

PROPOSAL SUBMISSION DEADLINE
12/22/2009
Policy 1.1.12

Policy:

The University of Kansas Medical Center Research Institute requires that all proposals; pre-proposals and letters of intent that include a budget or require institutional approval; and subcontracts, hereinafter referred to collectively as proposals, submitted to federal, state, local and private for-profit and non-profit funding agencies requesting funds and/or committing University resources (e.g., personnel, space, funds, equipment and facility use, etc.) be reviewed by the Sponsored Programs Administration Pre Award Office and approved by the Associate Vice Chancellor for Research Administration, or his designee, prior to submission.

Purpose:

The University of Kansas Medical Center Research Institute (KUMCRI) is committed to assuring timely submission of complete, accurate and excellent proposals. In order to achieve this, it is critical that Sponsored Programs Administration (SPA) Pre Award Office receive proposals in sufficient advance of the submission deadline to provide adequate review of the proposals

As a result of the high volume of last minute proposal submissions to SPA, it is necessary to adopt a proposal submission deadline policy. Often, a large number of proposals are submitted to the SPA office at once, and it is critical that SPA staff have time to work through the many issues that arise before submitting a proposal by the sponsor's deadline. The proposal submission deadline provides SPA staff with adequate time to review, approve, revise, and process grant proposals. During the proposal preparation and review process SPA staff will:

- provide guidance as needed to Principal Investigators (PI) and others in the preparation of budgets and other sponsor required forms;
- check the final proposal for completeness and conformance with all sponsor requirements;
- check the final proposal for conformance with University of Kansas Medical Center and KUMCRI guidelines;
- review the proposed budget for cost allowability, reasonableness, proposal of correct indirect cost rates, and the appropriateness of any cost sharing or contributed effort. Budgets prepared for federally-funded projects are subject to the cost allowability guidelines as detailed in Office of Management and Budget Circular A-21;
- receive and accept signed Letter of Intent agreeing to a subcontract commitment with KUMCRI (letter, budget, budget justification, etc.);
- coordinate the review of non-routine direct cost and indirect cost exceptions; and
- check the KUMCRI Proposal Routing Sheet to ensure necessary departmental approvals, and completion of all regulatory compliance requirements

KUMCRI reserves the right to withdraw any proposal submitted without Institutional approval. KUMCRI reserves the right to refuse any award resulting from a proposal submitted without Institutional approval.

Summary of Policy:

Points of Entry to KUMCRI:

Note: Business Days do not include weekends and holidays

TEN (10) BUSINESS DAYS in advance of submission deadline	FIVE (5) BUSINESS DAYS in advance of submission deadline	TWO (2) BUSINESS DAYS in advance of submission deadline
<ul style="list-style-type: none"> • Completed and signed KUMCRI Proposal Routing Sheet (FINAL) • Budget w/ budget justification (FINAL) • Biographical Sketches (FINAL) • Letters of Support (FINAL) • Research Plan or Technical Section (FINAL or DRAFT) • Cost Share Memos, if applicable (FINAL) • Consortium Agreement, if applicable (FINAL) 	<ul style="list-style-type: none"> • KUMCRI Proposal Routing Sheet • FINAL, "Ready-to-Submit" proposal 	<ul style="list-style-type: none"> • Will NOT be submitted, or • Submit to SPA with Late Proposal Submission Exemption Form, signed by Assoc Vice Chancellor for Research Administration.

First time users of the electronic submission process should contact SPA thirty (30) days prior to the sponsor deadline for CAYUSE training by the KUMCRI staff.

If a proposal is in response to an RFP, please send the RFP (or URL of applicable web site) to your Pre Award Grant Specialist one (1) week before proposal submission to the KUMCRI to allow for adequate time for review of the RFP's terms and conditions. Special approvals or strategizing may be required. For complex RFPs or proposals (i.e., those with contract documents incorporated, multiple consortium or subcontract arrangements, cost sharing from third parties, and/ or complicated budgets), or other unique issues, it is recommended that SPA be contacted at least thirty (30) days prior to the sponsor deadline, if not sooner.

Please see **Proposal and Budget Preparation Procedure 1.a.12** for details on preparing a proposal:
<http://www2.kumc.edu/researchinstitute/spa/documents/ProposalProcedures.pdf>

Points of Entry (Options for submission) to KUMCRI:

Ten (10) Business Days in Advance of Submission Deadline

Proposals received ten (10) business days or more in advance of the sponsor's deadline will receive a detailed review by SPA to provide greater assurance that the proposal can be submitted error-free.

To be considered "*On Time*" and in compliance with the KUMCRI's ten day policy, the proposal must be submitted to SPA ten business days before the proposal deadline. For electronic proposal submissions, both an electronic and hard copy of the proposal must be submitted to SPA by the internal deadline.

An *On-Time* proposal must include the following elements in FINAL form (unless otherwise indicated):

- Completed and signed KUMCRI Proposal Routing Sheet, which must include the date and time proposal is due, with the applicable time zone noted. If the project includes faculty and staff from different schools, a Chair's approval is required from *each* school.
- Research Plan or technical section (**in final or draft* form – see below regarding submitting a draft**)
- Biographical sketches for all key personnel
- Other Support for all key personnel if applicable to the submission
- Budget with complete justification (note: if the budget in any required sponsor format is not sufficiently detailed or explanatory, then an Excel spreadsheet should be included for SPA review). Indirect costs must be calculated with either the federal negotiated rate or the rate specified by the sponsor in written policy or program guideline documents.
- Subrecipient Commitment Form, statement of work, budget and budget justification from any proposed subawardee
- Letters of support from named consultants and/or collaborators
- Completed and signed cost sharing memo

***Submitting a Draft Research Plan or Draft Technical Section**

A draft of the research plan or technical section of a proposal should not be just a "place holder." The draft should address all required elements specified in the sponsor's proposal guidelines. **The draft should be written in sufficient detail to allow the proposal to be reviewed even if only the draft research plan or technical section were to be submitted.** The PI should keep in mind that any changes made to the research plan or the technical section should not affect any of the following administrative elements:

- The amount of project funds requested from the sponsor
- The project's budget justification
- Cost sharing or matching
- F&A (indirect) costs requested
- Effort of key project personnel
- Named consultants and/or subcontractors

If a draft research plan or draft technical section is being contemplated, the PI/department should contact the SPA Pre Award Grant Specialist assigned to the PI as soon as possible to work out a revised due date for the submission of the final research plan or technical section. The PI/department also should indicate in writing on the KUMCRI Proposal Routing Sheet that the research plan or technical section is in draft form. SPA will require that the final version be submitted in time to physically meet the sponsor's submission deadline after considering the number of proposals being submitted on that deadline date.

SPA staff will communicate back to the PI and department any issues found with the submission in time for the submission to be corrected and re-submitted to the SPA Pre Award office.

Five (5) Business Days in Advance of Submission Deadline

SPA must receive the **final** proposal, in complete form and ready for submission to the sponsor (i.e. "Ready to Submit") a minimum of **five (5) business days** prior to the sponsor deadline.

- Proposals received five days or more prior to the submission deadline in a "Ready to Submit" condition will be reviewed by SPA staff for accuracy, completion and compliance with sponsor, university and federal and state requirements.
- Any proposal sent to SPA five days in advance that is in an incomplete form and/or not "Ready to Submit" will be returned to the PI and the department administrator contact named on the KUMCRI Proposal Routing Sheet.

SPA staff will communicate back to the PI and department any issues found with the submission in time for the submission to be corrected and re-submitted to the SPA Pre Award office.

Two (2) Business Days in Advance of Submission Deadline

All proposals, both paper and electronic, received by SPA for the first time two (2) business days prior to the sponsor deadline will be returned to the PI and department contact, and **will not be submitted to the Sponsor.**

SPA Pre Award Grant Specialists cannot submit late proposals without written approval from the Associate Vice Chancellor for Research Administration. Please see “Exemptions” for process of obtaining approval.

Exemptions:

If a proposal cannot be submitted to the KUMCRI on time, even with a draft research plan or draft technical section, the PI can request an exemption from the Associate Vice Chancellor for Research Administration. These are the steps for requesting approval for the submission of a late proposal to SPA:

1. Request a meeting with the Associate Vice Chancellor for Research Administration to discuss the Late Proposal Exemption by contacting the KUMCRI Administrative Officer at 913-588-5436. Please keep in mind the schedule of the Associate Vice Chancellor for Research Administration; last-minute meetings may not be possible.
2. Print out and complete the Late Proposal Exemption Request Form:
<http://www2.kumc.edu/researchinstitute/spa/documents/LATEPROPOSALSUBMISSIONEXEMPTIONFORM.pdf>
3. Please note that a compelling argument must be made to obtain such an exemption.

Examples of a justifiable exemption would be:

- serious illness, injury, or death of a family member; or
- documented notification that the funding opportunity was initially posted less than 2 weeks prior to the deadline.

NB: Obtaining approval to submit a proposal late does not guarantee that the proposal will be submitted on time to the sponsor.

Definitions:

Cost Sharing or Matching: The value of third party in-kind contributions and the portion of the costs of a federally assisted project of program not borne by the Federal Government.

Direct Costs: Costs that can be specifically identified with a particular project(s) or activity. Examples of research project-specific expenses include expenses for equipment, personnel, travel, and other expenses necessary to carry out a research project.

Facilities and Administrative (Indirect) Costs: A broad category of costs that are common to all research projects. “Facilities” is defined in OMB A-21 as depreciation and use allowances, interest on debt associated with certain buildings, equipment and capital improvements, operation and maintenance expenses, and library expenses. “Administration” is defined in OMB A-21 as general administration and general expenses, departmental administration, sponsored projects administration, and student administration and services.

FOA: Funding Opportunity Announcement

Institutional Base Salary: The annual compensation that the applicant organization pays for an individual’s appointment, whether that individual’s time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of the duties to the applicant organization.

Office of Management and Budget (OMB) A-21: Federal circular establishing principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

“Ready to Submit” Proposal: a full and complete proposal in FINAL format.

RFP: Request for Proposal. May also be referred to as RFA – request for proposal.

Responsible Parties:

Principal Investigator

Submit all proposals for SPA review and KUMCRI institutional approval per this policy
Compliance with this and all other applicable KUMCRI policies

Department Chair

Promote faculty and staff awareness of this policy

KUMCRI Sponsored Programs Administration

Promote faculty and staff awareness of this policy
Review all proposals submitted in a timely fashion

Related Policies and Links:

KUMC Research Institute Cost Share Memo http://www2.kumc.edu/researchinstitute/spa/documents/cost_share_memo.doc

KUMC Research Institute Division of Clinical Research Administration <http://www2.kumc.edu/researchinstitute/cra/index.html>

KUMC Research Institute Internal Checklist http://www2.kumc.edu/researchinstitute/spa/documents/KUMC_Proposal_Routing.docx

KUMC Research Institute Late Proposal Submission Approval Form

<http://www2.kumc.edu/researchinstitute/spa/documents/LATEPROPOSALSUBMISSIONEXEMPTIONFORM.pdf>

KUMC Research Institute Sponsored Programs Administration, Proposal Process

<http://www2.kumc.edu/researchinstitute/spa/spapropprocess.html>

KUMC Research Institute Policy 1.2.01: Principal Investigator Eligibility

<http://www2.kumc.edu/researchinstitute/spa/documents/PIEligibility.pdf>

KUMC Research Institute Procedure 1.a.12: Proposal and Budget Preparation

<http://www2.kumc.edu/researchinstitute/spa/documents/ProposalProcedures.pdf>

OMB Circular A-21 http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html

Contacts:

Associate Vice Chancellor for Research Administration: 913-945-6636

History:

Original Issue Date: 12/22/2009

Current Issue Date: 12/22/2009

RAC Approved: 12/22/2009

Effective Date: Effective for all proposals with a submission date of 02/01/2010 or later.