



DATE: September 4, 2018

TO: University of Rochester Principal Investigators, and Administrators
University Deans, Directors, Chairs

FROM: Rick Waugh, Vice-Provost for Research

RE: **Internal Grant Proposal Submission Policies**

Cc: Gunta Lidars, Rob Clark

All Proposals

Since 2007, the University's policy on electronic submission of sponsored program applications requires that proposals be completed, routed through the internal sign-off procedure and submitted to ORPA for review at least five (5) business days prior to the funding agency's prescribed deadline. As new electronic proposal submission systems (e.g., Grants.gov Workspace) are launched and existing systems change, this requirement is even more important. New submission systems require additional review time by ORPA to ensure that the proposal will be routed to the funding agency successfully. Some new submission systems now allow for submission until 12:00 AM (midnight). **Effective immediately, the University's grant submission policy is revised to state that ORPA will not submit proposals after 5:00 PM.**

At least two weeks prior notice of upcoming proposal submissions is requested to allow ORPA to plan accordingly taking into consideration their other deadlines and responsibilities. In collaboration with departmental administrative staff, the Principal Investigator (PD/PI) is responsible for reviewing and adhering to the directives found in the Funding Opportunity Announcement and the agencies' submission system instructions.

NIH Proposals

Rejection and resubmission of a proposal which has reached the NIH Commons error-free will occur only when transmission problems (missing or garbled text or figures) occur. Prior to routing the proposal to ORPA, PD/Pis are responsible to ensure that proposals are in final form and properly proofread. Rejection and resubmission for careless errors prevents ORPA staff from troubleshooting other proposals that may have more significant errors in content and format.

There is no change to the UR policy that requires Principal Investigators submitting NIH proposals to send an email to their designated ORPA RA prior to review and submission to indicate:



1. The proposal is complete and in its final form;
2. Accurate, compliant, and up to date Biosketches for Senior/Key Personnel are attached;
3. All parts of the Research Plan are complete, compliant, and look fine as pdf attachments;
4. All required SF 424 R & R forms are complete and;
5. A cover letter is attached, if required by the Funding Opportunity Announcement of the circumstances.

Internal Sign-off

Per University policy, a complete internal sign-off form, including all required signatures, must be submitted to ORPA for every proposal before the proposal can be approved/submitted. We understand that, in some cases, it may be difficult to obtain all required signatures prior to the proposal deadline. These cases should be the exception, not the rule. For these exceptional cases, ORPA review and approval/submission can occur upon receipt of an internal sign-off form that includes at a minimum, the Principal Investigator's (PD/PI) signature and one level up (Chair, Director, Center Director, Dean). In these cases, the fully signed internal sign-off form must be sent to ORPA within 1 week after the date of submission. The internal sign-off form is the vehicle used to enter proposals into Coeus, the University's current pre-award system. Data on proposals is provided to University leadership on monthly basis, as this information is critical to gauge departmental and college activity in order to support the research enterprise.

We appreciate your assistance with these requirements.