Proposal Development & Submission Policy

HOWARD UNIVERSITY

Policy Number:	600-003
Effective Date:	April 3, 2007
Last Updated:	April 3, 2007
Issuing Authority:	Vice President for Research and Compliance
Responsible Office:	Academic Department, and Office of Sponsored Programs/Research Administration

Purpose:

To outline the policy governing the submission of external funding proposals.

Policy:

It is the policy of Howard University and all related entities, business units, subsidiaries and affiliated organizations including, but not limited to, Howard University Hospital (hereinafter referred to collectively as "Howard University") to create and preserve a structure and timeline for the development and submission of proposals for external funding. This structure and timeline is provided in more detail below.

Proposal Development

The PI is responsible for completing the following documents and performing the following actions during the development of a proposal:

1. Application to Seek Off-campus Funds
2. Budget
3. Budget justification
4. Statement of Work
5. All completed information required by sponsor
6. Conflict of Interest form for all key personnel (if required by sponsor)
7. Obtaining Dean and Department Chair Approval for Cost Sharing (at their discretion for approval)
   http://www (place holder for link to VPRC website).edu
8. Obtaining Provost approval for additional space (if necessary)
9. Notifying institutional committee if applicable and obtaining approval (if necessary)
   - Human subjects (http://www.huirb.howard.edu/about.html)
   - Animal subjects (http://www.huiacuc.edu)
   - BioSafety (Annex II, Room 215, 806-5340)
   - Radiation Safety (Annex II, Room 211, 806-7216)
10. Facilities and Administrative Cost Waiver/Reduction Form (if necessary)
    http://ora.howard.edu/forms/internal/acrobat/facilities.pdf - search=%22F%26A%20Waiver%20Form%22

Additional requirements may need to be completed when developing particular proposals. The individual leading the proposal submission and the conduct of a subsequent award is the Principal Investigator/Project Director (PI/PD). Normally, the PI/PD is a Howard University faculty member. However, it is possible for any employee with the appropriate credentials to serve as a PI/PD. Eligibility will be determined on a case-by-case basis and will be based primarily on consistency with the university

mission, sponsor requirements, and the ability of Howard University to support the initiative (e.g., meet administrative requirements such as financial reports and invoices, dedicate space, etc.).

All proposals for external funding are submitted to the Office of Sponsored Programs Research Administration (OSP/RA) prior to agency submission. Submission of proposals through a single office enables Howard University (through OSP/RA) to review proposals for consistency with university policies and compliance with external regulations. Most sponsors require funding proposals to be submitted and administered by the institution and will not accept submissions from an individual investigator. OSP/RA has the authority to submit proposals for Howard University on behalf of the PI/PD. By submitting the proposal, both Howard University and the PI/PD agree to follow the sponsor's guidelines that include, but are not limited to, the monitoring of expenditures, invoicing, and the submission of financial reports. PI/PDs are strongly encouraged to notify their assigned Research Administrator (RA) if they are planning to submit a proposal in the near future. **The Assistant Vice President of Sponsored Programs (AVPSP) may turn down an award for a proposal submitted without OSP/RA approval.**

It is important to provide OSP/RA with adequate time to review and prepare all proposal documents prior to the submission of the proposal. The proposal and supporting documents should be submitted to OSP/RA in the same format required by the sponsor (either hard copy or electronic submission). When proposals are submitted for OSP/RA review, the documents must be in final form. "Final form" is defined as a proposal that is complete and contains all necessary sponsor and internal university forms and documentation.

Hard Copy Submission
Proposals must be in final form to include: original copy w/ FINAL technical portion, completed/signed Application to Seek Off-Campus Funds, FINAL budget, complete OSP/RA copy and all additional copies required by sponsor.

Electronic Submission
Proposals must be in final form to include: All electronic versions complete and released to OSP/RA in addition to original hardcopy w/ FINAL technical portion, completed/signed Application to Seek Off-Campus Funds, and FINAL budget.

Deadline for Submission to OSP/RA
All proposals (electronic and hard copy) must be in final form and received by OSP/RA by 10:00 a.m. no later than 5 business days prior to the proposal submission deadline date.

Proposals Submitted after the OSP/RA Deadline
NOTE: OSP/RA makes every effort to submit proposals prior to the sponsor's deadline. Proposals submitted to OSP/RA less than 5 business days prior to the sponsor's deadline are not guaranteed timely submission due to potentially inadequate time for review and processing to meet the sponsor's deadline.

Business Process Description:

The PI/PD and/or department personnel identify funding opportunities and prepare the proposal. This includes completing and/or collecting all required documents, and submitting the completed proposal to OSP/RA for review by the deadline.

Once the proposal, and all necessary documentation, is submitted to OSP/RA, the Administrative Aide (AA) conducts an initial review to ensure that all required documents are included. The AA logs the proposal into the Pre-Award Database and then distributes the proposal to the appropriate RA. The RA assigns an OSP/RA number and then reviews the proposal and required documents to ensure they are complete and accurate. The RA works with the PI/PD to resolve any outstanding issues prior to proposal submission. The OSP/RA Manager performs the final review of the proposal and signs the proposal on behalf of the University. The RA submits *electronic proposals* to the agency/sponsor. However, the PI/PD submits *hardcopy proposals* to the agency/sponsor with a request to have the award notification sent to OSP/RA.

Roles and Responsibilities:

Academic Department
- **Principal Investigator/Project Director (PI/PD):** The PI/PD is responsible for identifying funding opportunities and preparing the proposal. The PI/PD is also responsible for completing and/or collecting all required internal and external documents, including any prior approvals required by the sponsor (e.g. NIH prior approval for projects with direct expenses greater than $500,000 in one year), and submitting the completed proposal to OSP/RA for review. If there are cost sharing or other requirements of Howard University resources (e.g., additional physical space), the PI is responsible for acquiring the appropriate approval signatures prior to submission of the proposal to OSP/RA. If the proposal includes human or animal subjects, the PI/PD is responsible for obtaining IRB and/or IACUC training and beginning the approval process prior to submission of the proposal to OSP/RA.
- **Department Chair:** The Department Chair reviews the proposal and approves the proposed effort of the PI/PD and other department personnel. If cost sharing or matching funds from the department are included in the proposal, the Department Chair must approve the cost sharing and identify the accounts from which the cost sharing will be expensed. (See the Cost Sharing Policy.) The Department Chair must approve any request for additional space. The Department Chair should also review the technical sections of the proposal to verify that the PI/PD can meet the commitments outlined in the proposal. The Dean and Department Chair must support any deviation from Howard's full federal indirect cost rate (F&A) in the proposal's budget with final approval from the Chief Financial Officer (CFO). (See the Direct and Indirect Cost Charging Policy.)
- **Dean:** The Dean approves the proposal budget, proposed effort, and the use of department or college funds for cost sharing or matching funds in the proposal. The Dean must approve any request for additional space made in a proposal by faculty in the college. The Dean should also review the technical sections of the proposal to verify that the PI/PD can meet the commitments outlined in the proposal. The Dean and Department Chair must support any deviation from Howard's full federal indirect cost rate (F&A) in the proposal's budget with final approval from the Chief Financial Officer (CFO).

Office of Sponsored Programs / Research Administration (OSP/RA)

- **Administrative Aide (AA):** Receives the proposal and conducts an initial check to ensure that the proposal contains all required documents. The AA logs the proposal into the Electronic Mail Log and assigns an OSP/RA number. The AA then distributes the proposal to the appropriate Research Administrator. To obtain contact information and school/college assignments for the Research Administrators, please visit the below website. http://ora.howard.edu/aboutora/ra.htm
- **Research Administrator (RA):** The RA reviews the proposal and required documents to ensure they are complete and accurate. The RA works with the PI/PD to resolve any outstanding issues.

- **OSP/RA Manager:** The OSP/RA Manager performs the final review of the proposal and signs the proposal on behalf of the university.

Office of the Senior Vice President, Chief Financial Officer and Treasurer
- **Senior Vice President, Chief Financial Officer and Treasurer:** The CFO provides final approval for any deviation from Howard's full federal indirect cost rate (F&A) in accordance with the Direct and Indirect Cost Charging Policy.

Related Policies and Procedures:

- Conflict of Interest Policy
- Cost Sharing Policy
- Institutional Committees Approval Policy
- Award Approval and Set-Up Policy
- Direct and Indirect Cost Charging Policy

Forms and Links:

- OSP/RA Website – External funding opportunities
  http://ora.howard.edu/forms/ext.htm
- OSP/RA Website – Conflict of Interest Forms
  http://ora.howard.edu/funding/int.htm

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