THE PROPOSAL PROCESS OVERVIEW

IDENTIFY FUNDING SOURCE

The Principal Investigator (PI) identifies a source of possible funds. Some assistance may be obtained through announcements and other funding opportunities provided by Research Information Services.

SUBMIT AN INFORMATION SHEET

When the PI has identified a potential sponsor for a project and has determined that he or she is interested in submitting a proposal, the first step should be the submission of a Proposal Information Sheet. The information sheet allows for the assignment of the Proposal Development Specialist (PDS) who will assist the PI throughout the proposal process.

The information sheet should indicate the web address for the guidelines, project period, any IDC limitations, project credit splits for PI and Co-PIs plus other answers to common questions that will be needed for the creation of the proposal routing forms (pink sheets). The pink sheets are the official university routing documents that will be attached to the proposal and sent through the approval process.

Submission of the Information Sheet results in the first review by the Office of Technology Development for any patent or other intellectual property issues.

NOTE: The data from the Information Sheet (such as PIs/Co-PIs or credit splits) may be updated as the proposal is developed—do not hold an information sheet until the final proposal is ready to submit. Early submission will allow the PDS and PI to work together to resolve any issues that may potentially delay the internal routing and ultimately the submission of the proposal.

LIMITED SUBMISSION COMPETITIONS

Some sponsors limit the number of nominations or proposals that the OU campus may submit to a particular program. Limited submission competition announcements soliciting individual nominations or brief proposal abstracts are distributed via email by the Office of Research Services (ORS). The Vice President for Research (VPR) and the Executive Director of ORS review the nominations or proposals and select those that most closely match the sponsor's interests and have the best opportunity for success. The review may also include an administrative officer from another college if the situation warrants.

PROPOSAL ROUTING

All proposals and pre-proposals which include budget information or a total cost estimate must be routed through the University for review and approval. Any exceptions to the routing process must be determined by the appropriate Office of Research Services (ORS) official.

At a minimum, the PI must provide the PDS with an abstract or statement of work, a detailed budget, budget justification, any required signature pages, documentation of any cost sharing, and any other pertinent information needed to complete the proposal routing forms. If a subcontract with another agency is proposed, the sub recipient's official commitment letter agreeing to participate and stating the requested budget amount, along with a statement of work, detailed budget and budget justification must be provided before the routing process can begin.

The PDS is responsible for reviewing the budget for current and appropriate rates and salary amounts, verifying the credit splits, entering cost sharing commitments, generating the pink sheets, and compiling the routing package. The PDS will generate any certifications or assurances required by the guidelines. If OU is requested to be a subcontracting partner, the PDS will initiate the official commitment letter that is required by the lead organization.

The pink sheets are routed through the University for review and approval by the following personnel: the principal investigator *, who assumes responsibility for the intellectual quality of the work, the reports required, and the expenditures other than those earmarked for the department, school, or college, while also assuring that he/she is in compliance with all applicable academic requirements; the budget unit head and dean of the college**, who respectively confirm that the budget and academic unit and college requirements are satisfied, and the Office of Research Services, who assumes responsibility for seeing that the University administrative requirements are satisfied.

* Each faculty member (PI/Co-PIs) or other university members (staff or administration) participating in the project must sign the routing sheets regardless of project status or compensation earned.

**Departments, schools and colleges are expected to review proposals when they are routed through their offices. By signing off on the proposal routing form, the department, school and college indicate that the proposed project has their approval.

If the proposal has a compliance issue (see next section), there may be other university officials involved in the review and approval process.

If the proposal has a short turn around time, the PI may need to provide someone to walk it around campus for signatures.

Note: The routing process is not completed until the Sponsored Programs Coordinator in the Office of Research Services has signed the proposal. Submissions made prior to approval

from ORS are not officially approved and may be administratively withdrawn if the submission is found to be non-compliant with university or agency requirements. **Submissions made without ORS approval will not participate in the standard SRI distribution.** If you have submitted a proposal without ORS review, please notify us immediately so we can work with you to route your proposal for the necessary approvals.

COMPLIANCE REVIEWS

If the project will involve compliance issues such as Recombinant DNA & Biohazard Safety, Human Subjects research, Animal research, the use of Radioisotopes, or Export Control issues, the PI may need to obtain approval letters from appropriate departments prior to the routing and/or submission of the proposal.

Other forms that may be needed for the routing process include the double SRI form, conflict of interest form, etc.

If cost sharing will be requested from the Vice President for Research, then that should be requested as soon as the amount and specifics are determined. Requests for cost sharing must be approved in writing or by signature on the routing sheets by the University component providing the funds.

SUBMISSION OF PROPOSALS

The PI may choose to mail the proposal or request that Proposal Services submit it to the sponsor. The PI and PDS work together for the submission to be made by the stated deadline.

If the PI elects to mail the proposal, the PDS will contact him/her when the necessary reviews and signatures have been obtained. At this point, the proposal is cleared for submission.

If Proposal Services is to submit the proposal, the complete mailing address must be provided on the Information Sheet or clearly stated in the agency guidelines. Please note that express carriers will not deliver to a post office box, and that they require a complete street address. If a sponsor phone number is available, it should also be provided on the Information Sheet. **The home budget unit of the PI will be charged for any express courier service used for submission.**

Due to the volume of proposals received and the uncertainties of the postal service, proposals that are to be sent via U. S. mail and which require a postmark by a specific date should be received by the ORS with enough lead time for copying and packaging prior to the postmark date. Faculty submitting proposals with a receipt date should also take into consideration weekends and holidays and the effect they may have on delivery time.

Depending on the submission deadline, the PI may need to make copies of the proposal or ensure other actions are taken. If the proposal is being submitted electronically, please give the PDS access to the system as soon as possible. Even with a short deadline, you must allow sufficient time for the Office of Research Services to check for university and sponsor compliance.

This completes the proposal process. After the submission is made the proposal is then in pending status. If the proposal is selected for funding, the award negotiation and Post Award Financial Services personnel in the ORS will assist with negotiation and account set up.

BUDGET REVISION

Whenever any change is to be made in the budget of a pending proposal that has already been submitted to a sponsoring agency, the ORS must be notified. The appropriate Sponsored Programs Coordinator will notify the PI if the revised budget must be processed and rerouted for university approval. If a reroute is necessary, the revised budget, justification and any accompanying change in the scope of work must be processed with the same signatures as the original proposal to ensure that all parties who signed the original are aware of any changes which might affect the original approval.