

EXTRAMURAL PROPOSAL SUBMISSION POLICY, PLANNING & MONITORING

Responsible administrator: Associate Dean for Research, Division of Research (DoR) HSOP

Last updated/reviewed: October, 2021

ALL PROPOSALS FOR EXTERNAL FUNDING MUST BE SUBMITTED THROUGH DoR OR WITH THE FOREKNOWLEDGE OF HSOP OSP AND RECEIVE AN HSOP INTERNAL TRACKING CODE THROUGH [RxWeAPPLY](#). ALL PROPOSALS ARE SUBMITTED ON BEHALF OF AUBURN UNIVERSITY. ALL PROPOSALS MUST BE APPROVED FOR SUBMISSION BY THE RESPECTIVE DEPARTMENT AND/OR *DIVISION HEADS AND/OR CENTER DIRECTORS.

*The Division Head refers to the Associate Dean of an HSOP administrative division (e.g., CAO, Academic Programs, or FASI); a Center refers to a duly recognized and approved, HSOP mission-based center.

THE ASSOCIATE DEAN FOR RESEARCH (ADR) MUST PROVIDE FINAL APPROVAL before a proposal moves to the final stages of submission from Auburn University

Processing Proposals for Extramural Funding

1. Proposals are initiated by any eligible principal investigator (PI). Proposals may be unsolicited (e.g. R01 parent announcement) or in response to a specific request or announcement (e.g. NIH RFAs and PARs). Most funding agencies have submission deadlines and specific application instructions and procedures. It is the PI's responsibility to notify their respective department or division heads or center directors and the HSOP OSP of the intent to apply. It is also the PI's responsibility to read and be thoroughly familiar with the [AU Principal Investigator Handbook](#).
2. Eligible PIs will initiate internal application discussion, planning, and support processes using [RxWeApply](#)

After initiating the process through [RxWeApply](#), a PI (or the PI team) may also need to meet with the HSOP Contract Specialist and Projects Coordinator to review the funding announcement and application process. This initial meeting should ideally occur at least 2-3 months prior to the application receipt deadline. If the proposal being prepared involves multi-projects (e.g., an NIH program project grant), training programs (e.g., an NIH T32), or any other large, institutional-type proposal (e.g., NIH cooperative agreement, equipment grant, or multi-party contract), then the initial planning meeting should also include the Associate Dean for Research and should occur at least 4-6 months prior to the application receipt deadline. In rare cases, there may be funding opportunities that arise with less than three months from announcement to application deadline (e.g., at the end of a FY). HSOP will strive to submit those applications.

Continuous Planning, Routing, and Submission: The [RxWeApply](#) system will be used to coordinate planning, routing, submission, and tracking of all projects that enter in the competition space for HSOP. Documents can be exchanged with the PIs, named personnel, the Pharmaceutical Sciences Research Facilities Manager, and respective department heads and/or division administrators/center directors. The PI(s) will review progress with HSOP OSP and make any adjustments as needed to proposal planning and submission. Final materials needed for intra-institutional review (OVPRED level) should be submitted to the HSOP Contract Specialist no later than five (5) business days prior to a submission deadline to undergo electronic routing through eCover form (or ERA when available). Proposals involving colleges/departments outside HSOP or organizations other than Auburn University may require additional time for routing. These situations will vary in complexity, and it is imperative that the HSOP investigator contact the HSOP OSP team as early as possible.

Summary of Roles and Responsibilities:

Faculty Investigator:

- Identify funding opportunities
- Using [RxWeApply](#), contact HSOP OSP to develop Proposal Planning Documents and submission strategies.
- Prepare proposal pursuant to funding agency guidelines and obtain sufficient pre-submission peer-review to bolster competitiveness
- Ensure all research compliance issues are addressed

HSOP OSP:

OSP is the official institutional unit legally authorized to submit proposals and legally able to commit the university in the event an award is made. The HSOP OSP team will:

- Assist investigator(s) with technical aspects of proposal development
- Review application guidelines and procedures
- Develop documents in conjunction with investigator(s)
- Assist budget preparation and review.
 - o Verify that matching or cost sharing is properly listed in the budget and approved as noted on the eCover form for extramural programs
 - o Assist in the application of current F&A rates and work with investigator and department personnel regarding reduced recovery of F&A costs
 - o In cases where there are subcontract parties, review sub-recipient proposal and supporting documentation for compliance, ensure that the sub-recipient's proposed budget is properly calculated and properly incorporated into Auburn University's prime budget
 - o Provide guidance on explaining other items in the proposal budget
- Prepare submission package for institutional approvals
 - o Verify that all necessary approvals have been applied for or obtained for compliance
 - o Work with PI to obtain documentation of approvals or collaborations from third parties
 - o Ensure the university eCover form for extramural programs is complete
- Submit proposal on behalf of HSOP through Auburn University on time and error free

Department and Division Heads & Center Directors:

- Assure applicant is eligible to be a PI and help the PI prepare the proposal (when required).
- Ensure resources are adequate and available from the department and/or division perspective.
- Review the proposed scope of work to ensure it falls within the mission of the department, division, or center, and develop the salary savings recovery allocation plan **prior** to application submission
- Prepare letters of support as needed
- Ensure research compliance issues are addressed
- Approve the proposal on behalf of the department and/or division/center during routing

Associate Dean for Research:

- Aids the PI(s) in the preparation of proposals (when required) and planning multi-project and institutional grant applications.
- Reviews budget to ensure resources are adequate and available from the HSOP perspective
- Participates in the review of requests for space and/or space modifications with HSOP LSARC
- Participates in the approval of conflict of interest (COI) management plans
- Approves proposal submission through Auburn OSP on behalf of HSOP.