

Proposal Submission Process

I. PURPOSE

This Standard Operating Procedure outlines the guidelines and procedures for preparing, reviewing, and submitting external funding proposals to ensure timely submission while adhering to laws and regulations.

II. SCOPE

This policy applies to all areas involved in proposal preparation and submission.

III. RELATED STATUTES, POLICIES, REQUIREMENTS OR STANDARDS

- A. [HOP 10.12, Sponsored Programs Administration](#)
 - B. [15/5 Proposal Submission Rule](#)
 - C. [UTSA Proposal Preparation Guideline](#)
 - D. [Proposal Submission Deadlines Procedure](#)
-

IV. DEFINITIONS

Routing Form: An Electronic system that ensures compliance with Federal and state guidelines while the intellectual and academic objectives of the University are maintained. Used in institutional reporting of proposal submission metrics.

Cayuse: Proposal development and Submission system for Grants.gov

V. PROCEDURES

From Proposal Preparation to Submission:

RA Proposal Preparation:

1. Principal Investigator (PI) submits a Notice of Intent (NOI) in the Routing Form System 15 business days or more before the proposal submission deadline.
 - a. An Exception to the 15/5 Rule request **must** be completed by the PI for non-compliant NOIs (NOIs received 14 business days or less before submission) and non-compliance with the 5-business-day document deadline.
 - b. The Vice President for Research (VPR) or their designee will authorize the exception after consulting with the SRA/College Team on availability/bandwidth to support the proposal.
2. Proposal NOI is assigned to a Research Administrator (RA) by the Sr. Research Administrator (SRA).
 - a. If NOI is received within the 15-day deadline, request approval for an exception to the 15/5 rule from the PI.
3. RA reviews the NOI
 - a. RA reviews NOI, including the Comment Box for additional Information
If an institutional letter is required – confirm with PI if a request has been made with the Grants Development office/Director of Strategic Proposal Development
4. RA reviews the solicitation
 - a. Ensure eligibility at this stage. Is this a limited submission and do they have approval? Is the PI eligible?
 - b. RA generates a RA checklist based on the solicitation.
 - c. **If UTSA is the subrecipient**, RA contacts Lead institution POC for information regarding documents they require/request and Lead institution deadline.
 - d. RA notifies OSP of any changes.
 - e. RA notify OSP/AOR via email when AOR needs to create an account in a Sponsor Portal or to confirm that the AOR has access to the sponsor portal.
5. RA responds to NOI assignment within 48 hours maximum and includes the RA checklist and other documents pertinent to the checklist/solicitation/proposal
 - a. Checklist
 - b. UTSA Budget Template
 - c. Budget Justification
 - d. Other templates (Biosketch for NIH, COA for NSF, budget templates provided by sponsor)
6. If the proposal includes **subawards**:
 - a. RA requests the PI to provide subaward information
 - i. Subaward organization and Point of Contact (POC) information (Organization name, POC Name, Email)
 - ii. Subaward Proposal Title
 - iii. Subaward Period of Performance
 - iv. Subaward Role
 - b. RA sends an email to the subaward(s) POC to request the required documentation and provides the subaward documents deadline.
 - c. RA keeps the communication open with the subrecipient organizations.
7. RA creates Cayuse record. Refer to the VI. CAYUSE SECTION on this document for additional details.
8. RA provides support to the PI to complete the required administrative documentation. In addition, the RA:

- a. Ensure budget justification has the necessary information and statements, including “UTSA’s Fiscal Year” statement, Fringe Benefits Formula, etc.
- b. Review documents’ format to ensure it is correct per the sponsor terms and conditions.
- c. **Review Consistency across the documents**
 - i. Titles match throughout documents (routing form, proposal documents, budgets, Cayuse record).
 - ii. Proposal dates match throughout documents.
 - iii. Budgets match throughout documents (Sponsor budget, UTSA Budget template, Routing form – Proposed budget tab, Cayuse RR Budget and Summary Page).
 - iv. Verify all items in the internal routing form- cross-check the sponsor tab, PI/Co-PI tab, proposed budget tab, and that the sponsor is accurately reflected.
9. Up to 5 days before the due date, RA and PI correspond to ensure the proposal documents are **complete** and **compliant** with Sponsor guidelines/solicitation.
10. The RA completes the Proposal Cayuse record
 - a. RA asks PI for final approval to submit **prior** to OSP receiving the proposal. **Note:** Be sure to include a note in the Cayuse record comments regarding approval to submit.
11. RA initiates the Routing & Approval process in Proposal Cayuse Record
 - a. Proposal is routed through the top half of the routing chain and will be held up at RA until all documents are finalized and uploaded.
 - b. Once all documents are finalized and uploaded, the RA approves the proposal and adds comments in the Cayuse proposal routing section
 - c. Before a proposal is routed to OSP, it must be reviewed and approved for completeness and consistency by another member of the College RA Team, distinct from the person who prepared it.
12. Proposal is routed to OSP for final review, approval, and submission.
 - a. Please note: OSP serves as the institutional signer for all proposal submissions. A proposal must be approved by an Authorized Organizational Representative (AOR) in OSP before submission to a sponsor.

OSP Proposal Review and Submission Process

13. The Proposal is routed to OSP for review and approval through the Cayuse S2S platform to the assigned Grant & Contract Administrator (GCA) for final review. OSP requires a minimum of **2.5 business days** to review it and provide feedback. The type of review performed by OSP depends on when OSP receives the proposal concerning the sponsor's submission deadline. For more information, please see the [Proposal Submission Deadlines Procedure](#)
 *OSP reserves the right to return a proposal in Cayuse if the proposal record is not complete.
14. GCA verifies proposal meets the following criteria based on the RA checklist:
 - a. **CONSISTENCY** of data across the proposal sections
 - b. **COMPLETENESS** of documents and pending items in the proposal sections
 - c. **SUBMISSION READINESS**, Proposal meets Institutional Compliance. Please note: non-compliant proposals will be addressed by leadership.
15. GCA completes the OSP Checklist to provide feedback to the RA.
16. RA modifies the proposal record in the Routing Form, Cayuse, and the Sponsor portal as deemed necessary in response to the OSP Checklist.
17. RA advises GCA proposal is ready for submission.
18. GCA will approve the proposal in Cayuse, when the proposal meets the required criteria.
19. The proposal is routed to the respective Authorized Organizational Representative (AOR) for submission approval.
20. AOR approves the proposal for submission in Cayuse.
21. Proposal Submission.

AOR proposal submission:

- a. AOR submits the approved proposal using one of the recommended methods based on the sponsor's solicitation. Please note: Principal Investigators may submit proposals if required by the sponsor portal.
- b. AOR notifies submission confirmation to the proposal approvers.
- c. AOR or assigned GCA will upload the submission confirmation to the Cayuse record.

PI Proposal submission. This option should only be used when AOR approval is not required in the Sponsor Portal. When an AOR approval is required, the proposal is an AOR proposal submission; hence, the proposal in Cayuse and the sponsor portal should be released/routed to OSP in step 12.

- d. RA informs PI when the proposal has been approved for submission.
- e. PI submits proposal.
- f. PI provides the assigned RA the proposal submission confirmation.
- g. RA will upload the submission confirmation in the Cayuse record and notify the assigned GCA.

22. GCA will complete the following OSP Pre-award Actions:

- a. Complete the Proposal Cayuse record Summary page:
 - i. Change Status to Submitted
 - ii. Update Submission Date
 - iii. Update Submitted by
 - b. Change proposal status "Submitted" in the Excel Tracker
 - c. Complete the Routing form —> Pre-Award tab.
 - d. GCA sends an email to RA and SRA stating that pre-award actions have been completed.
-

VI. CAYUSE RECORD

Institutional Mandatory Sections

Please note: the Proposal Cayuse record must be completed based on the Sponsor's Opportunity. The following guide is designed to meet institutional compliance requirements.

Title

The proposal's title should be in the following format:

[NOI#]: [PI Last Name], [PI Name] [Sponsor name] ([Prime Sponsor]*) - [Solicitation Name]+[Partial Proposal Title]

*Optional and/or only when applicable

Proposal Summary Section

Mandatory Sections/fields:

Proposal Information

Proposal Number

Sponsor Deadline

Submission Method

Submission Type

Investigator Data

Investigators must be added to the People Option in Cayuse before being added to the proposal. Please note that the Principal Investigators' address must be the UTSA address.

Sponsor Data

Agency. Enter the Sponsor Name from the Routing form.

Sponsor Mechanism. Enter the Sponsor Name

Project Data

Title of Project

Is this a subcontract?*

If Yes, who is prime?*

Type of Proposal

Kind of Application

Type of Project

Budget Data

Budget Period

Comments and Explanations

Include instructions for proposal submission. Include required documents and POC information (Name, email)*

Supporting Documents Section

General guide for uploading and naming supporting documents.

- a. Only finalized and complete documents should be uploaded in the Final section, preferably in PDF format when permitted.

- b. Use the Draft section to upload incomplete documents or documents that require an AOR signature.
- c. Nomenclature:
The name of the document should always conform to the Sponsor guidelines; if no specific guidelines are provided, the file name should include the proposal # and a brief description. For example:
 - 1. 19999_ProjectNarrative_Final
 - 2. 19999_SponsorBudget_Final
 - 3. 19999_UTSABudget_Final
- d. Mandatory documents are identified with **

General Order for Supporting Documents:

- 2. UTSA Routing Form **
- 3. Proposal documents or other “narrative” file that describes the project **
- 4. Sponsor budget form/template
- 5. UTSA budget **
- 6. Budget justification ** (preferably source file – e.g., Word format)
 - a. Detailed budget justifications are now needed for all proposal types. Including: NIH Modular Budgets, Foundations, Private Sponsors, etc.
- 7. All other proposal package documents (i.e., letters, bios, C&PS, and any other documents being submitted to the prime/sponsor)
 - a. Biosketches
 - b. Current and Pending documents
 - c. Letters
- 8. When UTSA is **Subrecipient** - Subrecipient or other commitment forms/letters required by prime/sponsor (final, signed versions)**
 - a. LOI/FDP Forms
 - b. RR Budget
 - c. Budget Justification
 - d. Scope of Work
 - e. Other additional proposal documents, as needed
 - f. Email from Lead institution listing required proposal documents.
- 9. When UTSA is the **Lead** Institution with Subrecipients budgeted **:
 - a. UTSA Letter of Intent Form
 - b. Subrecipient Profile Questionnaire (Domestic or Foreign)
 - c. Letter of Commitment from Subrecipient signed by their AOR
 - d. Budget
 - e. Budget Justification
 - f. Statement of Work
 - g. Subrecipient Determination Form

Please note: Upload one Zip File per subrecipient. File name must identify the proposal # and subrecipient institution. If documents are included in sections of the application that are sent to the sponsor (through Grants.gov), they do not need to be re-uploaded in this section.

10. UTSA Cost-Share/Matching Form(s) (if applicable)
11. Sponsor solicitation/RFP **
12. UTSA RSC Checklist **
13. Conflict of Interest Training Certificate** & Disclosure verification (current) for all key personnel. The Certificate document should include the completion date.
 - a. Ensure the position/role/department is correct per person
14. Research Security Training Certificate for all key personnel** The Certificate document should include the completion date.
15. Submission Confirmation** (if not Cayuse submission) - copy of screenshot or email
16. Submitted Proposal** – if not a Cayuse submission. Please note: Individual documents should be uploaded separately.

For an external/non-System-to-System proposal:

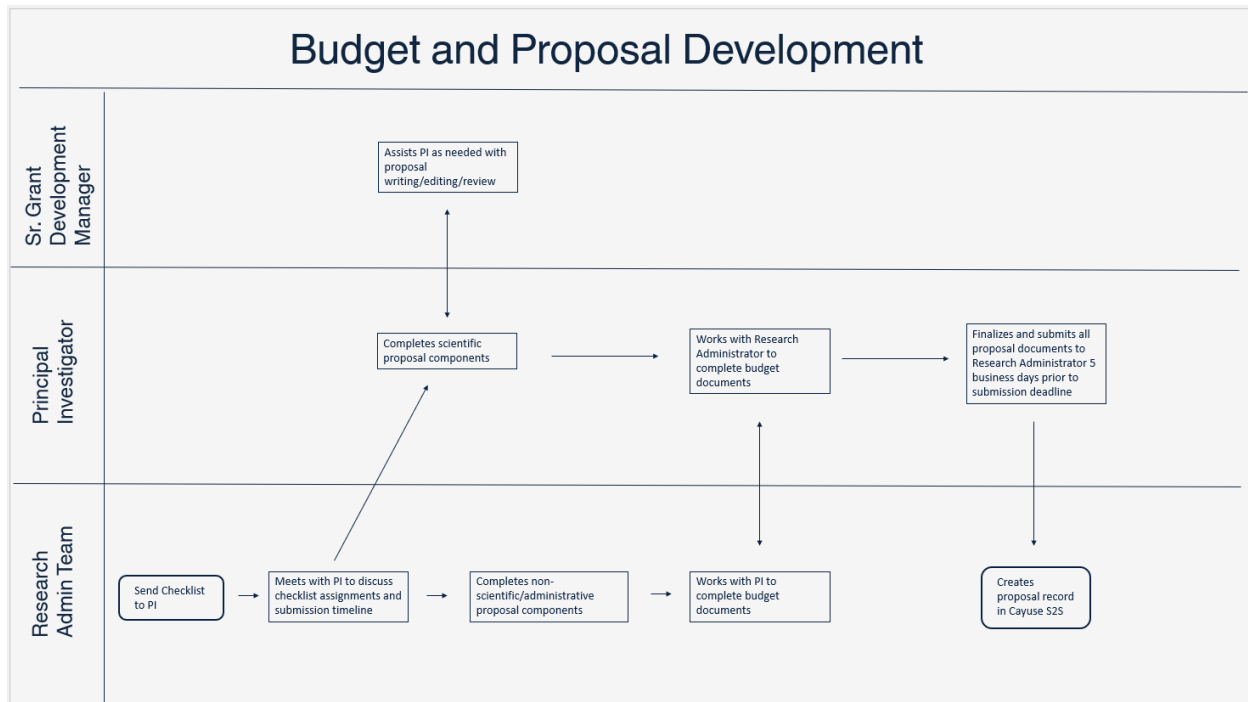
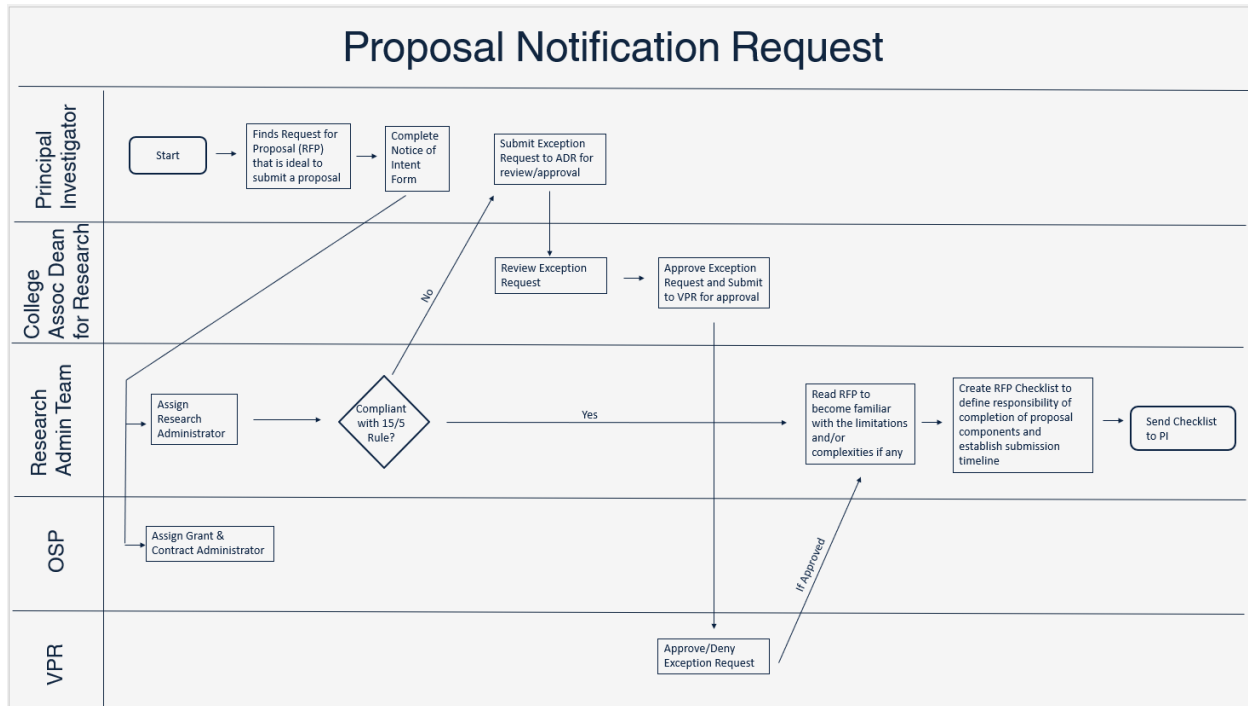
- Upload a PDF of the proposal record as it stands in the Sponsor portal to the Cayuse record
- Documents that should be uploaded individually are:
 - Routing Form **
 - Proposal **
 - UTSA Budget **
 - Budget Justification **
 - COI Training Certificate for each key personnel**
 - RST Training Certificate for each key personnel**
 - Checklist **

Routing & Approval Section

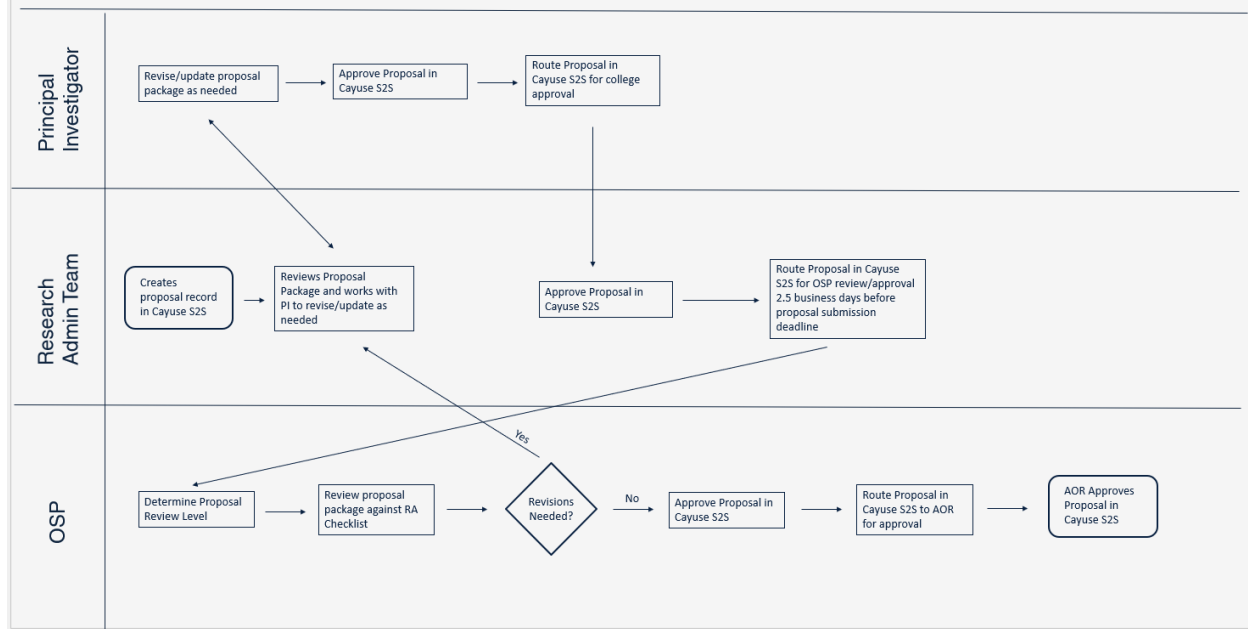
A proposal must be routed in Cayuse for institutional approvals. Please adhere to your department's guidelines. Typically, the following individuals must approve the proposal before submission:

Principal Investigator
Co-Principal Investigators and/or Mentors (when required)
Department Chair
Associate Dean of Research
Research Administrator
Sr. Research Administrator or RA team member reviewer
Grant & Contract Administrator
Authorized Organizational Representative

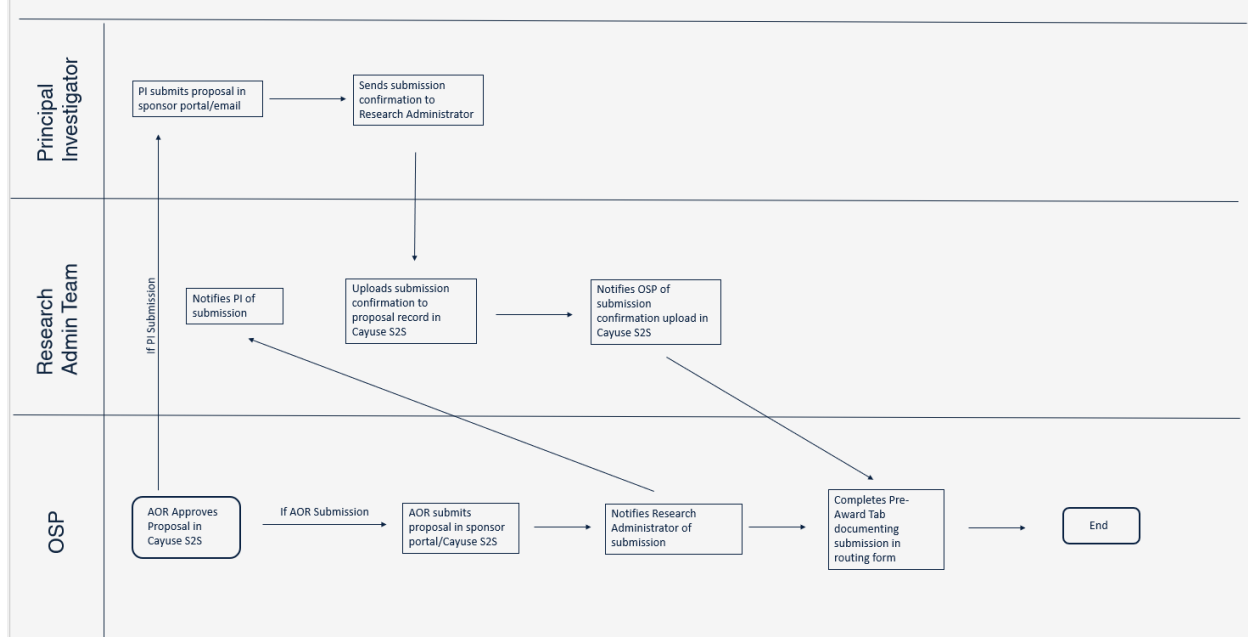
VII. Pre-Award process flow chart



Proposal Review and Approval



Proposal Submission



VIII. Abbreviations

AOR	Authorized Organizational Representative
COA	Collaborators and Other Affiliations
COI	Conflict of Interest
RST	Research Security Training
FDP	Federally Demonstration Partnership
GCA	Grant and Contract Administrator
LOI	Letter of Intent
NIH-	National Institute of Health
NSF	National Science Foundation
NOI	Notice of Intent
OSP	Office of Sponsored Projects
PI	Principal Investigator
POC	Point of Contact
RA-	Research Administrator
RFP	Request for Proposals
SOP	Standard Operating Procedures
SOW	Statement of Work
SRA	Senior Research Administrator
VPR	Vice President for Research

IX. POLICY OWNER

Office of Sponsored Projects (OSP)

X. VERSION AND DATES

Version 2 December 2025