RA-19-1002
ASU College of Health Solutions
Proposal Submission Policy

Introduction

PURPOSE
Due to significant increases in proposal volume and in anticipation of continued growth in sponsored project activity, this policy is established to ensure the quality of proposals that are submitted for external funding. This policy will require faculty researchers and research advancement staff to work well ahead of sponsor-imposed deadlines. By doing so, the goal of on-time and error-free proposal submissions becomes more realistic and manageable. It will also ensure that proposals that are compliant with the policy are given priority for comprehensive reviews by the research advancement team and the Office of Research and Sponsored Projects Administration.

SCOPE OF APPLICABILITY
This policy applies to all proposals to be submitted for extramural funding.

If applying to a limited submission, please adhere to ASU policy RSP 301. The 30-60 day window will apply if the PI is granted approval to submit before the established timeline in this policy. Otherwise, the window begins upon notification.

Proposals seeking intramural funding are typically submitted by the PI, they will receive budget assistance on a first come, first serve basis.

Policy

POLICY STATEMENT

This policy is in place to ensure that all proposals for sponsored funding are successfully submitted to the sponsor agency, and that they receive full institutional review on all levels prior to submission.

Proposals fulfilling the following timeline will be given priority status for reviews and submission. The following documents must be provided:
At least 30-60 days prior to the sponsor's deadline, the PI should complete the intake form with the required proposal information to be added to the Research Advancement queue and also get on the official ORSPA submission schedule. More notice is always welcome

- This allows sufficient time for review of the Funding Opportunity Announcement (FOA), coordination with collaborating institutions, and gathering of necessary proposal documents (biosketches, budget components, current and pending etc…)

Requests submitted 30 days or less prior to the sponsor deadline may not be processed due to priority given to proposals already in the submission queue. This is most likely to occur when we are approaching one of the three NIH submission cycles. Additional time should be allotted if security risks or subawards are aspects of the application.

At least seven (7) business days prior to sponsor due date, the PI MUST submits ALL final proposal documents (budget, budget justification & all remaining required documents) to the assigned research administrator.

- Note: At this point, the proposal will be routed for official approval. If the budget is changed after this point, it will require rerouting for approval. If this occurs, an on-time submission can be jeopardized.

In the case of extenuating circumstances, a PI may apply to the Dean’s Research Office for a waiver to adjust submission deadlines. The ADR will determine if a waiver should be granted. A waiver will be denied if there is a high volume of proposals in Research Advancements' queue. A healthy environment for high quality on-time proposal submissions will be prioritized at all times.

If Pre-Award has not had the opportunity to review a complete proposal and it has not been initiated within the 7-day window, the PI will understand that Pre-Award staff cannot ensure that the proposal will be submitted on time and/or received by the funding agency without errors. This is particularly likely at “high volume” dates, such as regular submission dates for NIH (October, February and June)

In fairness to those investigators who comply with the proposal submission policy, proposals received outside the submission window (if a waiver is granted) will be processed on a first come, first serve basis, after on-time submissions have been reviewed and submitted.
Related Requirements

EXTERNAL POLICIES & REGULATIONS (if applicable)

PART 200—Uniform Administrative Requirements, Cost Principles, and audit requirements for federal awards
Subpart C—Pre-Federal Award Requirements and Contents of Federal Awards
§200.206 Standard application requirements.

https://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.3&rgn=div6

UNIVERSITY STANDARDS AND PROCEDURES (if applicable)

RSP 301: Limited Submission of Proposals
https://www.asu.edu/aad/manuals/rsp/rsp301.html

RSP 302: Proposal Processing and Submission
https://www.asu.edu/aad/manuals/rsp/rsp302.html

RSP 303: Proposal Budget Preparation
https://www.asu.edu/aad/manuals/rsp/rsp303.html

OTHER INSTITUTIONAL REFERENCES – BEST PRACTICES

George Washington University:
https://sponsoredprojects.gwu.edu/five-day-submission-deadline

Stanford University:

Contact Information

POLICY CONTACT(S)

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Important Dates

- Effective Date and title of Approver: January 1, 2019 by Deborah Helitzer, ScD, Dean
- Revision Effective Date: September 1, 2019
- Revision and Review Dates, Change notes, title of Reviewer or Approver:

Disclaimers

If this policy conflicts with ASU policies, sponsor policies or federal regulations, the more stringent requirements will take precedence.

Approved by:

[Signature]

Deborah Helitzer, ScD
Dean and Professor, College of Health Solutions

11/12/2019