**Proposal Submission Process for Sponsored Programs**

**(NOVEMBER 2021)**

**Purpose and scope:**

SEAS seeks to improve the proposal submission workflow process. Understanding the critical importance of sponsored program funding and it is the mission of SEAS Pre-Award to ease the PIs’ burden of grant proposal submissions and provide PIs the greatest possible chance of success in securing extramural funding. Each proposal submission requires an extensive amount of communication and numerous documents that ultimately must be assembled into a cogent proposal that ensures accuracy and prevents sponsor rejection of a proposal because of administrative errors.

It is well established that early preparation and timely pre-submission review improves the process and increases the chances of proposal success. Thus, it is our goal to maximize PIs’ time to focus on the project narrative and to provide ample time to review each submission and therefore provide each submission the greatest possible chance for success.

This policy describes an optimal timeline for the submission of documents and information that allows for adequate time for successful proposal preparation. To ensure clear communication, this policy describes electronic resources that go beyond e-mail to facilitate clear communication between the PI and submitting administrator.

**Should an intent to submit a proposal request be received by Pre-Award later than 15 days prior to the sponsor deadline, please understand that late submissions cannot change the deadline for submission to ORS.**

**SEAS PROPOSAL INTAKE FORM:**

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| **15+ Business Days Prior to Sponsor Deadline** | **PI notifies Pre-Award of intent to submit proposal, utilizing the Proposal Intake Form** |
| **13-14 Business Days Prior to Sponsor Deadline** | **Staff will be assigned to manage the process. Draft budget and budget justification and checklist will be initial items.**  |
| **7 Business Days Prior to Sponsor Deadline** | **Finalize budget and budget justification** |
| **6 Business Days Prior to Sponsor Deadline** | **PIs and assigned staff work on all required documents for proposal submission** |
| **4-5 Business Days Prior to Sponsor Deadline** | **Provide assigned staff with all finalized proposal documents**  **to upload to PennERA** |
| **3 Business Days Prior to Sponsor Deadline** | **Proposal in final form sent to ORS to review. ORS feedback addressed** |
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**Sponsor’s deadline:**

The timeline assumes a sponsor’s deadline is 5:00 pm on the deadline day. If the sponsor’s deadline time is earlier than 12:00 pm, the timeline deadlines for proposal preparation will be shifted back by one full business day. If the sponsor allows submission later than 5:00 pm, Close of business (5:00 pm) on the deadline day will be considered the deadline even if the sponsor allows submission after 5 pm

**OPTIMAL Proposal submission timeline:**

**15 business days prior to the deadline** PI will email preaward@seas.upenn.edu the following information:

* Proposal deadline, title and number for solicitation (or copy of solicitation), proposed start and end dates of proposal, contact information for all investigators and sub-awardees, contact information for sub-awardee grants officers.
* Pre-Award will acknowledge and begin to triage which staff person will manage this proposal.
* Within 2 business days of assignment, the staff person assigned to this proposal will reach out to the PI with a checklist for components required by the solicitation
1. **business days prior to the deadline** PI will work with the staff to develop the following documents:
* draft budget, draft budget justification,
* Subawardee(s) information – contacts, documents & statement(s) of work

**7 business days prior to the deadline** PI will submit to the staff (as applicable):

* All sub-award documents
* Final budget will be in place as well as final budget justification.

**5 business days prior to the deadline**

 PI and Pre-Award staff will ensure that all non-technical sections of the proposal are prepared in accordance with the sponsor’s requirements and are uploaded in the applicable electronic system required for submission to the sponsor (e.g. NSF Fastlane; NIH). These documents may include but are not limited to: bio sketch, current & pending, conflict of interest form, facilities, equipment, other resources document, key personnel, any other supporting documents specifically requested by the program.

**12 noon - 3 business days prior to the deadline:**

* Full proposal sent to ORS: After ORS review, the staff will notify the PI if there are any changes needed and/or additional documents or other items required to complete the proposal in accordance with sponsor and University requirements/policy.
* PI will submit to the staff: final technical section of the proposal.
* Staff will notify the ORS the final proposal is uploaded and ready for review

**ORS will submit the proposal no later than the sponsor’s deadline** or by 5:00 pm on the deadline day if sponsor’s deadline time is later than 5:00 pm and send confirmation of submission to the PI and staff.

**In rare cases where the sponsor requires the PI to submit the proposal,** ORS will notify the PI and staff of its approval to submit. This will occur in time for the PI to perform the submission and meet the sponsor’s deadline. In these cases, the staff or PI will be responsible for notifying ORS by e-mail that the proposal was submitted and ensuring that no changes were made to the proposal after approval by the ORS.

**For sponsors that do not designate a deadline**, the Research Office will submit the proposal within 5 business days from the day the proposal is submitted in its final form to the Research Office.