TEXAS TECH UNIVERSITY
HEALTH SCIENCES CENTER™
EL PASO

Office *of* Research
Sponsored Programs

Proposal Submission Policy: "30-10-5-2"

Summary

The preparation and submission of grant applications to external agencies is a team effort. Success hinges on timely and effective communication between the project team and the administrative collaborators at the department and institutional level. With the goal of crafting a policy that works well for all stakeholders, this proposal submission policy for TTUHSC El Paso has been updated, effective August 3, 2022. This updated policy incorporates more flexibility for principal investigators (PI), department chairs/deans and grant administrators, and responds to the variable nature of funding opportunity announcements.

Proposal Preparation Timelines and Deadlines

All sponsored project proposals requesting funding for extramural support of research, training or other activities conducted at Texas Tech University Health Sciences Center at El Paso (TTUHSCEP) are submitted through Sponsored Programs (SP). The timely submission of sponsored project documents and budgets ensures sufficient opportunity for the thoughtful consideration and review for compliance with university policies, sponsor guidelines and all relevant laws and regulations. To ensure all PIs have fair and equitable access to SP services and to help facilitate the timely review, approval and submission of all proposals the following timeline has been established.

PROPOSAL DEADLINES	
At least 30 calendar days prior to agency deadline (*earlier is better*)	PI creates Cayuse proposal record completing **all** sections (except those marked "SP Only") and **uploads the personnel worksheet**. All subawardees must be specified when creating the Cayuse record.
10 business days prior to agency deadline	PI must submit the following **final** files in PDF format (unless specified otherwise in the sponsor guidelines) to SP by 9 a.m.: budget, budget justification, letters of support, and a biosketch for all key personnel. Additionally, a **draft** project summary, specific aims or abstract should be submitted. SP will review documents, make or request any required edits and route the proposal in Cayuse within 2 business days.

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5 business days prior to agency deadline	PI submits all remaining proposal files in PDF format (unless specified otherwise in the sponsor guidelines) to SP no later than 9 a.m. The project description (specific aims, project narrative and references cited) may be penultimate[1] versions.
5 business days prior to agency deadline (continued)	All other files should be final. After review, SP will upload final and penultimate files in Cayuse. If any edits to the final files are required, SP will advise the PI of the changes needed. With the exception of the penultimate version, all other files should remain final.
2 business days prior to agency deadline for electronic proposal submissions **or** **3 business days** prior to agency deadline when a hard copy must be mailed	No later than 9 a.m., PI submits **final** project description (specific aims, project narrative and references cited).
1 business day prior to agency deadline for electronic proposals **or** **2 business days** prior to agency deadline when a hard copy of the proposal must be mailed	SP submits/mails proposal to sponsor

[1]next to last version with only minor edits remaining

All proposals that meet established deadlines will be processed by SP first. Deadline is defined as the date any required document(s) must be submitted to SP. If the 30-day or 10-day deadline falls on a holiday or weekend, the deadline will automatically be extended to the next business day. However, if the 5-day or 2-day deadline falls on a holiday or weekend, the deadline will be automatically updated to reflect the last business day **prior** to the deadline. If any deadline established by this policy is missed, the proposal will be considered late. Late proposals are at risk for submission failure and provide a disadvantage to on-time proposals. Additionally, a late proposal means there will be less time to correct any errors identified by SP staff, the sponsor's electronic systems or to contend with system delays. However, SP is aware that circumstances

beyond the control of the PI and emergency situations can arise. Therefore, to ensure consistency and fairness to all PIs, the following criteria for late proposals has been established:

1. All late proposals will **require** the approval of the department chair and the Vice President for Research (VPR). To request permission the **VPR Late Proposal Approval Request** form will need to be completed, signed and submitted to the VPR.
2. If a funding opportunity is posted within the required 30-day notification window, VPR approval ***will not be required***.
3. If a PI is invited to submit a proposal with another institution as a subawardee outside the 30-day notification window, a late form ***will not be required***. The PI should contact the associate managing director of sponsored programs to discuss a timeline.
4. Exception requests submitted to the VPR **within three business days** of the funding agency due date **will require a high level of justification and will be subject to approval based on SP's current workload**.
5. Circumstances beyond the control of the PI and emergency situations should be rare and do not include such things as international travel of the PI, departmental or project team staffing shortages, signatures missing on routing documents or failure of subrecipients to return documents/proposals with enough time to meet established deadlines as these and other similar issues are expected to be managed when planning for the proposal.
6. Late proposals, approved to proceed by the VPR, will be processed on a first-come, first-serve basis **after** all on-time submissions have been completed.
7. SP staff will do its best to submit VPR approved late proposals, but cannot guarantee late proposals will be processed in time to meet the sponsor deadline.

Pre-Proposals, Letters of Intent or Pre-Applications
All pre-proposals, letters of intent and pre-applications **should** be started by the lead PI in Cayuse a **minimum** of 30 days prior to the sponsor's deadline and the proposal submission timeline established by this policy should be followed. If any of the deadlines established above are missed, a VPR Late Proposal Approval Request must be submitted.

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Roles and Responsibilities

To ensure successful, timely and effective communication between the project team and the administrative collaborators at the department and institutional level, the following roles and responsibilities have been established.

Principal Investigators are responsible for

1. knowing, understanding and complying with submission deadlines discussed in this policy;
2. engaging SP as early in the process as possible;
3. reading the sponsor guidelines;
4. ensuring he/she meets PI eligibility;
5. completing **all** sections of the Cayuse record not marked "SP Only" and uploading the signed personal worksheet a **minimum** of 30 days prior to the sponsor deadline;
6. ensuring the correct funding announcement number or link has been entered in Cayuse;
7. discussing effort requirements with his/her department chair;
8. completing the Subrecipient vs Contractor checklist for each subawardee listed on the proposal, if applicable;
9. communicating proposal deadlines to **all** subawardee PIs;
10. providing the fully signed PI exception form to SP, if applicable;
11. developing and preparing proposals for external funding in accordance with sponsor guidelines and university policies;
12. ensuring proposals adhere to formatting requirements;
13. ensuring all proposal documents are provided to SP as separate **PDF** files unless otherwise specified in the sponsor guidelines;
14. ensuring **new** proposal files are provided to SP for **each** new submission or resubmission;
15. ensuring **new** letters of support are provided to SP for **each** new submission or resubmission;
16. ensuring all personnel listed in their proposal have a current financial conflict of interest disclosure on file;
17. ensuring **scientific** completeness of the proposal; and
18. obtaining a signed letter of transmittal from SP **before** submitting a proposal when the sponsor **requires** the PI to submit.

Co-PIs, Co-Investigators and/or Collaborators are responsible for

1. informing his/her department chair when participating in another PIs proposal;

2. providing a **new** letter of support to the PI for inclusion in each new or resubmission proposal; and
3. obtaining written approval from his/her department chair if participating as a collaborator on a TTUHSCEP proposal.

Department Administrators are responsible for
1. knowing and understanding the proposal submission policy;
2. confirming SP is aware of a prospective proposal when assisting a PI;
3. helping PIs determine the appropriate title and salary levels of TBD positions that will be listed in the proposal budget; and
4. assisting PIs with the travel budget (per diem, lodging, transportation, etc.)

Department Chairs and Deans are responsible for
1. knowing and understanding the proposal submission policy;
2. knowing and understanding that authorizing a proposal is acceptance of the amount of effort the PI/Co-Investigator is committing as well as all budgeted amounts, including cost share;
3. reaching out to the PI or SP for additional information when necessary; and
4. reviewing all proposal elements before authorizing a proposal.

Sponsored Programs is responsible for
1. ensuring compliance with solicitation and/or sponsor guidelines;
2. checking the accuracy of administrative and institutional information (contact information, DUNS number, EIN, etc.);
3. ensuring all regulatory requirements (conflict of interest, IRB, IACUC, IBC, etc.) have been satisfied;
4. requesting and verifying the accuracy of subrecipient proposal packages;
5. entering salary and fringe information on the SP budget template and providing it to the PI for completion of remaining sections;
6. reviewing the final budget and final budget justification;
7. reviewing matching and cost sharing requirements and commitments;
8. ensuring F&A rates and calculations are correct;
9. making certain that proposed contract award language conforms with University policies;
10. checking that any potential conflicts of interest have been managed or eliminated;
11. evaluating potential export control issues;

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12. ensuring all required representations and certifications are included and signed;
13. reviewing the proposal for **administrative** completeness;
14. requesting proposal corrections after reviewing penultimate files;
15. routing the proposal for signatures in Cayuse;
16. ensuring all approvals have been obtained before a proposal is submitted; and
17. submitting the proposal to the sponsor or providing a signed transmittal letter delegating submission authority to the PI when **required** by the sponsor.

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