

STANDARD OPERATING PROCEDURE (SOP)  
UW Oshkosh Office of Sponsored Programs

SOP Number: 2  
Effective Date: 12/20/2018  
Last Reviewed: 08/24/2021

Title:

**Internal Review and Signature Routing**

**OSP Contact Information**

Business Hours: 8:00 a.m. to 4:30 p.m., Monday-Friday (excluding holidays).

Main: 920-424-3215

E-mail: [OSP@uwosh.edu](mailto:OSP@uwosh.edu)

Website: [uwosh.edu/sponsoredprograms](http://uwosh.edu/sponsoredprograms)

## I. Overview

All proposals for external grant funding are sent through an internal review process at UW Oshkosh prior to submission. Proposals for grants and research agreements represent potential financial, legal, and administrative commitments on the part of the University, it is mandatory that the requisite institutional approval be obtained by routing all proposals through the Office of Sponsored Programs (OSP).

Internal review allows staff in the Office of Sponsored Programs (OSP) time to confirm the proposal aligns with sponsor requirements, review proposed institutional commitments, and ensure both institutional and sponsor policies are followed. The Internal Review Form (IRF) is an internal document that summarizes a sponsored program proposal, including period of performance, effort commitments by project personnel, cost sharing commitments, and research compliance certifications. The IRF accompanies the proposal to OSP for internal review. This document is considered the internal “cover page” to your grant proposal.

A minimum of seven business days prior to the submission deadline (See SOP #1: Submission Deadlines), complete your IRF, attach your proposal and submit to [OSP@uwosh.edu](mailto:OSP@uwosh.edu), or to your assigned pre-award grants administrator. This requirement extends to proposals where the UW Oshkosh is not the lead applicant but is instead considered a subrecipient or collaborator.

## II. Applicability

This procedure is applicable to all faculty and staff submitting a grant proposal. This includes all federal, state, private and UW System grant submissions. Individuals submitting pre-proposals are not required to submit an IRF, however, they should notify OSP staff so they can properly track the submission and status of your pre-proposal. If invited to submit a full proposal, our staff will create a submission checklist and timeline for your submission and require an IRF and internal review for the full proposal submission. Note: Pre-proposals that require a budget may need internal approval prior to submission. Contact [OSP@uwosh.edu](mailto:OSP@uwosh.edu) if your pre-proposal requires a budget.

## III. Procedure

- 1. Principal Investigator:** The PI prepares the proposal following sponsor guidelines. It is the PI’s responsibility to develop the proposal, however, OSP staff are available to assist with budget development and deciphering sponsor requirements. The PI may choose to work closely with OSP throughout the proposal development process. If OSP staff are notified of intent to submit early in the process they can develop a submission checklist and timeline for the PI. OSP staff are available to review draft versions of the proposal documents early in the process and provide feedback. Finally, the PI completes the IRF and attaches proposal documents (including any subrecipient documents) and submits to [OSP@uwosh.edu](mailto:OSP@uwosh.edu). OSP staff may choose to complete the IRF on behalf of the PI.
- 2. OSP Staff:** OSP staff will review the proposal packet, in particular the budget and budget narrative, effort commitments of project staff, cost sharing commitments on behalf of UW Oshkosh, and will provide feedback to the PI as applicable. Once the proposal aligns with sponsor requirements and institutional commitments are addressed, OSP staff will circulate the IRF for the following internal approvals: OSP Director, Grants Accountant, Controller, Department Chair and College Dean/Unit Director, as applicable.

- a. Obtaining signatures on the IRF does take time, especially during or around holidays or interim periods. Please work with your pre-award grant administrator to plan ahead.

## **Responsibilities**

### ***Principal Investigator:***

#### ***Pre-Award***

- Notify OSP of their intent to submit as soon as possible by e-mailing [OSP@uwosh.edu](mailto:OSP@uwosh.edu) and including a link to the sponsor's Request for Proposal (RFP). The PI can also request an initial meeting with OSP staff to discuss the submission, eligibility, and interest.
- Develop proposal and related documents for submission
- Work with OSP to obtain necessary subrecipient documents, if UW Oshkosh is the lead institution and the PI is planning to work with an institution which will provide collaborative project support.
  - Note: Gathering subrecipient documents takes time. Plan ahead and provide early notice to the subrecipient organization you intend to include in the proposal. Generally, OSP will ask for a subrecipient budget and budget justification, Subrecipient Commitment Form, Letter of Commitment, Scope of Work, and various other documents from the subrecipient institution.
- Complete the Internal Review Form (IRF), attach to proposal and submit to [OSP@uwosh.edu](mailto:OSP@uwosh.edu) a minimum of 7 business days prior to the sponsor's submission deadline. If submitting a federal grant, a complex grant, or a proposal with a large budget, submit to your assigned pre-award grants administrator earlier.

#### ***If Funded:***

- Grantee PIs should forward any award notice to OSP ([OSP@uwosh.edu](mailto:OSP@uwosh.edu)) within one week of receipt. Schedule a start-up meeting with OSP.
  - Start-up meetings include assignment of account number(s), review of award terms and conditions, review of institutional policies regarding travel, procurement and effort reporting, and potential budget adjustments.
  - Note: OSP has the ability to waive a startup meeting in specific situations (i.e. award of a continuing grant where the same terms and conditions for award are used).
- Review Award Startup Checklist and PI Disclaimer at start-up meeting. Provide signature.
- Work with your Grants Accountant to submit progress or effort reports, no-cost extensions or modifications following sponsor terms.

### ***OSP***

#### ***Pre-Award***

- Ensure necessary internal approvals are obtained prior to submission
- Review IRF and proposal packet to ensure alignment with sponsor requirements (including budget review by Grants Accountant)
- Ensure PI meets all research compliance requirements for work with animals, human subjects, biohazardous materials, Financial Conflict of Interest (FCOI) and Responsible Conduct in Research (RCR; post-award)
- Complete and submit application to sponsor when PI does not have "Submit" access (most federal submissions)
- Provide notice to PI and their team regarding completed submission

#### ***If Funded:***

- Grants Accountant and a member from OSP hold a start-up meeting with PI
- Grants Accountant works with PI to submit financial reports and provides assistance with invoicing and/or drawdowns for payment.
- Maintain complete project file from pre-award through post-award grant closeout
- Grants Accountant provides continuous monitoring of grant activities including expenditure tracking, invoicing and reporting as applicable for the project

## **IV. Guidance Documents/Policy Links:**

## **V. Templates/Forms:**

- [Internal Review Form](#)

• Internal Review Form Instructions

**VI. Definitions**

**VII. Contact Information:** For questions or comments please contact [OSP@uwosh.edu](mailto:OSP@uwosh.edu) or 920-424-3215

**VIII. Revision History:**

Created: 12/20/18

Revised: 2/14/19, 07/17/20, 04/22/2021; 08/24/21