<u>**CLAS Proposal Submission Policy (January 2021)**</u>

Dear Colleagues,

The UF Office of Research implemented in June of 2018 a two-day hard deadline for receipt of **"submit-ready"** proposals in UFIRST for external funding. A "submit-ready" proposal includes the completed UFIRST SmartForm and all documentation associated with the submission (e.g., scope of work, itemized budget, budget justification, and sponsor forms including guidelines) and granting the Division of Sponsored Programs (DSP) office access to all submission portals. Applications, complete or incomplete, submitted after the deadline will not be submitted by the central UF Office of Research.

In response to this deadline, CLAS has implemented the below policy. If a proposal does not meet the below criteria, CLAS will not guarantee that the proposal will be submitted.

Faculty that prepare and submit proposals well in advance of these deadlines will benefit from additional time to address potential corrections/omissions that may be present in the original submission. We ask that you discuss this policy with your research administrators and faculty, then collaborate with them as early as possible to strengthen proposals and maximize the probability of receiving funding.

NOTE: "Business day" is defined as Monday-Friday from 8am-5pm. Any day in which UF is closed does NOT count as a "business day" (examples: weekends, UF holidays, "storm days" on which UF closes).

• <u>Partner Units:</u> These units must contact the CLAS Research Office (CLAS RO) no later than <u>10 business days</u> from the sponsor's or subcontracting partner's deadline (as entered in UFIRST). All <u>final</u> documents must be submitted to the CLAS Research Office no less than <u>4 business days</u> prior to the sponsor's or subcontracting partner's deadline as entered in UFIRST. The ten/four business day deadlines are inclusive of the two-day UF Office of Research deadline. If a proposal fails to meet either of these deadlines, the CLAS Research Office will not guarantee that the proposal will be submitted to the sponsor.

   The PI, after contacting the CLAS RO at least <u>10 business days</u> before the sponsor's or subcontracting partner's deadline, **MUST stay actively engaged with the CLAS RO up until the proposal is submitted**. For example, PI's that do not respond to requests for information from the CLAS RO may risk **not** having their proposals submitted on time, even if they originally met the 10-day notification deadline. It is expected that PIs acknowledge receipt of CLAS RO emails within 24 hours, and acknowledge that they are making progress on any requests that the CLAS RO has made.

• <u>Non-Partner Units:</u> All proposals must receive unit-level approval in UFIRST and arrive for College-level approval at least <u>4 business days</u> from the sponsor's or subcontracting partner's deadline (as entered in UFIRST). The four days are inclusive of the UF Office of Research deadline. For example, if the agency deadline is 3 p.m. on a Thursday, the Office of Research deadline is 9 a.m. on Wednesday. The proposal needs to be received by the Deans Office by 9 a.m. on Monday (two days before the UF Office of Research deadline). <u>It is the responsibility of the Non-Partner Units, upon submission for College-level approval, to ensure that all proposals contain all the parts required for submission and contain no errors.</u>

• Inquiries regarding submission deadlines in response to less than 30-day deadlines from program announcement/rolling solicitations should be directed to Beth Eslick (Director, CLAS Research Office - eeslick@ufl.edu) for partner units and Dr. Brian Harfe (CLAS Associate Dean – bharfe@ufl.edu) for non-partner units. An example of one type of application that might require less than 30-day deadlines would include NSF RAPID solicitations. Please consult either Dr. Brian Harfe or Beth Eslick for confirmation and approval for less than 30-day solicitation deadlines.

• Any proposal containing cost share must be approved by Dr. Brian Harfe (exception; "Over the Cap" i.e., OTC cost share can be approved by Beth Eslick for partner units).

- <u>PI/co-PI/co-I/MPI salary on proposals:</u> For any proposal that allows salary, each CLAS PI/co-PI/co-I/MPI should individually put at least 0.6 months of a calendar year salary on the proposal unless the solicitation notes otherwise. Exceptions to this policy requires permission from the CLAS Associate Dean who has oversight of research (Dr. Brian Harfe; exceptions and approval will be noted in UFIRST).

- Please note that during summer, faculty cannot officially mentor graduate students, be assigned Student Credit Hours (SCHs), certify effort, or perform any UF duties unless they have an "appointment" during this time period. To be "appointed" on a grant/contract during summer, salary must be included on the proposal.
    - In general, salary months requested should equal the amount of effort required by the PI/co-PI/co-I/MPI's to complete the project.
    - Exceptions will be made for proposals that do not require 0.6 months of a calendar year of the PI/co-PI/co-I/MPI's time to complete the project (i.e., the salary months requested should not exceed the effort needed to complete the project).

<u>General FAQ regarding grant submissions:</u>
*DSP = Division of Sponsored Programs
* F&A rate = Facilities and Administrative rate (previously referred to as the "IDC" or the "overhead" rate)

1. Can minor modifications be made to my proposal after it has been submitted to DSP?
   <u>Answer:</u> After CLAS has signed off (i.e., the proposal resides at DSP), minor modifications can be made up until submission. However, note that if the modification(s) is deemed "Major" then the proposal will be sent back to the Chair/Unit Director(s) (i.e., all "Level 1 Approvers") who must perform corrective action(s). This will reset approvals and the re-submission of the proposal will need to follow the standard CLAS proposal submission policy (including all deadlines noted above). Note that per DSP guidelines "The first approver will be responsible for returning the proposal to the unit for updates". In CLAS, the "first approver" is usually the Chair/Unit Director <u>and/or their designee</u> (i.e., "Level 1 Approvers").

Minor modifications (defined by DSP): If minor changes in UFIRST are needed, DSP will make the UFIRST changes upon written request from the PI and/or research administrator. Proposals will <u>not</u> be returned to the PI and/or research administrator to make these changes and resetting approvals will not be necessary.

Note: The PI or unit research administrator is responsible for making corresponding changes, if necessary, within the submission documents.

> **Examples of minor changes, defined by DSP, include but are not limited to (a change of one or more of the below would not result in the proposal being returned):**
>
> a. Title change
> b. Start/end date discrepancy between the UFIRST SmartForms and submission documents
> c. Non-UF personnel or third-party collaborator missing from the UFIRST SmartForms
> d. Senior/key personnel role (e.g. Co-PI to Co-Investigator or Co-Investigator to Co-PI) update in the UFIRST SmartForms
> e. Incorrect sponsor or prime sponsor in the UFIRST SmartForms
> f. Missing or incorrect solicitation number and/or solicitation document in the UFIRST SmartForms
> g. Budget
> > i. Changes to the budget that causes the TOTAL proposal budget to change by less than 5% or $10,000 (whichever is less)
> > ii. Variances between UFIRST and submission documents (submission documents must be accurate but no change to UFIRST is necessary as long as no major change under "h" below has occurred)
> > iii. Shift between cost categories on the General Costs Page in the UFIRST Budget SmartForm that incur the same F&A rate (e.g., Materials & Supplies, Other, Publications)

Major modifications (defined by DSP): DSP staff must send the proposal back. This will result in a full re-review of the proposal. This will reset approvals and re-submission, following the standard CLAS proposal submission policy, is required. Note that per DSP guidelines "The first approver will be responsible for returning the proposal to the unit for updates". In CLAS, that is usually the Chair/Unit Director and/or their designee (i.e., "Level 1 Approvers").

Examples of major changes, defined by DSP, include but are not limited to:

a. Routing a proposal to Core Office without submission documents attached or without granting DSP access to the proposal in the sponsor's submission portal

b. Scope change (e.g., adding or removing specific aims, adding or removing engagement of human subjects or use of animals)

c. Changes to the appointment section of UF key person's biographical sketches

d. Changes to content of facilities and other resources committed in submission documents

e. Updates to proposal descriptor questions in UFIRST SmartForms Page 3.0 Questions 1.0 (humans/animals), 3.0 (global) and/or 5.0 (institutional commitments)

f. Adding or removing UF key personnel or re-categorization of UF person between key and non-key status

g. Changes to the budget by more than 5% or $10,000 (whichever is less) from the Unit approved TOTAL proposal budget, or variances between the UFIRST SmartForms and submission documents by more than 5% or $10,000 (whichever is less)

h. Other changes to the budget (UFIRST SmartForms and/or submission docs)
  i. Addition of cost sharing
  ii. Changes to the level of effort (paid or unpaid) for any UF key person
  iii. Re-categorization of a third party's involvement from subrecipient to vendor or vice versa
  iv. Shift between categories that affect the F&A budget (moving from a category that does not incur F&A to one which does incur F&A or vice versa)
  v. Changes to the F&A rate or F&A base (other than incorrect selection of base which does not affect the calculated F&A costs)

2. What happens to a proposal in which the Department/Unit requests it be returned to the PI **AFTER** CLAS has approved it (i.e., the proposal has been sent to DSP)?
   Answer: Any proposal that the Department/Unit asks to be returned after CLAS has signed off and prior to the 9 am two-day DSP deadline, will be returned to the Level 1 approver for corrective action(s) and must re-start the approval process (i.e., the Chair/Unit Director and College approvals will be removed). Proposals requested to be returned will reset Chair, and College approvals and require that the proposals be re-routed, following standard CLAS grant submission guidelines.

3. How is effort managed on sponsored projects?
   Answer: Effort is managed at the Dept/Unit level and not by the CLAS RO or the Deans Office. Generally, effort should be no less than the commitment made to the sponsor during the work period and the salary posted to the project(s) should be in line with the effort reported (unless specified by the sponsor's terms and conditions).

Thank you,
Brian
———————
Brian Harfe, Ph.D.
Associate Dean, College of Liberal Arts and Sciences
University of Florida

https://www.clas.ufl.edu/dean/assocdeans/harfe.html
email: bharfe@ufl.edu
Phone 352-294-1955