

**MEMORANDUM**

Date: March 5, 2004

To: All Faculty

From: Charles O. Rutledge

Re: Deadlines for Submission of Proposals for External Funding

For some time, statistics generated by Sponsored Program Services have indicated an increasing number and dollar amount of research proposals, but without a proportional increase in awards. Several factors undoubtedly play a role in this disparity, and the process of creating an environment leading to a higher success rate for submitted proposals will take time. One variable, however, stands out as one that can be addressed at this time: the ongoing issue of last-minute submission of proposals for external funding. Below, for example, are data for proposals submitted to SPS in the month of November, 2003.

- 65% of all proposals were submitted *on the day before or the due date*.
- 39% of all proposals were submitted *on the due date*.
- 20% of all proposals were submitted *after noon on the due date*.
- 10% of all proposals were submitted *after 3:00 p.m. on the due date*.

This late submission precludes review for non-technical errors by the researcher, the business office, or SPS—review which at least one federal agency has told us would likely make a difference in Purdue's success rate. With this memo, I am announcing a new policy as a first step toward addressing this issue.

With the concurrence of the Provost, the Associate Deans for Research, and the Center Directors, we are establishing a set of processes and advance timelines which will facilitate the proposal preparation and review process with the goal of improving the overall quality of our proposals.

It is clear that the processing requirements and services provided vary as a function of the type of proposal. Therefore, we have outlined separate processes to address 1) non-competing renewal proposals, 2) large, interdisciplinary, or otherwise complex proposals, and 3) other proposals that do not fall into the first two categories. The deadlines for submission for each category are as follows:

- 1) Non-competing renewal proposals - These proposals must be received in SPS in final form no later than 10:00 a.m. on the submission date.
- 2) Large, interdisciplinary, or otherwise complex proposals - The Principal Investigator should contact the SPS Proposal Office via e-mail ([proposal@purdue.edu](mailto:proposal@purdue.edu)) or web form (<http://www.adpc.purdue.edu/SPS/html/request.html>) no fewer than 10 working days prior to the submission date. Investigators will actively work with staff from their business office, SPS and the VPR Office in the preparation of these proposals in the days leading up to the submission date. These proposals must be in final form and received in SPS by 10:00 a.m. the day of the submission date for final processing.
- 3) All other proposals, in their final form, must be submitted to the appropriate school or center business office no later than 5:00 p.m. of the fourth business day prior to the submission date, and to SPS no later than 5:00 p.m. of the third business day prior to the submission date.

The *submission date* is the day the proposal must leave Purdue to reach the agency by its receipt date. This is normally the *same* day as the agency receipt date for electronic applications, and the *business day before* the receipt date for paper applications.

With this additional time, staff in the academic business offices, Sponsored Program Services and Office of the Vice Provost for Research can provide the many services to assist the researcher in proposal preparation. These services, as well as definitions, and detailed processes are outlined in the attached implementing guidelines.

If you have any question about the date when proposals, in their complete form, are due to SPS, please refer to the calendar below:

<http://calendar.purdue.edu/cgi-bin/webevent.cgi?cmd=openical&cal=cal33>

In rare instances, when Requests for Proposals are issued or modified by a funding agency fewer than 30 days before the sponsor's deadline, SPS will modify the Purdue deadlines to accommodate those preparing proposals in response to these opportunities.

This new policy will go into effect July 1, 2004. During the period July 1, 2004 to June 30, 2005, an exception to these processes may be approved by the appropriate Associate Dean for Research or Center Director. Approved exceptions must be indicated on the transmittal checksheet, and expressed in writing by the Associate Dean for Research or Center Director to the Vice Provost for Research no later than one week after proposal submission, using the form available at [http://www.purdue.edu/research/vpr/proposal/grant\\_process.html](http://www.purdue.edu/research/vpr/proposal/grant_process.html). Exceptions are defined as accepting a proposal that did not meet the specified deadline or submitting modifications to the proposal after it has been received by SPS. Exceptions should be documented by 1) identification of the proposal and PI; 2) explanation of circumstances requiring the exception and 3) justification for making the exception. These exceptions will be collected, analyzed, and discussed with the aim of reducing exceptions in subsequent revisions of

this policy. Proposals not meeting the deadlines that do not include an approved exception will not be submitted.

During the interim prior to July 1, SPS will send a notice to all faculty who submit a proposal that does not conform to the new policy, reminding them of the new procedures which will be effective July 1, 2004. It is my hope that this additional notification will assist researchers in adjusting their planning for future proposal submissions.

If you have questions of an academic nature, please contact Christine King, Director of Research Development Services at [hcking@purdue.edu](mailto:hcking@purdue.edu) or 494-6706. Questions regarding business or SPS concerns should be addressed to Mike Ludwig, Associate Director, Sponsored Program Administration at [mrludwig@purdue.edu](mailto:mrludwig@purdue.edu) or 496-3089.

cc: Sally Mason  
Larry Pherson  
Mike Ludwig  
Deans, Department Heads, & Center Directors  
Business Managers

# Policy for Submission of Proposals for External Funding

## Implementing Guidelines

March 5, 2004

Consistent with the new policy for submission of proposals to external funding agencies dated March 5, 2004, these guidelines outline the processing requirements for proposals for I) federal non-competing renewals, II) large, multidisciplinary, or otherwise complex proposals, and III) all other proposals, taking into account the unique aspects of each. These guidelines also outline the services that can be provided through the academic business offices, Office of the Vice Provost for Research, and Sponsored Program Services for each type of proposal.

*As discussed in this document, submission date* is the day the proposal must leave Purdue to reach the agency by its receipt date. This is normally the *same* day as the agency receipt date for electronic applications, and the *business day before* the receipt date for paper applications.

*Final form* is defined as a proposal that is complete, accurate, contains all necessary sponsor and internal university forms and documentation and is ready to be submitted to the sponsoring agency, subject to SPS review and approval.

### I. Non-competing Renewals

Definition: A year of continued support for a federally funded sponsored grant based upon prior award commitments. The ongoing support is usually contingent upon the completion of a progress report as the condition for the release of dollars for the following years. The sponsor administratively reviews the progress report but it does not undergo a peer review.

Examples: Federal projects where multi-year budgets have been submitted, reviewed, and approved. Some of these projects require an annual proposal to activate the approved additional years funding. An example of this is a five-year NIH proposal is funded as an R01 project. NIH awards the first year funding and lists the recommended funding for Years 2-5 on the award document. In order to receive the funds for Years 2-5, the PI must submit an annual non-competing renewal proposal as requested by NIH.

Process: The first step is to contact the Department Business Office as soon as possible so they can perform the services listed below. The Department Business Office will confirm that the proposal is a non-competing renewal. On this type of proposal, a Dean's signature on the Transmittal Check Sheet is no longer required by SPS but is optional based upon each School's process.

All proposals meeting the definition provided above must be received by SPS in final form by 10:00 a.m. **on the submission date**. For proposals received after the 10:00 a.m. deadline, SPS

will make every effort to submit the proposal but will not guarantee submission prior to the sponsor deadline.

### Services:

For non-competing renewals the following basic services will be provided:

- Departmental Business Office – The departmental business office will:
  1. Prepare budget information and provide accurate costing of the project.
  2. Provide information to complete sponsor forms (EIN #, etc.)
  3. Provide final review to assure the proposal meets all sponsor requirements for format and all required elements are included within the proposal.
- Sponsored Program Services – No review will be completed. SPS, staff will:
  1. Obtain authorized institutional signatures
  2. Mail or electronically submit the proposal to the sponsor as instructed

## **II. Large or Complex Proposals for which Special Business Office, Office of the Vice Provost for Research and SPS Assistance is Requested/Needed**

Definition: Proposals that are not non-competing continuations of existing projects and where special assistance from both SPS, Business Manager, and Vice Provost for Research staff is requested/needed during the proposal development and preparation process.

Examples: Large multi-disciplinary proposals are defined as those that involve two or more departments/schools/universities, may require the President or Provost's endorsement, have large (>\$1M) institutional cost sharing requests, establish new centers, have multiple subcontracts, or have new, unique, or complex program guidelines or electronic submission requirements.

Process: For proposals for which additional assistance is desired, the Principal Investigator, or other individual responsible for initiation/coordination of the proposal, should complete the proposal assistance request form on the SPS website <http://www.adpc.purdue.edu/SPS/html/request.html> or send the following information to ([proposal@purdue.edu](mailto:proposal@purdue.edu)) no fewer than 10 working days prior to the submission date. The following information must be provided at this time:

- Principal Investigator name, phone number, e-mail address
- Sponsor
- Working title of the proposal
- Due date and type of submission (paper, electronic, etc.)
- Program guidelines (URL can be provided on the web form or attached to the e-mail)
- Estimated total budget
- Estimated total Purdue cost sharing (if applicable)
- Departments involved
- Partner institutions

The SPS proposal office will log a preliminary record in the Sponsored Program Tracking System database and contact the Departmental Business Office with the assigned proposal number. SPS, Business Office, and VPR staff will work collaboratively with faculty preparing these proposals during this time period to help ensure the highest possible proposal quality and resolution of any issues prior to submission. One person from SPS or Business Management will be designated as the primary contact for all business issues related to this proposal, and monitor progress as the deadline approaches. Generally, the Business Manager for the lead PI will assume this role. The School Business Manager of the lead PI and Director of SPS will ensure a primary business contact has been identified for all proposals in this category.

These proposals must be in final form and received in SPS by **10:00 a.m. on the submission date** for final processing.

#### Services:

For large, multidisciplinary, or other complex proposals for which special assistance is desired, the following services will be available. These services are in addition to the basic services listed in section I:

- Business Office- With early notification the Business Office can provide the following services:
  1. Communicate and coordinate with the Business Managers, Department Heads, and Deans in all areas involved to increase awareness of the proposal, facilitate cost sharing arrangements, etc.
  2. Participate in meetings with the lead PI, the SPS contact, and other appropriate individuals, as needed in order to facilitate the proposal process and resolve budgetary or contractual details.
  3. Assist with the formulation of a timeline in order to meet all necessary University and sponsor deadlines.
  4. Work directly with subcontractors to get the required budget, statement of work, and institutional signatures.
  5. Customize budgets by task, co-PI, etc. and create any needed summary spreadsheets.
  
- Office of the Vice Provost for Research can:
  1. Assist in the creation of multidisciplinary faculty proposal development team; arrange for proposal development meetings.
  2. Arrange for meetings of PIs with agency officials as appropriate.
  3. Assist with coordinating management plans, outreach, and/or education plans, partnership issues, or other proposal specific requirements.
  4. Work with departments, schools and central resources to facilitate necessary cost sharing packages.
  5. Provide non-technical read-throughs of the project narrative.

6. Ensure that regulatory issues needing resolution are accurately identified on the Transmittal Checkheet.
- Sponsored Program Services- With this advance notification, SPS can:
    1. Participate in meetings with the lead PI, the SPS contact, and other appropriate individuals, as needed in order to facilitate the proposal process.
    2. Assist with establishing a timeline for the proposal preparation and submission process.
    3. Clarify proposal preparation guidelines for PI, business office staff, and contact sponsors for clarification if necessary.
    4. Clarify and consult with business office staff and faculty on appropriate project cost elements (e.g. research vs. other applicable F&A rates).
    5. Resolve any compliance issues identified in the proposal preparation process.
    6. Facilitate obtaining an institutional level letter of support for the proposal when requested/required.
    7. Provide support/troubleshooting for electronic submission processes, including logins and access requirements.
    8. Help identify unusual intellectual property or compliance issues and direct to the right people for resolution.
    9. Ensure cost sharing commitments meet sponsor requirements (when applicable).
    10. Work in conjunction with the business office to obtain all necessary information for subcontracts included in proposals.

We cannot guarantee these services will be available if we are contacted fewer than 10 working days prior to the submission date. With notification fewer than 10 working days, the proposal would be subject to the deadlines outlined in section III of this document.

### **III. All Other Proposals Requiring Institutional Approval**

Definition: All proposals that are not non-competing continuations of existing projects and are not those where special assistance from SPS and/or VPR staff was requested/needed. This also includes pre-proposals that require an authorized institutional signature.

Examples: Single and multi-investigator proposals being submitted to Federal sponsors under a standard set of guidelines, industrial and foundation proposals.

Process: The Business Office should be contacted as early as possible in the proposal development process in order that the services described below can be provided.

All proposals meeting this definition must be submitted to the **School Business Office by 5:00 p.m. 4 business days prior to the submission date** for review. The proposals must be in final form and received in SPS by **5:00 p.m. 3 business days prior to the submission date**.

The following examples illustrate the application of these deadlines:

- Example 1: The National Science Foundation (NSF) deadline for submission of a proposal via FastLane is 5:00 p.m. on Thursday, June 10, 2004. The proposal must be submitted to the relevant business office no later than 5:00 p.m. on Friday, June 4, and to SPS no later than 5:00 p.m. on Monday, June 7.
- Example 2: The receipt date for a mailed application is Monday, June 14, 2004. The proposal must be submitted to the relevant business office no later than 5:00 p.m. on Monday, June 7, and to SPS no later than 5:00 p.m. on Tuesday, June 8 (to allow for overnight mailing on Friday, June 11).

If you have any question about the date when proposals, in their complete form, are due to SPS, please refer to the calendar below:

<http://calendar.purdue.edu/cgi-bin/webevent.cgi?cmd=openca&cal=cal33>

#### Services:

- Business Office – The Business Office should be contacted at least two weeks prior to the submission deadline (earlier if possible) in order to provide the following services:
  1. Review proposal guidelines for unique budget or submission requirements
  2. Budget preparation and accurate costing of the project
  3. Provide information to complete and assist with the preparation of sponsor forms (EIN#, etc.)
  4. Obtain cost sharing documentation (if applicable)
  5. Provide assistance with electronic submissions
  - 6.
- Sponsored Program Services – Once the proposal is received in SPS, staff will provide final review which includes the following services:
  1. Assure that the proposal meets all sponsor requirements and that all required elements are included within the proposal as described in the sponsor specific guidelines provided. (font size and margin width requirements are the responsibility of the preparer and should be reviewed by the business office).
  2. Assure that the proposal is properly costed and that all cost sharing commitments are documented.
  3. Review narratives to assure that no unintended cost sharing commitments are made.
  4. Review for any regulatory compliance requirements not already identified on the Transmittal Checksheet
  5. Review for applicability of any Export Control restrictions.
  6. Review for any potential conflict of interest management requirements
  7. Prepare a contract to be sent with proposals to industrial sponsors

#### **Requests for Exception**

An exception may be requested to the processes outlined above for any of the three categories of proposals. In cases where a special exception to these processes is requested, SPS will make every effort to submit the proposal prior to the sponsor deadline but will not guarantee the quality of the review or the submission of the proposal prior to the sponsor deadline.

During the period July 1, 2004 to June 30, 2005 an exception to these processes may be approved, for cause, by the appropriate Associate Dean for Research or Center Director. For nonacademic units, approval for exceptions should be signed by the equivalent to the associate dean for research. Approved exceptions must be indicated on the transmittal checksheet and expressed in writing by the Associate Dean for Research or Center Director to the Vice Provost for Research no later than one week after proposal submission, using the form available at [http://www.purdue.edu/research/vpr/proposal/grant\\_process.html](http://www.purdue.edu/research/vpr/proposal/grant_process.html). Exceptions are defined as accepting a proposal that did not meet the specified deadline or submitting modifications to the proposal after it has been received by SPS. Exceptions should be documented by:

1. Provision of proposal and PI identification,
2. Documentation of circumstances requiring the exception, and
3. Justification for making the exception.

These exceptions will be collected, analyzed, and discussed with the aim of reducing exceptions in subsequent revisions of this policy.

During the interim prior to July 1, SPS will send a notice to all faculty who submit a proposal that does not conform to the new policy, reminding them of the new procedures which will be effective July 1, 2004.