

COLLEGE OF ARTS AND SCIENCE
POLICIES & PROCEDURES
Pre-Award (Proposal) Preparation & Submission

PURPOSE

As part of its commitment to maximizing support for research, the College of Arts and Science has adopted a **Pre-Award (Proposal) Preparation & Submission Policy** for applications to external sponsors.

POLICY and PROCEDURE

For the purpose of this policy, the College asks that the Principal Investigator complete an online “notice of intent to submit” no later than:

- (i) Three weeks prior to the due date of a basic research or fellowship application (including collaborations within A&S)
- (ii) Six weeks prior to the due date for all other applications (e.g., training grant, trans-institutional, etc.).

The policy applies to all Arts and Science faculty (tenured, tenure-track, and non-tenure track), staff, and graduate students who are eligible to apply for external funding under the applicable sponsor guidelines. All are asked to act in good faith, make every effort to act responsibly, and adhere to best practices when developing their proposal submissions.

Priority Processing:

To take full advantage of the College’s pre-award services and qualify for priority processing, a PI must follow the timelines listed in this policy and on the College’s research web site. If a PI is unable to meet the processing timeline, every effort will be made by college and departmental research administrators to submit a PI’s proposal to the sponsor by the stated deadline. However, our research administrators may not be able to perform all services in a shortened timeframe.

Proposals which follow the expected timeline of this policy will be handled on a first-come first-serve basis and take precedence over proposals that are not within the expected timeline of the policy.

Exceptions:

- (a) An exception to the submission timeline outlined in this policy may be made when a sponsor issues the Funding Opportunity, Program Announcement, or Request for Proposal less than three weeks from the due date for a single investigator basic research or fellowship application; or, less than six weeks from the due date for all other applications.
- (b) In addition, an exception to the submission timeline may be requested via e-mail to the Dean of Graduate Education and Research.

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SUBMISSION TIMELINE

For the purpose of this policy, the College establishes a separate time line for the following categories of externally funded research proposals:

1. Intra-School collaborations:

Defined as a research proposal which may include the participation of one or more departments from within the College of Arts and Science, these types of proposals generally must follow a “3-2-1-submit” formula for the submission to be completed successfully.

Three calendar weeks prior to the due date of the proposal: The College’s online “notice of intent” to submit a proposal should be completed. This notice of intent will be routed to the appropriate lead department’s research administrator, who will begin coordinating efforts to assemble the application’s components.

Two calendar weeks prior to the due date of the proposal: Budget details, including a complete list of participants, are provided to the lead department’s research administrator. The department research administrator may proceed with sending final requests for documents approved and signed by sub-recipient institutions.

One calendar week prior to the due date of the proposal: The project title, proposed dates, and budget are finalized, with no further changes allowed. This is required for a record of the application to be routed via Vanderbilt’s internal proposal-development software for University review and approval.

Three business days prior to the due date of the proposal: Final documents are provided to the lead department’s administrator.

Two business days prior to the due date of the proposal: Final review and approval is completed. The application is submitted, allowing time for post-submission communications (including errors and corrections identified by the external sponsor).

One business day prior to the due date of the proposal: Confirmation of receipt by sponsor. Post submission corrections addressed, as needed, and application accepted by sponsor.

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2. All other proposals (Training grants, trans-institutional collaborations etc.):

Defined as a research proposal which may include the participation of one or more colleges, schools universities or other institutions, these types of proposals generally must follow a “6-4-2-submit” formula for the submission to be completed successfully.

Six calendar weeks prior to the due date of the proposal: The College’s online “notice of intent” to submit a proposal should be completed. This notice of intent will be routed to the appropriate lead department’s research administrator, who will begin coordinating efforts to assemble the application’s components.

Four calendar weeks prior to the due date of the proposal: Budget details, including a complete list of participants, are provided to the lead department’s research administrator. The department research administrator may proceed with sending final requests for documents approved and signed by sub-recipient institutions.

Two calendar weeks prior to the due date of the proposal: The project title, proposed dates, and budget are finalized, with no further changes allowed. This is required for a record of the application to be routed via Vanderbilt’s internal proposal-development software for University review and approval.

Six business days prior to the due date of the proposal: Final documents are provided to the lead department’s administrator.

Four business days prior to the due date of the proposal: Final review and approval is completed. The application is submitted, allowing time for post-submission communications (including errors and corrections identified by the external

Two business day prior to the due date of the proposal: Confirmation of receipt by sponsor. Post submission corrections addressed, as needed, and application accepted by sponsor.

EFFECTIVE DATE

Effective: August 16, 2019

Last Revised: August, 2019