



Pre-Award Seminar:
I've Identified a Grant to Apply To,
Now What?

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Office of Sponsored Programs

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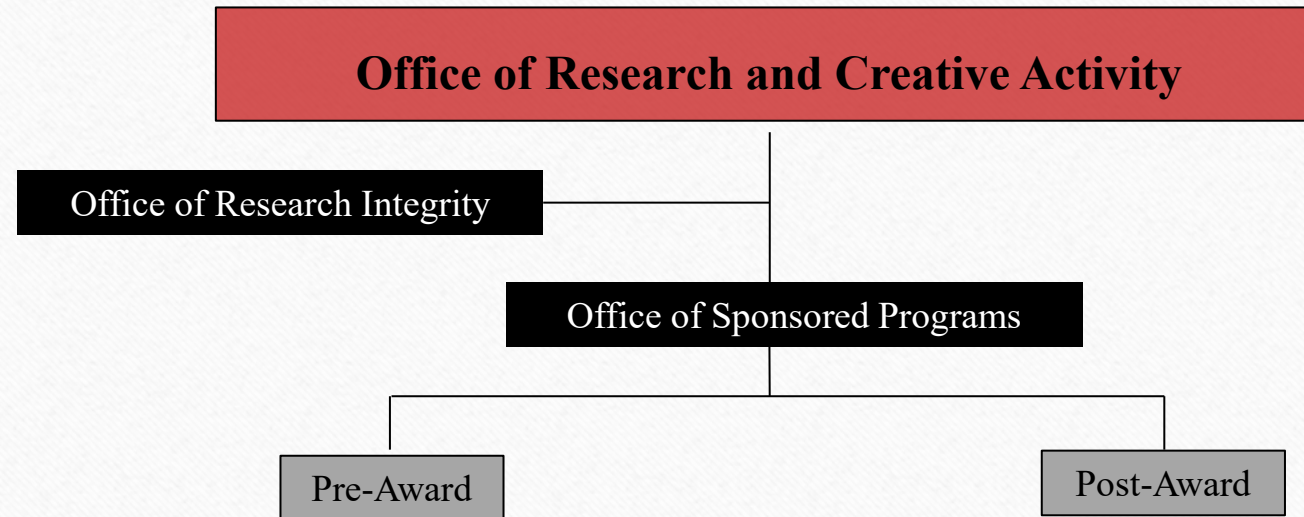
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Office of Research & Creative Activity

The mission of the Office of Research & Creative Activity at Western Kentucky University is to provide outstanding support for the research, service, creative, and scholarly endeavors of our faculty, staff, and students. Our staff is dedicated to partnering with the university community to increase external support for these activities, while ensuring compliance with federal, state, and institutional regulations.

Our unit includes the Office of Sponsored Programs and the Office of Research Integrity. The [Office of Sponsored Programs](#) is a service unit that assists the faculty and staff at WKU in obtaining and administering external funds. The [Office of Research Integrity](#) provides guidance in the protection of the rights, welfare, and security of faculty, staff, and students involved in activities throughout the WKU campus system and supporting communities to ensure compliance with federal, state, and local requirements.



Organizational Roles in Sponsored Programs



WKU is the official applicant, meaning the external funds are entrusted to WKU for financial and regulatory administration. Proposals must be submitted by WKU's Authorized Organizational Representative (AOR). No person may enter into agreements on behalf of WKU without specific authorization to do so. Only OSP staff have been assigned the AOR role.



The Office of Sponsored Programs (OSP) at Western Kentucky University is a service unit that assists the faculty and staff at WKU in obtaining external funds. We offer assistance across the entire spectrum of sponsored programs activities, from identifying a potential source of funding to reviewing the terms and conditions of awards made to the institution.



The PI is responsible for technical and fiscal management of the sponsored project, while also complying with the sponsor's rules and regulations.

External Funding

Grants, Contracts, Agreements...oh my!

Sponsors can be federal, state, local, non-profits/foundations, and for-profit entities.

Sponsored Activities include research, scholarship, creative activities, public service, training, and education.

Sponsored Awards are funds received from sponsors (external sources) and include restrictions, terms & conditions, deliverables, and financial & project reporting requirements.

Proposal Preparation

PI's

Step by Step Process



Determine WKU Role (Lead or Subrecipient)



Reviews Sponsor Guidelines (RFP, Instructions)



Team is identified (PI, Co-I, Key Persons, Subawards)



Project Start and End Dates



Proposal Due Date



Notify OSP of your intent to submit

Proposal Preparation - PI's Step by Step Process #1



Determine WKU Role (Lead or Subrecipient)

Lead Applicant: The organization that is directly submitting a proposal to the sponsor, may or may not include subrecipients.

Example: WKU is applying to an NIH R16 grant and includes ECU as a subrecipient. ECU would provide WKU with required documents and WKU would include those documents in submission.

Subrecipient: Is collaborating with the lead applicant on a proposal submission, will be responsible for a portion of the project proposed.

Example: UK is applying to an NIH R01 grant and includes WKU as a subrecipient. WKU would provide UK with required documents and UK would include those documents in submission.

*Exception: NSF Collaborative Proposals

Proposal Preparation – PI's Step by Step Process #2

 Reviews Sponsor Guidelines (RFP, Solicitation, Instructions)

Guidelines (RFP, Instructions): Sponsor created document which entails proposals focus areas, eligibility, proposal development instructions, restrictions, and submission information.

Eligibility

Due Date

**Notify Department
and/or College**

**Budget allowability
and limitations**

Cost Share

**Responsible
Conduct of
Research (RCR)
Training**

Proposal Preparation – PI's Step by Step Process #2 cont...



Unsolicited Proposals

Unsolicited Proposals: An external funding opportunity that is not publicly posted, can be a grant or contract with deliverables.

Required Documents

Sponsor Point of Contact Name, Email Address, & Phone Number

Any Communication from Sponsor of Project Specifics

Statement/Scope of Work

Detailed Budget

Budget Justification

Proposal Preparation - PI's Step by Step Process #3



Team is identified (PI, Co-I, Key Persons, Subawards)

Lead Applicant: The organization that is directly submitting a proposal to the sponsor, may or may not include subrecipients.

- Principal Investigator (PI)
- Co-Investigator or Co-Principal Investigator (Co-I/Co-PI)
- Key Personnel
- Other Personnel
- Subawards (team and administrative contact)

Subrecipient: Is collaborating with the lead applicant on a proposal submission, will be responsible for a portion of the project proposed.

- Lead Applicant PI
- Lead Applicant Administrative Contact (OSP)
- WKU PI, Co-I, Key Personnel, and Others

*Very Rarely does a sponsor allow a 3rd tier subaward

Proposal Preparation - PI's Step by Step Process #4



Project Start and End Dates

Sponsor specifies

Sponsor notification or award

Start on the 1st of the month

End on the last day of the month

Remain consistent throughout proposal

Proposal Preparation - PI's Step by Step Process #5



Proposal Due Date

Included within RFP

Sponsor Due Date
Cycles (NIH)

Quality of Proposal
by due date

OSP Timeline for
Notification of Intent
to Submit

Weekends and
Holidays

*If PI intends to
submit prior to
sponsor due date,
OSP must be notified

Proposal Preparation - PI's Step by Step Process #6



Notify OSP of your intent to submit



Notify OSP of intent to submit

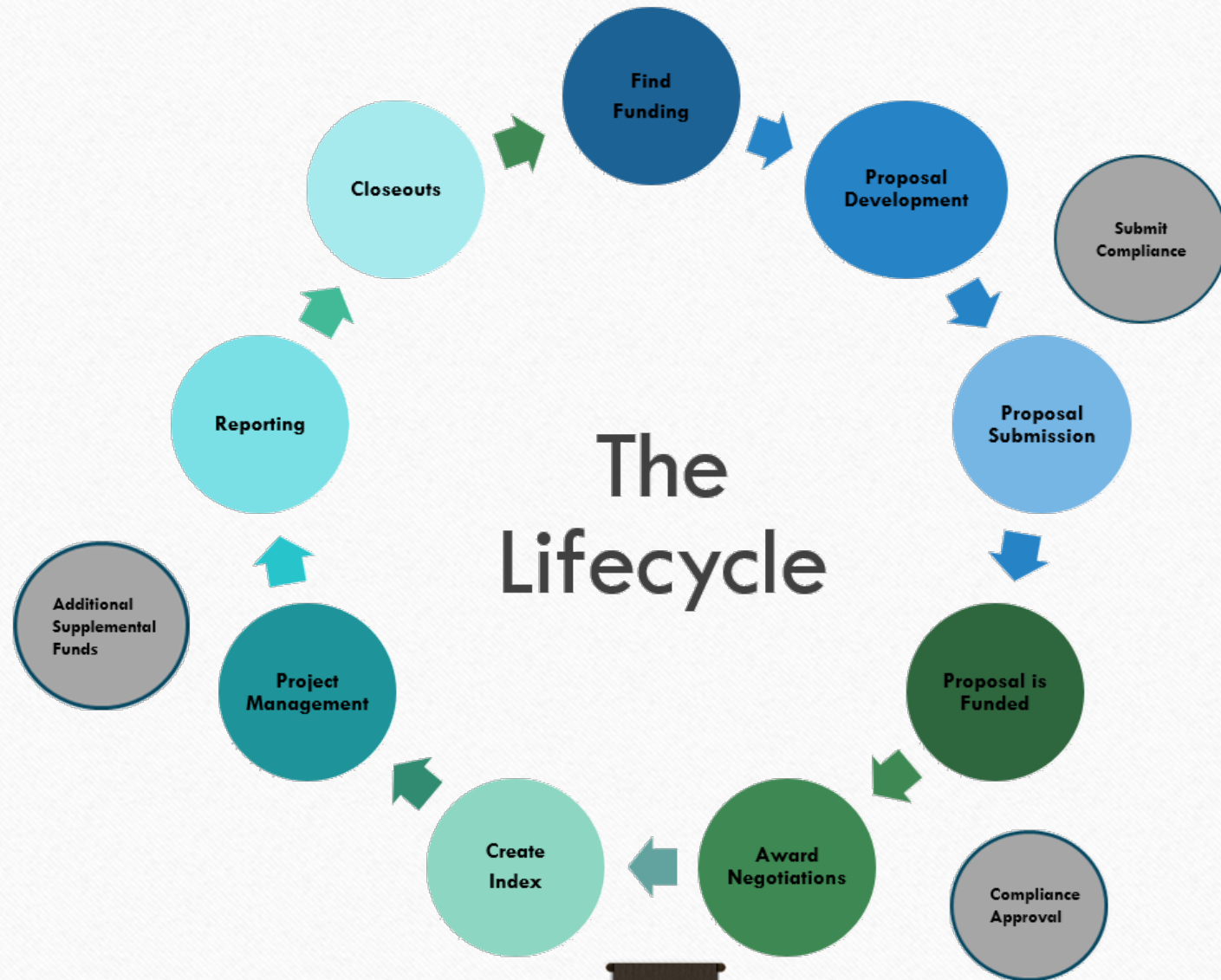
Via External Proposal Assistance Form



Email Additional information

proposal.development@wku.edu

The Lifecycle



Pre-Award Support:

Proposal Development

Read and interpret sponsor instructions

Prepare Proposal Checklist/Timeline

Ensure WKU registration with submission system

Communicate with subrecipient

Budget and budget justification

Obtain Cost Share approvals

Request Institutional Letters (AOR, AVPR)

Communicate with sponsor on proposal logistics

Determination of proper Indirect Cost Rate

Pre-Award Support: Proposal Submission

Collect	Route	Preview	Submit	Post Submission
<p>Collect required documents</p> <ul style="list-style-type: none">• Upload to sponsor system• Prepare PDF	<p>Route SPIRIT record approvals</p> <ul style="list-style-type: none">• PI approves• Sr/Key Personnel• Department• College	<p>Provide a Preview of the Application</p> <ul style="list-style-type: none">• PI review• College review	<p>Submit to Sponsor</p> <ul style="list-style-type: none">• Email• Submission System	<p>Sponsor Requests Revisions</p> <ul style="list-style-type: none">• Email• Sponsor System• Just-In-Time Requests

New

PRINCIPAL INVESTIGATOR HANDBOOK

