

Case School of Engineering Procedures Governing the Submission of Letters of Intent (LOIs), White Papers, Concept Papers, and Similar Documents

Introduction:

This document describes the procedures that govern the submission of letters of intent (LOIs) white papers, concept papers, quad-charts and similar documents that are associated with a future proposal opportunity. Such documents are defined as those that proceed the submission of a formal proposal and may result in an invitation to submit a full proposal, but themselves will not result in an award of any type.

LOI-type Submissions That DO Require Routing Through SPARTA:

If any of the following situations pertain to a LOI, white paper, concept paper, or similar document, institutional review and approval is required and thus the document must be routed through SPARTA. In such cases, the PI is required to file a Proposal Initiation Form prior to initiating the routing process. Recognizing that a LOI solicitation may lack some information that is requested by the PIF, the PI is requested to complete as much of the PIF as possible. The PIF form provides information essential to the approval process and informs the research team in advance that a submission is forthcoming. The PIF should be completed two weeks prior to submission deadline, if possible. Exceptions will be considered if the program announcement and time window to LOI submission does not allow for this timeline. If an LOI meets multiple categories, all PIF items requires for each category must be completed.

1. The submission requires a detailed budget: A detailed budget (i.e., a budget broken down into major categories) signifies to the recipient that a cost analysis has been conducted and approved by CSE and thus SPARTA-based approval is required. Submissions that require ONLY a total dollar amount (ie., bottom-line budget) DO NOT fall into this category.
2. Cost share is being offered: Since all forms of cost share must be approved by the Associate Dean for Research (ADR), SPARTA-based approval is required.
3. Non-standard IDC rates: Since all non-standard IDC rates (also known as “reduced IDC”) must be approved by the Associate Dean for Research (ADR), SPARTA-based approval is required.
4. Terms and conditions are applicable: If the submission requires CWRU to agree to certifications, terms or conditions as part of the submission, the SPARTA-based approval is required.
5. Institutional approval is required: The Office of Research Administration (aka OSPA) will only approve submissions routed in SPARTA.
6. Submission by the institution is required: The Office of Research Administration (aka OSPA) will only submit documents routed in SPARTA.

7. Opportunities where the sponsor has a limited submission requirement: In such cases, CSE or CWRU will conduct an internal competition to determine which LOI's are to be submitted. In such cases, the *internally submitted document for the internal competition DOES NOT* need to be routed in SPARTA, but if selected for submission, the document to be submitted to the sponsor does need to be routed in SPARTA.

LOI-type Submissions That DO NOT Require Routing Through SPARTA:

SPARTA submission and SPARTA-based approval will not be required for LOI's, white papers, concept papers and similar documents when the following conditions apply. In such cases, the PI is *NOT REQUIRED* to submit a Proposal Initiation Form (PIF). Under such conditions, the PI is permitted to submit the document(s) directly to the sponsor.

1. A detailed budget is NOT required and is NOT being submitted. LOI's, white papers, concept papers, and similar documents that require ONLY a total dollar amount fall into this category and thus do not require routing through SPARTA.
2. Cost sharing is NOT required.
3. NO terms, conditions, representations and/or certifications are being agreed.

It should be noted that since no institutional review is to be performed, the submitted document does not bind CSE or CWRU to any terms and does not require CSE or CWRU to submit a full proposal.

For tracking purposes, the PI may submit the LOI, white paper, concept paper, etc, to the appropriate research team for archiving in SPARTA. This is not a requirement.