approval of Application for Extramural Support" checklist been completed (all required information and signatures)?
- B. Have the necessary number of copies of the proposal for the agency, plus one for the Office of Grant and Research Development, been assembled including:
1. Complete budgets?
  2. Biographical information on principal professional personnel?
  3. Special enclosures such as reprints?
- C. If special information should be included in the transmittal letter from the Office of Grant and Research Development, submit a draft with the Request for Approval of Application for Extramural Support.
- D. Are there special mailing instructions? Include these on the "Request for Approval of Application for Extramural Support" checklist or the continuation page

#### IV. ADDITIONAL INFORMATION

Public Health Service Agreement on the Use of Human Subjects  
accepted August 1, 1984.

Equal Opportunity Compliance filed with HEW February 28, 1978.

Federal Government Cost Sharing Agreement February 1, 1974.

Our Public Health Service Patent Agreement was executed December 1, 1968.

Our Public Health Service Account Number is 1-916001108.

DHHS Indirect Cost Agreement April 17, 1992.

NIH Assurance of Compliance (Non-discrimination on account of sex) April 27, 1972.

NIH Assurance of Compliance (Care and Use of Animals) December 12, 1985.

IRS Employer Identification Number 91-6001108.

Fifth Congressional District.

Ninth Legislative District.

V. NOTE ON APPOINTMENT OF UNDERGRADUATE, GRADUATE, AND POSTDOCTORAL ASSISTANTS ON GRANTS AND CONTRACTS

Detailed procedures for appointment to all categories of assistants and sub-faculty personnel have been set forth in a Graduate School Memorandum Number 12 from the Vice Provost for Research and Dean of the Graduate School dated July 20, 1992. This memorandum should be reviewed when appointment occurs to any of the above categories of personnel. The memorandum presents full details of eligibility, procedures, levels of pay, allowable student loads, titles, sick leave, etc.

Of special interest is the fact that such appointees on grant funds are not subject to full affirmative action procedures and approval. For details, please consult the indicated memorandum.

SECTION VI

EXTRAMURAL SUPPORT ACCEPTANCE PROCEDURES

- A. FINAL ACCEPTANCE - No grant or contract is final until accepted on behalf of the university by the President or his designee.

B. PRIOR TO SUCH ACCEPTANCE - The various individuals responsible must indicate their concurrence with the terms proposed by the contractor or grantor. These include primarily:

1. The Principal Investigator
2. Chair or Director
3. Research Director (if appropriate)
4. Dean (Main and/or Branch Campus)
5. Vice Provost for Research and Dean of the Graduate School for grants and contracts for research, scholarly, creative and other sponsored activities, or the Director of University Development for solicited gifts. These officers are designated to give final approval for the university after consultation with concerned administrative personnel.

This authorization has been delegated to the OGRD.

FLOWCHART NEXT Section VII

### VIII. ELECTRONIC SUBMISSIONS

Many proposals now are required to be submitted electronically. Regardless of how the proposal is to be submitted electronically, OGRD requires one hard-copy of the proposal for review.

If the electronic submission requires entry in a system that has established a review process for OGRD, then the proposal is routed to a Coordinator for review and submission. (Coordinators will discuss any proposals that have included generally unallowable costs with the Director or assignee prior to submission.) The Coordinator will provide proof of submission with the proposal as it is routed back to the Specialist. NOTE: For these submissions, an e-submission transmittal letter is completed in lieu of a standard proposal transmittal letter.

If the electronic submission is by e-mail, we provide the faculty member the option of submitting the proposal upon approval of OGRD or OGRD submitting the proposal for them. If the faculty member chooses to submit, the proposal is routed to the Coordinator for review, once the review is complete the Coordinator will contact the faculty member to acknowledge

approval and ok for submission. Coordinators will request that OGRD mail be cc'd on submission. If OGRD is asked to submit the e-mail, the faculty should send the electronic files to the OGRD mail ([ogrd@wsu.edu](mailto:ogrd@wsu.edu)). The Coordinator will review the documents and submit them to the agency as requested from OGRD mail. The Coordinator will provide proof of submission as the documents are routed back to the Specialist. NOTE: For these submissions the standard proposal transmittal letter is used as the body of the email.

If the electronic submission is web-based and no Authorized Institution Review process is incorporated in the web-based submission, the faculty member must submit a hard-copy to OGRD for review and a Coordinator will contact the faculty member to acknowledge approval and ok for submission.