

**I. TITLE:**  
**PROPOSAL SUBMISSION POLICY**

**II. POLICY STATEMENT:**

This policy's purpose is to ensure that proposal packages are submitted to the Office of Research and Sponsored Programs (ORSP) within the timeframe specified in this policy document, so the package can be thoroughly reviewed before it is submitted to the external agency.

The Office of Sponsored Programs (ORSP) at Alabama State University is responsible for submitting all applications for external funding. Therefore, it is the responsibility of ORSP to (a) verify institutional support, validate administrative, fiscal, and programmatic information, and (b) make certain the proposal complies with university and sponsor policies. The proposals often follow specific deadlines in response to a Request for Proposal (RFP). By submitting proposals at or near the sponsor's deadline, significant workflow complications may arise for ORSP and the units and an increased risk of missing sections that are not compliant and have inadequacies in the budgeting and formatting content.

ORSP is dedicated to providing proposal submission assistance to faculty and staff with the highest possible quality of services. The regulations and institutional policies we follow are extremely complex. Prior to submission to the sponsor, proposals must be reviewed thoroughly and in a timely manner. To this end, ORSP will have to work closely with the Principal Investigator (PI) and review the guidelines carefully, along with the administrative and budgetary aspects of the proposal.

**III. SCOPE OF POLICY:**

This policy applies to the routing and submission of applications to external funders for funds supporting sponsored research, service, educational and scholarly projects by faculty, staff, and administrators at the University. ASU's proposal routing and submission policy aims to improve collaboration among units that support faculty members' efforts to obtain sponsored research funding from external sponsors.

PIs should not submit directly to a sponsor unless stated explicitly in the RFP; if that is the case, the PI remains accountable to ORSP for meeting the required deadlines. ORSP must review and approve all proposals. ORSP may not be able to accept an award if a proposal is submitted without notification, or it may be necessary to revise the proposal after it has been reviewed, which will delay the award. ORSP recognizes that a proposal may have to be prepared late for various reasons. If, however, proposals are not submitted within the required number of business days, ORSP will not submit them. The purpose of this is to ensure that all PIs receive the best possible administration, financial, and compliance reviews for their materials.

Under extenuating circumstances, a college/department may request an exception. If an exception is requested, only one will be allowed per college/department per fiscal year, and this request must be submitted via email through ORSP and must be approved by the President. Proposals received after the deadlines will not be prioritized ahead of proposals that meet the requirements. **Note: ORSP will make reasonable efforts to complete the review process and submit RFPs to the grant funding agency before the deadline.**

This policy and sponsor submission requirements must be adhered to mitigate any potential issues with the proposal.

**IV. EFFECTIVE DATE:**

Immediately upon approval by the ASU Board of Trustees.

**V. AUDIENCE:**

ASU faculty and staff involved in preparing proposals intended for submission to external funding sources are subject to this policy.

**VI. DESIGNATED RESPONSIBILITIES AND APPLICABILITY OF POLICY:**

*Principal Investigator (PI):*

- Initiates the proposal development.
- Certifies that the information included in the proposal is accurate.
- Assures the project aligns and enhances University's goals and objectives.
- Confirms commitment to outlined proposal.

*Department Chair:*

- Promote faculty and staff awareness of this policy
- Acknowledges and approves the sponsored project.
- Attest to academic purposes of the proposed budget.
- Assures adherence to University and regulatory compliance.
- Review and approve proposals

*Dean/Vice President:*

- Acknowledges and approves contents of the proposal.
- Concurs with the substance and merit of the proposal.
- Confirms proposal is consistent with the role, scope, and mission of the department.

*ORSP Administrator:*

- Assures the proposal has been reviewed by appropriate persons.
- Reviews budgets for appropriate financial requirements.
- Assures the proposal meets the requirements of the potential sponsor.

*Grants and Contracts Accounting*

- Assures costs are allowable.

- Ensures all other financial requirements of the proposal are appropriate and comply with University and other regulatory guidelines.

*Director of Research and Sponsored Programs*

- Ensures all budgets are accurate and well developed.
- Confirms the proposal is consistent with the role, scope, and mission of the department.
- Reviews the merit of the proposal.
- Coordinates routing, approval, and submissions.

*Provost and Vice President for Academic Affairs*

- Attest to the merits of the proposal.
- Confirms that the proposal is of value and should be sustained upon submission.
- Ensures curriculum, programmatic, personnel, and other factors that may impact the University are evaluated.
- Approves the proposal.

*Vice President for Business and Finance*

- Ensures all budgets are accurate and well developed.
- Verifies and approves cost share/match and assures all costs are allowable.
- Ensures all other financial requirements of the proposal are appropriate and comply with the University and other regulatory guidelines

*President:*

- *Confirms concurrence with the submission of the proposal.*

**VII. POLICY MANAGEMENT**

- **Responsible Office(s):** Office of Research and Sponsored Programs, Academic Affairs
- **Responsible Executive:** Office of the President
- **Responsible Officer(s):** Director of Research and Sponsored Programs, Associate Vice President for Institutional Effectiveness, Provost and Vice President for Academic Affairs, Vice President for Business and Finance

**VIII. DEFINITIONS:**

- **External Funder:** An outside entity or individual who provides sponsored project funding supporting research and development, service, educational and scholarly activities.
- **Late Proposals:** A proposal is considered late when a PI, the administrator, or the departmental/college provides the complete proposal to ORSP with less than **10 full business days prior to the submission deadline.**

ORSP will make reasonable efforts to review and sign-off on late proposals subject to the additional approval requirements described in “At-Risk Proposals” and “Steps for ensuring a successful proposal submission” stated below. ORSP cannot ensure the same proposal service levels for late proposals, which may jeopardize receipt by the sponsor.

- **Principal Investigator (PI):** A Principal Investigator (PI) is a faculty or staff member who bears responsibility for the intellectual leadership of a project. The primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policies governing the conduct of sponsored research.

The PI accepts overall responsibility for directing the research, financial oversight, and compliance with relevant University policies and sponsor terms and conditions of external funding awarded for a project.

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

#### **IX. PROCEDURES:**

Please refer to the ORSP Policy and Procedural Manual for more information on proposal processing and submission procedures.

#### **Document History**

*Approved by BOT February 3, 2022*