

FLORIDA STATE UNIVERSITY

POLICY 7A-19

PROPOSAL SUBMISSION POLICY

Responsible Executive: Vice President for Research

Effective Date: ~~August 24, 2012~~ Upon Adoption (TBT)

Revision History: New, August 24, 2012, Amended: August 24, 2012, _____, 2021

I. Introduction

This document establishes a policy to ensure timely review and processing by SRA/FSURF of proposals submitted to external sponsoring agencies.

II. Policy

Due to the high volume of last-minute proposal submissions to Sponsored Research Administration (SRA) and the FSU Research Foundation (FSURF), ~~it has become necessary for the Office of Research to adopt~~ has adopted a new proposal submission deadline policy to ensure timely review and processing by SRA/FSURF. While it is highly recommended that proposals be submitted to SRA and FSURF for review several weeks before the agency deadline, “completed proposals” (see definition below) ~~will now be~~ are required to be submitted to SRA/FSURF via RAMP-Grants (i.e., the Grants module of FSU’s Research Administration Management Portal) by 9 a.m. **three working days** prior to the day of the agency’s deadline (see chart below). This provides the proposal administrator in SRA/FSURF with adequate time to ensure that the proposal follows agency guidelines, the budget is accurate, any incorporated contractual language is acceptable, time exists for necessary revisions, and all internal approvals (e.g., Chair and Dean approvals) have been obtained, etc. ~~We cannot guarantee that proposals. Proposals~~ submitted after the internal deadline ~~will be approved for~~ risk non-submission to the funding agency.

Definition of “completed proposal”: In order for the proposal to meet the 3-day ~~rule~~ working day policy, the following “completed proposal” must be ~~submitted to SRA or FSURF~~ entered into RAMP-Grants 3 working days before prior to the sponsor deadline; and all be in the Specialist Review state. All fields and internal documents except the final scope of work must be entered/uploaded into the ~~sponsor’s website or application (if electronic submission)~~ 3 days prior to the day of the sponsor deadline: respective SmartForm or RAMP-Grants workspace.

A “completed proposal transmittal form” is comprised of the following:

1. The Funding Proposal SmartForm in RAMP-Grants;
2. The Proposal Budget SmartForm in RAMP-Grants, with signatures or completed proposal in the OMNI system with all appropriate departmental, chair, and dean approvals; detailed budget the detailed budget justification uploaded as an Attachment to the budget SmartForm;
3. Scope of Work (accurate yet rough version of the technical portion of the proposal is acceptable at this stage), uploaded as an attachment in the Funding Proposal workspace;
4. Requests for internal approvals (e.g., request to overmatch, cost sharing commitment form subcontracting out more than 75% of the award) with appropriate departmental, chair, and dean approvals, documented as Ancillary Reviews in RAMP-Grants;
5. Subrecipient or Contractor Determination Form for entities to whom you wish to issue a subaward;
6. Commitment letters from entities to whom you wish to subcontract issue an outgoing subaward;
7. Sponsor’s RFP (a.k.a. solicitation, program announcement, guidelines);
8. Other application documents required by the sponsor (as applicable); AND
9. Proof of completion of Department of Health & Human Services financial conflict of interest requirements (i.e., training, disclosure of significant financial interests), if applicable. If subcontractors, consultants, or collaborators are designated as investigators by the PI, proof of their completion of FCOI training and disclosure is also required.¹

Please also note: Effective October 15, 2020, all proposals supported by Grants.gov are required to be submitted System-to-System via RAMP-Grants. In cases where the proposal is not fully supported for System-to-System proposal submission via RAMP-Grants, the proposal may be submitted through the sponsor website.

¹Note: Department of Health & Human Services (DHHS) defines investigator as the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research, including collaborators or consultants. For DHHS direct-funded proposals and flow-through proposals, federal law prohibits the submission of proposals for which all of the investigators, as designated by the PI and meeting the DHHS definition of investigator, (including investigators on proposed subcontracts or agreements with collaborators, consultants, etc.) on the project have not completed financial conflict of interest training and disclosed significant financial interests

SRA/FSURF Internal Deadline Chart

Sponsor Deadline	<u>SRA/FSURF Internal Deadline for 3-day working day rule</u>
Monday	the previous Wednesday at 9 A.M.
Tuesday	the previous Thursday at 9 A.M.
Wednesday	the previous Friday at 9 A.M.
Thursday	Monday of the same week at 9 A.M.
Friday	Tuesday of the same week at 9 A.M.
Saturday	Because Saturday is not a business day, it does not count towards the 3-day <u>working day rule</u> . You should treat Friday as the deadline, so the internal proposal deadline is Tuesday of the same week at 9 A.M.
Sunday	Because Sunday is not a business day, it does not count towards the 3-day <u>working day rule</u> . You should treat Friday as the deadline, so the internal proposal deadline is Tuesday.

(Please note: The ~~construct of the~~ 3-day rule working day deadline is necessary so that ~~electronic submissions proposals~~ can be processed/submitted early enough on the actual day of the sponsor deadline; otherwise, proposals/submissions ~~are~~ may be jeopardized due to slow or frozen websites. In turn, the 3-day working day period runs from 9A.M. three days prior to the day of the sponsor deadline to 9 A.M. on the day of the sponsor deadline).

This policy applies to all proposals to all agencies including situations where we are not the lead institution but are receiving a subaward/subcontract from ~~another lead institution¹~~—a pass-through entity (a.k.a. lead institution).² Regardless of whether a proposal is to be submitted as a hard copy or through electronic submission, all proposals must be ~~submitted to SRA~~ entered into RAMP-Grants for ~~review prior to workflow approvals and~~ submission to the agency. Proposals submitted without SRA/FSURF approval may be withdrawn. Proposals submitted without SRA/FSURF approval that receive funding will not be accepted by the ~~university~~ University or the ~~research foundation~~ Research Foundation unless an exception to this policy is

²In cases where another institution is the lead applicant, FSU's deadline is the deadline dictated to FSU by the pass-through entity and not necessarily the pass-through entity's deadline to its sponsor.

approved by the Vice President for Research/President of the Research Foundation with an ~~adequate~~ explanation by the PI as to why the proposal was not submitted through SRA or FSURF. ~~Proposals~~ All proposals require the electronic approval or signature of an authorized representative or official. The Vice President for Research/President of the Research Foundation or one of ~~his/her~~ their delegates are the ONLY ~~only~~ individuals authorized to sign agency forms, representations, certifications and other ~~grant or contract~~ documents requiring the signature of an authorized representative, official or signatory. All official signatures ~~must be obtained from SRA/FSURF~~. Likewise, no proposal will be approved by SRA or FSURF without all required ~~Chair and Dean approvals~~. are obtained from SRA/FSURF. Likewise, no proposal will be approved without all required Chair and Dean approvals. ~~Note: Department of Health & Human Services (DHHS) defines investigator as the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research, including collaborators or consultants. For DHHS direct funded proposals and flow-through proposals, federal law prohibits the submission of proposals for which all of the investigators, as designated by the PI and meeting the DHHS definition of investigator, (including investigators on proposed subcontracts or agreements with collaborators, consultants, etc.) on the project have not completed financial conflict of interest training and disclosed significant financial interests.~~

In order to provide PIs with additional time to work on complete the technical portion/scope of their proposal until work, the last minute. To accommodate this request, PIs may submit a fairly accurate yet rough version of the technical portion of the proposal to meet the three working day rule. In turn, a final version of the technical portion of the proposal will not can be due until the day the proposal needs to be submitted completed on the sponsor deadline, provided that it includes no substantial changes to the scope of work are made after the rough version of the technical portion of the proposal is submitted to SRA/FSURF. FSURF or SRA as appropriate must have a file copy of the complete final proposal as submitted to the sponsor.. The rest remainder of the proposal (i.e., detailed budget, budget justification, abstract, proposal transmittal form, agency forms), however, must be submitted to SRA everything except the final technical portion), must be entered into RAMP-Grants three working days prior to the day of the agency deadline. We encourage PIs to send proposal items piecemeal well before the three-working day sponsor deadline. For example, if you have a detailed budget and budget justification (a.k.a. budget narrative) two

The Office of Research encourages principal investigators to complete the proposal in RAMP-Grants in its entirety in advance of the three-day deadline but don't have everything else, please go ahead and send it to SRA/FSURF for review. That will help prevent last minute revisions at a later date. Please note, however, that the PI or someone authorized by the PI needs to be available. The principal investigator should maintain contact after submitting the proposal (whether piecemeal or all at once) in order to to SRA/FSURF via RAMP-Grants to promptly make corrections, provide more information, etc and otherwise facilitate SRA/FSURF's review of the proposal.

When submitting proposals that require electronic submissions through an agency's web-based system, principal investigators should be aware that some agencies' systems are commonly unstable and become overloaded or frozen due to heavy access as a deadline approaches. It is strongly recommended that an additional working day be ~~allowed~~ included for processing ~~of electronic proposals~~ in order to ensure that sufficient time exists to resolve any technical issues that occur. Likewise, ~~it is recommended~~ The Office of Research strongly recommends that complex proposals (i.e., those with contract documents/terms & conditions incorporated, ~~those with multiple consortium or subcontract arrangements, those with cost sharing from third parties, those with share, and complicated budgets~~) be submitted a day or two before the ~~three-working-day~~ deadline to ~~offset~~ provide the extra time needed for approvals and review. ~~If submitting a proposal electronically, please check with SRA to confirm the proper FSU contact information to be entered into the sponsor's website. Agency specific E-mail accounts have been set up for many of the sponsors to ensure that sponsor communications reach SRA or FSURF.~~

In the event of the ~~university closing~~ (University's unforeseen closure due to inclement weather or another emergency, SRA and FSURF will be closed. In this situation, ~~faculty or grant administrators~~ principal investigators with a ~~grant deadline~~ deadlines during that ~~period of time who have not received approval from SRA for their proposal~~ the closure should contact the funding agency for an extension to the deadline date. For other ~~university holidays or closings~~, PIs planned University closures, principal investigators should treat the last open day ~~before the closing or holiday~~ as the submission deadline. ~~In other words,~~ with proposals shall be submitted to SRA/FSURF three working days before the last working day before the holiday or closing open day.

~~After all official reviews are complete~~ For proposals submitted as hard copies, after SRA/FSURF approves the proposal for submission, it is the PI's responsibility of to submit the principal investigator to assure that a proposal is transmitted to the sponsor in time to meet ~~any established deadlines with the exception of electronic submissions where SRA/FSURF actually push the submit button.~~ deadline.

~~For the vast majority of PIs who submit their proposals for review early, there should be little change in procedure. We appreciate your cooperation and understanding that our proposal submission policies are necessary to give each and every proposal a proper review. In turn, our proposals will have a better chance of funding. If you have any questions~~ Questions about this policy ~~or other sponsored research policies, please contact~~ should be directed to SRA/ FSURF during their regular business hours of from 8:00 a.m. – 5:00 p.m. Monday – Friday.

~~¹In cases where another institution is the lead applicant, FSU's deadline is the deadline dictated to FSU by the lead institution (often a day or two prior to their actual deadline) and not necessarily the lead institution's deadline to their sponsor.~~

II. Legal Support, Justification, and Review of this Policy

Section 1004.22, F.S., BOG 1.001(3)(m)

These policies will be reviewed when changes are necessary by the Vice President for Research

Approved

Vice President for Research

Date