



**West Virginia  
University  
Office of Research**

RO Policy #: 2

<b>Policy Name:</b>	Submission of Proposals for Extramural Support
<b>Issue/Effective Date:</b>	July 15, 2015
<b>Revision/Effective Date:</b>	

**POLICY STATEMENT:** All proposals requesting extramural support through WVU or WVURC (“WVU/WVURC”) that may result in the award of a grant, contract, or cooperative agreement, including new, continuation, and renewal requests, must be reviewed and approved by the Research Office (“RO”) through its Office of Sponsored Programs (“OSP”) prior to being forwarded to a prospective external sponsor for funding consideration.

**Purpose:**

The purpose of this policy is to establish requirements for the timely submission and institutional review of proposals seeking the extramural support of research, training, and service projects and programs.

**Definitions:**

- Designated Approver – individuals designated by a Dean to review and approve proposals on his/her behalf. Also, includes a West Virginia University Center Director or designee authorized to approve for a Center.
- Business day(s) – every official working day of the week. These are the days between and including Monday to Friday and do not include any University holidays, weekends, or days when the University is closed.
- Clinical trials - any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes.
- Final – complete and ready for submission to a sponsor for review.
- For-profit - denoting an organization that operates to make a profit as opposed to not-for-profit, charitable organizations or foundations.
- OSP operating hours - extend from **8:15 a.m. until 4:45 p.m. Eastern Time.**
- Sponsor – means any entity from whom financial or other tangible support is requested for the research, training, and other mission activities of West Virginia University, directly, or through the West Virginia University Research Corporation.
- Sponsor established deadline – the formal, written deadline established by a sponsor for the receipt of proposals in response to requests for application, requests for proposals, broad agency announcements, or program announcements.
- Proposal - technical project descriptions, scopes-of-work, project discussions, methodologies, budgets, budget justifications, required sponsor forms, declarations, certifications, facilities and equipment descriptions, curriculum vitae (Biosketches) and letters of support to be submitted in combined form to prospective sponsors (*i.e.* Review Package + Proposal Narrative Sections).
- Proposal Narrative Sections – in this policy, the technical project descriptions, scopes-of-work, project discussions, methodologies, project summaries, facilities and equipment descriptions, curriculum vitae (Biosketches) and letters of

support prepared or collected by a Principal Investigator/Project Director for submission to a sponsor as part of a Proposal.

Review Package – in this policy, the non-technical components (*i.e.* **excluding** Proposal Narrative Sections) of a Proposal as described in *WVU/WVURC Review Package and Deadlines*, below.

West Virginia University Center – collaborative or multi-disciplinary research units that have been designated West Virginia University Centers (WVUC) by the Provost and Vice President for Research and Economic Development.

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## POLICY ELEMENTS:

Complete, Final Proposals should be received in OSP 5 business days before the sponsor's established deadline. In the event that the complete, Final Proposal cannot be submitted 5 business days before the sponsor's established deadline, the complete Review Package, as described below, must be received 5 business days in advance in order to establish priority in the OSP Proposal submission queue. Review Packages received **after** the 5 business day WVU deadline will be reviewed and submitted by OSP as time and workload permit **after** Review Package deficiencies are corrected and Proposal Narrative Sections (described below) are provided to OSP by the PI/PD. OSP must receive the Final Proposal Narrative Sections 1 business day prior to the sponsor's established deadline. **OSP is not permitted to submit Proposals that have deficiencies or inaccuracies in Review Package components, regardless of sponsor deadlines.**

### WVU/WVURC Review Package, Proposal Narrative Sections, and Deadlines

All Review Package components must be **complete** prior to submission for WVU/WVURC approval.

A **Review Package** includes the following components:

1. All sponsor-required forms, documents, transmittals, signature documents, *etc.*
2. All Grants.gov package requirements except the final Proposal Narrative Section(s) (*Grants.gov proposals, only*)
3. All sponsor-required certification or compliance documents
4. A brief summary of the proposed sponsored activity presented in lay terms and in sufficient detail to accurately summarize the work to be performed (*This summary **will not be forwarded** to the sponsor by OSP.*)
5. A final budget, in sponsor format and including a budget justification narrative that may not be modified or substituted for unless changes are requested by OSP.

**Proposal Narrative Sections** include the following:

1. One-page project summary (*if required by sponsor*)
2. Technical project descriptions, scopes-of-work, project discussions, methodologies, *etc.*
3. *Curriculum vitae*, bio-sketches, *etc.* (*if required by sponsor*)
4. Facilities and equipment descriptions (*if required by sponsor*)
5. Letters of support (*if required by sponsor*)

### Review Package requirements

- All Review Packages must receive approval by a Dean or Designated Approver and be 'Submitted to OSP' before they can be reviewed, signed, or submitted to the sponsor by OSP.
  - OSP will not monitor Review Packages for approvals other than those of a Dean or Designated Approver. Deans or Designated Approvers may establish additional internal review processes and timelines at their discretion.
- All Review Packages must be approved through the Electronic Blue Sheet (EBS) review system prior to submission to sponsors.
  - **NOTE:** All sponsors that require or allow for electronic submissions whereby the PI may create a 'parallel proposal' through a non-University system (*e.g.*, NIH ASSIST, AHA, EERE, ARPA-E, ProposalCentral, NSF FastLane, *etc.*) must satisfy the WVU/WVURC Review Package requirements in those systems and be **accessible to the OSP reviewer** through the sponsor's electronic proposal system **at the time the EBS has been approved by the Dean or Designated Approver and has been**

**“Submitted to OSP” through EBS. Such parallel proposals must be identical to the Review Package approved through EBS and be completed within the timeframes discussed in this policy.** Parallel proposals that are inconsistent with the EBS approved Review Packages may result in delayed approvals and submissions.

### **Deadlines**

- Review Packages approved by a Dean or Designated Approver must be received by OSP **5 full business days** prior to a sponsor's established deadline.
  - Review Packages for programs **without sponsor established deadlines** will be reviewed by OSP in order of receipt from Deans or Designated Approvers through EBS.
  - Review Packages received after the 5 full business day deadline will be reviewed and submitted to the sponsor only after OSP has conducted a thorough review of the Review Package, all deficiencies are corrected, and the Proposal Narrative Sections have been incorporated as discussed, below. Late Proposals may not be submitted by the sponsor's established deadline.
- All Proposals will be reviewed and submitted by OSP when complete and in the order in which the Review Packages are received.
- WVU/WVURC deadlines are applicable to all Proposals except those being submitted to **for-profit sponsors** where there is no established sponsor deadline and **clinical trials** that are wholly-funded by for-profit sponsors. Such Proposals will be reviewed in Final form within the 5 full business day review period – which begins on the date the Dean or Designated Approver forwards the approved Final Proposal to the OSP via EBS.
- Proposals to be submitted to sponsors (e.g. DoE) that require that the components of the Review Package and Proposal Narrative Sections be submitted in a seamless, single document (i.e. no separate files, forms, or individually segregated sub-sections) should be received by OSP in Final form 5 full business days prior to the sponsor's established deadline. If this is not possible, OSP must receive the approved Review Package components for such programs, complete and in Final form, 5 full business days in advance of the sponsor's deadline in order to establish OSP review and submission priority. The complete, Final Proposal must be submitted to OSP 1 business day prior to the sponsor deadline if there are NO changes to the previously submitted and approved Review Package components. Final Proposals submitted with **modified** Review Package components must be re-approved by the Dean or Designated Approver before OSP can submit the Proposal.
- Review Packages submitted to OSP must be **complete** and in **Final form**.
  - **Changes to Review Packages** that have been approved by a Dean or Designated Approver cannot be made unless OSP requests that the Review Package be modified due to a deficiency.
  - **Incomplete Review Packages** cannot be reviewed by OSP - regardless of whether the 5 full business day deadline is met - and will be returned to the PI. Such incomplete submissions do not establish review priority in the OSP proposal review queue for that Review Package. Resubmitted, complete Review Packages will be reviewed within 5 full business days.
  - **Review Packages substituted** for Review Packages previously approved by a Dean or Designated Approver are subject to a new 5 full business day review period regardless of the type or significance of the changes made to the substituted Review Package.

### **OSP Proposal Review**

The OSP will evaluate Review Packages for -

- consistency with University policy and business practices,
- completeness and consistency with sponsor requirements, including, requests for application, broad agency announcements, and requests for proposal information and certification requirements,
- budget and budget justification accuracy, and
- OSP will review and submit proposals during normal OSP operating hours.

Final Proposal Narrative Sections received 5 full business days **before** sponsor established deadlines will be reviewed for consistency with sponsor formatting requirements. Proposal Narrative Sections that do not arrive in OSP 5 full business days before a sponsor established deadline **will not be** reviewed for consistency with sponsor formatting requirements.

- **NOTE:** OSP cannot begin the review or negotiation of contracts or other negotiable award documents until a proposal has been approved by a Dean or Designated Approver.

**Review Packages Returned to PI**

Review Packages that contain either significant deficiencies (e.g. incomplete forms, certifications, etc.) or substantive errors in the final budget or budget justification included in the Review Package will be returned to the PI and **must be reapproved by the Dean or Designated Approver** before OSP can continue its evaluation of the Review Package and submission of the complete Final Proposal.

Submission of Proposal Narrative Sections to OSP

Proposal Narrative Sections **may be submitted** with the Review Package 5 full business days prior to a sponsor-established deadline.

- Final Proposal Narrative Sections **must be provided** to OSP at least **1 full business day** (24hours) prior to the sponsor’s established deadline.
  - o In **PDF format** - unless the sponsor will not accept PDF
  - o OSP **will not** review Program Narrative Sections submitted **after** the 5 full business day review period begins for compliance with sponsor-established formatting requirements (e.g. page limitations, font size, or other formatting requirements).
- OSP will combine the Final Proposal Narrative Sections with the components of the Final Review Package to create the approved Final Proposal that will be submitted to the sponsor.
- **For Proposals without sponsor-established deadlines, the Final Proposal (comprised of Review Package and Proposal Narrative Section elements) must** be submitted in consideration of a 5 business day review period.

OSP will submit the approved Final Proposal as per the instructions included in the approved EBS.

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**Entities Affected by this Policy:**

Principal Investigators/Project Directors	Schools/Colleges
Office of Sponsored Programs	Centers and Institutes

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**Monitoring:**

This policy will be evaluated on a continuing basis through assessments of daily operations. Incremental policy adjustments will be made, as needed. An annual review of the policy will be conducted by the Director of the Office of Sponsored Programs and the Associate Vice President for Research to determine the effectiveness of the policy in meeting WVU and sponsor requirements. The results of the annual review will be provided to the Vice President for Research and Economic Development with recommendations for modifications to the policy.

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**Documentation and Records Management:**

WVU/WVURC proposal records will be accessible through electronic data management systems and hard-copy files maintained by OSP and other WVU entities processing transactions related to proposals.

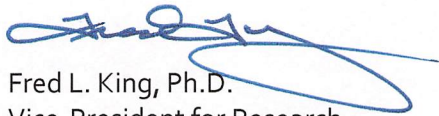
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**Management Information:**

*Implementing Executive:* Director, Office of Sponsored Programs  
*Responsible Office:* Office of Sponsored Programs (OSP)  
*Contact:* Janet Boyles, Manager, Pre-Award Services

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**Approval:**



Fred L. King, Ph.D.  
Vice-President for Research  
and Economic Development