

Policies

Policy Title

Research, Scholarly and Creative Activities and Discovery Lead Time Policy for the Review, Processing and Submission of Proposals

Policy

I. Applicability

With the goal of facilitating a timely and thorough review and approval process, this policy applies to all:

- proposals
- subaward proposals
- non-competing continuations
- pre-proposals or letters of intent presenting budgetary or cost information, including fixed-price or fully-burdened quotes

specific personnel or facility commitments to a sponsor, both electronic and paper-based applications are included.

II. Definitions

Internal Due Date: The internal proposal deadline date determined by K-State in accordance with the policy outlined herein to provide units within the institution sufficient lead time for review of documentation prior to the Sponsor Due Date.

Sponsor Due Date: The deadline (date and time) after which the sponsor will no longer accept proposals or corrections to recently submitted proposals for the targeted competition. This also includes due dates set by a pass through entity. For example, if the prime sponsor's due date is October 1, but the proposed funding is coming through another university and that university sets a due date of September 1, the September 1 date serves as the official Sponsor Due Date for K-State and is the date utilized to determine the Internal Due Date.

At-Risk Proposals: Proposals and/or proposal components routed through for university review and approval after the Internal Due Date, as more fully described in 3. below.

5-day Submissions - Proposal submissions where the normal development services provided by PreAward Services are assumed by departmental/college proposal support services and the proposal does not include an unresolved complicating feature more fully described in 2.a. below.

10-day Submissions - Proposal submissions where PreAward Services IS providing all of the proposal preparation support or the proposal includes one of the complicating features more fully described in 2.a. below that has not already been resolved.

III. Policy Summary

1. 5-Day Submissions

Internal Due Date: Five (5) Business Days in Advance of Sponsor Due Date

- a. When proposal development support is provided to principal investigators by departmental or college proposal support personnel, investigators must adhere to a 5 day advance Internal Due Date for the following documents to allow PreAward Services staff time to complete their internal review and collect necessary approvals:
 - i. Final budget and budget justification in sponsor form, including those for any subawardees certified by subawardee research office
 - ii. Draft K-State current and pending support
 - iii. Draft project summary, abstract, or scope of work
 - iv. Biosketches
 - v. Conflict of Interest forms, if applicable
- b. In order to support investigators in creating the most competitive proposal package for submission, when documents identified in 1.a. above are received by the Internal Due Date, PreAward Services will provide initial feedback regarding the documents submitted to PreAward Services no later than three business days after their receipt.
- c. All remaining final technical-based documents outside of those identified in 1.a. above, such as the final project description, project summary/abstract, references, etc., are due no later than 24 hours prior to the Sponsor Due Date. This later Internal Due Date for technical documents will allow investigators to continue to draft their project description and other technical sections of the proposal.

2. 10-day Submissions

Internal Due Date: Ten (10) Business Days in Advance of Sponsor Due Date

- a. When PreAward Services is providing all of the proposal development assistance or proposal submissions include complicating issues not previously resolved, investigators must adhere to a 10 day advance Internal Due Date. Complicating issues include but are not limited to research compliance committee concerns, intellectual property or other such prior contractual review or negotiation requirements, assisting with developing, obtaining and reviewing subawardee proposal documentation, securing commitments for additional space, interpretations requiring general counsel review, multi-entity collaborative submissions, budget development support, foreign sponsor guideline interpretation and review, obtaining and verifying commitment of internal and/or third party matching funds and new sponsor submission portals requiring a prior registration process.
- b. In order to support investigators in creating the most competitive proposal package for submission, when documents identified in 1.a. above are received by the Internal Due Date, PreAward Services will provide an initial status update regarding the documents submitted to PreAward Services no later than three business days after their receipt.
- c. The PreAward Services staff member assigned to your unit will determine additional internal deadlines for documents and other information to keep the process on task to ensure an efficient and timely submission, including deadline requirements for subawardees to submit their documents.

- d. All remaining final technical-based documents outside those identified in 1.a. above, such as the final project description, project summary/abstract, references, etc., are due no later than 24 hours prior to the Sponsor Due Date. This later Internal Due Date for the technical documents will allow investigators to continue to draft their project description and other technical sections of the proposal.
3. **At-Risk Proposals**
- Proposals received after the Internal Due Dates identified above are considered “At-Risk Proposals.” These submissions cause inequities in proposal review and processing and jeopardize both the submission of the At-Risk Proposal and the submission of timely received proposals.
- a. In order to not be considered an At-Risk Proposal, PreAward Services must receive the documents outlined in 1.a by the Internal Due Dates outlined in 1. and 2. above (5 days or 10 days prior to the Sponsor Due Date, as applicable, except for the technical documents which can be received 24 hours prior to the Sponsor Due Date).
 - b. At-Risk Proposals will not be given priority status over proposals received on time. At-Risk Proposals will not receive the benefit of feedback within three business days of receipt as described in 1.b. and 2.b. above.
 - c. Every effort will be made by PreAward Services to submit all proposals, even those designated as At-Risk Proposals. In many instances at least a partial review of the proposal, particularly the documents identified in 1.a. above, can be completed by PreAward Services in an effort to accommodate a reduced review period. However, submission of At-Risk Proposals cannot be guaranteed if such would jeopardize the timely review and submission of non-At-Risk Proposals.
 - d. Following any post-submission review of an At-Risk Proposal submission, if a proposal is found to be in non-compliance with regulations or institutional policy, the university necessarily reserves the right to withdraw the proposal from consideration.

Receipt of proposal documents is determined by full execution of the electronic Internal Processing Form (IPF) within the Cayuse eRA System (all eSign signatures). Proposal submission requests not adhering to the Internal Due Dates identified above are not guaranteed submission.

Individual colleges, schools, departments or units may impose additional deadlines in advance of the Internal Due Dates dictated by this policy.

Any proposal, where documents identified in 1.a. above are received after the Internal Due Dates, will receive a much diminished review; thus, there is no guarantee that the proposal will be complete when submitted. The goal of PreAward Services will be to get the proposal submitted, with an understanding the proposal may be withdrawn if a post submission review finds that the submission was incomplete. If it is determined by PreAward Services that insufficient lead time has been provided for even the most basic compliance and regulatory review, the proposal will not be submitted. Every effort will be made to notify the departmental/college support personnel or the investigator of this situation **prior** to the Sponsor Due Date.

IV. Unauthorized Proposal Submission

Proposals, including pre-proposals, letters of intent and concept papers that propose the commitment of personnel and facilities or other such financial consideration, including fixed-price and fully-burdened price quotes, cannot be submitted directly to the sponsor without the prior review of PreAward Services and authorization of K-State's Authorized Organizational Representative (currently the Associate Vice President for Research).

Please see the PreAward Services Policies and Procedures Manual (PPM) Chapter for the full policy text.