
PROPOSAL SUBMISSION POLICY

Category: Research
Responsible Office: Sponsored Projects Services
Responsible Executive: Vice President for Research

Date Established: 2/19/07
Date Last Revised: 11/1/13
Date Posted to Library: 11/5/13

Summary

Sponsored Programs Services (SPS) must review and approve all proposals prior to submission to an outside funding agency. Final administrative proposals are due to SPS five (5) business days in advance of the sponsor's deadline. Final technical proposals are due to SPS two (2) business days in advance of the sponsor's deadline.

Policy

POLICY STATEMENT

Sponsored Programs Services (SPS) must review and approve all proposals prior to submission to an outside funding agency. Proposals may not be submitted directly to the funding source without the prior approval of SPS. The University at Buffalo (UB) reserves the right to decline awards resulting from unapproved proposals.

Final administrative proposals must be submitted to SPS by 9:00 a.m. five (5) business days in advance of the sponsor's deadline. Final technical proposals must be submitted to SPS by 9:00 a.m. two (2) business days in advance of the sponsor's deadline. It is strongly encouraged that proposals be submitted to SPS for review and approval at least two weeks before the sponsoring agency's deadline. This applies to paper and electronic proposal submissions.

Proposals submitted to SPS on time will be reviewed in the order they are received and will receive priority over those submitted late. SPS will make a good faith effort to review proposals received late (administrative proposals less than five days prior or technical proposals less than two days prior to the sponsor's deadline).

If a sponsor's deadline occurs during a change in the university's scheduled operations (i.e., inclement weather or other emergency) the Principal Investigator (PI) should contact the funding agency for an extension to the deadline date. When a sponsor's deadline falls on scheduled UB holidays or closings, the last day before the closing or holiday will become the submission deadline. Therefore, administrative proposals must be submitted to SPS five business days prior, and technical proposals two business days prior, to the submission deadline.

BACKGROUND

As a result of the high volume of last minute proposal submissions to SPS, it is necessary to adopt a proposal submission deadline policy. This provides SPS staff with adequate time to review, approve, revise, and process grant proposals. SPS staff will review for conformity to sponsor guidelines, budget accuracy, acceptable contractual language, appropriate approvals, etc.

Some agencies' electronic submission systems are unstable and become overloaded because of heavy access as the deadline approaches. It is strongly recommended to allow an additional working day to process electronic proposals so that there is sufficient time to resolve technical issues. First time users of the electronic submission process should contact SPS thirty (30) days prior to the deadline for training.

It is recommended that complex proposals (i.e., those with contract documents incorporated, multiple consortium or subcontract arrangements, cost sharing from third parties, and/ or complicated budgets) be submitted a day or two before the five (5) business day deadline to offset the extra time needed for approvals and review.

APPLICABILITY

This policy applies to all proposals (paper or electronic) submitted to an organization external to the University in support of any research, training, or other sponsored project.

DEFINITIONS

Administrative Proposal

The Administrative Proposal is one portion of the overall proposal that generally includes the application cover page, budget, budget justification, institutional resources section, curriculum vitae or bio-sketches of all key personnel, current and pending support, and any other business or administrative materials required by the sponsor. The administrative portion of the proposal encompasses all content excluding the technical portion. Specific requirements may vary with each sponsor.

Principal Investigator

A Principal Investigator (PI) is a UB faculty or staff member who bears responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, financial oversight, and compliance with relevant University policies and sponsor terms and conditions of award.

Sponsored Project

A Sponsored Project is any externally funded research, training, evaluative testing, or public service project directed by UB faculty or staff as part of their university work that requires the university to perform a specified program or deliver a specified product.

Technical Proposal

The Technical Proposal is one portion of the overall proposal that generally includes the goals and aims of the research and other technical information in narrative form. Specific requirements may vary with each sponsor. Also referred to as a Scientific Proposal.

RESPONSIBILITY

Who should know this Policy

- Provost
- Vice Presidents and Vice Provosts
- Deans and Associate Deans
- Department Chairs

- Chief Financial Officers
- Principal Investigators
- Sponsored Projects Services staff

Principal Investigator

- Submit all administrative proposals for sponsored project funding to SPS for review and approval at least five (5) business days and all technical proposals two (2) business days in advance of the sponsor's deadline
- Compliance with this and all other applicable UB policies
- Contact SPS thirty (30) days prior to first electronic proposal submission
- Refer to Appendix I – Proposal Submission Time Line

Department Chair

- Promote faculty and staff awareness of this policy
- Review and approve proposals

Sponsored Projects Services

- Review all proposals submitted in a timely fashion

Contact Information

Sponsored Projects Services
402 Crofts Hall
North Campus
Buffalo, NY 14260

Phone: (716) 645-2634
Fax: (716) 645-2760
Website: www.research.buffalo.edu
Email: info@research.buffalo.edu

Related Information

Related Links:

[UB Policy Library](#)

Revision History

November 2013 - Updated to allow technical proposals to be submitted to SPS two days prior to the sponsor's deadline.

Presidential Approval

Signed by President John B. Simpson

John B. Simpson, President

2/19/07

Date

Appendix I

PROPOSAL SUBMISSION:

Example Time-line for Optimal Partnership (PIs & SPS)

	PI/Department		SPS
	ASAP Notify SPS of Intent to Submit using either option (email or web): notifysps@buffalo.edu https://www.research.buffalo.edu/sps/forms/noticeintent	➔	SPS Response: What is needed when! If there are special terms and conditions, SPS will review and summarize requirements for PI. If subcontracting institutions are included in proposal, SPS will coordinate those materials
RECOMMENDED	>14 Days prior to agency deadline: Budget initiated	➔	Budget review initiated within 24 hours. Contact subcontract institutions. Work with PI/Dept to finalize within 2 business days
	>10 Days: Budget completed & Budget Justification Provided IF DESIRED , submit Research Abstract/Narrative to OVPR for copyediting/proofreading	➔	Final approval of budget. Begin review of budget justification. Obtain all materials from subcontracting institutions, if any.
	>7 Days: CVs or Bio-sketches submitted	➔	Ensure CVs of all pertinent Key Personnel are received; communicate to PI/Department if all are not received.
	>7 Days: Current & Pending Support, Resources submitted	➔	Review all documents to ensure all are accurate and current
	>7 Days: Submit all other administrative documents, if required (subcontract docs, IRB, IACUC, etc.)	➔	Ensure all documents are received or processes initiated
REQUIRED	No Later Than 5 Days: Final "Administrative Shell" submitted. Approval Form is initiated and submitted to department and school	➔	Within 2 business days of receipt - review and communicate to PI and department that Administrative Shell is complete
	No Later Than 2 Days: Technical Proposal/Documents due	➔	Within 24 hours of receipt, ensure proposal is complete (check proposal formatting) - communicate to PI. ANY CHANGES MADE BY PI AFTER THIS SPS REVIEW IS THE RESPONSIBILITY OF THE PI. SPS WILL NOT RE-REVIEW (unless extenuating circumstances exist, and PI/Dean request such review)
	Agency Deadline Proposal due date at agency	➔	SPS SUBMITS PROPOSAL ON TIME Sends communication to PI of submission