

SJSURF Proposal Submission Policy

Office of Sponsored Programs

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1.0 Purpose

As an organization submitting proposals for external funding, San José State University Research Foundation (SJSURF) is subject to numerous sponsor requirements, including but not limited to those set forth in specific solicitations, sponsor guidelines, and the OMB Uniform Guidance, in addition to San José State University and SJSURF institutional policies.

Sufficient time is necessary to verify a proposal's compliance with those requirements, as well as ensure an overall level of quality assurance, prior to the application's deadline. Allowing adequate time for the Office of Sponsored Programs (OSP) to conduct a thorough review will provide opportunities for proposal corrections to be made, if necessary, and maximize the overall opportunity for proposal success.

Every effort is made by the OSP team to ensure successful proposal submission. There are several challenges that are beyond the control of the SJSURF which can be mitigated when proposals are submitted to OSP sufficiently in advance of the sponsor deadline, including:

1. Grants.gov has a processing time of 2–4 days with no tolerance if errors exist and cannot be corrected before the deadline.
2. Federal agency servers routinely crash during peak demand times that occur when hundreds of institutions submit proposals at the same time. No tolerance is given for server errors to last-minute proposal submitters by any of these federal sponsors.
3. Alternative proposal submission pathways (other than Cayuse 424 direct submission) can add complexity to proposal submission and can require additional assistance to ensure successful submission.

2.0 Responsibility

High-level roles and responsibilities related to proposal development, review and submission are outlined below. Please note that both Research Development and OSP Pre Award Specialists are available and encourage PIs to connect with them early to review applications and sponsor guidelines.

Principal Investigator – Responsible for:

- The content and management of the entire application
- Reviewing the solicitation and understanding sponsor technical and administrative requirements of the funding opportunity and proposal package
- Ensuring proposal submissions are compliant with SJSU/RF institutional policy and incorporate all sponsor requirements
- Submitting the complete administrative and technical proposal components to OSP ***by the deadline set forth in this policy***
- Being available to OSP for any questions or follow-up during the proposal review and submission process
- Submitting final OSP approved proposals via certain sponsor-specific portals when the sponsor specifies the PI, and not the applicant organization, must submit and confirm successful submission with OSP

OSP – Responsible for:

- Serving as proposal administration experts and providing advisory services related to sponsored proposals
- Reviewing solicitation guidelines to identify, understand, and communicate any atypical, new or changes to application requirements
- Promptly reviewing proposals submitted by the internal deadline in order to ensure compliance with sponsor and institutional requirements
- Conferring with the PI regarding any revisions needed to the proposal
- Ensuring institutional approval of the complete and final proposal
- Submitting proposals via certain sponsor-specific portals, monitoring status to ensure successful submission, and coordinating with PIs to address any errors

3.0 Scope

This policy applies to all Research Foundation employees, project participants, SJSU faculty, students, and staff who submit proposals on behalf of the Research Foundation.

4.0 Definitions

This table provides definitions for special terms, acronyms, and abbreviations used in this policy.

Terms, Acronyms, or Abbreviations	Description of Use
F&A	Facilities and Administrative
FOA	Funding Opportunity Announcement

Terms, Acronyms, or Abbreviations	Description of Use
PI	Principal Investigator
PRAF	Proposal Routing and Approval Form

5.0 Policy

It is the policy of SJSURF to require the timely submission of complete proposal packages to the Office of Sponsored Programs in accordance with the timeline established within this policy document in order to ensure a thorough and complete review prior to submission to the sponsoring agency.

5.1 OSP Submission Deadlines for PI:

If the OSP due date falls "x" number of days before the proposal deadline, the following documents are required:

<u>10</u> Business Days – or	<u>5</u> Business Days – or	<u>2</u> Business Days
<ul style="list-style-type: none"> Completed internal SJSURF PRAF Notice on intent to submit proposal Funding Opportunity Announcement (FOA) Link All Administrative documents; Research Plan may be in draft 	<ul style="list-style-type: none"> All documents, including Research Strategy, in Final, Ready-to-Submit 	<ul style="list-style-type: none"> OSP may not have the bandwidth to submit. Rush applications do not “move to the top”. On-Time submissions take priority.

- **Notice of intent to submit a proposal** (via email from either the RD Specialist or directly from the PI to OSP PreAward Specialist) including the link to the Funding Opportunity Announcement (FOA) or any other available details for the solicitation should be provided to the assigned PreAward Specialist as soon as the intent to submit a proposal is known and/or minimally ten business days prior to the sponsor’s proposal deadline.
- **The complete administrative components of a proposal**, including a final detailed budget, budget justification, biosketches together with the completed and signed PRAF and other required internal forms must be received by OSP at least five business days prior to the sponsor’s deadline. OSP encourages earlier submission of documents. “Final” indicates that the documents have already been vetted by OSP staff and deemed as “final.”

- **The final technical components of the proposal** must be received by OSP at least five business days prior to the sponsor's deadline. This option is designed to give PIs additional time to refine the technical component and thereby improve the proposal's chances for success.
- **Proposals with administrative components** submitted to OSP on or before the five business days deadline will be considered "on time." Once the final proposal components are submitted to OSP, in accordance with this policy, OSP will initiate the full review and no further revisions will be accepted, including changes to the final proposal budget. Only revisions to correct issues identified by OSP will be allowed.
- **Proposals that do not meet the deadlines established in this policy** will still be allowed to move forward with submission but will receive a minimum review with the goal to assure (to the degree possible) that it is not rejected from the electronic submission interface. See below for details on the level of review based on OSP submission timing.
- **If the sponsor specifies a deadline day that falls on a holiday or weekend**, OSP will assume a deadline day of the prior business day unless the sponsor clearly indicates they will accept proposals the following business day. If the sponsor specifies a deadline time after 5:00 p.m., all OSP reviews and signatures will need to be in place by 5:00 p.m., and the proposal should ideally be submitted by 5:00 p.m. (PST). Please work with your PreAward Manager or Specialist.
- ***Please note: if consortium sites (subawards) are part of the submission, OSP needs an additional 10 business days to coordinate with the consortium site.***

5.2 Minimum Requirements for Review:

This policy is designed to streamline OSP's process to review relevant/critical documents while the PI finalizes the technical components of a proposal. The minimum administrative components allow OSP to conduct a meaningful review of the application. The remaining technical documents that constitute a complete application are required for OSP to approve and submit applications or provide institutional endorsement for hard copy submission. The solicitation guidelines and FOA link must be submitted to OSP as early as possible or at least 10 business days in advance of the sponsor deadline.

COMPONENTS REQUIRED FOR INITIAL REVIEW:

1. Completed Proposal Routing and Approval Form (PRAF) with all required signatures
2. Final Budget and Justification
3. All Subaward components (if applicable); the addition of sub-sites, or consortium sites, will require additional time in order to meet the consortium site(s) administrative processes.
4. Biographical Sketches for Senior/Key Personnel
5. Facilities/Equipment pages (if required)
6. All Other Sponsor Components

7. Draft Abstract or Narrative

OSP will conduct a Preliminary Review of submitted materials and notify investigators of those outstanding proposal components that are needed in order to initiate administrative review and those documents that constitute a full submission-ready proposal. If the minimum components required for administrative review are not received within the five business days prior to the sponsor's deadline, the proposal will not be considered "on time."

COMPONENTS REQUIRED FOR APPROVAL & SUBMISSION:

8. **Final** Technical Components: Narrative, Abstract, Bibliography, Specific Aims, Milestones, etc., as appropriate for the specific submission

5.3 OSP Review Levels

OSP is committed to supporting SJSU investigators by assuring timely review and submission of complete and accurate proposals that have the best chance possible of success in the sponsor review process. In order to provide the greatest possible benefit to SJSURF's sponsored proposals, balance the service and needs of all SJSU's investigators, and capitalize on OSP's expertise, OSP has defined the following minimum service level commitment for proposal review based on the timeframe of proposal submission to OSP in advance of the sponsor's deadline:

- **Solicitation Details Received as Soon as Available or 10 Business Days in Advance**

With at least ten business days' notice, OSP PreAward Specialists or Manager(s) will ensure an understanding of all requirements for submission and also monitor any changes that may occur in the deadlines or submission procedures. Further, OSP will note and alert the PI and departmental support of any unusual, new, or atypical submission requirements in order to allow ample time to ensure these requirements are fully addressed.

- **Proposals Received Five (5) Business Days in Advance [Technical Components (AKA Research Strategy) — Received Three (3) Business Days in Advance]**

For final proposals submitted to OSP five business days in advance of the sponsor's deadline, with the final technical components ready for submission, OSP offers a comprehensive review which may include:

- Comparing the proposal to the sponsors' guidelines, including:
 - Font type and size
 - Margins
 - Page limits for sections and proposal
 - Completeness for inclusion of all required sections and forms
 - Verifying accurate budget calculations, appropriate F&A and fringe rates
 - Verifying cost sharing is in line with sponsor requirements and SJSURF policy

- Verifying institutional information (e.g., UEI, contact information, etc.)
 - Checking and clearing errors generated by Grants.gov and/or Sponsor's proposal submission system (Cayuse)
- **Proposals Received Less than Five (5) Business Days in Advance**
 - In order to appropriately prioritize those proposals that are submitted to OSP within the defined five-day timeframe, proposals with the administrative components received less than five business days in advance of the sponsor deadline (and/or final technical components received less than three business days in advance) will receive a scaled review if time permits, which may include, at minimum, the following: Comparing the proposal to the sponsors' guidelines, specifically for any items that may prevent successful submission
 - Verifying appropriate F&A and fringe rates
 - Verifying cost sharing is in line with SJSURF policy
 - Verifying institutional information (e.g., UEI/DUNS, contact information, etc.)

PLEASE NOTE – THIS LEVEL OF REVIEW IS HIGHLY DEPENDENT ON THE VOLUME OF PROPOSALS THAT ARRIVE LESS THAN 5 BUSINESS DAYS IN ADVANCE

- **Proposals Received Two Business Days or Less of Submission Deadline (RUSH)**

Due to time constraints, proposals received less than 48 hours (or two business days) in advance of the sponsor's deadline will receive a minimum review with the goal of assuring (to the degree possible) that it is not rejected from the electronic submission interface. Please note, proposals submitted less than 48 hours in advance risk rejection by sponsors, or potentially late submission. In certain circumstances, the university may not be able to submit a late submission. Rush applications do not "move to the top." On-Time submissions take priority.

- **Consequences for Proposals Submitted to OSP Late/Rush:**
 - PIs recognize that submitting the proposal late puts them at risk of submitting if OSP does not have the resources.
 - Proposals are rejected/invalidated via the electronic submission interface (over which OSP has no control) and time does not allow for a second attempt at submission.
 - Proposals are successfully submitted, but time does not allow for the correction of any errors or further changes identified by the investigator.

For RUSH proposals, an after-the-fact email will be sent to the respective chair with a CC: to the PI informing them of the late submission to OSP. For all proposals, OSP will communicate with the Principal Investigator when a proposal will receive less than a complete review due to time constraints.

6.0 Required Forms

This table contains a list of forms and special tools referenced in this document.

Form	Description of Use
Proposal Routing and Approval Form (PRAF)	Official intake and routing form

7.0 References and Related Information

This section lists links, documents, and other information related to this policy.

Proposal Submission Timeline Chart	Lays out a general timeline for proposal preparation, routing, and submission.
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8.0 Record Retention

All documents and records are maintained in accordance with SJSU Research Foundation *Record Retention* requirements.

Record	Retention
Record Retention Policy	Three years