



## Policy on Proposal Submission

**The University of Southern Maine (USM) requires all proposals, pre-proposals, concept papers, letters of intent, contracts, and subcontracts, hereinafter referred to collectively as proposals, submitted to external agencies requesting funds and/or committing University resources (e.g. personnel, space, funds, equipment and facility use, etc.) be reviewed and approved by the Office of Sponsored Programs (OSP) prior to submission.**

This policy applies regardless of:

- whether USM is the lead agency submitting directly to a funder, or whether USM will be a subcontractor or collaborator under another agency's submission to a funder, or
- the method of transmission to the potential sponsor, e.g. via paper copy or electronic submission.

Once all approvals have been completed, the OSP will either transmit, or authorize the transmission of, a proposal to the sponsor. Any proposal submitted to a sponsor without proper review and approval will be withdrawn by the University.

### **Timeline:**

In order to ensure that each proposal receives a full and proper review, and to ensure that each proposal submitted in the name of the institution represents a best effort, the following time-line or lead times are required:

1. **At least two weeks in advance of the submission deadline – Notify [OSP of intent to submit](#) and confirm timeline.** This is required for OSP to plan for the staff resources to assist you and schedule time for review of the submission.
2. **At least five working days in advance of the submission deadline – Provide OSP with a version of the narrative and budget suitable for administrative review.** This is required for OSP to provide feedback on compliance with Sponsor guidelines, inclusion of required items, editorial improvements, and consistency among the project narrative, budget, and supporting documents. **However, should a proposal require review and approval by the President and Provost, a 10-day lead time is required. (See criteria below)**
3. **At least two working days in advance of the submission deadline – Submit the final version of the proposal to OSP, accompanied by a Proposal Planning and Submission (Blue) Sheet signed by the Dean or Director** This is required for OSP to complete a final compliance check and submit the proposal in time to correct any errors in advance of the deadline. In cases where the approval of the President and Provost is required, OSP will obtain those signatures.

**Any final proposal received with less than a two-day lead time will not be submitted.** Exceptions to this policy will require a signed, written justification from the Dean/ Director/ Equivalent Executive Officer indicating that they have reviewed and approved the contents of the proposal (including any institutional commitments), that the proposal is a college/unit and/or an institutional priority, and is determined to be in good enough form to warrant submission. Since these exceptions will not allow for the normal amount of review time, OSP and Research Administration make no assurances as to the quality or content of these proposals.

Note that for grants.gov electronic submissions, the Federal government recommends that the initial submission be made at least three days prior to the deadline to provide time to correct errors. However, based on the specific agency and the expected volume of submissions, longer lead times may be required. Any faculty/staff preparing a grants.gov submission should consult OSP on appropriate lead times.

President and Provost review criteria:

- competitive proposals with a dollar amount of \$1.0M or more for total project period;
- significant university commitment in cost-share for the term of the project (e.g. 50% or more of total project costs);
- university commitment to project sustainability or 'institutionalization' beyond the term of the grant award (curriculum or instruction, direct cost commitments, faculty/staff lines, operating and maintenance, etc.)
- voluntary waiver of sponsor-eligible F&A recovery;
- major equipment or construction/renovation at or exceeding \$50k;
- earmarks and other institutional awards (one per institution and often requiring a top university administrator as PI).

More information on the steps for proposal preparation and submission may be found on the OSP's website <http://www.usm.maine.edu/osp/steps.htm> or you may contact them directly.