

5 Day Rule: Institutional Review Process for Proposal Submission

Policy Owner:	Office of the Vice Provost for Research	Effective Date:	Proposals with an application deadline of Nov 15, 2015 or later
Policy Contact:	Associate Vice Provost for Research Administration & Development	Last Updated:	June 23, 2017

REASON FOR POLICY

The policy is in place to ensure that all applications for sponsored funding are successfully submitted to the sponsor agency, and that they receive **institutional review prior to submission**. Institutional review and submission to the agency is conducted by Pre-Award Research Administration in the Office of the Vice Provost for Research (OVPR). The review process allows for identification of potential administrative, financial, or programmatic challenges to the success of the proposal or program, increases administrative compliance as well as alignment with Tufts internal policies and processes, ensures successful submission, and maximizes the chances that a proposal will be accepted for consideration by the funding agency. It is the responsibility of Local Research Administrators (LRAs) to manage and communicate the timeline for the preparation of the proposal, and it is the responsibility of Principal Investigators to be responsive to the timeline and to the deadlines described in this policy.

POLICY PRINCIPLES

The completed application for sponsored funding must be finalized and routed for school / center approvals no later than **five business days** before the proposal is due to the funding agency or to the prime institution in cases where Tufts is a subcontract. It is the Principal Investigator's (PI's) responsibility to provide to their assigned Local Research Administrator (LRA) all pertinent information and documents in advance of the five business days' mark to ensure that the application is complete before the five-business day window. Each school / center should determine sufficient lead time for the LRAs. It is recommended that not less than two business days would be allocated to compile the application package.

All school / center approvals must be completed in the **first three business days of the five-business day window**. While routing within the school / center is in progress, Pre-Award will concurrently review the proposal for adherence to agency guidelines, federal regulations if applicable, compliance with University policies and procedures, as well as for contractual issues that may put the University or faculty at risk. The **remaining two business days within the five-business day period** are needed to ensure a successful submission to sponsor agency.

The near-final draft of the research strategy (may also be labeled as research plan / project description) **must be included** in the complete application that is routed for school / center approvals. Near-final draft means that the draft must be developed to the degree that no further changes would occur to the research design, project concept, collaborators, etc. that impact the budget and the administrative components of the application. The research strategy/project description must be finalized and sent to Pre-Award no later than two business days before the proposal is due to the funding agency.

If Pre-Award has not had the opportunity to review a complete application and it has not been approved by the school / center at least **two business days** before the proposal is due to the funding agency, **the application must be accompanied by the following for the application to be submitted:**

- A [Proposal Routing Addendum](#) signed by the PI acknowledging that there is no assurance that the late proposal will be submitted on time and/or received by the funding agency without errors because full review is not feasible
- an email from their Dean justifying the delay of the proposal
 - this email must be addressed to the Vice Provost for Research with a copy to the Pre-Award Signing Official
 - alternatively, the Dean may countersign the Addendum to the ISCF signed by the PI after reviewing the reasons for the delayed submission.

Please note that Pre-Award will make the best effort to submit all applications. However, in the interest of those investigators who submit proposals on time, late submissions will be processed on a first come first served basis, after on-time submissions have been reviewed and submitted.

DEFINITIONS

Pre-Award Signing Official: staff member of the Pre-Award Research Administration at OVPR that is authorized to sign proposals for sponsored projects and accept awards on behalf of the University for the respective Department.

Principal Investigator (PI): the lead faculty/eligible individual who will have the appropriate level of authority and responsibility to direct the project or program for which funding is sought by submission of a proposal.

RELATED LINKS AND INFORMATION

- [Proposal Routing Addendum](#)