

May 9, 2008

I wish to inform you of an important change in policy with respect to the establishment of a deadline for the submission of proposals to the Office of Research and Sponsored Projects Administration (ORSPA). As you know, ORSPA's mission includes facilitating the submission of sponsored project proposals to external sponsors and assisting ASU faculty and researchers comply with the multitude of budgetary and external regulations; these regulations (as I'm sure you will appreciate) have gotten more and more complex over the recent years.

While some agencies allow an easy electronic upload, others require more complicated processes, involving multiple steps for both the Principal Investigator and for ORSPA. We thus find it necessary to establish an internal deadline for submission of proposals to ORSPA so that this office can provide adequate and timely support to ASU's investigators.

As our volume of sponsored project funding has increased significantly, and as we submit more and more proposals it has become necessary to institute more formal procedures due to this increased volume. In performance of our due diligence, we reviewed the policies of many institutions across the country - their internal deadlines tended to range from 3 – 7 business days. After consultation and advice from the Research Council we decided to be liberal and set our internal deadline at 3-days. Thus, **effective September 1, 2008**, *all proposals (whether submitted to a federal or nonfederal sponsor; whether submission is electronic or paper) must be received in ORSPA at least three (3) full business days prior to the agency's deadline date.* Proposals will be date stamped and processed in the order received.

ORSPA will **guarantee** an on-time submission for those proposals submitted in final (i.e., ready to submit) form three-business days prior to the sponsoring agency's deadline. If your final proposal is not submitted by the three-day deadline, ORSPA will not be able to guarantee review and timely submission of your application. We want to assure you, however, that all proposals will be processed (even those not received 3 days in advance of the deadline) to the best of ORSPA's ability in order to meet the sponsor's deadline; however proposals received within the 3-day deadline window will be given priority. We fully recognize that faculty do not intentionally submit late proposals and we understand the pressure that you face in compiling a competitive proposal; however, this 3-day window is required for proper review and timely submission.

Early submitters will receive faster responses to their proposal submissions, have greater access to ORSPA staff, and have more time to make any necessary corrections. Final, completed, proposals must be accompanied by a fully-signed Proposal Routing & Approval form (ORSPA 300A Form). ORSPA will work with you and with your Research Advancement staff to review and approve budgets and other relevant routing sheet requirements prior to the 3-business day deadline. As you are aware, rather than just "pushing the button" to submit your proposal ORSPA performs many important (and ABOR-delegated) fiduciary functions before your proposal is submitted. ORSPA is required to:

- Provide a review against sponsor requirements to ensure proposal is responsive;
- Ensure appropriate University approvals have been obtained;

- Review matching and cost sharing requirements and commitments (if any)
- Ensure proper F&A and Fringe Benefits calculations;
- Check the accuracy of administrative and institutional information;
- Ensure all regulatory requirements have been satisfied;
- Ensure proposed contract award language conforms with University policies;
- Check that any potential conflicts of interest have been managed or eliminated and that the proper certifications have been filed;
- Evaluate potential export control issues;
- Review your proposal for other compliance issues (e.g., animal care, human subjects);
- Guarantee that all required representations and certifications are included.

We have had, unfortunately, several instances (in recent months) whereby proposals submitted at the last moment were rejected by the sponsor without review; if these had been submitted in a more timely manner the errors could have been corrected and the proposals reviewed. In one case the most recent version of Adobe Acrobat was not used; in several other instances the proposal arrived in ORSPA so late that an on-time submission was not possible. I am confident this additional lead time will give ORSPA (and you) the time needed for repeated submissions of the same proposal due to proposal errors or system delays and still meet the sponsor's deadline.

We recommend that you incorporate this submission deadline into your proposal preparation timeline (we know that many departments and centers have internal deadlines of their own, so if this is applicable to you, please take this into account). If you have any questions about this new policy, please contact Debbie Shaver, Director Research Administration at deborah.shaver@asu.edu for additional information. I thank you for your cooperation.

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