Faculty-Administrator Collaboration Team (FACT)

Proposal Process Workshop

FDP Meeting – May 2019

Agenda for FACT Session

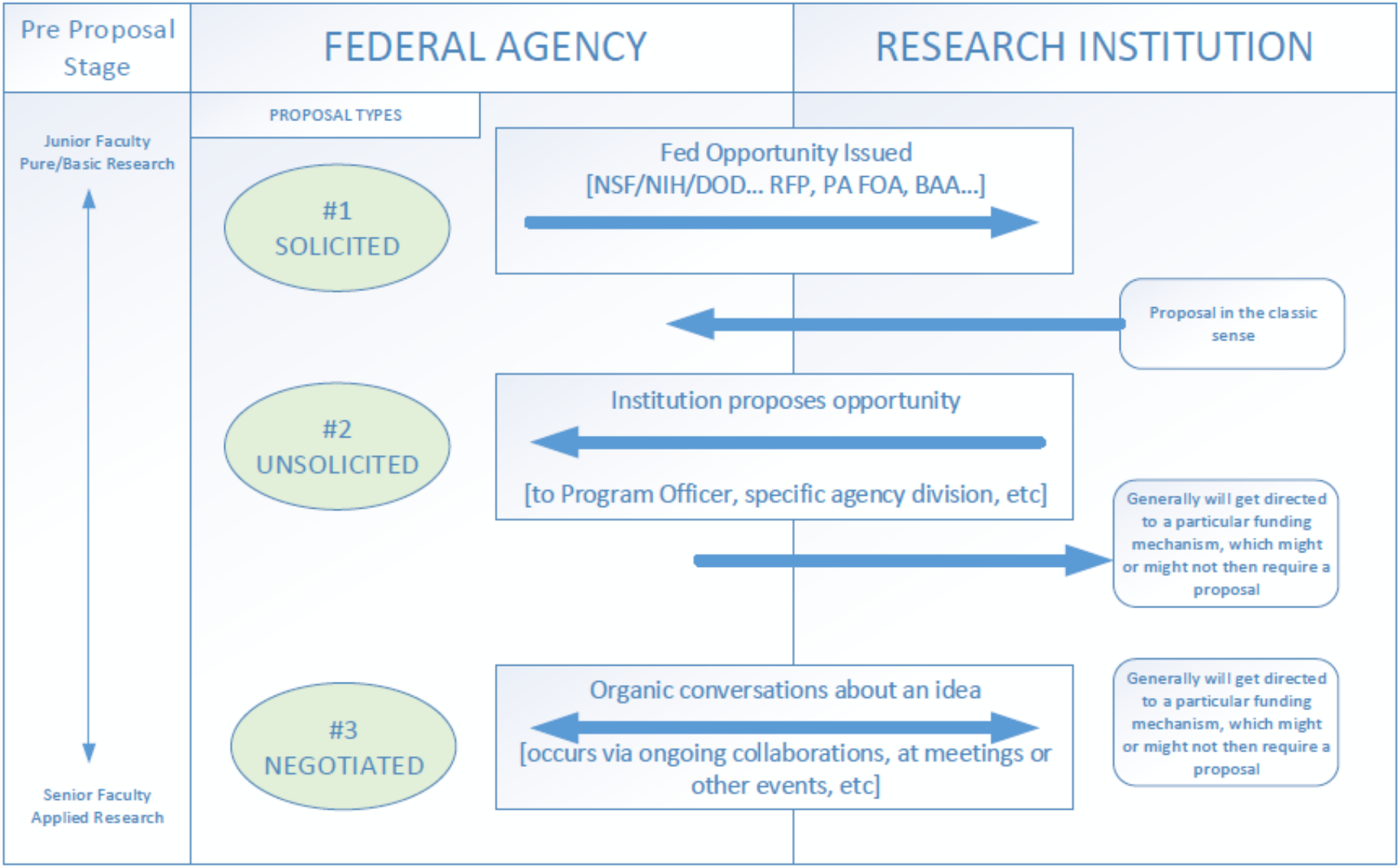
- **Introductions – 5 min**
- **Background on current project – 10 min**
- **Workshop overview and goals – 5 min**
- **Workshop Activities – 30 min**
- **Report out – 15 min**
- **Discussion and wrap up – 10 min**

Eleven Participating Institutions

FDP Member Organization	Faculty Rep	Admin Rep
Case Western Reserve	Harihara Baskaran	Stephanie Endy
Charles R. Drew University of Medicine and Science	Eva McGhee	Perrilla Johnson-Woodard
College of Charleston	Kelly Shaver	Susan Anderson
Duke University	Adrian Hernandez	Jim Luther
Northeastern University	David Budil	Joan Cyr
Michigan State University	Laura McCabe	JR Haywood
Michigan Tech University	Larry Sutter/Jason Carter	**Dave Reed**
U Arkansas Medical Sciences	Steven Post	Suzanne Alstadt
U of North Carolina Chapel Hill	Lori Carter-Edwards	Robin Cyr
University of Texas at Austin	Dean Appling	Renee Gonzales/Courtney Swaney
University of Washington	**Mark Haselkorn**	Lynette Arias/Rick Fenger

Workshop Background

- Five FACT member institutions produced a flow chart intended to represent their process from conception to submission of a proposal
- Of particular interest to FACT is the interaction and collaboration of Faculty and Administrators
- We are also considering many complicating factors: size of institution, different types and roles of administrators and faculty, different types of proposals…


Pre Proposal Stage
FEDERAL AGENCY
RESEARCH INSTITUTION
PROPOSAL TYPES
Junior Faculty
Pure/Basic Research
Senior Faculty
Applied Research
#1
SOLICITED
Fed Opportunity Issued
[NSF/NIH/DOD... RFP, PA FOA, BAA...]
Proposal in the classic sense
#2
UNSOLICITED
Institution proposes opportunity
[to Program Officer, specific agency division, etc]
Generally will get directed to a particular funding mechanism, which might or might not then require a proposal
#3
NEGOTIATED
Organic conversations about an idea
[occurs via ongoing collaborations, at meetings or other events, etc]
Generally will get directed to a particular funding mechanism, which might or might not then require a proposal

Workshop Goals

- Find and analyze similarities and differences among the five flowcharts
- Analyze what these flowcharts tell FDP about how faculty and administrators work together and what is working and not working in this relationship?
- Consider larger lessons, if any, for the national proposal submission system

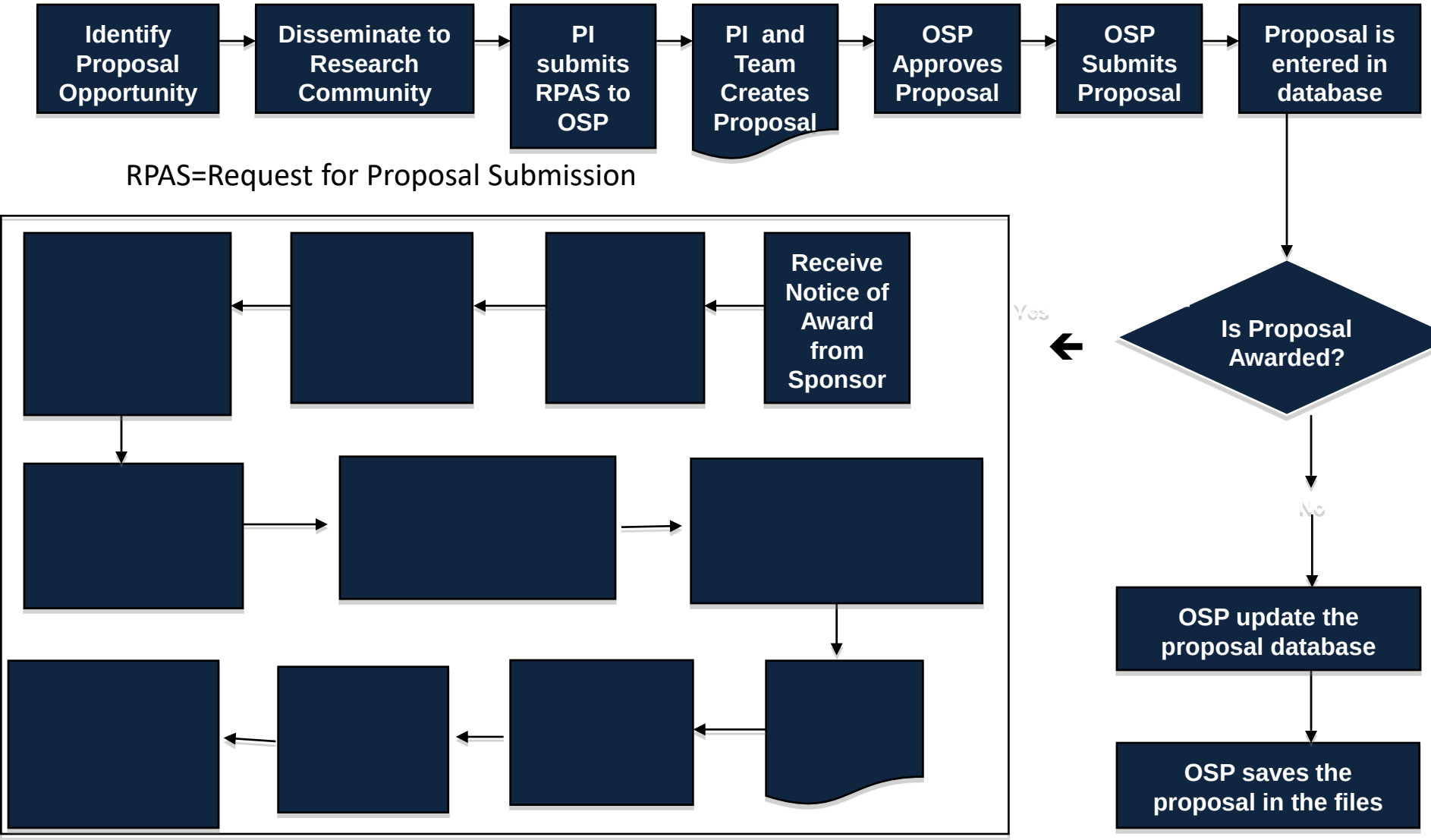
Workshop Activities

- Break into groups and review the five flow charts you will be given, first individually and then as a group. Identify similarities and differences.
- Discuss these similarities and differences. What do you think they stem from? What do they tell us about the institutions? About the relationship between faculty and administrators?
- Consider the flow charts in light of the overall national research system. How much of these processes is driven by institutional issues versus issues stemming from the national research system?

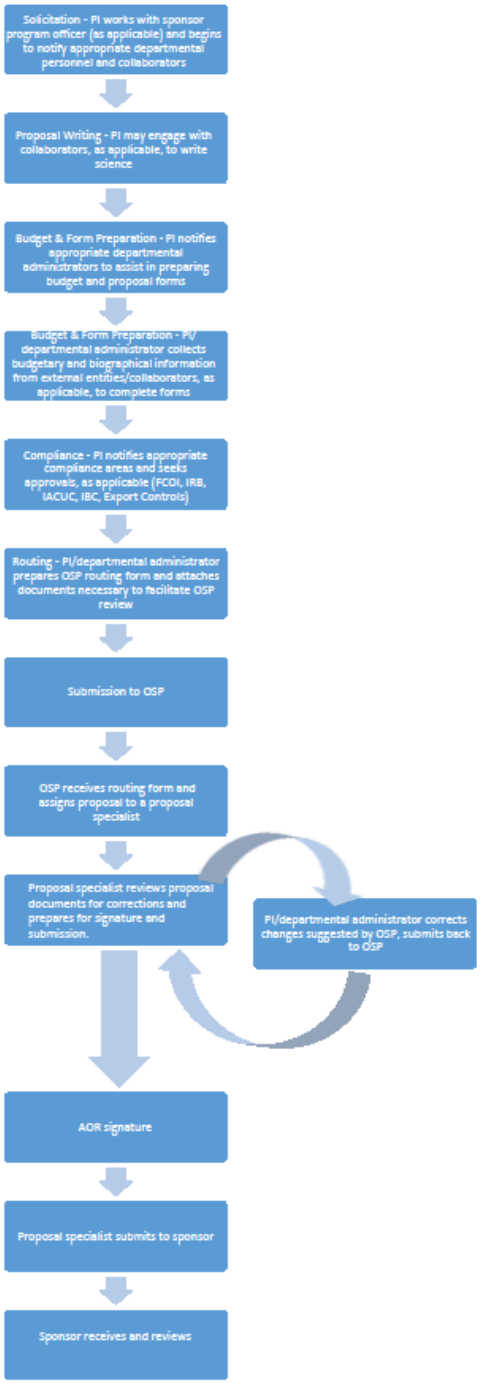
Workshop Materials

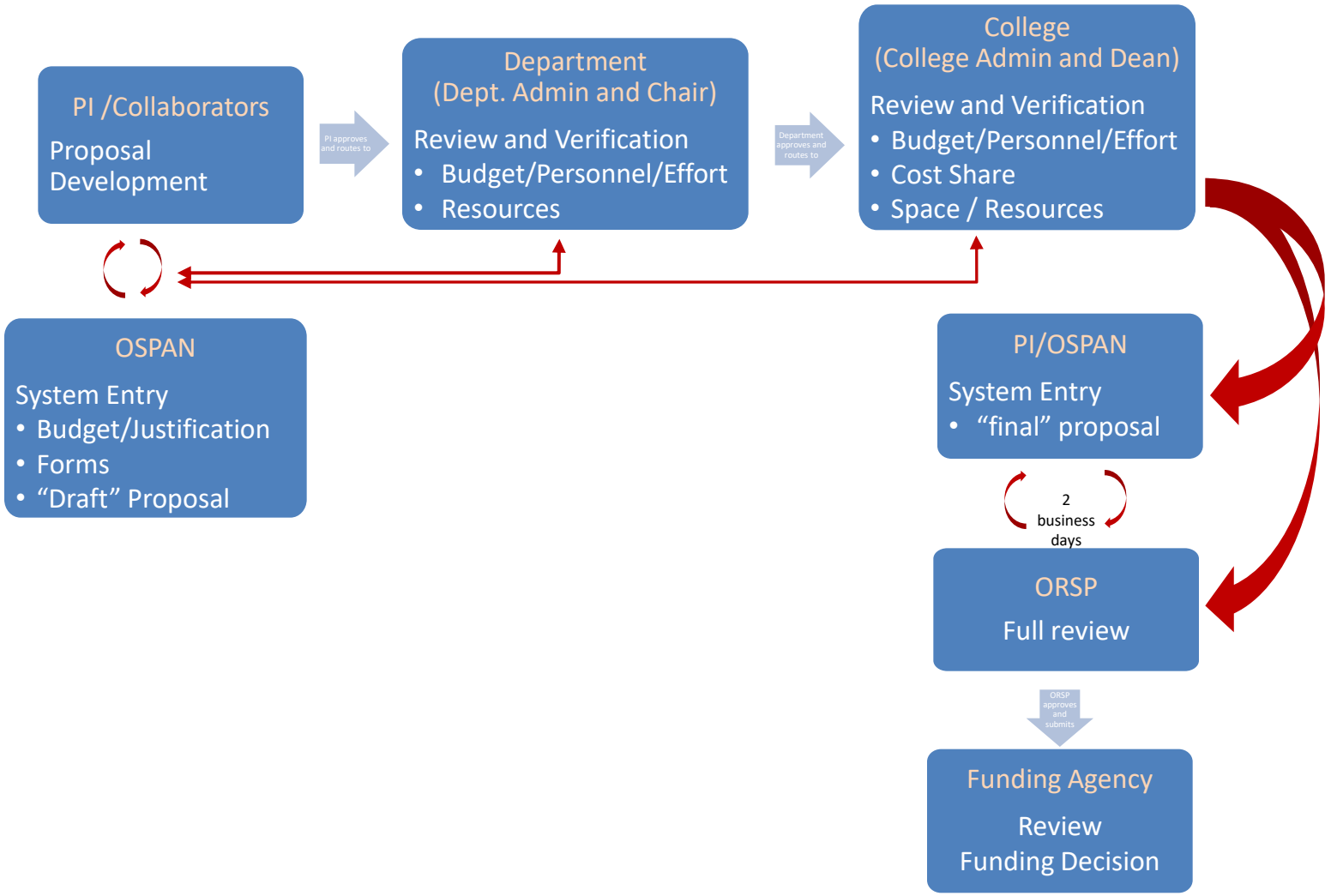
- You will get a packet of five flow charts that look something like this…

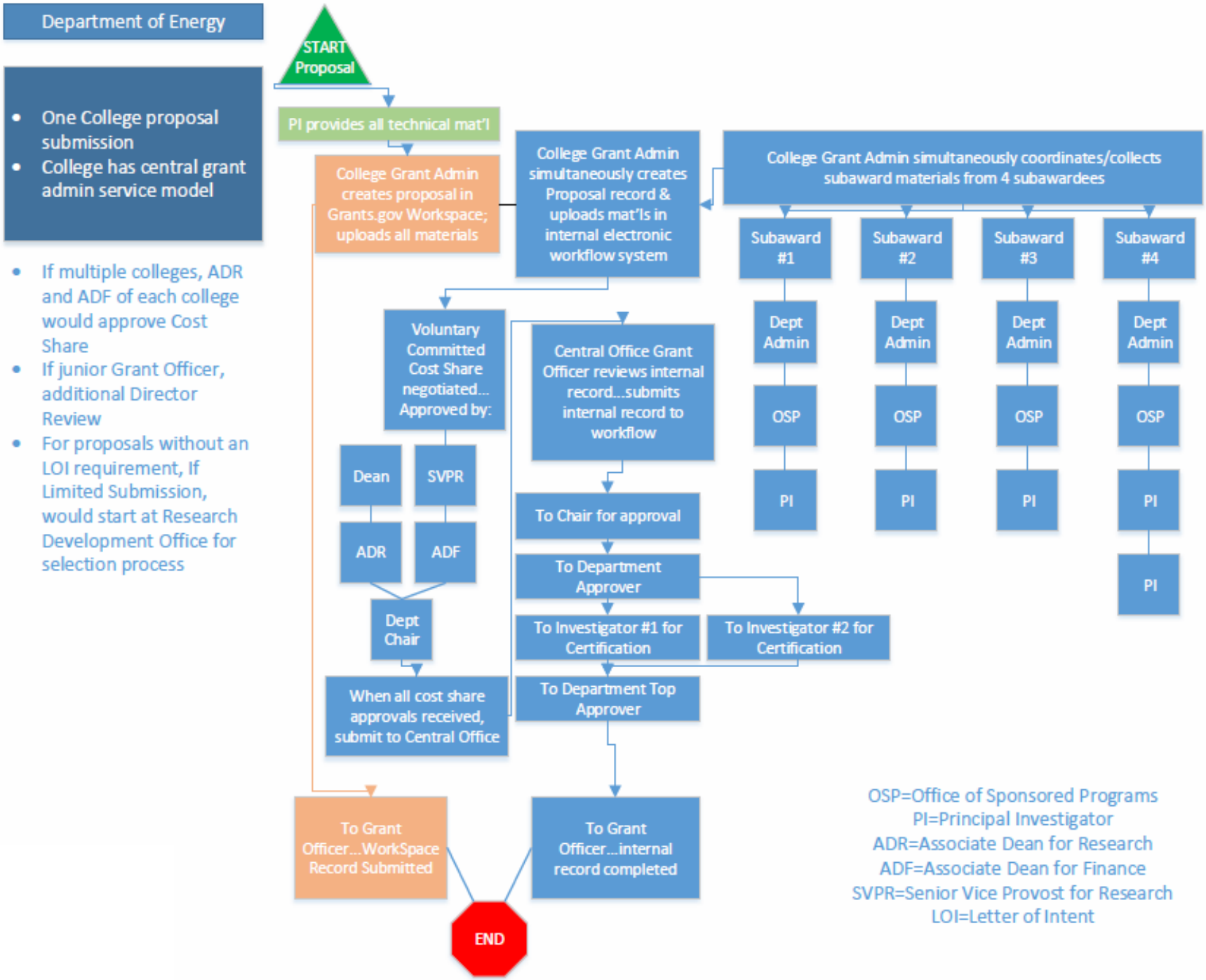
Grant submission process (for most grants)- recently used for NIH R01 and U54 Grants



RPAS=Request for Proposal Submission


Solicitation - PI works with sponsor program officer (as applicable) and begins to notify appropriate departmental personnel and collaborators
Proposal Writing - PI may engage with collaborators, as applicable, to write science
Budget & Form Preparation - PI notifies appropriate departmental administrators to assist in preparing budget and proposal forms
Budget & Form Preparation - PI/ departmental administrator collects budgetary and biographical information from external entities/collaborators, as applicable, to complete forms
Compliance - PI notifies appropriate compliance areas and seeks approvals, as applicable (FCOI, IRB, IACUC, IBC, Export Controls)
Routing - PI/departmental administrator prepares OSP routing form and attaches documents necessary to facilitate OSP review
Submission to OSP
OSP receives routing form and assigns proposal to a proposal specialist
Proposal specialist reviews proposal documents for corrections and prepares for signature and submission.
PI/departmental administrator corrects changes suggested by OSP, submits back to OSP
AOR signature
Proposal specialist submits to sponsor
Sponsor receives and reviews

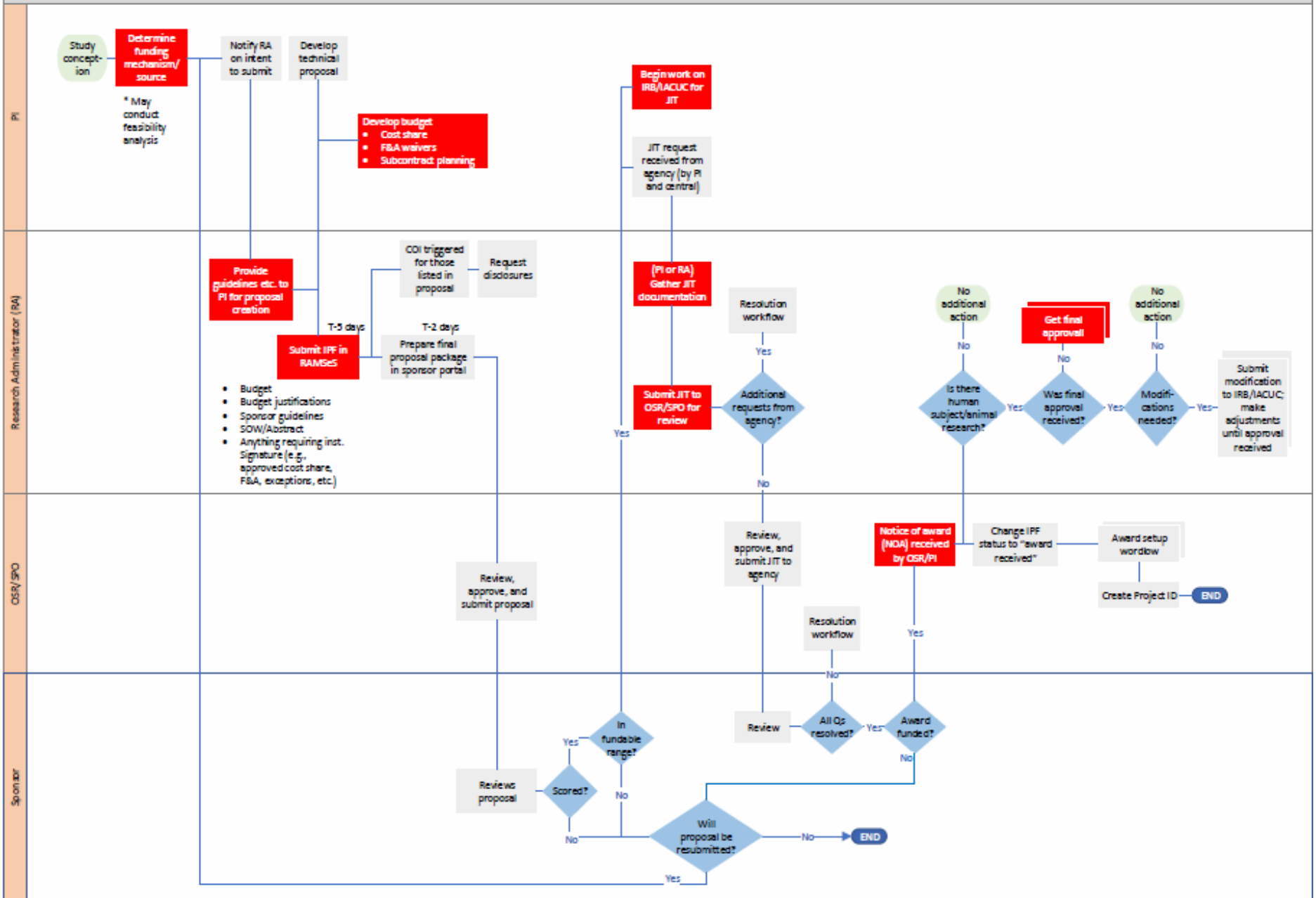

PI /Collaborators
Proposal Development
PI approves and routes to
Department (Dept. Admin and Chair)
Review and Verification
• Budget/Personnel/Effort
• Resources
Department approves and routes to
College (College Admin and Dean)
Review and Verification
• Budget/Personnel/Effort
• Cost Share
• Space / Resources
OSPAN
System Entry
• Budget/Justification
• Forms
• "Draft" Proposal
PI/OSPAN
System Entry
• "final" proposal
2 business days
ORSP
Full review
ORSP approves and submits
Funding Agency
Review
Funding Decision


Department of Energy
One College proposal submission
College has central grant admin service model
If multiple colleges, ADR and ADF of each college would approve Cost Share
If junior Grant Officer, additional Director Review
For proposals without an LOI requirement, If Limited Submission, would start at Research Development Office for selection process
START Proposal
PI provides all technical mat'l
College Grant Admin creates proposal in Grants.gov Workspace; uploads all materials
College Grant Admin simultaneously creates Proposal record & uploads mat'ls in internal electronic workflow system
College Grant Admin simultaneously coordinates/collects subaward materials from 4 subawardees
Subaward #1
Subaward #2
Subaward #3
Subaward #4
Dept Admin
OSP
PI
Voluntary Committed Cost Share negotiated... Approved by:
Dean
SVPR
ADR
ADF
Dept Chair
Central Office Grant Officer reviews internal record...submits internal record to workflow
To Chair for approval
To Department Approver
To Investigator #1 for Certification
To Investigator #2 for Certification
To Department Top Approver
When all cost share approvals received, submit to Central Office
To Grant Officer...WorkSpace Record Submitted
To Grant Officer...internal record completed
END
OSP=Office of Sponsored Programs
PI=Principal Investigator
ADR=Associate Dean for Research
ADF=Associate Dean for Finance
SVPR=Senior Vice Provost for Research
LOI=Letter of Intent

Guideline / checklist and / or training to supplement

Federal sponsors – high-level process map

Expected timeline to complete major steps to be added



Final Discussion

- We will:
  - Hear a report out from each group
  - Consider the similarities and differences in what each group found.
  - Consider what we have learned in the context of (a) institutional research goals and (g) the goals of the national system for awarding funded research
  - Consider what we have learned about the nature and role of faculty/administrator collaboration