BC 10.210 - Pre-Award Grant Submission Policy

I. POLICY:

This policy applies to Baystate Health Principal Investigators (PIs), Sub-Investigators (Sub-I's), Co-Investigators (Co-Is), Postdoctoral Fellows, Research Staff, Sponsored Programs Administration (SPA), and all Baystate Health personnel engaged in the preparation, supervision, or management of proposals for externally sponsored activities. It governs internal deadlines and submission standards for grants, contracts, clinical trials, cooperative agreements, and other sponsored agreements administered by SPA.

This is a provisional policy that will be reviewed in six months and updated within one year of initial approval.

II. PURPOSE:

To establish internal deadlines and processes that enable timely, compliant, and high-quality submissions; support thorough administrative, compliance, and budget review; and ensure proposals meet sponsor, institutional, and regulatory requirements.

III. SCOPE:

This policy applies to proposals for research and non-research sponsored activities, including but not limited to research grants and contracts, clinical trials, non-research programs such as education and training awards, public service or outreach projects, programmatic support, and capital or construction awards routed through SPA. Where sponsor- or institution-specific policies impose more stringent requirements, those requirements prevail.

IV. DEFINITIONS:

Administrative components - institutional and sponsor-required non-scientific elements (e.g., budget, justification, bio sketches, facilities & resources, subrecipient documents, compliance forms).

Final science - all scientific sections (e.g., Specific Aims, Research Plan/Project Description, references, human subjects/vertebrate animal sections, data management/sharing), fully formatted, paginated, and within page limits.

Proposal new to SPA - SPA is notified for the first time within the internal 10-business-day review window and has not participated in budget development or administrative preparation.

Signing Official (SO) - the institutional official authorized to submit proposals and accept awards on behalf of Baystate Health.

V. PROCEDURE:

A. Notice of Intent (NOI) to Apply: Investigators must notify SPA Pre-Award as soon as they intend to submit, ideally no later than four (4) weeks prior to the sponsor deadline. Provide the Program Announcement (PA), Request for Applications (RFA), or sponsor guidelines at NOI. For all new clinical trials and for non-NIH submissions, complete the Pre-submission Authorization Form (**Attachment A**), including approvals from the Department Chair/ Division Chief and the Office of Research. NOI may be submitted via the SPA intake email or portal, as applicable.

This will help ensure thoughtful planning, mission alignment, and appropriate stewardship of institutional resources.

B. Required Internal Timelines: This policy requires that the complete grant application be delivered to SPA as indicated below. The timeline below ensures adequate time for scientific development and for SPA and the Signing Official (SO) to complete required administrative, compliance, and budgetary review prior to submission. Following this timeline allows SPA to support investigators, ensure compliance with sponsor requirements, and identify potential issues prior to submission, improving the quality and timeliness of proposals.

1. **Ten (10) Business Days before proposal deadline - Administrative Deadline (Final)**

   Submit all administrative components to SPA at least 10 business days before the sponsor deadline. Examples include (non-exhaustive):

   - RFA/PA or sponsor guidelines
   - Budget and Budget Justification
   - Biosketches and Other Support, if required
   - Facilities & Resources / Equipment
   - Data Management and Sharing Plan (as applicable)
   - Scope of Work (if applicable)
   - Subrecipient documentation (e.g., Letter of Intent, Subrecipient Commitment Form, budget, SOW)
   - Baystate administrative/compliance documents (e.g., COI disclosures, internal routing, ancillary reviews)

2. **Five (5) Business Days Before Sponsor Deadline - Final Science Deadline**

   Submit all scientific components to SPA at least 5 business days before the sponsor deadline in final, submission-ready form (formatted, paginated, and within page limits). Examples include:

   - Specific Aims / Project Summary/Abstract
   - Research Plan / Project Description / Narrative
   - References/Bibliography
   - Human Subjects/Vertebrate Animal sections (as applicable)
   - Other sponsor-required scientific sections
   - Provide early notice of IRB plans (including number of sites and project scope) so institutional expertise and resources can be confirmed

3. **Example Timeline**

   See **Attachment B** for a monthly calendar example aligning internal deadlines with a Friday sponsor deadline. Unless otherwise noted, internal deadlines are due by 5:00 PM ET.

4. **Proposals New to SPA**

   The 10-business day administrative deadline assumes prior SPA engagement in budget development and administrative preparation. If SPA first learns of a proposal within this window, additional lead time may be required to develop the internal budget and complete administrative/compliance review. In such cases, submission by the sponsor deadline is not guaranteed.

C. Late Notifications or Missed Internal Deadlines - Waiver Process

1. Waiver Requirement: The PI must submit a Late Submission Waiver (**Attachment C**) with proposal materials if any internal deadline is missed.

2. Departmental Acknowledgment: The waiver must include acknowledgment from the Department Chair/Division Chief.

3. Review Priority: Late proposals are reviewed in order of receipt after on-time proposals. Only the minimum administrative review necessary to facilitate submission will be performed.

4. Submission Limitation: SPA will make reasonable efforts to submit late proposals; however, submission cannot be guaranteed due to technical issues, incomplete materials, or insufficient review time.

5. 24-Hour Cutoff: Proposals not previously received by SPA in any form and submitted within 24 hours of the sponsor deadline will not be accepted, regardless of waiver status.

D. Post-Submission Policy After submission, applications will not be withdrawn except in cases of significant error (e.g., incorrect scientific content or protocol) and with approval from the PI, SPA, and the Signing Official.

VI. ATTACHMENTS:

Attachment A - Pre-submission Assessment Form
Attachment B - Pre-Award Timeline Example (Calendar)
Attachment C - Waiver Form

APPROVALS:

		Date:
Approved:	BH Policy Management Committee	4/21/2026
Policy Owner: (department name)	Sr. Director Research Operations, Office of Research	
Revising Author:	Jennifer Sabbagh Peirce, MBA, Sr. Director Research Operations, Office of Research	
Reviewers: (Stakeholders)	Jennifer Pacheco, MPH, CHRC, CIM, CIP Director of Healthcare Research Compliance & HRPP/IRB Chief Research Compliance Officer & Research Integrity Officer	
Replaces:		
Original Effective Date:		*NEW*
Review Dates:		