

## Policy Statement

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It is the policy of the Loyola University Chicago Health Sciences Division (HSD) to require complete proposal packages to be received timely in the Office of Research Services (ORS) in accordance with the timeline established within this policy. The Office of Research Services represents the institutional authority for HSD.

This policy does not preclude exceptions to the proposal submission timeline that may be judged appropriate under particular circumstances, and those exceptions shall be determined by either the Provost or Vice Provost for Research.

## Reason for Policy

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As an organization submitting proposals for external funding, Loyola University Chicago HSD is subject to numerous sponsor and institutional policy requirements, including but not limited to those set forth in the OMB Uniform Guidance.

Sufficient time is necessary to verify compliance with those policies, verify and approve all commitments for space, mitigate financial risk, improve institutional awareness, and ensure an overall level of quality assurance prior to application deadlines in order to allow time for proposal corrections to be made, if necessary, and maximize the overall opportunity for proposal success. As a result, all applications or proposals for external funding must be received, reviewed, and approved by ORS prior to being submitted to any sponsor or funding agency.

## Who Should Know This Policy

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- Principal Investigators
- School Deans/Department Chairs
- Grant Administrators / Department Administrative Support Staff
- Office of Research Services
- Other: \_\_\_\_\_

## Proposal Submission Policy

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### Introduction:

This Operating Policy defines the expected timeline for submitting applications for sponsored funding to ORS in advance of the funding agency deadline and the associated level of review conducted by ORS Research Administrators based on the timing of proposal submission to ORS.

### **ORS Submission Deadlines:**

The complete administrative components of a proposal, including a final budget, together with the fully approved Research Channel Routing Form must be received by ORS at least 5 business days prior to the sponsor's deadline. A fully approved Research Channel Routing Form includes Department Chair approval, completion of the conflict of interest questionnaires by all project personnel, and any other required reviews. The final scientific components of the proposal must be received by ORS at least 3 business days prior to the sponsor's deadline.

Proposals that do not meet the deadlines established in this policy will still be allowed to move forward with submission but will receive a minimum review with the goal to assure (to the degree possible) minimum acceptability with LUC and LUMC policies and that the proposal is not rejected from the electronic submission vehicle. See below for details on the levels of review based on ORS submission timing.

### **Levels of Review:**

Based on the timeframe of proposal submission to ORS in advance of the sponsor's deadline, ORS commits to the following levels of review:

ORS is committed to supporting HSD 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. To succeed in this goal, ORS offers an enhanced review for complete proposals submitted internally 5 business days in advance of the sponsor's deadline.

- **Proposals Received 5 Business Days in Advance**

Complete proposals received by ORS 5 business days in advance of the sponsor's deadline that include all application components in the final form with the exception of the scientific components (which must be received 3 days in advance), the review will include:

- Verifying budget calculations, rates, and cost sharing
- Verifying institutional information (e.g., DUNS, contact information, etc.)
- Comparing the proposal to the sponsors' guidelines, including:
  - Checking for items that may trigger errors within Grants.gov and/or sponsor's proposal submission system
  - Format
  - Page limitations
  - Inclusion of all required sections

- **Proposals Received 2-4 Business Days in Advance**

For proposals received by ORS 2-4 days in advance of the sponsor's deadline, and/or scientific components received less than 3 days in advance, the review will include (at minimum):

- Comparing the proposal to the sponsors' guidelines, specifically for any items that may prevent successful submission
- Verifying budget calculations, rates, and cost sharing
- Verifying institutional information (e.g., DUNS, contact information, etc.)

- **For Proposals Received 1 Business Day or Less in Advance**

Due to time constraints, proposals received within 24 hours (or one business day) of the sponsor’s deadline will receive a minimum review with the goal to assure (to the degree possible) that it is not rejected by the sponsor’s proposal submission system. Please note, proposals submitted less than 24 hours prior to the deadline risk rejection by the sponsor for errors on the applications or potentially late submission. These are risks borne solely by the Principal Investigators.

**Potential Consequences for Proposals Submitted to ORS Late:**

- ORS reserves the right to pull any proposal submission if compliance risks are identified after submission has occurred.
- Proposals are rejected/invalidated via the sponsor’s proposal submission system (over which ORS has no control), and time does not allow for a second submission attempt.
- Proposals are successfully submitted, but time does not allow for the correction of any errors or further changes identified by the investigator.

For all proposals, ORS will communicate with the Principal Investigator and the Department/Grants Administrator when a proposal will receive less than a complete review due to time constraints.

**Minimum Requirements for Review:**

This Operating Policy is designed to streamline ORS’s process to review relevant/critical documents while the PI finalizes the scientific components of a proposal. The minimum administrative components allow ORS to conduct meaningful review of the application, while the remaining documents that constitute a complete application are required so that ORS can approve and submit applications or provide institutional endorsement for hard copy submission.

Requirements for Administrative Review (Submitted to ORS minimum of 5 Days in Advance)	Scientific Requirements for Review, Approval & Submission (Submitted to ORS minimum of 3 Days in Advance)
Approved Research Channel Routing Form	Project Summary/Abstract
Sponsor Guidelines	Project Narrative
Sponsor Application Form (completed with the exception of scientific components)	Bibliography and References Cited
Final Budget with Budget Justification	Specific Aims
Subaward Documents (if applicable)	Research Strategy
All Sponsor forms requiring HSD/LUMC signature	Human Subjects
Facilities and Other Resources	Vertebrate Animals
Equipment	
Complete Biosketches	
Letters of Support	
Other required forms	

## Roles & Responsibilities

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### Principal Investigator - Responsible for:

- Understanding sponsor requirements of the funding opportunity and proposal package.
- Ensuring proposal submissions are compliant with LUC and LUMC institutional policy and incorporate all sponsor requirements.
- Submitting the complete administrative and scientific proposal components to ORS by the deadlines set forth in this policy.
- Understanding the elements of proposals that could necessitate additional review and approval by both LUC and LUMC and for allowing additional time for such a review, if applicable, prior to submission of proposal documents to ORS.

### Grant Administrators / Department Administrative Support Staff - Responsible for:

- Serving as a resource for the PI on the administrative components of proposals.

### ORS- Responsible for:

- Promptly reviewing proposals submitted by the internal deadlines in order to ensure compliance with institutional and sponsor requirements.
- Conferring with the PI and/or his/her Department/Grants Administrator regarding any revisions needed to the proposal.
- Ensuring institutional approval of the complete and final proposal.
- Submitting proposals via sponsor proposal submission systems, monitoring their status to ensure successful submissions and coordinating with PIs and their Department/Grants Administrators to address any errors.

## Related Forms

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- Research Channel Routing Form

## Contacts

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Topic	Responsible Unit	Contact Information
Policy Questions	Office of Research Services	Susan Pugl, x68537 <a href="mailto:smeyer1@luc.edu">smeyer1@luc.edu</a>