

# Proposal Submission Procedure

## Overview

To ensure compliance with internal and external policies and regulations, Kennesaw State University requires all proposals for externally sponsored projects to be submitted through Sponsored Programs Administration (SPA) in the Office of Research. Proposals may not be submitted directly to the funding source without the prior approval of SPA. SPA is committed to working with investigators to finalize submissions and providing the best possible review to ensure submission of the highest quality proposal. Thorough review prior to submission increases the probability of funding and provides the basis for easy transition to post-award if the proposal results in an award.

Sufficient time is necessary to verify a proposal's compliance with the numerous sponsor requirements, including but not limited to those set forth in specific solicitations, sponsor guidelines, and the OMB Uniform Guidance, in addition to KSU institutional policy. Proposals should be submitted as early as possible to allow for a comprehensive review which helps ensure that all forms comply with these requirements and minimizes the risk of the proposal being rejected due to errors.

## Definitions

- **Final Form:** An application that is ready for SPA submission at any time (i.e., SPA could submit to sponsor within 2 minutes or 2 days after it's routed to SPA) and has completed internal routing via Cayuse. SPA may need to provide additional documentation or signatures, but everything else is in its final form.
- **Full Review:** A full review ensures compliance with both KSU and sponsor requirements, and is provided for proposals submitted to SPA by 8:30 AM 5 business days or more prior to the submission deadline on the program announcement.
- **Limited Review:** A limited review ensures compliance with KSU requirements and is provided for proposals submitted to SPA between 8:31 AM 5 business days before the sponsor deadline and up to 5:00 PM 3 business days prior to the sponsor deadline. A limited review does not provide a check for compliance with the sponsor's guidelines.
- **At-Risk Proposal:** Any proposal received less than 2 full business days prior to the funding agency's deadline.

## Procedure Statement

This procedure defines the expected timeline for submitting applications for sponsored funding to SPA in advance of the funding agency deadline, and the associated level of review conducted by SPA Administrators based on the timing of proposal submission to SPA. This procedure will apply to all applications for external funding, regardless of funding source (federal and non-federal) or submission method (SPA or PI submission).

**When a proposal is due outside of normal business hours (8:30 AM - 5:00 PM, Monday - Friday), the deadline will be considered as 5:00 PM on the deadline day if during a regular working day. Proposals with due dates falling on weekends or holidays will be considered due the following business day. SPA staff is not available past 5:00 PM or outside of normal business days for proposal submission.**

An Intent to Submit Form (ITS) and the link to the Funding Opportunity Announcement (FOA) or any other available details for the solicitation should be submitted online as soon as the intent to submit a proposal is known and/or minimally 10 business days prior to the sponsor's proposal deadline. With at least 10 business days' notice, SPA Pre-Award staff will ensure understanding of all requirements for submission and also monitor any changes that may occur in the deadlines or submission procedures. Further, SPA will note and alert the investigator and departmental support of any unusual, new or atypical submission requirements in order to allow ample time to ensure these requirements are fully addressed.

### **FULL REVIEW**

For proposals submitted to SPA in their final form with a lead time of 5 full business days<sup>1</sup> prior to the Submission Deadline, SPA staff will provide a full review within 16 business hours to ensure the submission is compliant with both KSU's and the sponsor's requirements. Any known terms and conditions of the sponsor that would be binding upon the issuance of a resulting award will also be reviewed for acceptability under KSU policy.

Provided that any (and only) SPA-identified changes are made in a timely fashion by the PI or his/her Project Team, final proposals received by SPA by the 5-business day internal deadline will be submitted by the submission deadline and successfully received by the sponsor. In addition, SPA guarantees that the proposal will not be administratively returned by the sponsor without review or declined for funding on the basis that an item on SPA's Full Review Checklist is non-compliant.

### **LIMITED REVIEW**

For proposals submitted to SPA in their final form with a lead time of 4-3 full business days prior to the submission deadline, SPA will guarantee that the proposal will be submitted by the submission deadline, provided any SPA-identified changes are completed in a timely fashion by the PI's team and SPA staff have prior experience with the sponsor's electronic proposal submission system (if applicable). However, with this shorter lead time, SPA will give the proposal a limited review for compliance with KSU's requirements; it will not provide a review for compliance with the sponsor's guidelines. As a result, SPA cannot guarantee that a proposal receiving a limited review will be complete or correct when submitted, nor that SPA could accept the terms of an award on behalf of KSU.

### **AT-RISK PROPOSALS**

Any proposal received less than 2 full business days before the sponsor deadline is considered "late" and will be handled on a first-come, first-served basis after the review/submission of proposals submitted on time. Late proposals may receive only a limited review. Reasonable efforts will be made to complete the review and submission process before the funding agency's deadline. However, a successful submission cannot be guaranteed due to the high volume of proposals at major deadlines. SPA is not responsible for failed submissions of any proposal received less than 2 business days prior

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<sup>1</sup> For complex proposals, such as NIH P or U series mechanisms or those with significant international involvement, an additional 3 business days is required due to the additional administrative and/or regulatory requirements.

to the sponsor deadline. Additionally, there is no guarantee that KSU will be able to accept the terms and conditions of any award resulting from a late proposal.

Late proposals are considered at-risk proposals and must be accompanied by a Late Submission Waiver Request Form signed by the investigator’s Dean or Chair as well as the Vice President for Research.

Please note that at-risk proposals will NOT be prioritized over proposals submitted on time.

**Additionally, proposals received *less than 4 hours* prior to the deadline will not be submitted to the sponsor.**

**SUMMARY OF SERVICE LEVELS**

SERVICE LEVEL STANDARD	Full Business Days Prior to Submission Deadline that Final Proposal is Received in SPA		
	Review Levels		At Risk
	Full Review ≥ 5 Business Full Days	Limited Review < 5 to 3 Full Business Days	<2 Business Days
Proposal Checked for Compliance with KSU Requirements	✓	✓	✓
Proposal Submitted by Submission Deadline	✓	✓	
Proposal Checked for Compliance with Sponsor Guidelines	✓		
Terms & Conditions Binding Upon Award Reviewed for Acceptability	✓		
Proposal Successfully Received by Sponsor	✓		

**TIMING EXAMPLES:**

Sponsor deadline falls on a Tuesday at 5 PM:

- Full Review for proposals submitted to SPA by 8:30 AM the preceding Tuesday.
- Limited Review for proposals submitted to SPA by 8:31 AM the preceding Tuesday through Thursday at 5:00 PM.
- At-Risk proposals submitted after 5:01 PM Thursday up to 1:00 PM the day of the deadline.

Sponsor deadline falls on a Saturday or Sunday, the submission deadline is considered to be Monday.

Sponsor deadline falls on a Monday which is a holiday, the submission deadline is considered to be Tuesday.