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Subject: Office of Sponsored Programs (OSP) At-Risk Proposal

ORGS Office: Office of Sponsored Programs

CMU Partner Office (if applicable): N/A

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Annual Final Approval: Executive Director for Research and Innovation

Applicable Area: OSP Pre-Award Team

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Purpose:

To provide a consistent and manageable strategy for supporting proposals that do not align with the Office of Sponsored Programs External Grant and Contract Proposal Submission Timeline (Policy 11,012). Proposals outside of the timeline are considered “at-risk” as they may include costly budget errors, missing forms or data, and other issues leading to submission failure or non-compliance at sponsor review.

AT-RISK PROPOSAL DEFINITION

Proposals considered “at-risk” are defined by one (1) or more of the following characteristics:

- Notifying the assigned OSP pre-award liaison of a Standard Proposal less than **ten (10) full business days** prior to the proposal submission deadline;
 - Notifying OSP pre-award liaison of a Specialized Proposal less than **twenty (20) full business days** prior to the proposal submission deadline;
 - A proposal that is not ready to move forward for institutional review and approval via Cayuse routing at least **five (5) full business days** prior to the proposal submission deadline in accordance with Policy 11,012. Factors include, but are not limited to:
 - Principal Investigator (PI)/Project Director (PD) lacks the required college/department proposal pre-approvals to submit,
 - PI/PD lacks prior approvals/documentation for construction, large equipment, subaward/external partner arrangements, altered teaching or summer scheduling, institutional commitments (during the project or after project completion)
 - PI/PD is missing any other required items resulting in an incomplete Cayuse proposal shell.
 - Proposal materials are not submitted to OSP pre-award liaison in final form and/or all project team approvals are not made in their Cayuse shell, and/or all the Conflict of Interest (COI) disclosures are not completed and submitted **at least three (3) full business days** prior to the proposal submission deadline in accordance with Policy 11,012.
- If at any point in time, the proposal submission process is outside the Submission Timeline, the proposal will be considered at-risk.

OTHER RELEVANT DEFINITIONS

Internal Deadline:

A deadline set by CMU's OSP to allow time for review, approvals, and corrections before the proposal submission deadline.

PHS:

Public Health Services – funding primarily comes from the U.S. Department of Health and Human Services and is distributed through various agencies and programs (National Institutes of Health (NIH), Centers for Disease Control and Prevention (CDC), the Health Resources and Services Administration (HRSA), etc.).

Proposal Submission Deadline:

The final date and time by which CMU's proposal or required documentation must be submitted to the sponsoring agency.

Specialized Proposals:

Specialized Proposals are proposals which include items such as partnering with external institutions, entities or consultants, equipment purchases, alteration or renovation of facilities, new construction, and/or cost share (this is not an all-inclusive list). *If your proposal has more than one of these specialized circumstances (including multiple external partners), additional time may be required.

Standard Proposals:

Standard Proposals do not include any of the specialized circumstances below.

Submission Timeline:

A structured schedule that outlines all key deadlines and milestones in the proposal development and submission process, including internal and sponsor deadlines. See 11012, *External Grant and Contract Proposal Submission Timeline*.

RESOLVING AT-RISK STATUS PRIOR TO SUBMISSION

To avoid submitting an at-risk proposal, PIs/PDs are encouraged to pursue the following alternatives:

- Request and receive a sponsor-authorized deadline extension that aligns with the OSP Submission Timeline;
- Pursue a future submission cycle or a different funding opportunity that aligns with the OSP Submission Timeline.

NOTIFICATION OF AT-RISK PROPOSALS

- Proposals will be internally titled "At-Risk: _____" in Cayuse SP, SAP Grants Management (GM), and Office of Research and Graduate Studies (ORGS) campus-wide reports, as applicable;
- The PI/PD, Co-PI/Co-PD, key personnel on the research team, relevant department chair(s) and college dean(s) (or equivalent leadership roles if the department does not have a chair and/or dean), the Executive Director for Research and Innovation (EDRI), and the Vice President for Research and Innovation (VPRI) will be notified of the at-risk proposal status via email.

IMPACTS OF AT-RISK STATUS

At-risk proposals will be considered for OSP support/submission after all other proposals meeting the Submission Timeline have been adequately supported. At-risk proposals will be impacted in the following ways:

- Proposals may be minimally reviewed;
- Proposals will not qualify for Research Incentive Awards (RIA) or course release in alignment with the College of Science and Engineering (CSE)-ORGS Research Guidelines;
- Institutional signatures on proposal forms are not guaranteed;
- The proposal may be unsubmitted, submitted with issues, or withdrawn if issues cannot be resolved prior to the submission deadline.

In addition, the following applies to all proposals:

- If at any point in time the proposal submission process is outside the Submission Timeline, the proposal will be considered at-risk.
- Any notice of an upcoming proposal submission request received **less than three (3) full business days** prior to the submission deadline will result in the proposal not being approved for submission (irrespective of department/college approvals).
- If a proposal is NOT ready for submission **at least three (3) full business days** prior to the proposal submission deadline, the proposal will likely not be approved for submission.
- The VPRI and EDRI are authorized to decline requests for proposal submissions at their discretion.

If a proposal is recommended for funding, all standard proposal vetting and approval procedures will take place prior to fulfilling sponsor requests (such as Just-in-Time procedures) and/or award processing.

- As these tasks are completed, department/college/ORGS leadership will determine whether CMU will accept project funds, require modifications, withdraw the application, or decline the award.

EXCEPTIONS TO POLICY

Exceptions to this policy will only be warranted in cases involving unusual and extenuating circumstances, including unforeseen issues within OSP. The VPRI or EDRI are the only authorized officials to grant exceptions.