

Policy for Submission of Proposals for External Funding

Revised Guidelines

August 1, 2005

These guidelines outline the processing requirements for proposals for I) Federal non-competing renewals, II) large, multi-disciplinary, or otherwise complex proposals, and III) all other proposals, taking into account the unique aspects of each. These guidelines also outline the services that can be provided through the academic business office, Office of the Vice President for Research, and Sponsored Program Services for each type of proposal.

As discussed in the document, submission date is the day the proposal must leave Purdue to reach the agency by its receipt date. This is normally the same day as the agency receipt date for electronic applications, and the *business day before* the receipt date for paper applications.

Final form is defined as a proposal that is complete, accurate, contains all necessary sponsor and internal university forms and documentation and is ready to be submitted to the sponsoring agency, subject to SPS review and approval.

II. Non-competing Renewals

Definition: A year of continued support for a federally funded sponsored grant based upon prior award commitments. The ongoing support is usually contingent upon the completion of a progress report at the condition for the release of dollars for the flowing years. The sponsor administratively reviews the progress report but it does not undergo a peer review.

Examples: Federal projects where multi-year budgets have been submitted, reviewed, and approved. Some of these projects require an annual proposal to activate the approved additional years funding. An example of this is a five-year NIH proposal is funded as an R01 project. NIH awards the first year funding and lists the recommended funding for Years 2-5 on the award document. In order to receive the funds for Years 2-5, the PI must submit an annual non-competing renewal proposal as requested by NIH.

Process: The first step is to contact the Department Business Office as soon as possible so they can perform the services listed below. The Department Business Office will confirm that the proposal is a non-competing renewal. On this type of proposal, a Dean's signature on the Transmittal Check Sheet is no longer required but is optional based upon each School's process.

All proposals meeting the definition provided above must be received by SPS in final form by 10:00 a.m. on the submission date. For proposals received after the 10:00 a.m.

deadline, SPS will make every effort to submit the proposal but will not guarantee submission prior to the sponsor deadline.

Services: For non-competing renewals the following basic services will be provided:

- Departmental Business Office – The departmental business office will:
 1. Prepare budget information and provide accurate costing of the project.
 2. Provide information to complete sponsor forms (EIN#, etc.)
 3. Provide final review to assure the proposal meets all sponsor requirements for format and all required elements are included within the proposal.

- Sponsored Program Services – No review will be completed. SPS staff will:
 1. Obtain authorized institutional signatures
 2. Mail or electronically submit the proposal to the sponsor as instructed.

II. Large or Complex Proposals for which Special Business Office, Office of the Vice President for Research and SPS Assistance is Requested/Needed

Definition: Proposals that are not non-competing continuations of existing projects and where special assistance from both SPS, Business Manager, and Vice President for Research staff is requested/needed during the proposal development and preparation process.

Examples: Large multidisciplinary proposals are defined as those that involve two or more departments/schools/colleges/universities, may require the President or Provost's endorsement, have large (>\$1M) institutional cost sharing requests, establish new centers, have multiple subcontracts, or have new, unique, or complex program guidelines or electronic submission requirements.

Process: For proposals for which additional assistance is desired, the Principal Investigator, or other individual responsible for the initiation/coordination of the proposal, should complete the proposal assistance request form on the SPS website, <http://www.purdue.edu/sps/proposals/specasstreq.html> or send the following information to (proposal@purdue.edu) no fewer than 10 working days prior to the submission date. The following information must be provided at this time:

- Principal Investigator name, phone number, e-mail address
- Sponsor
- Working title of the proposal
- Due date and type of submission (paper, electronic, etc.)
- Program guidelines (URL can be provided on the web form or attached to the e-mail)
- Estimated total budget
- Estimated total Purdue cost sharing (if applicable)

- Departments involved
- Partner institutions

The SPS proposal office will log a preliminary record in the Sponsored Program tracking System database and contact the Departmental Business Office with the assigned proposal number. SPS, Business Office, and VPR staff will work collaboratively with the faculty preparing the proposals during this time period to help ensure the highest possible proposal quality and resolution of any issues prior to submission. One person from SPS or business Management will be designated as the primary contact for all business issues related to the proposal, and monitor progress as the deadline approaches. Generally, the Business Manager for the lead PI will assume this role. The College or School Business Manager of the lead PI and Assistant Director of SPS will ensure a primary business contact has been identified for all proposals in this category.

These proposals must be in final form and received in SPS by **10:00 a.m. on the submission date** for final processing.

Services: For large, multidisciplinary, or other complex proposals for which special assistance is desired, the following services will be available. These services are in addition to the basic services listed in Section I:

- Business Office – With early notification the Business Office can provide the following services:
 1. Communicate and coordinate with the Business Managers, Department Heads, and Deans in all areas involved to increase awareness of the proposal, facilitate cost sharing arrangements, etc.
 2. Participate in meetings with the lead PI, the SPS contact, and other appropriate individuals, as needed in order to facilitate the proposal process and resolve budgetary or contractual details.
 3. Assist with the formulation of a timeline in order to meet all necessary University and sponsor deadlines.
 4. Work directly with subcontractors to get the required budget, statement of work, and institutional signatures.
 5. Customize budgets by task, Co-PI, etc., and create any needed summary spreadsheets.
- Office of the Vice President for Research can:
 1. Assist in the creation of multidisciplinary faculty proposal development team; arrange for proposal development meetings.
 2. Arrange for meetings of PIs with the agency officials as appropriate.
 3. Assist with coordinating management plans, outreach, and/or education plans, partnership issues, or other proposal specific requirements.
 4. Work with departments, colleges/schools, and central resources to facilitate necessary cost sharing packages.

5. Provide non-technical read-throughs of the project narrative.
 6. Ensure that regulatory issues needing resolution are accurately identified on the Transmittal Checksheet.
 7. Draft institutional letters of support.
- Sponsored Program Services – With this advance notification, SPS can:
 1. Participate in meetings with the lead PI, the SPS contact, and other appropriate individuals as needed in order to facilitate the proposal process.
 2. Assist with establishing a timeline for the proposal preparation and submission process.
 3. Clarify proposal preparation guidelines for PI, business office staff, and contract sponsors for clarification if necessary.
 4. Clarify and consult with business office staff and faculty on appropriate project cost elements (e.g. research vs. other applicable F&A rates).
 5. Resolve any compliance issues identified in the proposal preparation process.
 6. Facilitate obtaining an institutional level letter of support for the proposal when requested/required.
 7. Provide support/troubleshooting for electronic submission processes, including logins and access requirements.
 8. Help identify unusual intellectual property or compliance issues and direct to the right people for resolution.
 9. Ensure cost sharing commitments meet sponsor requirements (when applicable).
 10. Work in conjunction with the business office to obtain all necessary information for subcontracts included in proposals.

We cannot guarantee these services will be available if we are contacted fewer than 10 working days prior to the submission date. With notification fewer than 10 working days, the proposal would be subject to the deadlines outlined in Section III of this document.

III. All Other Proposals Requiring Institutional Approval

Definition: All proposals that are not non-competing continuations of existing projects and are not those where special assistance from SPS and/or OVPR staff was requested/needed. This also includes pre-proposals that require an authorized institutional signature.

Examples: Single and multi-investigator proposals being submitted to Federal sponsors under a standard set of guidelines, industrial, and foundation proposals.

Process: The Business Office should be contacted as early as possible in the proposal development process in order that the services described below can be provided.

All proposals meeting this definition must be submitted to the School/College Business Office by the established deadline for that respective School/College for review. The proposals must be in final form and received in SPS 10:00 a.m. 2 business days prior to the submission date.

If the required SPS receipt date falls on a Friday, the SPS receipt date is automatically extended to 10:00 a.m. the following Monday.

The following examples illustrate the application of these deadlines:

- Example 1: The National Science Foundation (NSF) deadline for submission of a proposal via FastLane is 5:00 p.m. on Thursday, July 21, 2005. The proposal must be submitted to SPS no later than 10:00 a.m. on Tuesday, July 19th.
- Example 2: The receipt date for a mailed application is Wednesday, July 27, 2005. The proposal must be submitted to SPS no later than 10:00 a.m. on Monday, July 25th (to allow for overnight mailing on Tuesday, July 26th).

If you have any question about the date when proposals, in their complete form, are due in SPS, please refer to the calendar below:

<http://www.purdue.edu/sps/proposals/deadlinehome.html>

Services:

- Business Office – The Business Office should be contacted at least two weeks prior to the submission deadline (earlier if possible) in order to provide the following services:
 1. Review proposal guidelines for unique budget or submission requirements.
 2. Budget preparation and accurate costing of the project.
 3. Provide information to complete and assist with the preparation of sponsor forms (EIN #, etc.).
 4. Obtain cost sharing documentation (if applicable).
 5. Provide assistance with electronic submissions.
- Sponsored Program Services – Once the proposal is received in SPS, staff will provide final review which includes the following services:
 1. Assure that the proposal meets all sponsor requirements and that all required elements are included within the proposal as described in the sponsor guidelines provided. (Font size and margin width requirements are the responsibility of the preparer and should be reviewed by the business office.)
 2. Assure that the proposal is properly costed and that all cost sharing commitments are documented.

3. Review narratives to assure that no unintended cost sharing commitments are made.
4. Review for any regulatory compliance requirements not already identified on the Transmittal Checksheet.
5. Review for applicability of any Export Control restrictions.
6. Review for any potential conflict of interest management requirements.
7. Prepare contracts to be sent with proposals to industrial sponsors.

Proposals Not Meeting the Required SPS Receipt Date

The Associate Deans for Research in each of the Colleges/Schools will review proposals not meeting the established deadlines and will decide whether the proposal should be forwarded to SPS or held for the next submission opportunity. SPS will make every effort to submit the proposal prior to the sponsor deadline but will not guarantee the quality of the review or the submission of the proposal prior to the sponsor deadline.

Electronic submissions are especially at risk of not being submitted because of the poor performance of sponsors systems on deadline days. The OVPR will continue to monitor the number of proposals received in SPS after the established deadlines to assure reasonable compliance with these guidelines.