

UC BERKELEY



**VCR Five Day Proposal
Submission Policy
Implementation Guidance**



**RAC Forum
March 16, 2016**



Why did Berkeley need a new policy?

- Some PIs were using “late” proposals as SOP
- SUN faculty members noted that on-time proposals were being disadvantaged by late proposals.
- Campus leadership calls for streamlining and setting of service priorities
- Peer Institutions had begun to take steps to reward on-time proposals-reject late proposals.



Comparison Policies: Stanford

Institution	Exceptions to policy allowed?	Draft Technical	Admin Section	Carrots	Sticks
Stanford	No	Yes—due 3 business days in advance	Admin section due 5 days before and will not be re-reviewed when final technical is submitted	Proposals submitted more than 5 days before deadline given priority	Incomplete proposals returned Proposals received less than two days before deadline will not be submitted

Comparison Policies: UC Irvine

Institution	Exceptions to policy allowed?	Draft Technical	Admin Section	Carrots	Sticks
UC Irvine	Yes—must be submitted to VCR 4 days before deadline	Yes—due 5 or 7 days prior to deadline depending on type of proposal	Draft (except for cover sheet and budget) due 5 or 7 days prior to deadline depending on type of proposal Given institutional review only. PI 100% responsible for content and submission success.	Late proposals approved by VCR and conform to new internal deadline put at top of queue	Incomplete proposals returned Late proposals approved by VCR that DO NOT conform to new internal deadline are not given priority. These must be given an institutional review and may be submitted after the deadline.

Berkeley Model: Priority Rankings

- **First Priority:** Proposals with final administrative section received by SPO at least five business days before the sponsor's deadline with the final/corrected technical and administrative sections received by SPO at least 16 business hours before the sponsor's deadline.



Berkeley Model: Priority Rankings

- **Second Priority:** Proposals with final administrative section and a final or draft technical section received by SPO at least five business days before the sponsor's deadline with the final/corrected technical and administrative sections received by SPO received 8-16 business hours before the sponsor's deadline.



Berkeley Model: Priority Rankings

- **Third Priority:** Proposals that miss the five business day deadline and/or are received in final form by SPO less than 8 business hours before the sponsor's deadline.
- SPO cannot review/process these proposals until VCR approval has been obtained.



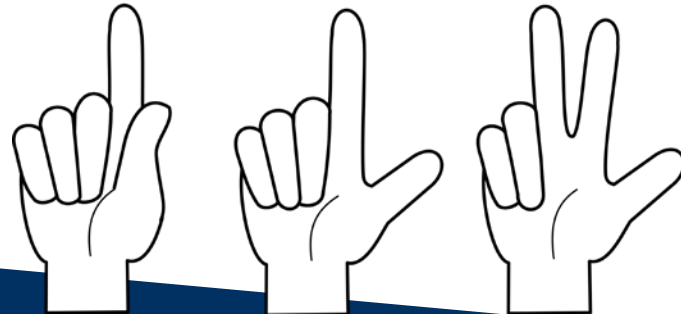
Berkeley Model: Priority Review

Type of Proposal	Type of Review
First Priority	SPO will conduct full review and work to ensure successful submission of these proposals before Second and Third Priority proposals due on the same day.
Second Priority	SPO will conduct full review and work to ensure successful submission of these proposals after all First Priority proposals due on the same day are successfully submitted.
Third Priority	SPO will review for institutional issues only and submit the proposal with other proposal elements “as is” but only with prior VCR approval. Note: Requests for VCR approval must be submitted by the Chair/Dean/Director by the end of the business day (5 pm, M-F) the day before the proposal is due. Requests submitted after this internal due date will automatically be disapproved. Third Priority proposals will be submitted after all First and Second Priority proposals due on the same day have been submitted.



Berkeley Model: VCR Exception Approval

- Required for all Third Priority Proposals
 - VCR Third Priority (Late) Proposal Approval Request Form (revised)
 - Submitted by Chair/Dean/Director (same)
 - Will not be granted on submission due date. (new)
 - Limited to three approvals per PI per fiscal year. (new)



Berkeley Model: Proposal Requirements

- Draft/Final Technical
 - No placeholders, blanks spaces, TBDs (same)
- Complete Administrative Section
 - Elements required by the sponsor: Example: the cover sheet, the budget and budget justification; biographical information about key project personnel; current and pending support; and a description of the facilities, equipment, other resources that will support the project, and any special information and supplementary documentation requested by the sponsor.
 - Subrecipient Commitment Forms (NSF/PHS) (new)



Berkeley Model: Proposal Requirements

Important!

Only complete proposals will be accepted by SPO!

If an incomplete proposal is subsequently resubmitted in complete form after the VCR's five day deadline, the proposal will become a Third Priority proposal, and it will be necessary to obtain VCR approval for the proposal. This approval must be submitted by the Chair/Dean/Director by the end of the business day (5 pm, M-F) the day before the proposal is due.

Berkeley Model: FAQs

Definition of a “business day”:



- A business day is Monday through Friday from 8 am until 5 pm. This is eight business hours (8 am to noon and 1 pm to 5 pm).
- Excludes: Weekends, official national and state holidays and Campus/SPO closure days are not considered business days and are not counted when assessing the priority level of a proposal.

Berkeley Model: FAQs

Internal deadlines for a proposal due 2 pm on Friday:

- **16 Business Hour Deadline:** The proposal with a complete administrative section and at least a draft technical section would need to be submitted to SPO by 2 pm on Wednesday.
- **8-16 Business Hour Deadline:** The proposal with a complete administrative section and at least a draft technical section would need to be submitted to SPO after 2 pm on Wednesday until 2 pm on Thursday.
- **After 2 pm on Thursday,** the proposal (if approved by the VCR) will be treated as a Third Priority proposal.

Berkeley Model: Institutional Review

- Institutional issues are proposal elements that will impact the University if the proposal is funded.



Berkeley Model: Institutional Review (cont.)

- These include (but are not necessarily limited to):
 - documentation of any pledged cost sharing,
 - use of appropriate F&A and fringe benefit rates,
 - signed commitment forms for all named subrecipients,
 - completed State and/or Federal Conflict of Interest disclosure forms (if applicable), and
 - acceptance of any terms or commitments at the proposal stage that would obligate the university financially or programmatically.



Berkeley Model: Submitted “as is.”

- SPO will not review the proposal to make sure all of the sponsor’s required elements/attachments are included or that the proposal is organized as required by the sponsor.
- SPO also will not identify any potential submission errors that could cause the proposal to be rejected.

Berkeley Model: Submitted “if time permits.”

- If a submission errors occur on a Third Priority proposal, SPO will attempt to work with the CSS or Department RA to fix these problems only if no other First or Second Priority proposals due that same day still need to be reviewed/ submitted.
- Third Priority proposals are at risk for submission errors and/or missing the sponsor’s submission deadline.



Berkeley Model: Special Situations

- **For NSF collaborative submissions:**
- At least five business days prior to the NSF deadline SPO must receive:
 - A draft technical section in Phoebe. This should be the lead organization's overall project description (in draft or final form) and any other sponsor-required technical components. If this is not possible, SPO will accept, at a minimum, a scope of work for Berkeley's role on the project.



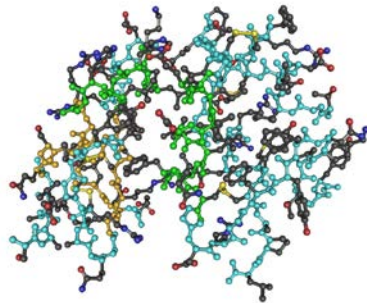
Berkeley Model: Special Situations

- **For NSF collaborative submissions:**
- At least five business days prior to the NSF deadline SPO must receive:
 - All administrative sections of Berkeley's proposal in FastLane. All administrative sections must be complete.
- If this internal deadline is not met or if the lead organization's final proposal is not uploaded into Fastlane at least eight business hours prior to the NSF deadline, the proposal will be handled as a Third Priority Proposal.



Berkeley Model: Special Situations

- **Are pre-proposals, white papers, letters of intent, etc. covered by the policy?**
- All transactions of this type should be submitted to SPO via Phoebe five working days before the sponsor's deadline so that SPO can determine if the transaction is "complex" or "basic."



Berkeley Model: Special Situations

- Complex: The sponsor requires a detailed budget and/or University commitments. Will be treated like any other proposal and will be subject to all the requirements of the VCR's proposal processing policy.
- Basic: SPO only needs to endorse/submit the transaction without additional review, the VCR's proposal processing policy will not apply. (However, any basic transaction received less than eight business hours before the sponsor's deadline will be treated as a Third Priority Proposal.)

Berkeley Model: Special Situations

- **Late limited submission proposals due to an internal review process:**
- The VCR will notify SPO if the VCR pre-approves the limited submission proposal for late submission. If the VCR provides this approval, the late proposal will not be recorded under the PI's name. However, if the proposal meets the criteria for a Third Priority Proposal it still will be treated like a Third Priority Proposal.



Berkeley Model: Special Situations

- How will late fellowship proposals be handled?
- Third Priority fellowship proposals will be counted against the Co-PI/Fellow identified in Phoebe, not the faculty mentor.
- Inattentive mentors will be tracked.



Berkeley Model: Questions?

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