Internal Approval and Submission Process

Review Dates:

Revision Dates: 07/15/2020 03/12/2021

Obsolete Date: Made Obsolete By (initials):

**Approved By:**

**OSP Director/Designee Date**

**PURPOSE, SCOPE, AND PRINCIPLE:**

The purpose of this Standard Operating Procedure (SOP) is to ensure that proposed sponsored projects receive proper internal approval before being submitted to the sponsor. This SOP describes the system and processes necessary to obtain Salt Lake Community College (SLCC) internal approval. The internal approval process is completed in SLCC’s electronic research administration system, Cayuse SP.

**All projects must receive internal approval before being submitted to the sponsor unless Cabinet approves otherwise or the project is a previously Cayuse SP approved, formula-funded, significantly unchanged sponsored project.** The scope of the SOP covers all sponsored projects under the jurisdiction of the Office of Sponsored Projects (OSP). For this SOP, the terms project and grant are used interchangeably to accommodate the documents involved**.**

The steps listed for the Principal Investigator (PI) and departments other than OSP are listed to provide clarification and shared understanding. The steps listed are required to receive internal approval, although OSP is not ultimately responsible for the groups outside of our department. Other departments may have intradepartmental procedures they adhere to.

**RESPONSIBILITIES:**

1. PI
   1. Determine interest and discuss the project with supervisor and area leadership
   2. After receiving approval from supervisor to pursue the project, complete the proposal in Cayuse SP with assistance from OSP
   3. Obtain approval from auxiliary departments involved as needed
   4. Certify proposal in Cayuse SP
2. OSP Grant Officer(s)
   1. Discuss the proposed project with the PI; confirm they have permission to pursue the project
   2. Ensure the information entered in Cayuse SP for the project is accurate and complete
   3. Send completed OSP budget template to Budget Office for review
   4. Submit the proposal for internal approval (routing)
   5. Track routing and facilitate approvals
   6. Notify PI when internal approval is complete
   7. Review proposal and coordinate submission to the sponsor
3. Human Resources (HR)
   1. Review all proposals that include funding for new positions
4. Budget Office
   1. Review proposal budget for accuracy
5. Facilities
   1. Review all projects that involve hazardous material, remodeling, new or unique space needs, and vehicle purchase.
   2. Provide documentation of review and approval/denial if necessary
6. Information Technology (IT)
   1. Review all projects that involve software or significant hardware purchases or sensitive data transmission.
   2. Provide documentation of review and approval/denial if necessary
7. Other Departments
   1. Review project and confirm involvement, preferably in writing, or provide a letter of approval or commitment
8. Proposal Approvers
   1. Review and approve/reject proposals in Cayuse SP
9. OSP Director/Designee (Director)
   1. Review proposals for completion and accuracy
   2. Submit proposals as required (Authorized Organizational Representative submission)

**DOCUMENTS/RESOURCES NEEDED:**

Technology Review Committee approval

Institutional Review Board Letter

Space Needs Request Document

OSP Project Budget Template (department share drive\Templates\Budget)

Key Personnel Assurance Statement (department share drive\Pre-award or department share drive\Templates\Pre-award)

Cayuse SP and 424 Admin and User Guides

**DEFINITIONS:**

* **Application**: All documents required and put together in the format determined by the sponsor
* **Approving Units**: See instructions in Cayuse SP on Approving Units page
* **Auxiliary Department involved in a proposal**: Any department other than the home department of proposal personnel that will have a primary role in the project. See SLCC Cayuse SP User Guide and Cayuse Admin Guides for the appropriate auxiliary department “approval unit” to add to routing list.
* **Cayuse SP**: The College’s electronic research administration system. Cayuse is the vendor and SP, Sponsored Projects, is the product
* **Executive Cabinet (Cabinet):** Highest level leadership at SLCC. Includes the President, Vice Presidents, Provost and others.
* **Unit Names:** The name of approving units in Cayuse SP may differ from their name in the procedure. The purpose of this SOP is to inform our intent and purpose of adding the departments and describe how to do it.

**PROCEDURE:**

**All steps listed below are performed by the Grant Officer unless otherwise stated. Timing for the internal approval process is important. It is critical that the steps and communication in this process be considered in detail for the procedure to occur smoothly and correctly.**

1. Initial Assessment
   1. Upon notification from PI about their project idea or their interest in a solicitation:
      1. Obtain and review solicitation and/or any documents developed for the project idea
         1. Broadly determine fit; review items such as SLCC eligibility, due date, funding amount and timeframe.
      2. Review at least the following items with the PI:
         1. General goals and competitiveness of the project
            1. Project goal alignment with current department and College goals
            2. Goals alignment with solicitation objectives
         2. Submission deadline
         3. Estimated budget
         4. Resources needed and available to prepare the proposal
   2. If the proposed project will go forward:
      1. Review internal approval process with the PI
         1. Explain the timeframe for approval; internal approval must be obtained before the sponsor submission deadline
         2. Internal approval takes at least 15 business days for large grants and 5-15 business days for small grants
      2. Ensure PI has access to and training on Cayuse SP
2. All Grants
   1. Email all Co-PIs and other relevant personnel the “Key Personnel Assurance Statement” (Statement)
      1. Upon receipt of the Statement from personnel:
         1. Review to ensure it has been completed correctly and is signed
         2. If “Yes” on any question, review applicable regulations and communicate those regulations in writing to the relevant person(s)
            1. If “Yes” on question two of the Statement, request a copy of the report from the person
            2. If “No” on Question two, follow-up with person to determine why the report has not been filed; inform the OSP Director
      2. Attach the completed form(s) in Cayuse SP, under Proposal Attachments.

Note: The Statement may be completed and attached any time before the proposal is submitted.

* 1. Before routing the proposal in Cayuse SP for internal approval, review the proposal for completion and accuracy. Work with the PI or project team as needed to validate or obtain information. Each section must be completed, as indicated in SLCC Cayuse SP User Guide and SLCC Cayuse SP Admin Guide

1. Large Grants (For grants at or above the Cabinet review threshold):
   1. Send final or near-final project OSP budget template to Assistant Vice President (AVP) and Director of the Budget Office for review and approval; include a reminder of purpose of the review (see C.1.a below) and a brief description of the project including any unique aspects about the budget; this must be completed before submission
      1. Budget Office will review proposals for mathematical accuracy and adherence with SLCC Budget requirements (such as correct salary and benefits for existing personnel)
      2. Either the Budget Office AVP or Director will send an email approval once they have reviewed the budget
   2. Review the “Approving Units” page in Cayuse SP and ensure the list of approving units is accurate (see definition of approving units)
      1. Leadership approvals for the PI and all Co-PIs must be included at all applicable Director/AD, Dean/AVP and VP/Provost levels
      2. Add HR for all proposals involving new positions
      3. Add Facilities for all proposals involving remodeling or new or unique space needs and vehicle purchases
      4. Add Information Technology (IT) for all proposals involving software or significant hardware purchases or transmission of sensitive data
         1. Add auxiliary areas directly before the Vice President/Provost/President
      5. Add Cabinet Reviewer(s) or Approver(s) (See the Cayuse SP Admin Guide for instructions on how to do this)
      6. Order the Units appropriately
         1. Except for approvers who are PIs or Co-PIs, approvers at the same leadership level should be listed simultaneously
         2. Auxiliaries should be listed simultaneously
         3. Cabinet-level Reviewers or Approvers are listed simultaneously
   3. Inform Director that Cabinet approval is necessary and assist in coordinating approval
      1. Cabinet prefers that all proposals be discussed at Cabinet meetings before Cabinet approval or rejection. When this is not possible, electronic discussion may be requested
      2. As applicable, inform OSP proxy approver(s) of the need to approve
   4. When the proposal in Cayuse SP is complete, route it for internal approval by clicking the “Submit for Routing” button
2. Small Grants (For Grants less than the Cabinet review threshold):
   1. Review the “Approving Units” page in Cayuse SP and ensure the approving unit list is accurate (see section C.2.a-d for required approvals)
   2. Order the Units appropriately (see section C.2.f for how to order units)
   3. When the proposal in Cayuse SP is complete, route it for internal approval by clicking the “Submit for Routing” button in the proposal.
3. Proposal Tracking and Final Review
   1. Locate the proposal and open it in the proposal administration screen. On the General Tab, confirm that the status is listed as “Internal Approval in Process.” This should happen automatically once the proposal is submitted for routing
   2. Track the proposal using the Routing Tab as it moves through internal approval; contact approvers as needed to facilitate approval
      1. Encourage approvers to contact OSP to address concerns with the proposal rather than rejecting the proposal. PIs cannot edit the proposal after it has been submitted for routing.
      2. On the Submission Notes page, note the approvers concerns and how those have been addressed
   3. Once all approvers have approved the proposal, confirm that the status is listed as “OSP Retrieval”
   4. If a proposal is rejected, the status will change to “Reopened”
      1. Address concerns, if possible
      2. Resubmit for routing
      3. If concerns cannot be addressed, move the proposal to “Not Submitted”; Add submission note if reason for rejection was not included in SP by the rejecting party
   5. Inform the PI that the proposal has been approved or rejected
   6. For approved proposals, add all final documents to the Cayuse SP proposal in the proposal attachments page. Complete 424 if applicable.
   7. Change the status to “Grant Officer Review”
   8. Review the entire application being submitted to the sponsor for completion and accuracy as determined by PI intent and applicable requirements, including those of OSP. Inform the OSP Director that the application is ready for their review, include sponsor deadline and change proposal status to “Authorized Official Review.”
   9. Once the Director reviews the application, they inform the Grant Officer and change proposal status to “Proposal Approved.”
4. Application Submission
   1. Determine submission requirements and who will submit the application
      1. If the sponsor does not require OSP to submit, the PI may submit the application and, if done electronically, copy OSP on the submission
         1. If the PI will submit, determine what documents, if any, OSP will need to review and sign before submission and when those documents will be delivered to OSP
         2. If OSP will submit, determine what documents the PI will need to provide to OSP before submission and when those documents will be delivered
   2. Submit application and change status of the proposal to “Submitted to Sponsor”
      1. If the OSP Director will submit the application, they will do so after their final review. The Director will then change the status of the proposal to “Submitted to Sponsor”
      2. If the Grant Officer or PI submits the application, they will do so after the Director reviews. The Grant Officer will change the status of the proposal to “Submitted to Sponsor.”
      3. If OSP submits, inform the PI that the application has been successfully submitted once agency acceptance has been verified. Provide confirmation if any.
   3. Ensure application is accepted by the sponsor; resubmit if necessary
5. Maintain project file in accordance with GP:7

**REFERENCES:** N/A