

**SEATTLE CHILDREN'S RESEARCH INSTITUTE
OPERATING POLICIES / PROCEDURES**

DEPARTMENT: Office of Sponsored Research
POLICY NUMBER: OSR-014
REPLACES: OSR-14, Dates 12/29/06
EFFECTIVE DATE: August 26, 2009
REVISION DATE: July 15, 2009

TITLE: Internal OSR Deadlines for Submission of Sponsored Research Applications

SUMMARY:

This policy expands and updates the existing OSR-14, which established internal deadlines for the submission of Grants.gov application materials to the Office of Sponsored Research (OSR). Key changes from the previous version of OSR-14 are as follows:

- The scope of the policy has been expanded beyond Grants.gov. The deadlines established by this revision apply to *all applications for sponsored research funding* regardless of purpose, sponsor, format, or method of submission. And to be clear, it applies to both applications for direct funding as well as applications to subcontract under another entity's prime award.
- Based on performance against the existing deadlines, as well as feedback from faculty and administrative staff, the revised deadlines established here are less restrictive than those currently in place.
- In response to the continuing evolution of Research Institute structure and operations, this revised policy establishes two sets of OSR deadlines for applications: one for applications composed and finalized by research center personnel (relying on OSR personnel solely for final compliance review and submission); and one for those applications completed by the Sponsored Projects Officers (SPOs) in OSR.
- The policy also distinguishes between the deadlines for new, competitive applications and those for progress reports and non-competing renewals processed through OSR, creating looser deadlines for the latter given the more limited resources needed to process them.
- Finally, the policy now details the consequences of failure to meet the specified deadlines.

Specific deadlines are identified in the tables below.

Please note that this policy is distinct from any internal deadlines a center may establish for its own internal purposes regarding proposal development. Consistent with the central

requirements established here, Center Directors are free to establish whatever internal deadlines they deem appropriate for proposals submitted by the center.

**Table 1: Internal Deadlines for Competitive Applications¹
Built in OSR**

Required Component of Application	OSR Deadline
Submission of notification of intent to apply, including provision of Request for Application (RFA) or Program Announcement (PA) number, to OSR.	Four (4) weeks prior to sponsor deadline. ²
Submission of <i>final</i> versions of the administrative components of the application, including: <ul style="list-style-type: none"> • Complete and approved OSR-010 form • Final project budget and corresponding budget justification • Final list of project personnel (key personnel and other significant contributors), with complete contact information and final BioSketches for all listed individuals • Complete subcontract proposals including Letter of Intent, Work Scope, Budget and Budget Justification for any subcontracts that will be included in the project • Resource page documenting facilities and equipment to be used 	Five (5) working days prior to sponsor deadline. ³
Submission of <i>final</i> versions of the scientific components of the application, including: <ul style="list-style-type: none"> • Abstract • Project Narrative • Research Plan 	Three (3) working days prior to sponsor deadline. ^{4,5}
<p>Notes:</p> <p>¹ This table applies to all OSR-built competitive applications, whether submitted directly to the prime sponsor or as a subcontract application through a flow-through entity. In the case of subcontract applications, however, the “sponsor deadline” is that of the flow-through entity rather than the prime funding agency.</p> <p>² This deadline is necessary to provide for appropriate planning and workload allocation within OSR. OSR is frequently coordinating the preparation and submission of numerous applications with the same deadline. Advance notice is crucial for ensuring that all desired applications are completed properly and submitted on time.</p> <p>³ The data entry requirements associated with the administrative elements of a proposal can take an inordinate amount of time. Five days is the minimum window required to ensure that the application is completed error-free and on-time.</p> <p>⁴ Three days, minimum, are necessary to allow for proposal submission. Under the best of circumstances, electronic submission can take days to complete and in the past, system crashes, snow days, emergency surgeries, and the like have also taken their toll. Thus, the lead time specified here is essential for ensuring on-time submission.</p> <p>⁵ To be clear, submitting a final application three days before the deadline does not mean that the application will be submitted three days before the deadline. The three days are needed by OSR to finalize the application package, conduct the final compliance review and provide for the various contingencies that may arise. In many cases, applications submitted three days before a deadline will be submitted as late as the day they’re due. Investigators wanting their applications submitted to the sponsor early should have the final versions in the hands of OSR the same number of days</p>	

in advance of the internal deadline that submission in advance of the sponsor deadline is desired.

**Table 2: Internal Deadlines for Competitive Applications¹
Built by Center Personnel**

Required Component of Application	OSR Deadline
Submission of notification of intent to apply, including provision of Request for Application (RFA) or Program Announcement (PA) number, to OSR.	No formal deadline, though early notification to OSR is appreciated. ²
Submission of the <u>complete and final application</u> , along with the fully approved OSR-010 form to OSR.	Three (3) working days prior to sponsor deadline. ^{3,4}
<p>Notes:</p> <p>¹ This table applies to all center-built competitive applications, whether submitted directly to the prime sponsor or as a subcontract application through a flow-through entity. In the case of subcontract applications, however, the “sponsor deadline” is that of the flow-through entity rather than the prime funding agency.</p> <p>² As noted above, advance notice of pending applications helps with OSR planning and helps to ensure that all desired applications are completed properly and submitted in a timely fashion.</p> <p>³ Three days, minimum, are necessary to allow for proposal submission. Under the best of circumstances, electronic submission can take days to complete and in the past, system crashes, snow days, emergency surgeries, and the like have also taken their toll. Thus, the lead time specified here is essential for ensuring on-time submission.</p> <p>⁴ To be clear, submitting a final application three days before the deadline does not mean that the application will be submitted three days before the deadline. The three days are needed by OSR to finalize the application package, conduct the final compliance review and provide for the various contingencies that may arise. In many cases, applications submitted three days before a deadline will be submitted as late as the day they’re due. Investigators wanting their applications submitted to the sponsor early should have the final versions in the hands of OSR the same number of days in advance of the internal deadline that submission in advance of the sponsor deadline is desired.</p>	

**Table 3: Internal Deadlines for Progress Reports and Non-Competing Renewals¹
Built by OSR**

Required Component of Application	OSR Deadline
Submission of the final budget (if necessary) and <u>complete and final scientific components</u> of the progress report, and complete and approved OSR-010 form.	Four (4) working days prior to sponsor deadline.
<p>Notes:</p> <p>¹ This table applies to all OSR-built, non-competitive applications, whether submitted directly to the prime sponsor or as a subcontract application through a flow-through entity. In the case of subcontract applications, however, the “sponsor deadline” is that of the flow-through entity rather than the prime funding agency.</p>	

**Table 4: Internal Deadlines for Progress Reports and Non-Competing Renewals¹
Built by Center Personnel**

Required Component of Application	OSR Deadline
Submission of the <i>complete and final application</i> along with the fully approved OSR-010 form to OSR.	Two (2) working days prior to sponsor deadline.
<p>Notes:</p> <p>¹ This table applies to all center-built, non-competitive applications, whether submitted directly to the prime sponsor or as a subcontract application through a flow-through entity. In the case of subcontract applications, however, the “sponsor deadline” is that of the flow-through entity rather than the prime funding agency.</p>	

The Office of Sponsored Research (OSR) is committed to assuring timely submission of complete, accurate, and competitive proposals for funding that are compliant with all applicable rules and regulations. To reach this goal, it is essential that OSR receive proposals from the centers with sufficient time to compile the application (when necessary), conduct the required compliance reviews, and make submission to the sponsor.

With the advent of Grants.gov and other electronic submission systems, the process of application submission is growing increasingly complex and time consuming. What used to be accomplished with a stop at Kinko’s on the way to an 11:59 pm drop off at the FedEx office at SeaTac Airport, now requires electronic submission through Grants.gov, as many as 48 hours (if not longer) waiting for the system to process the application, receipt of error notice from ERA Commons, application correction, application resubmission, a second two-day waiting period, etc. A guarantee of on-time submission used to take hours; now it can take days.

Moreover, with the growth of the Research Institute has come an increasing number of applications being processed through OSR and submitted for consideration. In just the last few years, a “busy month in OSR” has gone from meaning ten applications submitted to meaning thirty or forty. April 2009 saw 106 applications submitted by OSR as a result of the programs funded through the American Recovery and Reinvestment Act. All these applications compete for very limited resources, and it’s simply not possible to ensure timely submission of a dozen or more applications when they all come in the day they’re due.

In this environment, internal deadlines for application submission are essential. The process is broken down into three stages, each of which has its own deadline:

Stage 1: Notification of Intent to Submit

It is important that OSR know in advance of an investigator’s intent to submit an application, as it allows the office to plans for the allocation of the resources that application will consume. It is not uncommon for OSR to process multiple applications for the same program or deadline, and the only way the office can ensure that all such applications are submitted on time is to know they are coming.

Stage 2: Submission of the Administrative Components of the Application

Although the task seems routine, it takes a great deal of time to prepare the forms and other administrative components associated with a grant application. The data entry requirements for just the key personnel page on a Grants.gov application, for example, can take hours. Early submission of the administrative components of the application is necessary to allow for the time necessary to prepare the application for submission.

Stage 3: Submission of the Final Scientific Components of the Application

The last stage prior to submission of the application is incorporation of the abstract, research plan and other scientific elements of the application. While acknowledging the investigators' desire to fine tune these most important elements of their proposals up to the last possible second, the Research Institute must balance this desire with the basic fact that even the best, most well-refined proposal won't be selected for funding if it's not submitted on time. Given submission processes that take days under the best of circumstances, proposals must be given to OSR with some provision for the work that remains to be completed after the investigator's work is done.

The greatest extent possible, the deadlines set forth in this policy provide OSR with the minimum time it needs to complete the required tasks. To this end, separate, later deadlines have been established for progress reports and non-competing renewals, since such applications require less work for submission than do competitive applications. Distinct deadlines have also been established for those centers that have elected to assign center staff to the preparation of grant applications, rather than relying on OSR.

POLICY/PROCEDURE:

- 014-1 As provided for in OSR-04, all applications for sponsored research funding are required to be submitted to the Office of Sponsored Research for review and institutional sign-off before being submitted to the sponsor for consideration. This policy establishes deadlines for such submissions.
- 014-2 The Office of Sponsored Programs will ensure that all applications materials that are both "final" (defined in §014-4 below) and submitted in advance of the deadlines specified herein will be submitted to the sponsor (or made available to the investigator for submission in cases where the investigator is prefers and is allowed to handle the submission process) prior to the sponsor's specified deadlines.
- 014-3 When applications materials are not submitted to OSR in final form in advance of the deadlines, OSR can make no guarantee that the application will be submitted to the sponsor on time. OSR staff will make *reasonable* efforts to process and submit such late applications in advance of sponsor deadlines, but they will be prioritized behind all other on-time applications that were received by OSR as well as all other pending time-sensitive requests or actions. Application materials submitted to OSR so late that, in the reasonable opinion of the OSR Grants Manager or Chief of Research Operations, they cannot be reviewed and submitted on time without potentially causing delay to other applications or otherwise negatively impacting other researchers at the Research Institute will not be processed or submitted.
- 014-4 For the purposes of this policy, "final" is defined as information, documentation or other material that:
- 014-4.1 is complete and not missing any information or requirement;
 - 014-4.2 is not subsequently modified or changed by the investigator, or any other center staff;
 - 014-4.3 does not contain any errors or compliance issues requiring correction or modification;
 - 014-4.4 has all required signatures and approvals;
 - 014-4.5 for internal documentation, meets all requirements of the corresponding policies; and
 - 014-4.6 for external application documents, are ready to be submitted to the sponsor.

- 014-5 This policy applies equally to applications submitted directly to a prime funding agency for consideration (e.g., an application submitted to the NIH) and those applications submitted as subcontract proposals under another entity's application for a prime award (e.g., an application submitted to the UW to be a subcontract on an award to the UW from NIH). No distinction is made between applications for prime awards and applications to subcontract.
- 014-6 The deadlines for *competitive applications that will be constructed by OSR staff* are as follows:
- 014-6.1 Submission of early notification of the investigator's intent to submit an application to a given sponsor, program or deadline is required four (4) weeks prior to the sponsor's deadline for submission or, in cases where the sponsor does not specify a due date, the investigator's desired date of submission.
- 014-6.2 Submission of the final version of the administrative components of the application is required a minimum of five (5) working days prior to the sponsor's deadline for submission or, in cases where the sponsor does not specify a due date, the investigator's desired date of submission. The required administrative components of the application include:
- 014-6.2.1 The completed and approved OSR-010-F01 form;
- 014-6.2.2 The final project budget along with corresponding budget justification;
- 014-6.2.3 Final list of project personnel (key personnel and other significant contributors) with complete contact information and all information needed to produce final BioSketches for all listed individuals;
- 014-6.2.4 Complete proposals from any subcontractors, including Letter of Intent, Work Scope, Budget and Budget Justification; and
- 014-6.2.5 Resource page documenting facilities and equipment to be used in the project.
- 014-6.3 Submission of the final versions of all scientific components of the proposal – including, Abstract, Project Narrative and Research Plan – are required a minimum of three (3) working days prior to the sponsor's deadline for submission or, in cases where the sponsor does not specify a due date, the investigator's desired date of submission.
- 014-7 The deadlines for *competitive applications that will be constructed by center staff and routed through OSR solely for final review and submission* are as follows:
- 014-7.1 Submission of early notification of the investigator's intent to submit an application to a given sponsor, program or deadline is not required, though it is appreciated.
- 014-7.2 Submission of the final version of the complete and final application, with all required approvals, components and documentation, is required a minimum of three (3) working days prior to the sponsor's deadline for submission or, in cases where the sponsor does not specify a due date, the investigator's desired date of submission.
- 014-8 The deadlines for *non-competitive applications (e.g., Progress Reports, Non-competitive Renewals, etc.) that will be constructed by OSR staff* are as follows:
- 014-8.1 Submission of the final budget for the forthcoming project year (if required), the complete and final scientific components of the application, and final OSR-010-F02 form are required four (4) working days prior to the sponsor's deadline for submission.

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- 014-9 The deadlines for *non-competitive applications* (e.g., *Progress Reports, Non-competitive Renewals, etc.*) that will be constructed by center staff and routed through OSR solely for final review and submission are as follows:
- 014-9.1 Submission of the complete and final application and final OSR-010-F02 form are required two (2) working days prior to the sponsor's deadline for submission.
- 014-10 Notification of intent to submit is best delivered by email to the Sponsored Projects Officer assigned to the investigator's center.
- 014-11 Submission of application materials, either administrative or scientific, must be coordinated with the assigned SPO. Delivery of hard copy, emailing of electronic copies (either source documents or scans), and posting of electronic copies to shared drives or similar resources are all acceptable ways of submitting application materials to OSR. In all cases, however, coordination with the SPO prior to submission, and documenting receipt, are recommended.

Submitting Office: Office of Sponsored Research

Approved by:

\\s\ John Streck, Chief, Research Operations, August 26, 2009