



Research

## Ready, Set, Now What?

A Look at How That Proposal Gets Out the Door ...Officially

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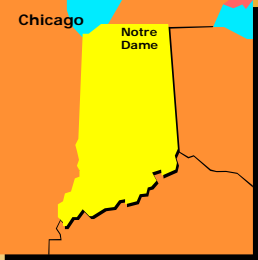
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## Notre Dame: More than Football

- Research Intensive, Basic Research
- Predominantly Undergraduate – 12,000 students
- Faculty to student ratio = 1:13
- 4 Colleges (Arts & Letters/ Science/Engr/Business):  
Schools of Architecture and Law  
Partnered with IU Medical School
- 800 FT Faculty, > 400 PT
- 70% in Sci and Engr are PIs
- \$70M in annual research funding – more than doubled since 2000
- Fellowships from NEH and ACLS in past 7 yrs – most in nation
- 70% of funding from federal govt
- More than \$4M from industry




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## Office of Research: Pre-Award

- Centralized, 6 pre-award research administrators (RA)
- 2 are located in Colleges of Sci & Engr, A&L has own
- About 900 proposals submitted this year
- Rule #1 – WE NEVER MISS A DEADLINE...EVER

Late or *SURPRISE* submissions received expedited review:  
Project abstract or summary  
Budget  
Reserve right to withdraw for non-compliance  
Then  
GET IT OUT THE DOOR

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## Old Business Model prior to 2007

Proposal arrives and whichever RA had time did review

PROPOSAL ARRIVAL vs. TIME TO DEADLINE :  
Week + ... ideal for us but 'get real' – rare, if ever  
3 days ... stated procedure recognized by some faculty  
Day of ... undesired by us, but most likely for PI  
Noon or later on day of ... increasing, wrong path, STOP!

Ongoing issues:

- PI administrative burden
- errors mostly on forms
- RA stress to meet deadline

TIME FOR A CHANGE? Yes!

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## New Business Model 2007

- Each RA has a portfolio of about 150 investigators
- RA completes the non-science portions of proposal
- Faculty focus on the science of proposal

MORE WORK FOR RESEARCH ADMINISTRATORS?? !!

Yes, but benefits outweigh it already...

- 1) Stronger relationship with PI – contact each quarter to plan
- 2) "Surprise" submissions nearly eliminated
- 3) Review can begin earlier while we wait for "science"
- 4) Each RA has PI's in all colleges to maintain skill set, backfill
- 5) Much less training of faculty on new sponsor systems e.g. Grants.gov

RESULT: PIs happier...RAs happier -- a win-win

**Engaging, not enraging PI**

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## How Does It Work?

- Pending proposal list to know what's expected when from whom
- List includes PI, sponsor, program, deadline, link to guidelines (if vacation, illness, training...another RA can step in easily)
- RA works with PI to establish realistic timeline to deadline
- Who is responsible for what, by when

By being brought into process much sooner,  
we no longer wait for proposal  
to arrive after routing  
to begin our review

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## After learning of pending submission...

### Review guidelines, noting:

- Eligibility restrictions – citizenship, applicant type
- Deadline not 5p such as the DOD's SBIR 6am deadline
- Limits on submissions – either by institution, or by PI
- Limit on award amount
- Funding restrictions – normally allowed costs now unallowable
- Reduced F&A (indirect cost limit)
- Required cost sharing or matching \$\$
- Compliance issues
- Certifications and assurances
- Terms & conditions – the troublesome clauses
- Page limits, formatting: the picky, quirky stuff

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## Proposal Preparation

### Who does what

#### PI responsibilities:

- ✓ Contacting Program Officer
- ✓ Project Summary
- ✓ Project Narrative/Plan
- ✓ References
- ✓ Biosketch/CV
- ✓ Current/Pending Support
- ✓ Budget figures for RA
- ✓ Letters from collaborators
- ✓ Disclosure of conflict of interest

#### RA responsibilities:

- ✓ Contacting sponsor
- ✓ Review terms & conditions
- ✓ Routing form
- ✓ Sponsor forms (SF424, etc)
- ✓ Cover page or cover letter
- ✓ Budget forms
- ✓ Performance sites
- ✓ Senior/Key Personnel list
- ✓ Subrecipient contact
- ✓ Collaborator contact
- ✓ Letters of Institutional Support
- ✓ Coordination with other ND depts such as Post-Award, Compliance, Risk Mgmt, Information Technology, utility upgrades, space renovations
- ✓ Proposal submission coordination

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## Proposal is complete, now what?

### PI ensures:

- Full proposal returned to PI for review and approval
- Routing process begins for dept chair/dean approval

### RA ensures:

- Copies of PI/RA/sponsor correspondence kept in proposal record to assist at award stage
- RA notes information affecting post-award

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## Final Approvals & Submission

After the dept and college have approved submission, the proposal returns to the Office of Research and to the RA who knows it is coming and has already --

- reviewed proposal for compliance with sponsor and University requirements
- communicated revisions to PI to strengthen proposal and PI has made changes he/she plans to make

RA forwards to Director of Pre-Award and Director of Office of Research for final approvals  
PI finalizes narrative – still polishing to last minute  
Our office approves submission  
Proposal is submitted

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## Contact information

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Questions?

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