

Date: March 22, 2021

From: Scott Brandt, Vice Chancellor for Research

To: Deans, Directors, Chairs, Faculty, Researchers

Subject: Updated Proposal Deadline Policy

All of us in the Office of Research want to help ensure the success of every research proposal, and that is not always possible when we have insufficient time to do our work. Five years ago, consistent with the norm for research universities everywhere, I formalized deadlines for proposal submission and created a Late Proposal Approval Request (LPAR) form for exceptions. The deadlines made OSP's workload manageable, allowing them to provide better, more consistent service, but many found the process too cumbersome.

About two years ago, in support of the SAP barrier reduction goal of improving proposal procedures and based on experience, feedback, and broad consultation, I streamlined the process by eliminating LPARs. Regrettably, that change put us back where we were before: PIs routinely miss deadlines making OSP workload unmanageable and reducing their quality of service.

Based on these experiences and in order to ensure a manageable workload for our staff, superior quality of service for our faculty and researchers, and a streamlined process, I am shortening and firming up the deadlines and instituting a simple online approval process for exceptions, which will only be allowed in limited circumstances.

Effective April 15, 2021, OSP will no longer accept or process any proposal submitted all or in part after an established deadline without an approved exception.

Exceptions: Limited exceptions are possible if the PI accepts the consequences of the reduced processing time up to and including the possibility of non-submission or sponsor rejection without review.

1. Technical narratives *in final submittable form with zero other changes* will be accepted up to 8 business hours before the sponsor deadline.
2. Other exceptions may be requested by PIs with the support of their Dean and will be granted by the VCR when 1a) the delays are due to circumstances outside of the PI's control **OR** 1b) the VCR determines that the proposal is of strategic importance to the campus, **AND** 2) handling of the proposal is feasible given OSP's workload.

Yours,



Scott A. Brandt
Vice Chancellor for Research

UCSC Deadlines for Proposal Submission

<u>Action</u>	<u>Standard Proposal</u> (No complicating elements)	<u>Complex Proposal</u> (w/complicating elements)	<u>Very Large Proposal</u> (Direct costs >\$10M/year, DARPA)
Initiate proposal w/OSP and provide: <ol style="list-style-type: none"> 1. Link to the RFP, RFQ, etc. 2. Budgetary info 3. Where appropriate <ol style="list-style-type: none"> a. ETP request to serve as PI b. Cost sharing or IDC waiver request c. Sub-awardee information 	10 work days	20 work days	2 months
Proposal materials frozen (In submittable form, draft tech. narrative ok)	5 work days	5 work days	Determined by OSP at initiation
Technical narrative frozen (in submittable form w/zero changes to other materials)	2 work days	2 work days	

Complicating Elements: ♦ Direct costs between \$2M and \$10M per year; ♦ Cost sharing or IDC waiver requested; ♦ ETP is required; ♦ Multi-institutional collaboration, including sub-awards where we are prime or sub-awardee; ♦ Required additional space; ♦ A foreign sponsor; *or* ♦ The proposal is for a contract or the sponsor's funding opportunity announcement states that the resulting award may be a contract.

NOTES

1. **Missed deadlines:** OSP will not accept or process any proposal submitted all or in part after an established deadline without an approved exception. Limited exceptions are possible if the PI accepts the consequences of the reduced processing time up to and including the possibility of non-submission or sponsor rejection without review.
 - a. Technical narratives *in final submittable form with zero other changes* will be accepted up to 8 business hours prior to the sponsor deadline with approval. See 1.c. for the request form.
 - b. Other exceptions may be requested by PIs with the support of their Dean and will be granted by the VCR when 1a) the delays are due to circumstances outside of the PI's control **OR** 1b) The VCR determines that the proposal is of strategic importance to the campus, **AND** 2) processing the proposal is feasible given OSP's current workload.
 - c. Exception requests must be submitted online: Use the [exception for technical narrative submission form](#) or the [form for other deadline exceptions](#) for these requests.
2. **Cost sharing requests:** Use [this form](#) to begin the cost share request process.
3. **IDC waiver requests:** Use the [indirect cost exception form](#) for all requests other than indirect exceptions based on non-profit sponsor policy.
4. **ETP requests:** Use [this form](#) to request exception to policy to act as PI.
5. **Limited submission opportunities** may have additional deadlines to enable down-selection.