A. Background and Purpose

The research enterprise at UCI is expansive, diverse and complex. Most of the money received by UCI to support its research enterprise comes from awards provided by Extramural Sponsors in response to proposals from UCI's researchers.

University of California policy requires that proposals be submitted to Sponsored Projects Administration (SPA) for institutional review and approval prior to being submitted to Extramural Sponsors. This requirement applies to all extramural proposals, even when a sponsor does not require that a proposal be signed and/or submitted by an Authorized Official. SPA is responsible for certifying on behalf of UCI and The Regents that an extramural proposal is consistent with University policy, sponsor policy and applicable federal regulations and state statutes. To fulfill this responsibility, proposals must be submitted to SPA in a timely manner.

B. Applicability
This guidance applies to all extramural proposals (including proposals for subawards) to sponsors for the following activities:

- Research,
- Scholarly and professional training, or
- Public service

The following are exempt from this guidance:

- Proposals for clinical trials wholly-funded by for-profit sponsors.
- Proposals to for-profit sponsors for which there is no Sponsor Deadline.

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**C. Documents and Information Required for Institutional Review and Approval**

Proposals must be submitted to SPA in final form (unless indicated otherwise below) using the Kuali Coeus (KC) system. If any of the following documents and/or information are missing, SPA cannot start the institutional review and approval process and the proposal will be returned without review.

- All proposal documents and information required to be submitted to the sponsor. However, the scope of work or technical section may be submitted in draft form. Any changes made to the scope of work/technical section after a draft is submitted to SPA must not affect any of the following administrative elements:
  - The budget and budget justification - including the amount of funding requested from the sponsor or the amount of Facilities & Administrative (F&A) costs requested
  - Cost sharing
  - Key personnel effort
  - Named subcontractors and/or consultants
  - Facilities/Resources
  - Required regulatory approvals
- Principal Investigator exception request(s), if an individual is not eligible to serve in that role under Research Policies, Guidelines and Procedures Section 480-5: Eligibility to Serve at Principal Investigator.
- Sponsor’s FOA or the URL (web address) for the FOA.
- Request to reduce/waive UCI’s F&A cost rate, if the proposal uses a rate other than UCI’s approved F&A rates or a rate not previously approved by the UC Office of the President.
- Documentation confirming cost sharing commitments from the VCR and/or a third party.
- **When required by UCI policy**, completed financial conflict of interest disclosures using the correct form (Form 700-U, Form 800 or Form 900).
- Letters of support from named consultants or collaborators whose participation is not part of a planned subaward contained in the proposal.
- **Subrecipient Commitment Form**, subrecipient scope of work and budget, and other subrecipient documents as required (for example, required certifications, assurances and/or representations from the subrecipient).
- Form 800SR for any subrecipients relying on UCI’s Conflict of Interest policy.

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**D. Timeframe for Submitting Proposals to Sponsored Projects Administration**

To ensure the timely submission of proposals for Sponsor Deadlines, they must be submitted to SPA in accordance with the following.

- Standard Proposals (defined below) must be submitted to SPA no later than five (5) business days prior to a Sponsor Deadline.
- Non-standard Proposals (defined below) must be submitted to SPA no later than ten (10) business days prior to a Sponsor Deadline.
- If UCI is submitting a subaward proposal to a lead institution, the Sponsor Deadline is the day and time established by the lead institution for receiving the proposal.
- The final scope of work/technical section should be submitted to SPA no later than eight (8) business hours before the Sponsor Deadline to ensure that SPA has sufficient time to endorse or submit all proposals to Extramural Sponsors for a given Sponsor Deadline.

A Late Proposal must still be reviewed and approved by SPA before submission to the sponsor and runs the risk of being submitted after the Sponsor Deadline.

If there is no Sponsor Deadline, SPA will receive and queue proposals for review as described below in Part E.

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**E. Proposal Review Priority**

Each Contract and Grant Officer (CGO) Team in SPA supports a large portfolio of UCI units - all of which submit proposals for institutional review and approval. CGO Teams review proposals in the order they are received in the KC system from the departments/units in their portfolio. The intent of this methodology is to ensure that the interests of a Principal Investigator and/or department/unit do not disadvantage other UCI principal investigators and departments/units. This methodology is applied to all proposals, even those returned by SPA without review.
F. Requesting an Exception to SPA Lead Times

If circumstances beyond the control of the Principal Investigator prevents, or will prevent, the submission of a proposal as required by Part D above (except for the submission of the final scope of work), an exception may be requested by:

- Completing a Late Proposal Approval Request (LPAR) Form.
- Submitting the LPAR form to the Dean/ORU Director (responsible for the department/research unit submitting the proposal) for review and endorsement.
- The Dean/ORU Director submitting the endorsed form to vcrlateproposal@uci.edu. Incomplete forms will be returned without consideration.

After a request is reviewed, the approval decision will be made by the Vice Chancellor for Research (VCR) or the VCR's designee. The approval decision will be communicated to the Principal Investigator, Dean/ORU Director and department/unit. Approved requests will include the revised date and time for submitting the proposal to SPA and the proposal will be reviewed by SPA as soon as possible after its receipt. The approved form should be uploaded in KC as part of the complete proposal package.

A proposal submitted to SPA after the revised date and time is a Late Proposal - it will be reviewed as described in Part E and will be at great risk for submission after the Sponsor Deadline.

G. Definitions

**Authorized Official** - An individual authorized by the University to act on behalf of The Regents to assume the obligations imposed by the laws, regulations, requirements, sponsor policies and conditions that apply to extramural awards, including signing extramural proposals and the required certifications and/or assurances necessary to fulfill the requirements of the application process.

**Extramural Sponsor** - An entity external to UCI (including other UC campuses, locations and units) to which UCI submits a proposal, or from which it receives an award.

**Funding Opportunity Announcement (FOA)** - A published description of an extramural funding program.

**Late Proposal** - A Standard or Non-standard Proposal received by Sponsored Projects Administration after the applicable submission requirement noted in Part D, above or in the case of an approved exception (Part F, above) the date and time approved by the Vice Chancellor for Research.
**Non-standard Proposal** - A proposal or funding application that involves any of the following:

* The sponsor is not: a domestic government department, agency or entity; a University of California campus or entity (including DOE labs managed by UC); a domestic institution of higher education; or a domestic non-profit entity.

* At the time the proposal is submitted to SPA, the Principal Investigator(s) is/are not eligible to serve in that role without an approved exception to Section 480-5: Eligibility to Serve as Principal Investigator.

* The proposal is for a contract or the sponsor’s FOA states that the resulting award may be a contract.

* Submitting the proposal to the sponsor requires UCI to accept award terms and conditions contained in the FOA.

* The sponsor requires with the submission of the proposal a small business subcontracting plan, an intellectual property management plan, a laboratory safety plan, or any other plans that must be developed by one or more UCI central administration offices.

* The proposal includes (proposes) one or more subawards (including to other UC campuses/entities).

* The proposal includes construction of facilities, alterations or renovations of existing space, and/or special space requirements such as renting or leasing off-campus space, approval to access non-UCI facilities, etc.

* The FOA limits the number of proposals that UCI may submit.

* At the time the proposal is submitted to SPA, it does not contain final approval documents regarding any proposed or sponsor-required institutional commitment (including cost sharing) where such approval must be obtained from the Vice Chancellor for Research, the Executive Vice Chancellor and Provost, or the Chancellor.

* The proposal budget uses a reduced F&A cost rate not previously approved by the UC Office of the President for use with the proposed project.

* The proposal requests funding in excess of $3 million per year in total direct costs.

* A purpose of the proposal is to establish a new UCI center or institute.

* The proposal involves a consortium of participants of which one or more is a for-profit entity.
**Sponsor Deadline** - The date and time established by an Extramural Sponsor by which proposals must be received to be considered on-time.

**Standard Proposal** - A proposal or funding application to a domestic government department, agency or entity; a University of California campus or entity (including DOE labs managed by UC); a domestic institution of higher education; or a domestic non-profit entity that will result in the award of a grant, cooperative agreement or subaward (under a prime grant or prime cooperative agreement) and that does not involve any of the elements of a non-standard proposal.