

**STRATEGIC INTERDISCIPLINARY RESEARCH OFFICE
STANDARD OPERATING PROCEDURE**

SOP Number: SIRO Pre-award SOP# PA-01	Implemented: November 1, 2016
Title: SIRO Pre-Award Proposal Activity Monitoring and Reporting	Last Reviewed and Updated: May 26, 2017

Purpose: To ensure on time submission of proposals to sponsors, effective coordination of SIRO workload, and effective communications with principal investigators and supervising research and academic administrators.

Applicability: This procedure applies to all proposals or applications requiring SIRO staff effort. SIRO staff are responsible for ensuring compliance with this procedure.

Exceptions: The SIRO Associate Director may take corresponding actions in the absence of either the SIRO Director or SIRO Project Manager.

Abbreviations: **PI** – Principal Investigator; **AOR** – SIRO Research Administrator with delegated signature authority as an Authorized Organizational Representative; **PM** – SIRO Project Manager; **Advocate** – University Research Council Member from PI’s home unit.

Deadline Summary:

Activity	Deadline	Responsible Party
Proposal Launch Meeting / Required Files List	1 Week after receipt of SIRO Application	SIRO AOR
Finalized Budget	5 Business Days (Prior to Agency Deadline)	SIRO AOR / PI
External Documents	5 Business Days (Prior to Agency Deadline)	SIRO AOR / PI
Final Proposal Files Delivered to SIRO	2 Business Days (Prior to Agency Deadline)	PI

Procedures:

I. Approving Proposals for SIRO Support

1. *Any PI* or external work unit requesting SIRO support for the development and/or submission of a proposal must complete the service request for at <https://www.research.psu.edu/siro/service-request-form>. This request should be submitted **six (6) weeks prior to the agency deadline** to ensure optimal SIRO support. This requirement applies to proposals of all sizes, regardless of the status of the PI on the “approved investigator” lists of MRI and IEE.
2. The SIRO Project Manager will log all requests in the SIRO database; discuss related staffing needs with staffing supervisors as appropriate; present each request to the SIRO Director with a recommendation of the support capacity available; and then notify the PI, Advocate, and the assigned SIRO staff of the final support request decision. Any budget development activities will require the assignment of a SIRO staff with AOR authority and is at the discretion of the SIRO Pre-Award Manager.
3. The status of all accepted and not-yet submitted proposals will be reviewed in the weekly meeting of the SIRO administrative team to track progress, discuss concerns, and plan alert notifications as described below.

II. PI Timeline Planning

1. Within **one week** of being assigned a proposal, the assigned SIRO Pre-award staff AOR will present the PI a list of required files and information required for submission along with the dates by which specific pieces of information or files are required for an on-time submission. SIRO SOP #PA-02 should be consulted for timing requirements for meeting cost share negotiation requirements. Intermediate deadlines should be specified for finalizing participant lists and budget information. Specific deadlines will be established for all documents requiring 3rd party signature or approval by other Penn State units. Importantly, the communication should specify the titles of all files required for final submission and make a clear statement that all documents are due to the assigned SIRO Pre-award staff member by either email or in a designated "Final Uploads" Box folder by **two (2) business days in advance of the deadline.**

III. Project Manager, Director, Advocate and OVPR Alert Notifications

1. Cost Share Delays: Any proposal requesting a cost share commitment shall be carefully monitored by the assigned SIRO Pre-award AOR for timely progress. The SIRO AOR shall notify the SIRO Pre-Award Manager who will in turn notify the SIRO Director, Project Manager and the Advocate by email when any required activity falls behind the schedule recommended in SIRO SOP #PA-02. ***This email should request the Advocate's recommendation on whether or not to proceed*** with the activities that have fallen behind schedule and indicate that **the SIRO Director's concurrence will be required. The OVPR will be notified when approvals will be needed within two (2) business days of the submission deadline.**
2. Budget Modifications after the SIRO Deadline: Proposal budgets will be closed to modification five (5) business days prior to submission to allow time for development of the written justification and completion of required submission forms. Earlier deadlines will be set for subcontract budgets and related documentation. ***Any budget modifications requested after specified deadlines must be made via an email copied to the Pre-Award Manager and shall include a justification for the delay.*** The SIRO Director, in consultation with the AOR, will determine if the modification can be accommodated. The AOR will then notify the PI and Advocate of the decision.
3. Delays on Proposal Documents Requiring External Office Preparations or Signatures: Any proposal documents requiring signature or approval by a third party (i.e., an administrator external to Penn State or external to the OVPR unit such as subcontracts, MOAs, and special commitments) will be attempted to be ***finalized no later than five (5) business days prior*** to submission. Any such documents not meeting expected timeliness for completion will be immediately brought to the attention of the SIRO Director, who will in turn ***notify the OVPR if not secured at least 2 (two) Business days prior to the deadline. The OVPR will make final determination on the inclusion of these documents in a proposal file or submission of the proposal.***
4. Final File Delivery after the SIRO Deadline: The SIRO AOR shall notify the SIRO Pre-Award Manager who will in turn notify the SIRO Director, Project Manager and the Advocate when a PI fails to deliver the final files two (2) business days in advance of the submission deadline. The PI will be given a deadline extension only when requested by the Advocate. ***In cases where the final proposals files are not received at least 24 hours prior to the submission deadline, the OVPR will be contacted for advice on whether to proceed with the planned submission.*** PIs MAY NOT REQUEST CHANGES TO FILES SUBMITTED TO SIRO AFTER THE 2-BUSINESS-DAY DEADLINE UNLESS APPROVED BY THE SIRO DIRECTOR.

Appendix 1
 Proposal Timeline Comparison Chart

Institution Ranking	Business Documents	Final Documents
(1) Johns Hopkins U.	N/A	3 Business Days
(2) U. Michigan, Ann Arbor	N/A	4 Business Days
(3) U. Washington, Seattle	7 Business Days	3 Business Days
(4) U. Wisconsin-Madison	N/A	7 Business Days
(5) U. California, San Francisco	5 Business Days	3 Business Days
(6) U. California, San Diego	4 Business Days	1.5 Business Days
(7) Duke U.	N/A	5 Business Days
(8) U. North Carolina, Chapel Hill	5 Business Days	2 Business Days
(9) Stanford U.	5 Business Days	3 Business Days
(10) U. California, Los Angeles	N/A	5 Business Days
(11) Harvard U.	N/A	5 Business Days
(12) Massachusetts Institute of Technology	N/A	5 Business Days
(13) Columbia U. in the City of New York	N/A	5 Business Days
(14) Cornell U.	N/A	5 Business Days
(15) U. Minnesota, Twin Cities	N/A	3 Business Days
(16) U. Pittsburgh, Pittsburgh	N/A	3 Business Days
(17) Texas A&M U.	N/A	2 Business Days
(18) U. Pennsylvania	N/A	3 Business Days
(19) Ohio State U.	TBD	TBD
(20) Pennsylvania State U., University Park and Hershey Medical Center	Determined by Unit	Determined by Unit