

## **PROCEDURE: SUBMISSION OF PROPOSALS FOR EXTRAMURAL SUPPORT**

### **1. PURPOSE**

The ORSP functions as the steward of WVSOM's sponsored project portfolio and is responsible for ensuring that all proposals and projects are in compliance with Institutional, Local, State, Federal, and Sponsor regulations, policies and procedures. Additionally, the ORSP is responsible for checking that all institutional commitments described in extramural proposals and projects are able to be met prior to submission, or facilitating revisions to indicated commitments. Finally, the ORSP is responsible for collecting and reporting, for accreditation and contract negotiations, data related to all organized projects. This procedure establishes the requirements for the timely submission and Institutional review of extramural proposals related to research, training, service, and education.

### **2. APPLICABILITY**

- 2.1. All proposals requesting extramural support through WVSOM or the MSOPTI that may result in the award of a grant, contract, cooperative agreement or other externally sponsored award must be reviewed and approved by the Office of Research and Sponsored Programs (ORSP) prior to being forwarded to an external sponsor or agency for funding consideration.
- 2.2. This procedure applies to requests for extramural applications/requests that are new, continuing, renewal, extensions or changes. Thus, both pre-award and post-award application
- 2.3. All investigators, departments, or offices must follow this procedure regardless of the extramural funding source.
- 2.4. This procedure applies whether WVSOM is submitting directly, is a subcontractor or a collaborator under another Institution's/entity's submission.
- 2.5. This procedure does not apply to gifts or donations.
- 2.6. This procedure does not apply to sponsored programs/awards submitted through the WVSOM Foundation.

### **3. DEFINITIONS**

- 3.1. *Administrative documents* – Sponsor Request for Funding Announcement (RFA), Budgets and budget narratives/justification, and other required proposal documentation, excluding the proposal narrative, which require input/commitments from both the PI and the ORSP, Office of Business Affairs (OBA), and other Departments at WVSOM.
- 3.2. *Business day* – an official working day of the week, on which the Institution is open. These include Monday through Friday, but do not include Holidays, weekends, or other days when the University is closed.
- 3.3. *Gifts/donations* – funds or tangible property, exclusive of personnel costs, that is provided to the institution or individual project director without any commitments or terms and conditions.
- 3.4. *ORSP office hours* – Monday through Friday, 8:00 a.m. to 4:30 p.m., except for days the Institution is officially closed. Proposals cannot be submitted by ORSP electronically nor signatures acquired on paper copies outside of ORSP office hours or on days the Institution is officially closed.
- 3.5. *Principal Investigator (PI)* – The Principal Investigator (PI) is the primary individual in charge of an award, grant, contract, cooperative agreement, or other externally sponsored activity. The term project director is commonly used in relation to education and public service projects,

while the term principal investigator is commonly used for research projects. Since the terms are generally used interchangeably by the ORSP and sponsors, the term PI is used. In the cases where multiple investigators are included in applications for external funding, the Institution (and Federal agencies) requires that one individual be designated as the principal investigator, who is designated as ultimately responsible for the conduct of the project. If co-investigators are named on an application without identifying an individual as the PI, the person listed first will be considered the PI by the institution and the Federal Sponsor.

- 3.6. *Proposal* – all documents required by the sponsor for the external funding request. This includes both the technical and administrative documents (minus the RFA), including the budget. Submissions to the ORSP must include the final, complete version of the proposal for review.
- 3.7. *Proposal narrative* – the technical description, scope-of-work, methodology, project summaries, facilities and equipment descriptions, CVs/Biosketches, letters of support, or other documents required by the sponsor, which are prepared by the PI.
- 3.8. *Sponsor* – the third party entity from whom financial or tangible supports is requested. The sponsor may be private or public, including, Federal, State, or Local agencies.
- 3.9. *Sponsored award* – any funding from a sponsor that includes personnel costs, requires detailed financial information, includes penalization for non-performance, commits the Institution to anything (e.g. specific line of work, deliverables, milestones, etc.), and/or includes terms and conditions.

#### **4. SUBMISSION TIMELINES-NEW, CONTINUING, RENEWAL**

- 4.1. ORSP prefers to receive the complete proposal from the PI at least 2 weeks in advance of the Sponsor submission deadline to permit for appropriate review and revisions. If this is not possible, the following timelines are the minimum necessary to ensure compliance.
- 4.2. Administrative documents
  - 4.2.1. Timely proposal submissions are critical to assure ORSP has adequate time to review, approve, revise, and process proposals. The Sponsor's RFA/RFP, complete administrative documents and the ORSP5 form should be provided to the ORSP in an electronic format by the PI at least 5 full business days before a Sponsor's submission deadline.
  - 4.2.2. The ORSP will work with the PI, OBA and the various departments to review and revise the administrative documents and secure all required Institutional signatures at least 2 days prior to the submission deadline.
  - 4.2.3. The final, PI and Institutional approved, administrative documents will be provided to the PI for proposals that require the funding proposal to be a single document.
  - 4.2.4. All approvals from the appropriate administrators must be in place prior to the sponsored project being submitted.
- 4.3. Proposal Narrative
  - 4.3.1. Complete proposal narratives should be provided to the ORSP in an electronic format by the PI at least 2 business days prior to a Sponsor's submission deadline.
  - 4.3.2. The proposal narrative will be reviewed by the ORSP to ensure compliance with the terms of the approved administrative documents.
  - 4.3.3. The final, approved proposal narrative will be provided to the PI by at least 1 day prior to the proposal submission deadline.

#### 4.4. Proposal

- 4.4.1. The complete proposal will be uploaded by the PI or designee to the electronic submission system by 9:00am the day of the proposal submission deadline.
- 4.4.2. The PI, or designee, will notify the ORSP by email within 1 hour of uploading that the completed proposal has been uploaded to the electronic submission system and is ready for submission by the Institution.
- 4.4.3. If these timelines are followed, the ORSP or designee will submit the proposal by the sponsor deadline. The ORSP or designee is responsible for final protocol submission. Unless agreed to in writing, or required by the sponsor, the PI shall not submit the final, formal funding request.

### 5. ORSP RESPONSIBILITIES

- 5.1. Reviewing administrative documents for:
  - 5.1.1. consistency with Institutional, local, State, and Federal policy and procedure
  - 5.1.2. compliance with sponsor requirements
  - 5.1.3. budget and budget justification accuracy
- 5.2. Reviewing the proposal narrative (and administrative documents) for Institutional or PI ability to commit to cost share, match, time and effort, or other binding statements
- 5.3. Providing any assurances, representations or certifications
- 5.4. Providing a review of other required forms (though not the proposal narrative)
- 5.5. Providing the PI with an approval letter and the approved version of the various documents related to the proposal.
- 5.6. Submitting the final proposal, change, or extension request unless otherwise specified by the Sponsor or ORSP
- 5.7. Scheduling grant review meetings based on NoA reports and dates, including a grant close out meeting 1 month in advance of the end date.

### 6. PI RESPONSIBILITIES

- 6.1. Providing the ORSP with the RFA or other Sponsor request for proposals via email ([orsp@osteo.wvsom.edu](mailto:orsp@osteo.wvsom.edu))
- 6.2. Ensure the proposal is in compliance with all sponsor-established formatting
- 6.3. Ensure all documents, forms, or other required sections are completed
- 6.4. Developing and finalizing the proposal narrative and other technical documents requiring subject matter expertise
- 6.5. Assure proper documentation for 3<sup>rd</sup> party commitments for match, cost-sharing, sub recipients or consultants
- 6.6. Ensure availability for communication with the ORSP during the 5 business day period leading up to the sponsor submission deadline. If the PI anticipates being, or becomes, unavailable, they must provide accurate contact information for a designee to the ORSP in an email ([orsp@osteo.wvsom.edu](mailto:orsp@osteo.wvsom.edu)).

### 7. SUBMISSION TIMELINES-POST-AWARD EXTENSIONS

- 7.1. Extensions should be requested prior to the closing date of the award. Not all RFPs/RFAs permit for extensions. Thus, extensions must be initiated by the PI at a minimum of 1 month prior to the end date of the awarded grant.
- 7.2. The PI will inform the ORSP either in the grant closeout meeting or by email of the intent to request an extension.
- 7.3. The ORSP will schedule a meeting with the PI and the OBA Post-award financial administrator within 3 business days of notification of intent to extend to discuss the reason why the extension is being requested. The ORSP will review the Notice of Award to determine the criteria for extensions prior to this meeting.
- 7.4. In the extension meeting, the PI, ORSP, and OBA will mutually agree as to the next steps and responsibilities.

## **8. SUBMISSION TIMELINES-POST-AWARD CHANGES**

- 8.1. Change requests should be requested as soon as the scope of work changes are anticipated and at least prior to the closing date of the award. Not all RFPs/RFAs permit for changes. Thus, change request must be initiated by the PI at a minimum of 1 month prior to the end date of the awarded grant. Additionally, most sponsor's Notice of Award (NoA) terms indicate changes must be implemented after the change request is approved by the sponsor.
- 8.2. The PI will inform the ORSP either in the grant review meetings or by email of the intent to request a change.
- 8.3. The ORSP will schedule a meeting with the PI and the OBA Post-award financial administrator within 3 business days of notification of intent to change to discuss the reasons why. The ORSP will review the NoA to determine the criteria for changes prior to this meeting.
- 8.4. In the extension meeting, the PI, ORSP, and OBA will mutually agree as to the next steps and responsibilities.

## **9. PRIORITIZATION OF PROPOSALS**

- 9.1. In some cases, multiple PIs may submit proposals in response to the same solicitation or multiple submissions with the same due dates may be received by the ORSP. In these cases, the ORSP will follow a first come, first served process for document review.
- 9.2. In the rare circumstance that multiple proposals are submitted for the same deadline, if the ORSP does not have the person power to undertake review of all the submissions by the described deadlines, the PIs whose proposals may not be prioritized will be notified as soon as possible.

## **10. PROPOSALS NOT SUBMITTED BY THE REQUIRED DEADLINES**

- 10.1. Any proposal submitted by the PI outside of the required deadlines will be processed as time permits.
- 10.2. In these cases, ORSP makes no commitment that the proposal will be submitted by the sponsor deadline, as insufficient time may be available to correct errors, analyze budgets, ensure compliance, etc.

- 10.3. In some cases, sponsor's solicit for late proposals. In these cases, ORSP cannot assure the quality of content or responsiveness to and compliance with a sponsor's solicitation. The ORSP will review solicitations for a late proposal **only** if time and ORSP workload allow.

## **11. UNAUTHORIZED SUBMISSIONS OR DISAGREEMENTS**

- 11.1. Proposals may not be submitted directly to any external sponsor without the prior authorization of the ORSP.
- 11.2. Any award granted as a result of an unauthorized proposal submission is subject to rejection.
- 11.3. In these cases, the PI must submit an explanation to the Vice President for Administration and External Affairs (VPAER) describing the nature of and reasons for the unauthorized submission.
  - 11.3.1. The VPAER must review and approve/disapprove the award.
- 11.4. In the event of any disagreement in terms of the administrative documents and commitments on behalf of the institution, the matter will be referred to the VPAER for a final decision.