



**Standard Operating Procedures & Policies**

Category:	Pre-Submission
Procedure No.:	100.01
Title:	Routing Pre-Proposals (PREs) and Proposal Approval Forms (PAFs)

**I. Purpose & Overview**

To clarify the situations when a PRE (or “Pre-Proposal”) should be created, routed, and approved in the eResearch Proposal Management (eRPM) system and when a PAF (or “Proposal Approval Form”) should be created, routed, and approved in eRPM.

For the purposes of this SOP, a “**Pre-Proposal**” is the submission to a prospective sponsor of a plan for using the sponsor's funds to achieve a certain objective, the result of which may be an invitation from the sponsor to submit a more detailed and binding official request for external funding, but that in no event will directly result in a grant or contract being awarded by the sponsor. Pre-Proposals go by many other names (e.g., letters of intent, white papers, letter proposals, preliminary proposals, pre-applications, concept papers, etc.), but are all considered equivalent insofar as this SOP is concerned.

A “**Proposal**,” on the other hand, is the submission to a prospective sponsor of a binding official request for external funding, the result of which may directly result in a grant or contract being awarded by the sponsor.

**II. Procedure**

- 1) A PRE must be created, routed and approved in eRPM prior to the submission of a Pre-Proposal only if the sponsor requests either:
  - a) Evidence of an approval or a signature from an authorized University official, or
  - b) Physical or electronic submission by ORSP.

All other Pre-Proposals may be submitted to the sponsor without a PRE being processed or approved in eRPM.

Proposers should note, however, that their department/unit and school/college/institute may have additional requirements that must be met prior to submission of a Pre-Proposal.

- 2) A PAF must be created, routed and approved in eRPM prior to the submission of any Proposal, regardless of whether the sponsor requires an authorized signature by a University official.

**III. Frequently Asked Questions**

*Q: What should I do if it's not clear from the sponsor's guidelines whether the competition will be split into separate Pre-Proposal and full Proposal competitions?*

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A: Route a PRE for approval.

*Q: What happens if I submitted a Pre-Proposal without routing a PRE in eRPM and the sponsor unexpectedly decides to fund my Pre-Proposal without requesting that I submit a full proposal?*

A: The project team must create and route a PAF in eRPM, using the Pre-Proposal as the basis for completing the PAF. There is no guarantee that the PAF will be approved or the resulting award accepted by U-M, as award acceptance will depend on the content of the Pre-Proposal.

*Q: What happens if ORSP requires a PAF, but the sponsor considers or calls the submission a “pre-proposal” and thereafter requires U-M to re-submit a full proposal?*

A: The project team will revise the original PAF in eRPM at the time of the re-submission.

*Q: What is the process in eRPM when a PRE is used for the first submission to the sponsor, and thereafter U-M is invited to submit a full proposal?*

A: The project team will create a new PAF by cloning the PRE in eRPM, and the PRE will be moved into the eRPM state “Invited for Full Proposal” which indicates the PRE process is complete.

**IV. Resources**

ORSP Website: <http://orsp.umich.edu/>

ORSP Glossary: <http://orsp.umich.edu/glossary/pre-proposal>

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