I. **Background**
In August, 2012, due to the increased number of last minute proposal submissions to Sponsored Programs it became necessary for the Division of Research to adopt the proposal submission policy. Implementation of this policy ensured timely review, processing and submission by the Proposal and Contract Administrators (PCA) in Sponsored Programs. This provides the PCA 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 Policy is to:
- Facilitate the timely and efficient submission of FAU’s proposals to external sponsors,
- To implement a method for prioritizing proposals for review,
- To ensure that faculty and research administrators have access to Sponsored Programs personnel 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. This policy allows the Sponsored Programs staff to be able to provide maximum services and ensure that proposal review and submission go according to plan.

IV. **Policy**
All proposals must be electronically received via the electronic research administration system used by Sponsored Programs no later than five (5) business days before the established sponsor’s deadline. For instance, if the sponsor’s deadline is 5:00pm on Friday, the Sponsored Programs deadline is 8:00am the previous Monday.
A proposal submitted to Sponsored Programs must include the following:

- All sponsor required supporting documentation
- Detailed budget and budget justification
- Applicable FAU documents (COI, IP, etc.)
- If subaward is involved, include:
  ✓ Letter of intent on letterhead and signed by institutional official
  ✓ Detailed budget and budget justification
  ✓ Statement of work
  ✓ Any other sponsor required documents
- 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 (can be a draft when initially submitted to Sponsored Programs).

All documents should be in final form. The only document that can be a draft at time of submission to Sponsored Programs is the proposal narrative (indicate "draft" on the document). The final proposal narrative should be submitted via email to Sponsored Programs 48 hours prior to the sponsor’s deadline date. This will ensure a smooth submission in particular when submitting through Grants.gov.

The role of the authorized approver in the college/institute is crucial in the proposal process. It is recommended that faculty are in close communication with their college/institute during proposal preparation and submission. Individual colleges/institutes may have additional internal deadline requirements to adequately review and approve the proposals prior to submitting to Sponsored Programs.

**Exception to Five Business Day Deadline Policy**

Under exceptional circumstances a principal investigator may initiate a request for an exception to the five business-day deadline policy by following these steps:

**Step 1:** Principal investigator must submit an email request to their college/institute authorized approver describing the exceptional circumstance and why the five business day deadline policy cannot be met. The principal investigator will outline the steps that he/she will take to meet the sponsor’s deadline.

**Step 2:** If the college/institute authorized approver recommends the exception, he/she will forward the recommendation with supporting documentation to the Director of Sponsored Programs or designee. (See Appendix A for a sample email request from authorized approver to Sponsored Programs.) College/institute authorized approvers do not have the authority to waive the five business day deadline policy. Only the Director of Sponsored Programs or designee can grant a waiver due to an exceptional circumstance.

**Step 3:** If approved by Sponsored Programs, a new deadline for submission will be established and communicated to all parties.

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Note: Reducing the number of days that Sponsored Programs personnel have to review the proposal, limits the service and review process that can be provided prior to submission to the sponsor.

Proposals that Meet the Five Business Day Deadline Policy
Sponsored Programs personnel will do a thorough review of the proposal documents. This includes review of the budget, budget justification, supplementary documents, FAU required documents, compliance requirements and comparison of project narrative against the RFP or program solicitation to ensure all sponsor requirements have been met.

Adhering to the submission deadline policy allows 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 portals.

Proposals that do NOT Meet the Five Business Day Deadline Policy
If an exception to the five business day deadline policy is granted, Sponsored Programs is not committing to a thorough review of the proposal. Sponsored Programs will do as much as possible within the time constraints, which depends on the workload at such time. Proposals that do not meet the five business day deadline do not receive priority just because they arrived late. Proposal review priority is given to those proposals that meet the submission deadline.

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

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: 3/1/16
Appendix A
(Sample)

To: Director, Sponsored Programs
From: College/Institute Authorizing Official
Date: MM/DD/YY

RE: Exception to five (5) business day Submission Policy

I have reviewed the Principal Investigator's request for an exception to FAU's five (5) business day submission policy (please see attached request). Based on the explanation as to why the five (5) business day deadline cannot be met and the steps to be taken to meet the requested sponsor deadline, I have approved the request.

The proposal includes the following items which require additional documentation and approvals which may require extra time and effort during the proposal preparation and review process.

Check All Applicable Items Below

☐ PI Eligibility special approval (attach request)
☐ Subawards
☐ Consultants
☐ Cost share
☐ Indirect cost rate
☐ RFP, RFA or other special agreement (attach program announcement or other instructions)
☐ Other (please specify)

Cc: Principal Investigator
Proposal and Contract Administrator, Sponsored Programs