3. Proposal Submission Policy

3.1. Policy Statement

3.1.1. It is the policy of University of Missouri – Kansas City (UMKC) to require the timely submission of complete proposal packages to the Sponsored Programs Office in accordance with the time line established within this policy.

3.2. Reason for Policy

3.2.1. As an organization submitting proposals for external funding, UMKC is subject to numerous sponsor requirements, including but not limited to those set forth in specific solicitations, sponsor guidelines, and the OMB Uniform Guidance, in addition to UMKC and UM System policies.

3.2.2. Sufficient time is necessary to verify a proposal's compliance with those requirements, as well as ensure an overall level of quality assurance, prior to the application's deadline. Allowing adequate time for the Sponsored Programs Office to conduct a thorough review will provide opportunities for proposal corrections to be made, if necessary, and maximize the overall opportunity for proposal success.

3.2.3. Every effort is made to ensure successful proposal submission regardless of when final proposals are submitted to Sponsored Programs. There are several challenges, that are beyond the control of the University, which can be mitigated when proposals are submitted to Sponsored Programs sufficiently in advance of the sponsor deadline, including:

3.2.3.1. Grants.gov has a stated processing time of 2 – 4 days with no tolerance if errors exist and cannot be corrected before the deadline.
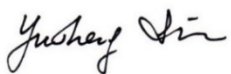
3.2.3.2. Federal agency servers routinely crash during peak demand times that occur when hundreds of institutions submit proposals at the same time. No tolerance is given, for server errors, to last minute proposal submitters by any of the federal

3.2.3.3. sponsors.

3.2.3.4. Alternative proposal submission pathways (other than Grants.gov) can add complexity to proposal submission and can require additional assistance to ensure successful submission.

3.3. Who Should Know This Policy

- Principal Investigators (PIs)
- School Deans/Department Chairs

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- Departmental Support Staff
- Sponsored Programs

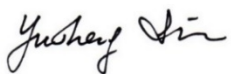### 3.4. Proposal Submission Policy

3.4.1. Introduction:

3.4.1.1. Effective 11/1/2019, this policy defines the expected timeline for submitting external applications, for sponsored funding, to Sponsored Programs in advance of the funding agency deadline, and the associated level of review conducted by Sponsored Programs based on the timing of proposal submission. This policy will apply to all applications for external funding, regardless of funding source (federal and non-federal) or submission method.

3.5. SP Submission Deadlines:

Sponsored Programs Due Date *(in Advance of Sponsor Deadline)*	As soon as known or 10 Business Days	5 Business Days	3 Business Days
Required Proposal Components	• Verbal or written communication of intent to submit a proposal • Funding Opportunity Announcement (FOA) link/document	• Fully approved PeopleSoft pages • Completed internal UMKC documents (e.g., investigator form, FCOI annual disclosure, [CITI](#) training, Request for Reduction or Waiver of Indirect Costs (as applicable), etc.) • Budget and budget justification • Subcontractor documentation (as applicable)	Final proposal, ready to submit

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3.5.1. Verbal or written communication of intent to submit a proposal and the link to the Funding Opportunity Announcement (FOA)/request for funding document or any other available details for the solicitation should be provided to the designated Sponsored Programs Pre-Award Administrator as soon as the intent to submit a proposal is known and/or minimally 10 business days prior to the sponsor's proposal deadline.

3.5.2. The following components of a proposal, including a detailed budget, budget justification, together with the completed and approved PeopleSoft pages* and other required internal forms must be received by Sponsored Programs at least 5 business days prior to the sponsor's deadline. Sponsored Programs welcomes earlier submission of documents.

> *Requesting a PeopleSoft page is the first step in UMKC's grant application process—and it's a requirement for every new or transferring proposal that needs a university signature. PeopleSoft is the university tool to manage and track your research and service projects throughout the life of a grant—from application to closeout.
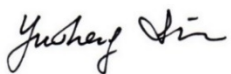
3.5.3. The final proposal must be received by Sponsored Programs at least 3 business days prior to the sponsor's deadline.

3.5.4. Submissions, meeting the above requirements, received on or before the five business day deadline will be considered "on time". Once the final proposal is submitted, in accordance with this policy, Sponsored Programs will initiate the full review and no further revisions will be accepted, including changes (to the final proposal budget. Only revisions to correct issues identified by Sponsored Programs will be allowed).

3.5.5. Proposals that do not meet the deadlines established in this policy will still be allowed to move forward with submission but will receive a cursory review, if any, provided the amount of time to submission deadline, with the goal to assure (to the degree possible) that it is not rejected from the electronic submission vehicle. See below for details on the level of review based on Sponsored Programs submission timing.

3.5.6. If the sponsor specifies a deadline day that falls on a holiday (to include the institutional winter break) or weekend, Sponsored Programs will infer a deadline day of the prior business day unless the sponsor clearly indicates they will accept proposals the following business day. If the sponsor specifies a deadline time after 5pm, all Sponsored Programs' reviews and signatures will need to be in place by 5pm. Please work with your Pre Award Administrator to ensure we can best support you.

3.6. Minimum Requirements for Review:

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3.6.1. This policy is designed to streamline the Sponsored Programs process to review relevant/critical documents. The minimum administrative components allow Sponsored Programs to conduct a meaningful review of the application. The solicitation guidelines, request for PeopleSoft pages and FOA link must be submitted to Sponsored Programs as early as possible or at least 10 business days in advance of the sponsor deadline.
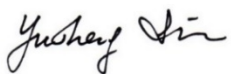
3.7. Service Level Commitment:

3.7.1. Sponsored Programs is committed to supporting UMKC investigators by assuring timely review and submission of complete and accurate proposals that have the best chance possible of success in the sponsor review process. In order to provide the greatest possible benefit to UMKC's sponsored proposals, balance the service and needs of all UMKC's investigators and capitalize on Sponsored Programs' expertise, Sponsored Programs has defined the following minimum service level commitment for proposal review based on the timeframe of proposal submission to Sponsored Programs in advance of the sponsor's deadline:

3.7.1.1. **Solicitation Details Received As Soon As Available or 10 Business Days in Advance**
With at least ten business days' notice, Sponsored Programs' PreAward Administrators will ensure understanding of all requirements for submission and also monitor any changes that may occur in the deadlines or submission procedures. Further, Sponsored Programs will note and alert the PI and departmental support of any unusual, new or atypical submission requirements in order to allow ample time to ensure these requirements are fully addressed.

3.7.1.2. **Proposals Received Three (3) Business Days in Advance** For final proposals submitted to Sponsored Programs three business days in advance of the sponsor's deadline, Sponsored Programs offers a comprehensive review which includes:

- Comparing the proposal to the sponsors' guidelines, including:
  - Font type and size
  - Margins
  - Page limits for sections and proposal
  - Completeness for inclusion of all required sections and forms

- Verifying accurate budget calculations, appropriate F&A and fringe rates

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- Verifying cost sharing is in line with sponsor requirements and UM System policy
- Verifying institutional information (e.g., DUNS, contact information, etc.)
- Checking and clearing errors generated by Grants.gov and/or Sponsor's proposal submission system

3.7.1.3. Proposals Received Less than Three (3) but More than One (1) Business Days in Advance

In order to appropriately prioritize those proposals that are submitted to Sponsored Programs within the defined 3-Day timeframe, proposals with the administrative components received less than 3 (but more than 1) business days in advance of the sponsor deadline will receive a scaled back review which will include, at minimum, the following:
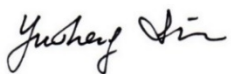
- Comparing the proposal to the sponsors' guidelines, specifically for any items that may prevent successful submission
- Verifying appropriate F&A and fringe rates
- Verifying cost sharing is in line with UMKC policy
- Verifying institutional information (e.g., DUNS, contact information, etc.)
- *PLEASE NOTE – THIS LEVEL OF REVIEW IS HIGHLY DEPENDENT ON THE VOLUME OF PROPOSALS THAT ARRIVE LESS THAN 3 BUSINESS DAYS IN ADVANCE*

3.7.1.4. Proposals Received One Business Day or Less in Advance

Due to time constraints, proposals received less than 24 hours (or one business day) in advance of the sponsor's deadline will receive a minimum review with the goal to assure (to the degree possible) that it is not rejected from the electronic submission vehicle. *Please note, proposals submitted less than 24 hours in advance risk rejection by sponsors, or potentially late submission.*

3.8. Potential Consequences for Proposals Submitted to Sponsored Programs Late:

3.8.1. Sponsored Programs reserves the right to process proposals submitted late only after all other on-time proposals due that same day have been submitted.

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3.8.2. Proposals are rejected/invalidated via the electronic submission interface (over which Sponsored Programs has no control) and time does not allow for a second attempt at submission.

3.8.3. Proposals are successfully submitted, but time does not allow for the correction of any errors or further changes identified by the investigator or Pre-Award.

Requests for Sponsored Programs comprehensive review outside the deadlines (e.g. proposal submitted less than 3 business days in advance but a request is for comprehensive review outlined in the3 business day review (3.7.1.2)) **can only be granted by the Vice Chancellor for Research**. To request such a consideration please contact Dr. Yusheng Liu at 816 235-5839 or y.liu@umkc.edu.
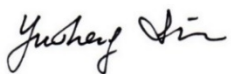
3.9. Roles & Responsibilities

3.9.1. **High-level roles and responsibilities related to proposal development, review and submission are outlined below.**

3.9.1.1. **Principal Investigator – Responsible for:**

- The content and management of the entire application
- Reviewing the solicitation and understanding sponsor technical and administrative requirements of the funding opportunity and proposal package
- Ensuring proposal submissions are compliant with UMKC institutional policy and incorporate all sponsor requirements
- Submitting the complete proposal components to Sponsored Programs by the deadline set forth in this policy
- Being available to Sponsored Programs for any questions or follow-up during the proposal review and submission process
- Submitting final Sponsored Programs approved proposals via certain sponsor-specific portals when the sponsor specifies the PI, and not the institution, must submit and confirming successful submission with Sponsored Programs.
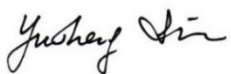
3.9.1.2. **Departmental Administrative Support Staff- Responsible for:**

- Serving as a resource for the PI on the development and preparation of administrative components of the proposal or PeopleSoft Pages.

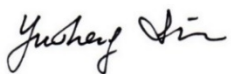| Previous Version Dates:	
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- Assisting the PI in submitting the complete proposal to Sponsored Programs by the deadline set forth in this policy
- Being available to Sponsored Programs for any questions or follow-up during the proposal review and submission process

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3.9.1.3. Sponsored Programs- Responsible for:

- Serving as a proposal administration resource and providing advisory services related to sponsored proposals

- Reviewing solicitation guidelines to identify, understand and communicate any atypical, new or changes to application requirements

- Promptly reviewing proposals submitted by the internal deadline in order to ensure compliance with sponsor and institutional requirements

- Conferring with the PI and Department Administrative Support Staff regarding any revisions needed to the proposal

- Submitting proposals via certain sponsor-specific portals, monitoring status to ensure successful submission and coordinating with PIs to address any errors

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