

# WORCESTER POLYTECHNIC INSTITUTE

## Proposal Submission Policy

### I. Purpose

The purpose of this policy is to ensure that proposals for external funding are consistent with WPI's mission, values, expertise and available resources, and is compliant with standards set forth in the Federal Office of Management and Budget 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200), Federal and State regulations, as well as other sponsor-specific requirements. In addition, WPI institutional policy requires internal approvals for proposal submission through its Proposal Routing Form (PRF) and WPI's [Signature Authority Policy](#).

Sufficient time is necessary to verify a proposal's compliance with these requirements, as well as ensure an overall level of quality assurance, prior to the deadline. Allowing adequate time for the Office of Sponsored Programs (OSP) to conduct a thorough review will provide opportunities for proposal corrections to be made, if necessary, and maximize the overall opportunity for proposal success.

### II. Scope

This policy applies to all Federal and non-Federal sponsored activities and all faculty, staff, and other WPI personnel eligible to submit sponsored research applications to sponsors under WPI's Principal Investigator Eligibility policy.

### III. Definitions

**"NOI"** means a Notice of Intent to Submit a Proposal. A webform located on WPI OSP's website.

**"Budget" means** the internal budget document, but also can encompass other budget documents as required by the solicitation/sponsor, such as the budget justification/narrative, any sponsor-required budget templates, the subaward budgeting information, and any cost share documentation.

**"Cost Sharing"** means the portion of a project or program cost not borne by the sponsor. It is WPI's share in the cost of conducting the project/program. Cost Sharing may be committed in a proposal because a sponsor requires it or because the University volunteers to cover a portion of the project costs. Once committed, the value of the cost sharing is a binding obligation to WPI and subject to audit upon award.

**"PRF"** – Proposal Routing Form. An AdobeSign Form which provides a summary of important proposal information and is used to collect the necessary assurances from the PI and approvals from the Department Head and Dean required for proposal submission. For proposals with cost sharing additional endorsements are required from the Vice Provost for Research/ Provost/ Chief Financial Officer as detailed in WPI's Signature Authority Policy

**"Authorized Organizational Representative (AOR)"** is a WPI employee with the authority to submit proposals and/or enter into agreements on behalf of WPI. All documents that obligate WPI personnel, facilities, intellectual property, or other Institutional resources require an authorized University signature. Additionally, many systems used to submit proposals require someone with an AOR role to submit applications on behalf of the organization.

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## IV. Policy

Prior to submission of a proposal, it is the responsibility of the PI to ensure that the proposal is consistent with WPI’s mission and that, if granted, WPI has sufficient expertise and resources to fulfill the requirements of the proposal.

All proposals seeking external support for research and other sponsored projects must be submitted to OSP for review and approval prior to submission to an external sponsor and no later than the OSP due dates as listed in the chart below. Responsibility for ensuring compliance with sponsor and solicitation guidelines is shared between the Principal Investigators (PI), OSP, and any other staff involved in proposal preparation, such as proposal development staff in the Research Solutions Institute (RSI) or departmental grant administrators, according to the Roles and Responsibilities Matrix, as attached here as [Appendix A](#).

All elements of a proposal must conform with the sponsor and solicitation guidelines, the Uniform Guidance for federally sponsored awards, federal and state law, and applicable WPI policy. All proposals must be internally endorsed by the Department Head, Dean, and an Authorized Organizational Representative (AOR) from OSP prior to submission. Proposals with cost-sharing require additional approvals as detailed in WPI’s Cost Share Policy and WPI’s [Signature Authority Policy](#).

All letters-of-intent and pre-proposal submissions requiring signature of an AOR, a detailed budget, or cost share commitments must be submitted to OSP for review and approval prior to submission to an external sponsor.

Sufficient time is necessary to verify a proposal’s compliance with the requirements contained in this policy, as well as ensure an overall level of quality assurance, prior to the sponsor’s application deadline.

### OSP Due Date (in advance of sponsor deadline)

Min. of 10 Business Days	5 Business Days	2 Business Days	1 Business Day
Notice of intent to submit a proposal	Final Budget Budget Justification, Approvals for cost share if applicable	Final technical components	Submission
Funding Opportunity Announcement (FOA) link	Subaward Documentation, Proposal Routing Form (PRF)		

In the cases where proposals are due outside normal business hours (8 a.m. - 5 p.m.), 5 p.m. ET on the day of the deadline should be considered the official submission deadline. If the sponsor specifies a deadline day that falls on a holiday or weekend, OSP will assume a deadline day of the prior business day unless the sponsor clearly indicates they will accept proposals the following business day.

If a PI is unable to meet the processing timeline, every effort will be made by OSP’s Pre-Award Division to submit a PI’s proposal to the sponsor by the stated deadline. Proposals processed within the expected timeline will take precedence over those outside the expected timeline and will be handled first-come first-served.

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## **V. Consequences of Non-Compliance**

A proposal will be considered non-compliant if (a) materials are not submitted to OSP for review in accordance with the timeline in section IV above, and/or (b) if the AOR reasonably believes that any part of the proposal is not in compliance with sponsor requirements or regulations.

Late proposal applications may not be successfully submitted.

The AOR, at their discretion, may decline to submit a non-compliant proposal.

Non-compliant proposals may be withdrawn or rejected by the sponsor.

Proposals deemed non-compliant may be withdrawn by OSP at the discretion of the OSP Director.

## **VI. Questions**

Questions concerning the scope, application, and interpretation of this Policy should be addressed to WPI's Office of Sponsored Programs (OSP) or Office of the Vice President for Research (OVPR).

Policy Sponsor: Office of the Vice Provost for Research

Responsible Department: Office of Sponsored Programs

Effective Date: 30 August 2023