



SUBJECT: Proposal Submission Deadline	Effective Date: 01/08/2018	Policy Number 10.2.10
	Supersedes: 03/01/2016 08/01/2012	Page 1 Of 4
	Responsible Authorities: Vice President for Research Assistant VP for Research, Office of Sponsored Programs	

I. Background

In August 2012, due to the increased number of last minute proposal submissions to the Office of Sponsored Programs (OSP) it became necessary for the Division of Research to adopt the Proposal Submission Deadline Policy. Implementation of this policy ensured a timely review and successful submission to the sponsor. The policy provides the Proposal and Contract Administrator (PCA) in the Office of Sponsored Programs sufficient time to ensure that the sponsor’s guidelines are met, the budget and budget justification are correct, compliance requirements have been adhered to, and the proposal is submitted on time.

II. Purpose

The purpose of the Proposal Submission Deadline Policy is to:

- Facilitate timely and efficient submission of Florida Atlantic University (FAU) proposals to external sponsors;
- Implement a method for prioritizing proposal for review;
- Ensure that faculty and research administrators have access to OSP personnel and services.

III. General Statement

FAU is committed to the pursuit of increasing the research enterprise. One sure way this can occur is by the submission of excellent proposals to external funding agencies. OSP will assist faculty and provide maximum level of customer service to ensure proposal review and submission go according to plan.

IV. Policy

All proposals submitted to external sponsors must be completed and routed electronically via FAU’s electronic research administration system no later than **five (5) business days before the established sponsor or submission deadline, whichever is sooner**. For example, if the sponsor/submission deadline is 5:00pm on Friday, the OSP deadline is 8:00am the previous Monday.

In order for the proposal to be considered on-time, the proposal must be complete, in final form, and approved by the Chair and/or Dean's Office.

When submitting a proposal to OSP, the following documents must be included:

- All sponsor required supporting documentation
- Detailed budget and budget justification
- Applicable FAU documents – (FCOI, Cost-Share)
- If subrecipient is involved, include:
 - ✓ Letter of intent on letterhead and signed by authorized institutional official
 - ✓ Detailed budget and budget justification
 - ✓ Statement of work
 - ✓ F&A Rate Agreement
- If consultant is involved, include:
 - ✓ Letter of intent signed by the consultant, clearly stating the hourly rate, number of hours, and total costs
 - ✓ Statement of work.
- Proposal Narrative, Project Summary or Abstract, Statement of Work, Specific Aims, Research Strategy and Bibliography (a draft of these documents are acceptable when initially submitted).

To allow more time for researchers to edit and enhance the body of the proposal, the following documents may be submitted to the OSP in draft form with the agreement that the final documents are received by the OSP **Forty-eight (48) hours** prior to the sponsor/submission deadline date:

- Proposal Narrative,
- Project Summary or Abstract,
- Statement of Work,
- Specific Aims,
- Research Strategy,
- Bibliography

If submitting draft documents to the OSP, documents must be marked as **“Draft”** otherwise they will be treated as the final document.

Final proposal documents must be submitted via email to OSP no later than **Forty-eight (48) hours** prior to the sponsor/submission deadline date. This will ensure that reasonable efforts will be made towards a successful submission, in particular when submitting through a sponsor's electronic submission system.

Authorized Approvers

The role of the authorized approver in the college/institute is crucial during the review and approval process for proposals. It is recommended that faculty stay in close communication with their college/institute during proposal preparation and submission.

Individual colleges/institutes may require additional time to sufficiently review and approve proposals prior to submitting to OSP. Consult with your Dean's Office regarding internal deadline requirements for your college.

When submitting a proposal that involves faculty from multiple colleges/institutes, the authorized approver(s) for each college/institute must also review and approve the proposal. Allow sufficient time for

each authorized approver(s) to review and approve the proposal. It is recommended that the business managers or equivalent from each college/institute be notified as early in the process and given head's up about the proposal submission.

Policy Exception Request

The Office of Sponsored Programs has eliminated the Exception Request from this policy. A request for an exception of the Proposal Submission Policy is no longer needed when a proposal does not meet the 5-business day deadline. Instead, we are adopting the following proposal review procedures.

1. Proposals received by the OSP at least five (5) business days prior to the sponsor/submission deadline date will receive a full review and will have priority status. Proposals submitted with less than five (5) business days will receive a limited review or no review depending on when it is received in OSP and the current workload of the assigned PCA.

2. Proposals that do not meet the five (5) business day deadline will not be given priority just because they arrived late. Proposal review priority is given to those proposals that meet the Proposal Submission Deadline Policy.

The chart below provides the level of review and risk(s) associated with the allotted time allowed for the OSP proposal review and submission process.

FAU OSP Risk Assessment for Proposal Review Time			
Risk Factors	FULL REVIEW If provided to OSP > or = to 5 full business days* before sponsor's proposal deadline	LIMITED REVIEW If provided to OSP 3-4 full business days* before sponsor's proposal deadline	NO REVIEW If provided to OSP > 2 full business days* before sponsor's proposal deadline
1. Risk of proposal rejection due to non-compliance with sponsor guidelines	Low	Medium	High
2. Risk of proposal rejection due to system failure	Low	Medium	High
3. Risk of department/unit incurring financial burden due to budget errors or omissions	Low	Medium	High
4. Risk of proposal withdrawal by OSP after submission and/or rejection of award	Low	Medium	High
*A full business day is considered an official FAU workday between the hours of 8:00 a.m. to 5:00 p.m.			

Adhering to the policy allows sufficient time to review all aspects of the proposal, work with the principal investigator and college/institute pre-award personnel to correct errors before the sponsor’s deadline and deal with technical issues and error messages from the various electronic submission systems.

To ensure a quality review and greatest chance for a successful outcome for your proposal, we highly encourage adhering to the Proposal Submission Deadline Policy.

Proposals Submitted with Limited or No Review

When a proposal does not receive a full review due to a late submission, a letter will be submitted to the Principal Investigator, with a copy to their department chair and research dean notifying them that a “Limited Review or No Review” was conducted due to failure in adhering to the Proposal Submission Deadline Policy.

OSP reserves the right to withdraw a proposal that is submitted without a full review if it is determined at a later date that there were errors or omissions significant enough to justify the withdrawal.

When a proposal is submitted to the sponsor with an incorrect F&A rate or undocumented cost-share commitment, if funded, OSP will request corrections to the awarded budget prior to FAU accepting the award even when it affects and lowers the total direct costs for the project.

Policy Review

The Proposal Submission Deadline Policy will be reviewed annually and updated on an as needed basis.

POLICY APPROVAL

Initiating Authority

Signature: _____
Daniel C. Flynn, Vice President for Research

Date: 1/8/2018