



# University of the Virgin Islands

<b>Standard Operating Procedure (SOP) Title:</b> Proposal Review and Submission	<b>SOP Number:</b> OSP-PROPOSAL-003
	<b>Office of Accountability:</b> Office of Sponsored Programs

## I. PURPOSE

This standard operating procedure establishes the requirements for review and submission of all sponsored project proposals to external sponsors.

## II. DEFINITIONS

1. **Principle Investigator (PI) or Project Director (PD)** is the individual designated by UVI and the Sponsor as the person responsible for overall administrative, fiscal, scientific, and technical direction, and conduct of a sponsored project. When there are other PIs on the project they are referred to as Co-PIs. In these cases, the PI assumes the role of lead PI.
2. **Co-Principal Investigator (Co-PI)** is the individual who shares responsibilities for the sponsored project with the PI.
3. **Co-Investigator (Co-I)** is the individual shares responsibilities for performing work under the sponsored project, but does not have fiscal authority unless delegated by the PI.
4. **Sponsored Project** is considered any externally funded research, training, evaluative testing, or public service project directed by UVI PI as part of their university work that requires the university to perform a specific project.
5. **Proposals** are sponsored project submissions including, but are not limited to, new, continuation, renewal, revision, resubmission, federal flow-through to UVI, and supplemental funding.
6. **Subrecipient** is a non-federal entity that receives a subward from UVI to carry out part of UVI's prime award.
7. **Internal Proposal Routing and Approval Form** is the internal form required to be completed when submitting a proposal to OSP for review and submission.

8. **Authorized Organizational Representative (AOR) or Sponsored Project Official (SPO)** is the individual(s) with authorization to submit sponsored project proposals on behalf of UVI.

### III. ROLES AND RESPONSIBILITIES

#### 1. Principal Investigator

- a. Ensure the proposal is complete, accurate, and meets all programmatic, administrative and compliance requirements.
- b. Allow access to the proposal in the Sponsor electronic system, if applicable.
- c. Ensure the proposal is properly routed to the OSP for review and approval.

#### 2. Department Chair and/or Center Director

- a. Promote faculty and staff awareness of this procedure.
- b. Review and approve proposals for:
  1. Consistency with specific department/center policies and procedures as well as various institutional requirements;
  2. Accuracy of budget and ensuring costs are allowable, reasonable and allocable to the project;
  3. Personnel listed are available and qualified to participate and appointment information is accurate;
  4. There would be sufficient facilities and equipment to support the project;
  5. Any Facilities & Administrative (F&A) cost waiver request; and
  6. Cost share commitments provided by the department/center.

#### 3. College/School Dean

- a. Promote faculty and staff awareness of this procedure.
- b. Review and approve proposals for:
  1. The department/center has addressed all department/center-level concerns;
  2. The budgeted costs are fully and appropriately documented;
  3. The project would be in keeping with collegiate objectives, and any project-related commitment of University funds and other resources would be consistent with collegiate objectives.
  4. Any Facilities & Administrative (F&A) cost waiver request; and
  5. Cost share commitments provided by the College/School.

#### 4. Office of Sponsored Programs (OSP)

- a. Reviews all sponsored project proposals.

- b. Assess whether the proposal is complete and conforms with sponsor requirements, UVI requirements, and Federal/State regulations including, but not limited to:
  - 1. The proposal has been completed in accordance with Sponsor guidelines.
  - 2. Budget calculations are accurate and includes appropriate costs including facilities and administrative (F&A) costs.
  - 3. Mandatory cost-share requirements are met and approvals are on file, or, if prohibited by sponsor, cost-share is not presented in the proposal.
  - 4. All proposed subrecipients satisfy OSP's documentation requirements.
  - 5. All required approvals have been documented.
  - 6. Any concerns identified in the review have been documented and the PI and department administrator have been instructed to address the concerns prior to submission if possible, or at the time of award if appropriate.
- c. Identify areas needing clarification or changes outside the scope of the above criteria.
- d. Obtain any additional approvals necessitated by the scope of work or Sponsor guidelines.
- e. Approve and submit the proposal after the OSP confirms the proposal meets the requirements of UVI, Sponsor and applicable rules and regulations.

#### **IV. PROCEDURES**

UVI is responsible for complying with all regulations and requirements guiding sponsored projects. The OSP is the only UVI division authorized to provide official approval for sponsored program proposals to external sponsors. These procedures and deadlines allow for a thorough review and adequate time to make necessary corrections, maximizing the chances for a proposal's success.

##### **Submission to the OSP**

Sponsors may have proposal receipt deadlines that are not consistent with the UVI holiday schedule and/or the UVI's hours of operation. The hours of operation for OSP are 8:30 to 4:30pm, Monday through Friday. If a sponsor deadline falls on a weekend or UVI holiday, proposals must be submitted on the last working day prior to the agency deadline. Working days do not include weekends or official UVI holidays.

In order for OSP to have sufficient time to review proposals for compliance with UVI and sponsor requirements, to assess the project for risks to the UVI as well as commitments of institutional resources (e.g. faculty effort, cost-sharing, etc.), OSP has instituted internal deadlines for all proposal submissions. The *Proposal Review Time (below)* contains a matrix for proposal submission; required documents for OSP review and the timeline for submission.

Letter of Intent (LOI) and Pre-Proposals

In some instances, a sponsor may require a Letter of Intent (LOI) or Pre-Proposal to be submitted for consideration prior to full proposal submission. All LOI or Pre-Proposals which include funding amounts, budgets, or require an AOR to submit must be routed to the OSP for review and submission. LOIs or Pre-Proposals which do not include funding amounts, budgets or require an AOR to submit can be submitted directly to the sponsor by the PI. Please copy the OSP if submitted via e-mail to the sponsor or provide a copy to OSP at [osp@uvi.edu](mailto:osp@uvi.edu).

Full Proposals

When a proposal does not receive a full review due to a late submission, notification will be submitted to the Principal Investigator, with a copy to their Department Chair/Director and Dean notifying them that a “Limited Review or No Review” was conducted.

OSP reserves the right to withdraw a proposal that is submitted without a full review if it is determined at a later date that there were errors or omissions significant enough to justify the withdrawal. When a proposal is submitted to the sponsor with an incorrect F&A rate or undocumented cost-share commitment, if funded, OSP will request corrections to the awarded budget prior to accepting the award even when it affects and lowers the total direct costs for the project.

<b>Review and Submission Type</b>	<b>Full Review</b>	<b>Limited Review</b>	<b>No Review</b>
LOI and Pre-Proposals	2 days	1 day	0 days
Full Proposal: All components - near final drafts and OSP Internal Routing Form	5 days	2 days	1 day
Proposals: Indirect Waiver Requests**	7 days	4 days	2 days
Proposals: UVI Cost Share Requests**	7 days	4 days	2 days

\*\* These require additional review and approvals.

### **Submission to OSP**

- a. The PI routes the OSP internal routing form, proposal/summary, internal budget, and other documents to the Department Chair, Director, and College/School Dean (as applicable). Once signatures up-to-the Dean have been obtained e-mail the documents to [OSP@uvi.edu](mailto:OSP@uvi.edu).
- b. PIs are encouraged to contact the Department Chair, Director, and/or Dean as early as possible, particularly when proposals include release time, or other resources that must be approved by the department or college/school.
- c. All members of the UVI responsible for the sponsored project must review and approve, documenting their accountability.

### **Proposal Review**

OSP will review the proposal to ensure compliance with UVI policies, Federal/State regulations and sponsor guidelines. The OSP will obtain any required approvals as noted in Appendix A. Final review will be completed after all necessary changes are made and all approvals have been obtained.

### **Submission to the Sponsor**

OSP is the only division authorized to submit and sign sponsored project proposals on behalf of UVI. Every effort is made to ensure successful proposal submission regardless of when final proposals are submitted to the OSP. PIs are strongly encouraged to provide documents as noted in the matrix above to avoid challenges which may be beyond OSP control, including:

1. Some sponsor systems have a delayed processing time with no tolerance if errors exist and cannot be corrected before the deadline.
2. Sponsor servers may crash during when numerous institutions submit proposals at the same time. Sponsors do not give extensions to last minute proposal submitters.
3. Alternative proposal submission systems may require additional assistance to ensure successful submission.

### **Electronic**

When a sponsor requires electronic submission by an AOR of UVI, the proposal will be submitted by OSP. The PI is required to upload documents into the sponsor's electronic system and allow access to the AOR for review and submission. OSP will provide the PI a copy of the submitted electronic proposal and any final submission confirmations.

### **Paper Submissions**

When a sponsor requires hard copy submissions OSP will print the required documents, sign and submit to the sponsor. Should the PI and/or department wish to deliver the paper submission OSP approval will be required.

**V. REFERENCES**

Internal Proposal Routing and Approval Form

[Gift Acceptance Policy](#)

2 CFR part 200 "Uniform Administrative Requirements, Costs Principles, and Audit Requirements of Federal Awards

**VI. HISTORY**

1. Revision 0: Approved March 4, 2021

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**SOP APPROVAL**

Signature:   
Mindy Solivan, Director of Sponsored Programs

Date: March 4, 2021

### Appendix A: Proposal Elements Approval Matrix

Category	Proposal Elements	Chair/Dean	Secondary Unit Dean/Chair	OSP Director	ITS	VPAF	VPRPS	Provost	President
Personnel	PI or Co-PI Approval	X		X					
	Approval of a non-full time faculty, adjunct or visiting faculty, post doc or student to be a PI	X	X (if applicable)	X			X		
Compliance	Human Subjects (IRB)			X					
	Vertebrate Animal Subjects (IACUC)			X					
	Export Control			X					
	Environmental Health & Safety (chemical, biological, controlled substances, radiation, etc.)			X					
	Conflict of Interest	X	X as needed	X			X (As Needed)	X (As Needed)	X (As Needed)
Space and Facilities	IT Hardware or Software Purchase (servers, integrated software, sensor or key requirements)	X		X	X				
	Scientific Equipment (evaluated for space, maintenance, etc.)	X		X	X as needed	X (for space)			
	Additional Space Requested	X	X as needed			X			
	Modifications or Renovations	X				X	X	X	X
Academic	Adding UVI Courses	X		X				X	
Intellectual Property	Transfer of UVI Technology	X		X			X		
Financial	IDC Waiver	X		X		X			
	IDC use as Match	X		X		X			
	UVI Cash or In-Kind	X		X		X			
	Faculty Release Time	X	X (if applicable)	X				X	
Other	Non UVI Students or Faculty on Campus	X	X (if applicable)	X		X (If Liability Concerns)			
	Complex University Wide Proposals (i.e. EPSCoR)	X		X			X	X	X
	Anything the OSP Director Feels is an unusual risk	X		X			X (As Needed)	X (As Needed)	X (As Needed)

March 4, 2021