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|  <b>Research &amp; Sponsored Programs</b><br>UNIVERSITY OF DENVER  | <b>Office of Research and Sponsored Programs Policy Manual</b><br><br><b>Proposal Submission, Approval, and Review</b> |
| Supersedes Document Dated:<br>01/01/2021  | Policy Number: ORSP-16   |
| <b>Recommended By:</b> Director of Sponsored Program Administration; Sponsored Program Academic Research Council<br><b>Approved By:</b> Senior Vice Provost for Research and Graduate Education | Effective Date: 09/22/2023   |

## 1. PURPOSE

The Office of Research and Sponsored Programs (ORSP) is committed to providing the highest quality Sponsored Program proposal submission services to our employees. We do so in an environment of very complex regulations and institutional policies. One of the most important activities is the timely and thorough review of proposals prior to submission to the sponsoring entity. This involves collaborating with the Principal Investigator and closely reviewing the guidelines, along with reviewing the administrative and budgetary components of the Sponsored Program proposal. Engaging ORSP in a timely fashion allows Principal Investigators to submit high quality proposals with a higher probability of success.

## 2. DEFINITIONS

- 2.1. At-Risk Proposals are proposals that are submitted to ORSP less than two (2) business days prior to the proposal submission deadline.
- 2.2. At-Risk Principal Investigators are Principal Investigators that frequently fail to submit proposals within the internal deadlines or are otherwise inexperienced in sponsored research.
- 2.3. Complete Proposals are those that include all required documentation, have all the necessary Department and University approvals and require no additional revisions by the Principal Investigator or department.
- 2.4. Cost Sharing is the portion of Sponsored Program costs that are not borne by the sponsoring entity. Cost Sharing can be sourced from cash contributions, in-kind (non-cash) contributions, and matching funds. A sponsoring entity may condition the eligibility of an award on Mandatory Cost Sharing.
- 2.5. Facilities & Administrative (F&A) Costs are those costs incurred for a common or joint objective and, therefore, cannot be identified readily and specifically within a given Sponsored Program or instructional activity. F&A Costs are sometimes called "indirect" costs (IDC) or "overhead." F&A costs appear as a separate budget category and show the base and percentage used to determine the amount.

- 2.6. F&A Rate is negotiated with the University's cognizant agency, the Office of Naval Research (ONR) to cover the F&A Costs.
- 2.7. Late Proposals are proposals that are submitted to ORSP for review after the University's deadlines for proposal submission.
- 2.8. Postdoctoral Fellow Matching is a program by which postdoctoral fellows are assigned to a Sponsored Program and matching funds are provided by the University.
- 2.9. Principal Investigator is a University employee that leads a given program or project and is responsible for the proper conduct of research or other activity described in the proposal, grant, or instrument of agreement for the specific program or project.
- 2.10. Sponsored Programs are programs or projects that are funded by an external entity through a written agreement (grant, agreement, or other instrument) with the University. Sponsored Programs include specific research, training, or service programs and projects.

### **3. POLICY**

- 3.1. The Principal Investigator is the primary individual responsible for proposal preparation in the University's electronic research administration system (InfoEd) and they are responsible for communication and correspondence with the external entity. The Principal Investigator must collaborate with their department administrator and any other stakeholders when drafting a proposal.
- 3.2. Principal Investigators and/or department administrators must setup an InfoEd Record with the following information and notify ORSP by email of their intent to submit the proposal no later than ten (10) business days prior to the proposal submission deadline:
  - 3.2.1. Proposal due date.
  - 3.2.2. Sponsor/agency name.
  - 3.2.3. Opportunity number (and web link, if applicable) or copy of announcement
  - 3.2.4. Estimated total budget.
  - 3.2.5. Cost Share Request Form (if applicable)
  - 3.2.6. F&A Cost Waiver (if applicable)
- 3.3. Principal Investigators and/or department administrators must submit the complete administrative components of the proposal using InfoEd and, if applicable, the required federal submission portal no later than 8:00 AM five (5) business days prior to the proposal submission deadline. If the components required for administrative review are not received five business days prior to the sponsor's deadline, the proposal will be considered "late". The administrative components include:
  - 3.3.1. Detailed budget
  - 3.3.2. Budget justification
  - 3.3.3. Auxiliary documents (subaward documentation, biosketch, current and pending support, letters of support, or other auxiliary documents as required for the proposal)
  - 3.3.4. Near-final draft of the technical components (project narrative, bibliography, specific aims, milestones, etc.)

- 3.4. Principal Investigators and/or Department Administrator must submit the complete technical components of the proposal using InfoEd and, if applicable, the required federal submission portal no later than 8:00 AM three (3) business days prior to the sponsor's deadline. The technical components include:
  - 3.4.1. Final draft of technical components (project narrative, bibliography, specific aims, milestones, etc.)
- 3.5. ORSP will review all complete proposals that are submitted on time. ORSP provides the following types of proposal reviews:
  - 3.5.1. Complete proposals, those that include the administrative and technical components of the Proposal submission and are submitted timely according to all University submission deadlines, will be completely and thoroughly reviewed by ORSP.
  - 3.5.2. Late Proposals, those that are Complete Proposals but were not submitted on time, will be reviewed by ORSP on a limited basis. This limited review will be only to determine if there are any components that will prevent submission. The Principal Investigator assumes all risk that a Late Proposal could contain errors or omissions and, if awarded, the Late Proposal may not be accepted by the University and/or may require renegotiation.
  - 3.5.3. At-Risk proposals, those that are submitted less than two (2) business days prior to the submission deadline, require Principal Investigators (or the appropriate department administrator) to first receive approval from the Vice Provost for Research (Vice Provost) to submit the proposal after the University deadline. ORSP will not guarantee that an At-Risk will be submitted by the sponsor's submission deadline. Nor can ORSP guarantee that submission of the proposal will be successful and fully comply with the sponsor's requirements.

#### **4. PROCESS**

- 4.1. The Principal Investigator will request the department administrator setup an InfoEd record and confirm the same has occurred. In the case that the PI does not have a department administrator, the Principal Investigator has responsibility to complete the details of the InfoEd record once created. The Principal Investigator/designee will then notify ORSP by email of their intent to submit a proposal at the earliest possible opportunity, but no less than ten (10) business days before the sponsor's proposal submission deadline. ORSP will notify the Office of Advancement when the proposal is for an award from a private foundation.
- 4.2. ORSP will initiate the proposal process by sending an email outlining internal deadlines for the proposal submission and sharing any relevant guidance.
- 4.3. The Principal Investigator, with support from their department administrator, will finalize budget considerations (if applicable), such as, course release, and Postdoctoral Fellow Matching no later than thirty (30) days prior to proposal submission.
- 4.4. If seeking an F&A waiver, the Principal Investigator must obtain the F&A waiver approval from the Vice Provost which requires no less than ten (10) business days for review.
- 4.5. The Principal Investigator will timely complete all portions of the proposal and collaborate with

their department administrator to upload them to InfoEd and, if applicable, the required federal submission portal and notify ORSP to begin their review. All deadlines established herein must be met. ORSP will not review a proposal until it has received the administrative and technical components of the proposal pursuant to Sections 3.1- 3.3. Each proposal must be approved by their department prior to submission to ORSP.

- 4.6. ORSP will provide a complete, and comprehensive review of proposals pursuant to Section 3.5 and provide feedback to the Principal Investigator prior to the sponsor's proposal deadline. ORSP review will be completed in no longer than two (2) business days. The Principal Investigator should incorporate ORSP's feedback into the final proposal submission.
- 4.7. After ORSP review and approval of the proposal, the appropriate individual, who will be identified after consultation with ORSP, will submit the proposal. All federal award proposals are submitted by ORSP.
  - 4.7.1. Submission will be no less than two (2) business days prior to the deadline to provide adequate ability to correct errors or omissions if identified.
  - 4.7.2. **THE PRINCIPAL INVESTIGATOR WILL NOT SUBMIT A SPONSORED PROGRAM PROPOSAL TO ANY ENTITY WITHOUT FIRST HAVING THE PROPOSAL REVIEWED AND APPROVED BY ORSP.**
- 4.8. Principal Investigators must seek approval from the Vice Provost to submit an At-Risk Proposal. Such request must be made in writing that clearly justifies the rationale for the At-Risk Proposal. The ORSP representative assigned to your department must be included in the correspondence. The Vice Provost will assess these requests based on previous history of At-risk Proposals, ORSP capacity and likelihood of success. At-risk Proposals do not receive a full ORSP review or evaluation.
- 4.9. The Principal Investigator must communicate to ORSP if they anticipate delays in submission of documents, such as bio-sketches, subrecipient commitment forms or other critical supporting documents, when the proposal includes external stakeholders whom the Principal Investigator has no control over. In these rare and unusual scenarios ORSP will assist in coordination of submissions.
- 4.10. Processes and internal timelines are subject to change based on the type of sponsor and their submission processes.
- 4.11. Awards received for proposals that were not reviewed or approved by ORSP may not be accepted by the University or may require renegotiation.