Research Proposal Roles and Timelines

College of Built Environments Dean's Office

Purpose

To clarify the [roles and responsibilities](#) of the Principal Investigator (PI), the departments, the CBE Finance and Administration Office (FAO)'s Team for Research Administration (TRA), the CBE Office of Research, and the procedures that should be undertaken when submitting a proposal to OSP for review and submission to the sponsor, in alignment with [GIM01 requirements](#).

Definitions

Principal Investigator (PI): A PI is responsible "to ensure that funds are spent appropriately and in accordance with sponsor requirements, UW and Washington state policies, and cost principles." as outlined in [GIM 02.](#)

FAO Grants and Contracts Administration: The CBE Dean's Office (DO) has a dedicated Team for Research Administration (TRA) in the Finance and Administration Office (FAO). The TRA is the point of contact for the college and supports the PIs in the college in developing, submitting, and administering grants and contracts with the UW Office of Sponsored Programs (OSP) and Grants and Contracts Accounting (GCA) under the UW Office of Research.

CBE Office of Research (OR): The CBE Dean's Office has an Associate Dean for Research who supports research broadly across the college and leads the Office of Research (OR).

eGC1: The eGC1 (electronic Grant and Contract form) is a required online UW form. It summarizes information about your grant or contract application and routes it electronically for review and approval before submission to the sponsor. The eGC1 is part of the System to Administer Grants Electronically (SAGE) which is an internal UW compliance and approval routing system. All sponsored program proposals must be reviewed and approved in SAGE by campus units, appropriate compliance offices, and the Office of Sponsored Programs (OSP).

Departmental Unit (DU): The Departmental Unit refers to the academic department of the PI's primary appointment, and is responsible for department-managed grant or contract and application requirements outlined in the policy below.

UW Policy

The UW Office of Research [GIM 01](#) outlines the roles, responsibilities and procedures for the development and submission of a proposal with the Office of Sponsored Programs. It states that,

as an applicant organization, the University of Washington (UW) has an institutional responsibility to verify the eligibility of all sponsored program proposals submitted to a sponsor on behalf of the UW. The institution is also responsible for reviewing the proposal for accuracy, validity, and conformity with institutional and Sponsor policies and guidelines with respect to the administrative, fiscal, and scientific information in the proposal, including the correct application of the appropriate Facilities and Administrative rate. **This responsibility is shared within the institution by the Principal Investigator (PI), the PI's Chair or Director and Dean, and the [Office of Sponsored Programs (OSP)](#).**

CBE Policy

The Dean's Office is responsible for reviewing and approving a proposal for consistency with specific University and College policies, procedures, and deadlines. Examples of review areas:

- Any proposed cost-sharing on behalf of the College and departments within the College is adequately documented, authorized, and approved;
- Matching funds committed by another School or College are confirmed;
- Facilities and other space identified in the Proposal and any new, rental or renovation of space is confirmed;
- College internal deadlines and [GIM 19](#) deadlines are met;
- F&A is accurate for location and activity;
- F&A waivers or GIM 19 waivers, if applicable, are approved by the department chair prior to submission to OSP.

The accuracy and acceptability of information are the exclusive responsibility of the PI, the reviewing Department, and the College. The accuracy and acceptability of the information in the proposal **will not be reviewed by OSP.** The following list specifies items that must be included, with the responsible party noted in parentheses:

- Department or College PI eligibility rules (OR)
- Debarment, suspension, or ineligibility status of key personnel (OR)
- Qualifications and training of personnel to carry out the proposed research or other activity (OR)
- Accuracy of salaries listed for individuals, including faculty, staff, and students (TRA)
- Sufficiency, adequacy, appropriateness, and accuracy of the budget for the proposed research/activity (see [GIM 02](#)) (TRA)
- Correct linking by proposed collaborators in sponsor systems (TRA)
- Grammar, spelling, sentence structure, scientific and technical terminology, punctuation, and abbreviations to maximize clarity and minimize jargon (PI)
- Grant writing including strategy, persuasiveness, and significance (PI)
- Scientific and technical merit (PI)
- Academic value of the research activity (PI)
- Qualifications of subrecipients proposed to participate in the project (PI)
- Correct application of non-research related UW policies, such as academic human resource rules (DU)

- Reasonableness of the commitment of faculty and staff effort, and possible impacts to teaching and other obligations (DU)
- Facilities and resources listed as available for use (DO)

Deadlines

The internal deadlines (days before the funder deadline) for OSP submissions are:
15 business days: Draft budget and budget justification, including approval of Cost Share from the department
10 business days: All final non-scientific documents including subcontracts
8 business days: Draft forms of scientific documents (Statement of Work, etc.)
5 business days: All documents are final by 12:00 pm.
3 business days: OSP final deadline (3 full business days), eGC-1 marked "Ready to Submit"

The deadlines for UW internal award submissions (such as RRF):
11 business days: Draft budget and budget justification
8 business days: All final non-scientific documents
5 business days: Draft forms of scientific documents (Statement of Work, etc.)
3 business days: All documents are final by 12:00 pm.

Procedure

General Procedure

Step 1: When the PI makes the decision to move forward with a submission of a new proposal, they will notify the Team for Research Admin (TRA) (Research Administrator and Grants and Contracts Manager) through the Research Proposal Support Request form. This should be done as early as possible, and can be done well in advance, whenever the PI decides to pursue a submission. This should be done no later than 20 business days before the funder deadline. The [Proposal Support Request Form](#) will need a clear link to the RFP for the TRA to adequately develop proposal deadlines. Note, if you are working closely with the funder to develop the scope of work and the budget, coordinate this with the TRA to streamline the proposal approval process through OSP.

Step 2: When the Research Proposal Support Request form is received, the TRA will send the PI a completed a proposal deadlines document within 3 business days of receiving the request form. The Proposal Deadlines sheet will have all the necessary deadlines and documents required based on the information submitted on the proposal request form.

The updated form may change some of the deadline dates as some items may not be needed. The TRA may request dates with longer deadlines than typical to balance workloads across the college commitments.

Step 3: The PI and TRA members work together to develop proposal documents. As the PIs prepare documents, the TRA will review. The TRA is responsible for entering information into the administrative systems in SAGE.

Letter of Intent procedures:

Letter of Intent procedures will follow the same guidelines as research proposals for notifying the TRA. The TRA will review the Letter of Intent request to determine whether it needs to go to OSP. An updated deadline form will be sent to PIs after the determination is made.

Cost share on awards:

Cost share on awards will need to be notified and approved by the departments or cost share unites before starting an eGC1. On the 15 day deadline, if cost share is marked yes on the CBE research support form, the approval will need to be communicated to the TRA. If the cost share is internal to the UW, the communication needs to be an email from the unit providing the cost share to the PI with cced to the PI's department chair and department administrator. If the cost share comes from a third party, the communication is in the form of a letter on letterhead to the PI.

Faculty buyout on awards:

Faculty buyout on awards will need to be notified and approved by the departments before starting an eGC1. On the 15 day deadline, if faculty buyout is marked yes on the CBE research support form, the approval will need to be communicated to the TRA. The communication needs to be an email that includes the department chair, administrator, and PI.

Human Subjects:

Determine if you will complete an IRB application before the proposal, or note that one will be done if funding is awarded. Indicate that your research proposal includes human subjects on the CBE Research Proposal Support Form.

Procedure for missing a deadline:

If the PI anticipates missing a deadline, they should communicate their constraints and reasons for missing the deadline before the deadline passes. Any missed deadline will lead to a review by the TRA (Grants Manager and Research Administrator) to determine if time is available to complete the proposal with a shorter timeline. Specific considerations may determine the TRA's availability to complete the proposal:

1. Number of other current proposals and other tasks being worked on by the TRA
2. Workload of the proposal (how hard/involved it is to complete)
3. Which deadline is being missed (earlier deadlines are likely okay if PI didn't know about the proposal in time)
4. How frequently the PI misses deadlines
5. Amount of funding on the award

If the 3 day deadline is missed that leads to the necessity of a GIM 19 waiver, the TRA will send the necessary information to the PI and Dean's Office for review of the situation. If the Dean's Office supports the waiver, the PI will ask the department chair to submit a waiver request. The GIM19 form will then be sent to OSP for final approval if the proposal can continue.

If it is determined that this proposal can no longer be completed in time due to the missed deadline, the Research Administrator will notify the Associate Dean for Research and the PI, noting why it can no longer be completed. These communications will include at least one of the reasons listed above with any other documentation.

Initial Author Date: August 8, 2023

Chairs' + Review: August - September, 2023

Last Update: October 16, 2023

Councils Review: November 2023

All-College Review: December 1-15, 2023

Dean's Office Contact:

Mike Bartley, Research Administrator, mtbart@uw.edu

Discussion and Rationale

This section includes a summary of the points of concern raised during the review process from the Chairs+ committee August-September 2023.

"GIM 02" - comments

- This jargon can be daunting, esp for newcomers. Can we explain in a sentence or even footnote what this is to not overwhelm someone newer to the process?

  Response: GIMs are part of the PI training and PIs and college leadership should be familiar with these documents and the policies. If people need support, the staff and CBE_OR are here to help them understand.

"All sponsored program proposals must be reviewed and approved in SAGE by campus units, appropriate compliance offices, and the Office of Sponsored Programs (OSP)." - comments

- Logic flow. This is true, of course, but does it have anything to do with SAGE, which is the focus of the previous sentence? If so, can you clarify the connection?

Response: We clarified that these approvals happen in the SAGE system.

"15 business days: Draft budget and budget justification, including approval of Cost Share from the department. 10 business days: All final non-scientific documents including subcontracts. 8 business days: Draft forms of scientific documents (Statement of Work, etc.). 5 business days: All documents are final by 12:00 pm." - comments

- For proposals that include subcontracts and/or external consultants, when these sub-proposal would be needed? 10 business days?

  Response: Added "including subcontracts". When a PI initiates a proposal the TRA will produce a Proposal Deadline Form that will outline all of the requirements for the specific project.

"The deadlines for UW internal award submissions (such as RRF):" - comments

- This is the first time that this terminology is introduced. Based on my experience with TRB, letters of intent do not include budgetary information (or a EGC1 would be required). They are only qualification statements that interested parties submit, the sponsor selects their top qualified individuals and later enter in conversations for a research contract. Oftentimes, these submissions are only a cover letter and a CV. Requesting 11 business days ahead is over-restrictive. Also, I am not sure the college should decide what needs to go out. Individuals who can serve as PI should be left free to submit this type of letters on much shorter notice. Anyhow, the college (and often OSP) will be called upon approving any contract and its terms.

  Response: Agreed. We clarified that these deadlines are for internal UW awards such as RRF.