Policy:

The University of Kansas Medical Center Research Institute requires that all proposals; pre-proposals and letters of intent that include a budget or require institutional approval; and subcontracts, hereinafter referred to collectively as proposals, submitted to federal, state, local and private for-profit and non-profit funding agencies requesting funds and/or committing University resources (e.g., personnel, space, funds, equipment and facility use, etc.) be reviewed by the Sponsored Programs Administration Pre Award Office and approved by the Associate Vice Chancellor for Research Administration, or his designee, prior to submission.

Purpose:

The University of Kansas Medical Center Research Institute (KUMCRI) is committed to assuring timely submission of complete, accurate and excellent proposals. In order to achieve this, it is critical that Sponsored Programs Administration (SPA) Pre Award Office receive proposals in sufficient advance of the submission deadline to provide adequate review of the proposals

As a result of the high volume of last minute proposal submissions to SPA, it is necessary to adopt a proposal submission deadline policy. Often, a large number of proposals are submitted to the SPA office at once, and it is critical that SPA staff have time to work through the many issues that arise before submitting a proposal by the sponsor’s deadline. The proposal submission deadline provides SPA staff with adequate time to review, approve, revise, and process grant proposals. During the proposal preparation and review process SPA staff will:

- provide guidance as needed to Principal Investigators (PI) and others in the preparation of budgets and other sponsor required forms;
- check the final proposal for completeness and conformance with all sponsor requirements;
- check the final proposal for conformance with University of Kansas Medical Center (KUMC) and KUMCRI guidelines;
- review the proposed budget for cost allowability, reasonableness, correct indirect cost rates, and the appropriateness of any cost sharing or contributed effort. Budgets prepared for federally-funded projects are subject to the cost allowability guidelines as detailed in Office of Management and Budget Uniform Guidance (federal circular establishing principles for determining costs applicable to grants, contracts, and other agreements with educational institutions);
- receive and accept signed Letter of Intent agreeing to a subcontract commitment with KUMCRI (letter, budget, budget justification, etc.);
- coordinate the review of non-routine direct cost and indirect cost exceptions; and
- check the KUMCRI Proposal Routing Sheet to ensure necessary departmental approvals, and completion of all regulatory compliance requirements

KUMCRI reserves the right to withdraw any proposal submitted without Institutional approval. KUMCRI reserves the right to refuse any award resulting from a proposal submitted without Institutional approval.

Summary of Policy:

Points of Entry to KUMCRI: Note: Business Days do not include weekends and holidays

<table>
<thead>
<tr>
<th>TEN (10) BUSINESS DAYS</th>
<th>OR</th>
<th>FIVE (5) BUSINESS DAYS</th>
<th>TWO (2) BUSINESS DAYS</th>
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<tbody>
<tr>
<td>in advance of submission deadline</td>
<td>in advance of submission deadline</td>
<td>in advance of submission deadline</td>
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<tr>
<td>Completed and signed KUMCRI Proposal Routing Sheet (FINAL)</td>
<td>KUMCRI Proposal Routing Sheet</td>
<td>Will NOT be submitted, or</td>
<td></td>
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<tr>
<td>Budget w/ budget justification (FINAL)</td>
<td>FINAL, “Ready-to-Submit” proposal (a full and complete proposal in FINAL format)</td>
<td>Submit to SPA with Late Proposal Submission Exemption Form, signed by Assoc Vice Chancellor for Research Administration.</td>
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<td>Biographical Sketches (FINAL)</td>
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<td>Letters of Support (FINAL)</td>
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<td>Research Plan or Technical Section (FINAL or DRAFT)</td>
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<tr>
<td>Cost Share Memos, if applicable (FINAL)</td>
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<td>Consortium Agreement, if applicable (FINAL)</td>
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</table>

First time users of the electronic submission process should contact SPA thirty (30) days prior to the sponsor deadline for CAYUSE training by the KUMCRI staff.

If a proposal is in response to a Request for Proposal (RFP, may also be referred to as an RFA), please send the RFP (or URL of applicable web site) to your Pre Award Grant Administrator one (1) week before proposal submission to the KUMCRI to allow for adequate time for review of the RFP’s terms and conditions. Special approvals or strategizing may be required. For complex RFPs or proposals (i.e., those with contract documents incorporated, multiple consortium or subcontract arrangements, cost sharing from third
parties, and/or complicated budgets), or other unique issues, it is recommended that SPA be contacted at least thirty (30) days prior to the sponsor deadline, if not sooner. Please see Proposal and Budget Preparation Development for details on preparing a proposal: http://www.kumc.edu/kumcri/sponsored-programs-administration/proposal-development.html

Points of Entry (Options for submission) to KUMCRI:

**Ten (10) Business Days in Advance of Submission Deadline**

**Proposals received ten (10) business days** or more in advance of the sponsor’s deadline will receive a detailed review by SPA to provide greater assurance that the proposal can be submitted error-free.

To be considered “On Time” and in compliance with the KUMCRI’s ten day policy, the proposal must be submitted to SPA ten business days before the proposal deadline.

An On-Time proposal must include the following elements in FINAL form (unless otherwise indicated):

- Completed and signed KUMCRI Proposal Routing Sheet, which must include the date and time proposal is due, with the applicable time zone noted. If the project includes faculty and staff from different schools, a Chair’s approval is required from each school.
- Research Plan or technical section (in final or draft* form – see below regarding submitting a draft)
- Biographical sketches for all key personnel
- Other Support for all key personnel if applicable to the submission
- Budget with complete justification (note: if the budget in any required sponsor format is not sufficiently detailed or explanatory, then an Excel spreadsheet should be included for SPA review). Indirect costs must be calculated with either the federal negotiated rate or the rate specified by the sponsor in written policy or program guideline documents.
- Subrecipient Commitment Form, statement of work, budget and budget justification from any proposed subawardee
- Letters of support from named consultants and/or collaborators
- Completed and signed cost sharing memo

*Submitting a Draft Research Plan or Draft Technical Section*

A draft of the research plan or technical section of a proposal should not be just a “place holder.” The draft should address all required elements specified in the sponsor’s proposal guidelines. The draft should be written in sufficient detail to allow the proposal to be reviewed even if only the draft research plan or technical section were to be submitted. The PI should keep in mind that any changes made to the research plan or the technical section should not affect any of the following administrative elements:

- The amount of project funds requested from the sponsor
- The project’s budget justification
- Cost sharing or matching
- F&A (indirect) costs requested
- Effort of key project personnel
- Named consultants and/or subcontractors

If a draft research plan or draft technical section is being contemplated, the PI/department should contact the SPA Pre Award Grant Administrator assigned to the PI as soon as possible to work out a revised due date for the submission of the final research plan or technical section. The PI/department also should indicate in writing on the KUMCRI Proposal Routing Sheet that the research plan or technical section is in draft form. SPA will require that the final version be submitted in time to physically meet the sponsor’s submission deadline after considering the number of proposals being submitted on that deadline date.

SPA staff will communicate back to the PI and department any issues found with the submission in time for the submission to be corrected and re-submitted to the SPA Pre Award office.

**Five (5) Business Days in Advance of Submission Deadline**

SPA must receive the final proposal, in complete form and ready for submission to the sponsor (i.e. “Ready to Submit”) a minimum of five (5) business days prior to the sponsor deadline.

- Proposals received five days or more prior to the submission deadline in a “Ready to Submit” condition will be reviewed by SPA staff for accuracy, completion and compliance with sponsor, university and federal and state requirements.
- Any proposal sent to SPA five days in advance that is in an incomplete form and/or not “Ready to Submit” will be returned to the PI and the department administrator contact named on the KUMCRI Proposal Routing Sheet.

SPA staff will communicate back to the PI and department any issues found with the submission in time for the submission to be corrected and re-submitted to the SPA Pre Award office.

**Two (2) Business Days in Advance of Submission Deadline**

All proposals, both paper and electronic, received by SPA for the first time two (2) business days prior to the sponsor deadline will be returned to the PI and department contact, and will not be submitted to the Sponsor.
SPA Pre Award Grant Specialists cannot submit late proposals without written approval from the Associate Vice Chancellor for Research Administration. Please see “Exemptions” for process of obtaining approval.

Exemptions:

If a proposal cannot be submitted to the KUMCRI on time, even with a draft research plan or draft technical section, the PI can request an exemption from the Associate Vice Chancellor for Research Administration. These are the steps for requesting approval for the submission of a late proposal to SPA:

1. Request a meeting with the Associate Vice Chancellor for Research Administration to discuss the Late Proposal Exemption by contacting the KUMCRI Administrative Officer at 913-588-5436. Please keep in mind the schedule of the Associate Vice Chancellor for Research Administration; last-minute meetings may not be possible.
2. Print out and complete the Late Proposal Exemption Request Form: [http://www.kumc.edu/Documents/ri/spa/LateProposalSubmissionFillable.pdf](http://www.kumc.edu/Documents/ri/spa/LateProposalSubmissionFillable.pdf)
3. Please note that a compelling argument must be made to obtain such an exemption.

Examples of a justifiable exemption would be:
- serious illness, injury, or death of a family member; or
- documented notification that the Funding Opportunity Announcement (FOA) was initially posted less than 2 weeks prior to the deadline.

**NB:** Obtaining approval to submit a proposal late does not guarantee that the proposal will be submitted on time to the sponsor.

Responsible Parties:

- **Principal Investigator**
  Submit all proposals for SPA review and KUMCRI institutional approval per this policy
  Compliance with this and all other applicable KUMCRI policies

- **Department Chair**
  Promote faculty and staff awareness of this policy

- **KUMCRI Sponsored Programs Administration**
  Promote faculty and staff awareness of this policy
  Review all proposals submitted in a timely fashion

Related Policies and Links:

- KUMC Research Institute Proposal and Budget Preparation Development [http://www.kumc.edu/kumcri/sponsored-programs-administration/proposal-development.html](http://www.kumc.edu/kumcri/sponsored-programs-administration/proposal-development.html)
- KUMC Research Institute Principal Investigator Eligibility Policy [http://www.kumc.edu/Documents/ri/spa/PIEligibility.pdf](http://www.kumc.edu/Documents/ri/spa/PIEligibility.pdf)

Contacts:

- Vice Chancellor for Research: 913-588-1698
- Associate Vice Chancellor for Research Administration: 913-588-5436
- Director of Sponsored Programs Administration: 913-588-1261

History:

- Original Issue Date: 12/22/2009
- Current Issue Date: 05/15/2015
- RAC Approved: 12/22/2009
- **Effective Date:** Effective for all proposals with a submission date of 02/01/2010 or later.