

Case School of Engineering Funding Proposal Submission Policy

Introduction

This document describes the procedures that govern the submission of funding proposals and related documents. Such documents are defined as documents that require management center review and approval and could result in an award that the university will be responsible for managing.

The procedures detailed herein are designed to accomplish five main objectives:

1. To provide the PI maximum time to develop the technical components of the proposal.
2. To provide the research team adequate time to compile and complete the non-technical components of the submission, including the budget, while simultaneously working on proposals from other PIs.
3. To offer the management center sufficient time to perform a proper review of the documents prior to submission.
4. To establish a process that values both fairness in the submission process while recognizing the importance of this activity in accomplishing one of the most important components of CSE's mission.
5. To foster bi-directional communications between the PIs, research team, and dean's office.

Effective July 1, 2021, the Office of Research and Technology Management (ORTM) and the CWRU Vice President for Research have implemented a new proposal submission policy for all proposals requiring review and approval by the Office of Sponsored Projects Administration (OSPA). The full policy can be found on the following website:

<https://case.edu/research/faculty-staff/proposal-development/policy-grant-submission-deadlines>

This new policy requires receipt of a proposal by OSPA three (3) business days prior to the sponsor deadline. In accordance with this new directive, the CSE Proposal Submission Policy now utilizes the OSPA deadline as the official submission deadline.

A Timeline-Based Description of the Submission Process

1. *No later than two weeks in advance of the OSPA submission deadline:* The PI must submit a completed and fully approved Proposal Initiation Form to the appropriate research team. The PIF is an internal notification document that functions like a traditional work order or an internal LOI that accomplishes two key tasks: (1) it alerts the research team that work may begin on a proposal and (2) it provides sufficient information to initiate proposal development, in particular work on the budget. The PI (or a designee) is responsible for completing the form and securing the appropriate approvals from the department chair and associate dean for research (if required). PIs are strongly encouraged to complete a PIF as soon as they have committed to submitting a proposal, even if some of the information requested on the document is still uncertain. The information in the PIF is understood to be a nonbinding estimate at time of filing and can be changed during the development of the final proposal.

The PIF contains the following information that is critical to initiate proposal development and thus must be completed with the best available information so that work by the research team may proceed smoothly:

- Agency Name and Solicitation ID information
- Working Title, PI Name, and Brief Description of the Project
- Estimated total budget including subcontracts (if applicable)
- Plan for securing cost share to include identification of possible sources (if applicable)
- IDC rate. If the IDC rate is less than the approved federal rate, a statement that details the strategic value of this opportunity to CSE must be included.
- Space requirements (if applicable)
- Human subjects / IRB (if applicable)
- Animal subjects / IRB (if applicable)
- Department chair signature indicating department support of the effort
- Associate Dean for Research signature indicating CSE support of the effort. ADR review is required only if the opportunity requires one or more of the following: (1) IDC that is less than federally approved level, (2) cost share, (3) space modifications or (4) other provisions not characteristic of a standard research proposal.

Within **two business days** of final approval and release of the PIF to the appropriate research team, the research team manager will assign the proposal to a research team member who will serve as the team's point of contact (POC). The PI will receive notification of this assignment.

2. No later than **one business week in advance of the OSPA submission deadline**: The PI must provide to the research team the following documents:
 - Final budget and budget justification for management center review. From PIF submission to the one business week time point, the PI must work with the research team to develop a budget that is suitable for approval by the department and school-level management centers. **The final budget must include final budgets from all CWRU collaborators and all off-campus partners.**
 - All biosketches in the sponsor-required format
 - All current/pending and related documents in the sponsor-required format
 - All facilities descriptions and related documents in the sponsor-required format
 - All required documents from off-campus partners, including a complete set of cost sharing and support letters and any required supplemental documents
 - All required documents related to use of animals or inclusion of human subjects in the proposed research.
 - All other documents that are considered "boilerplate" documents.

- All documents related to certifications, representations, terms and conditions that require institutional approval.

3. No later than 16 business hours prior to the OSPA submission deadline: In order for a proposal to receive a complete administrative review, the PI must release to the research team final versions of all documents that have not already been released to the research team. These documents contain the technical content of the proposal. Examples of such documents include:
- *For NSF Proposals:* Project Summary, Project Description, References
 - *For NIH Proposals:* Project Abstract, Project Narrative, Specific Aims, Research Strategy, References

Proposals submitted by this time point will receive a standard review. Submission of all final documents by this time point should provide sufficient time to address any SPARTA-related errors in the submission.

The following table provides an illustration of Sponsor, OSPA and Research Team deadlines.

<i>Sponsor Deadline</i>	Monday	Tuesday	Wednesday	Thursday	Friday
<i>OSPA Deadline (by 5PM)</i>	Preceding Wednesday	Preceding Thursday	Preceding Friday	Preceding Monday	Preceding Tuesday
<i>Research Team Deadline (by 5PM)</i>	Preceding Monday	Preceding Tuesday	Preceding Wednesday	Preceding Thursday	Preceding Friday

4. No later than 8 business hours prior to the OSPA submission deadline: The PI **must** release to the research team final versions of all documents not already released to the research team. Proposals falling into this category will receive a review for basic institutional compliance only. Proposals in this category will be processed on a “first come, first served” basis. Because a full review cannot be conducted, submission of a proposal received from the PI at this time does not obligate the school or university to accept an award if the terms of the award are not acceptable to the school or university. **For proposals in this category, the PI accepts full responsibility for any issues that may arise regarding submission of the proposal regardless of cause, including missing the OSPA submission deadline.** CSE strongly discourages the submission of proposals that fall into this category.
5. Same Day Submissions: As per ORTM policy, OSPA will not review proposals received by their office on the same day as the sponsor deadline. A same-day submission is anything received after 5:00 PM EST the day before the proposal or LOI is due. Consequently, CSE will also not review proposals released to the management center on the sponsor due date.

Communication Expectations

- Within **two business days** of POC assignment, the PI (or designee) and the POC should agree on a work plan and timeline for development of the proposal package.
- To the best extent possible, the PI (or designee) will communicate a timeline that estimates when the necessary information will be provided to the POC.
- The PI (or designee) and POC will, on an as-needed basis, provide status updates to the proposed timeline highlighting changes to the proposed plan.

Exceptions to the Submission Process

Exceptions to this policy, in particular exceptions to the timeline, require approval by the associate dean for research, who will review the circumstances leading the need for the exception and will determine if the research team can accommodate processing the proposal.