

# Proposal Development & Submission Policy



**Policy Number:** 600-003  
**Effective Date:** April 3, 2007  
**Last Updated:** June 14, 2025  
**Issuing Authority:** Vice President for Research  
**Responsible Office:** Academic Department, and Office of Sponsored Programs/Pre-Award

## **Purpose:**

To outline the policy governing the submission of external funding proposals.

## **Policy:**

It is the policy of Howard University (HU) and all related entities, business units, subsidiaries and affiliated organizations including, but not limited to, Howard University Hospital (hereinafter referred to collectively as “Howard University”) to create and preserve a structure and timeline for the development and submission of proposals for external funding. This structure and timeline is provided in more detail below.

### **Proposal Development**

The PI is responsible for completing the following documents and performing the following actions during the development of a proposal:

- Application to Seek Off-campus Funds
- Budget
- Budget justification
- Statement of Work
- All completed information required by sponsor
- Conflict of Interest form for all key personnel (if required by sponsor)
- Obtaining Dean and Department Chair and AVP of SPO Approval for Cost Sharing (at their discretion for approval) - [Office of Research Ticketing System \(OoR\)](#)
- Obtaining Provost approval for additional space (if necessary)
- Notifying institutional committee if applicable and obtaining approval (if necessary)
  - Human subjects
  - Animal subjects
  - BioSafety (Annex II, Room 215, 806-5340)
  - Radiation Safety (Annex II, Room 211, 806-7216)
  - Committee on Conflicts of Interests/Conflict of Commitment
- Complete a Facilities and Administrative Cost Waiver/Reduction Form (if necessary)  
<https://research.howard.edu/sponsored-programs/forms-and-tools#award-management-forms>
- For Each Subcontractor, Subcontractor Budget, Budget Justification and Institutional Approval

## Proposal Development & Submission Policy



Additional requirements may need to be completed when developing particular proposals. The individual leading the proposal submission and the conduct of a subsequent award is the Principal Investigator/Project Director (PI/PD). Normally, the PI/PD is a Howard University faculty member. However, it is possible for any employee with the appropriate credentials to serve as a PI/PD. Eligibility will be determined on a case-by-case basis and will be based primarily on consistency with the university mission, sponsor requirements, and the ability of Howard University to support the initiative (e.g., meet administrative requirements such as financial reports and invoices, dedicate space, etc.).

All proposals for external funding are submitted to the Office of Research Sponsored Programs Office (SPO) prior to agency submission. SPO is the University's Authorized Organizational Representative (AOR) and has been delegated responsibility for proposal submission to the Federal Government and other sponsors. Submission of proposals through a single office enables Howard University (through SPO) to review proposals for consistency with university policies and compliance with external regulations. Most sponsors require funding proposals to be submitted and administered by the institution's designated AOR and will not accept submissions from an individual investigator. By submitting the proposal, both Howard University and the PI/PD agree to follow the sponsor guidelines that include, but are not limited to, the monitoring of expenditures, invoicing, and the submission of financial reports. PI/PDs are strongly encouraged to notify their assigned SPO team members if they are planning to submit a proposal in the near future. **All proposals must be routed through the Sponsored Projects Office (SPO) prior to submission. This requirement aligns with Uniform Guidance and reflects institutional best practices to ensure compliance, transparency, and proper oversight. SPO reserves the right to reject any award that was not properly routed in advance of submission and did not receive the appropriate institutional review and approvals.**

It is important to provide SPO with adequate time to review and prepare all proposal documents prior to the submission of the proposal. SPO will confirm HU's registration for user accounts on Sponsor's systems to ensure timely, compliant submission is achieved. The proposal and supporting documents should be submitted to SPO in the same format required by the sponsor. When proposals are submitted for SPO review, the documents must be in final form. The "Final form" is defined as a proposal that is complete and contains all necessary sponsor and internal university forms and documentation.

### **Deadline for Submission to SPO**

**All proposals (electronic and hard copy) must be in final form and received by SPO by 10:00 a.m. no later than 5 business days prior to the proposal submission deadline date.**

### **Proposals Submitted after the SPO Deadline**

NOTE: SPO makes every effort to submit proposals prior to the sponsor deadline. Proposals submitted to SPO less than 5 business days prior to the sponsor's deadline are not guaranteed timely submission due to potentially inadequate time for review and processing to meet the sponsor's deadline.

### **Business Process Description:**

The PI/PD is responsible for identifying an external sponsor and confirming a funding opportunity to support a proposed idea, and for proposal development, including completing all required documents for submission to SPO for review by HU's internal deadline. The PI must also contact SPO and/or the Research

## Proposal Development & Submission Policy



Development Team with the proposal idea, to ensure they have the opportunity to review the funding opportunity and any special requirements, including if a letter of intent, or cost sharing may be required. Research Development may work with the PI to identify potential collaborators.

Once these preliminary discussions occur, the PI will prepare the final proposal including all administrative documents and forms from the HU Proposal Development Process into Cayuse SP for review by the Department Head/Dean and submission to SPO Leadership. Provided SPO Leadership approves, SPO will officially submit the proposal to the Sponsor.

### **Roles and Responsibilities:**

#### **Academic Department**

- **Principal Investigator/Project Director (PI/PD):** The PI/PD is responsible for identifying funding opportunities and preparing the proposal. The PI/PD is also responsible for completing and/or collecting all required internal and external documents, including any prior approvals required by the sponsor (and submitting the completed proposal to SPO for review. If there are cost sharing or other requirements of Howard University resources (e.g., additional physical space), the PI is responsible for acquiring the appropriate approval signatures prior to submission of the proposal to SPO. If the proposal includes human or animal subjects, the PI/PD is responsible for obtaining IRB and/or IACUC training and beginning the approval process prior to submission of the proposal to SPO.
- **Department Chair:** The Department Chair reviews the proposal and approves the proposed effort of the PI/PD and other department personnel. If cost sharing or matching funds from the department are included in the proposal, the Department Chair must approve the cost sharing and identify the accounts from which the cost sharing will be expensed. (See the Cost Sharing Policy. The Department Chair must approve any request for additional space. The Department Chair should also review the technical sections of the proposal to verify that the PI/PD or department can meet the cost share commitments outlined in the proposal. The Dean and Department Chair must support any deviation from Howard's full federal indirect cost rate (F&A) in the proposal's budget with final approval from the Vice President of Research). (See the Direct and Indirect Cost Charging Policy.
- **Dean:** The Dean approves the proposal budget, proposed effort, and the use of department or college funds for cost sharing or matching funds in the proposal. The Dean must approve any request for additional space made in a proposal by faculty in the college. The Dean should also review the technical sections of the proposal to verify that the PI/PD can meet the commitments outlined in the proposal. The Dean and Department Chair must support any deviation from Howard's full federal indirect cost rate (F&A) in the proposal's budget with final approval from the Vice President of Research.

#### **Sponsored Programs Office (SPO)**

- **SPO or College Research Administrator (CRA):** Reviews the proposal and required documents to ensure they are complete and accurate. The RA works with the PI/PD to resolve any outstanding issues. Logs the proposal into the Electronic Mail Log and assigns a number. Distributes the proposal to the appropriate Research Administrator.
- **SPO Manager:** The SPO Manager performs the final review of the proposal and signs the proposal on behalf of the university.

# Proposal Development & Submission Policy

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## **Related Policies and Procedures:**

- Conflict of Interest Policy
- Cost Sharing Policy
- Institutional Committees Approval Policy
- Award Approval and Set-Up Policy
- Direct and Indirect Cost Charging Policy

## **Forms and Links:**

- Office of Research Ticketing System [Office of Research Ticketing System](#)