Proposal Review, Approval, and Processing
(Route & Submit Proposal)

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This document defines the roles and responsibilities of those involved in the identification, assembly, and submission of proposals related to sponsored projects as the University of Michigan (U-M).

The “Unit Admin” column encompasses any research administrator, unit administrator, or higher level within the unit. Because many units across campus provide services in different ways, it was not possible to delineate these roles in a uniform way across campus. Individual units are encouraged to explore developing a companion list that best describes their home unit and delivery of services in their context.

Principal Investigators, however, do have specific responsibilities delineated in the U-M Standard Practice Guide (SPG). Although often research administrators help perform these tasks, the PI has been reflected as responsible. If you are unfamiliar with the RASCI system, you may view a brief, online tutorial: https://www.youtube.com/watch?v=1U2qngDxFkc
## Proposal Review, Approval, and Processing

(Route & Submit Proposal)

<table>
<thead>
<tr>
<th>PI</th>
<th>UNIT ADMIN</th>
<th>ORSP*</th>
<th>FSP</th>
<th>OTHER</th>
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* Accountability / responsibility conditional on proposals being received within deadline policy.

### Proposal Review

- **Conduct department/school/college level administrative review of proposal relative to consistency with University unit objectives, resource utilization or other concerns**
  - PI: I
  - UNIT ADMIN: A/R
  - ORSP*: C

- **Verify Sponsor ID and contact information**
  - PI: S
  - UNIT ADMIN: A/R

- **Verify PAF signatures/approvals present and correct**
  - PI: R
  - UNIT ADMIN: A/R

- **Verify PAF data is consistent with proposal**
  - PI: R
  - UNIT ADMIN: A/R

- **Coordinate internal review of limited submissions**
  - PI: I
  - UNIT ADMIN: I/R
  - OTHER: I
  - UMOR – A/R

- **Ensure that the applicant is eligible and/or approved to be a university principal investigator**
  - PI: I
  - UNIT ADMIN: R
  - OTHER: A

- **Confirmation of limited submission ability to submit**
  - PI: R
  - UNIT ADMIN: I/R
  - OTHER: A

- **Approve request for additional space or alterations to existing space**
  - PI: A/R

- **Approve proposal budget and justification, if required by the sponsor**
  - PI: A/R
  - UNIT ADMIN: R

- **Ensure budget items are in accordance with Uniform Guidance and the cost accounting standards**
  - PI: R
  - UNIT ADMIN: A/R

- **Approve Dean or department funds to be used for matching funds**
  - PI: A/R

- **Approve UMOR funds to be used for matching funds**
  - PI: A/R
  - OTHER: UMOR – C

- **Verify sponsor required cost sharing commitments are met, documented, and approved**
  - PI: R
  - UNIT ADMIN: A/R

- **Review and approve requests for F&A rate reductions or waivers**
  - PI: A/R
  - OTHER: UMOR – C

- **Review the application for scientific accuracy**
  - PI: A
  - UNIT ADMIN: R

- **Review the application administrative components of the proposal for accuracy**
  - PI: C
  - UNIT ADMIN: A/R
  - OTHER: R/C

- **Review the application administrative components of the proposal for completeness**
  - PI: C
  - UNIT ADMIN: R/C
  - OTHER: A/R

### Proposal Finalization and Submission

- **Finalize PAF**
  - PI: C
  - UNIT ADMIN: A/R
  - OTHER: I

- **Communicate required revisions and corrections for proposal submission, if needed**
  - PI: I
  - UNIT ADMIN: I
  - OTHER: A/R
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<tr>
<td>Make revisions and corrections to administrative components of the proposal after institution review, but prior to submission</td>
<td>R/C</td>
<td>A/R</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>Make revisions and corrections to non-administrative components of the proposal</td>
<td>A/R</td>
<td>R/C/I</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>Provide unit-level information needed for completion of sponsor-required certifications and assurances</td>
<td>C</td>
<td>A/R</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>Verify compliance with and provide signed certifications and assurances</td>
<td>C/I</td>
<td>C/I</td>
<td>A/R</td>
<td></td>
</tr>
<tr>
<td>Write sponsor-required letters that make representations on behalf of University (i.e., ORSP &quot;Happy to Participate/Pleased to Submit&quot; template letters, letters indicating institutional agreement with or taking exception to sponsor award terms in a Request for Proposal or sponsor Program Announcement, etc.)</td>
<td></td>
<td></td>
<td>A/R</td>
<td>FR, Innov Part – R</td>
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<tr>
<td>Write (1) elective letters, (2) sponsor-required letters that only make commitments on behalf of unit, (3) letters that provide supporting documentation, and (4) any other letter not requiring an authorized University signature (e.g., requests for NIH study section assignment, cost sharing commitment letters not requiring an institutional signature, letters of support or recommendation)</td>
<td>A/R</td>
<td>C</td>
<td></td>
<td>FR, Innov Part – R</td>
</tr>
<tr>
<td>Write (1) modified versions of ORSP template letters, and (2) sponsor-required letters that make commitments on behalf of unit (e.g., cost sharing) but require an authorized University signature.</td>
<td>A/R</td>
<td>C</td>
<td></td>
<td>FR, Innov Part – R</td>
</tr>
<tr>
<td>Sign as the Institutional Official on behalf of the institution assuring institutional oversight</td>
<td>A/R</td>
<td></td>
<td></td>
<td>FR, Innov Part – R</td>
</tr>
<tr>
<td>Return signed documents to PI for submission to Sponsor</td>
<td>I</td>
<td>I</td>
<td>A/R</td>
<td></td>
</tr>
<tr>
<td>If ORSP is submitting the proposal, comply with Sponsor submission method and deadline</td>
<td>I</td>
<td>I</td>
<td>A/R</td>
<td></td>
</tr>
<tr>
<td>If project team is submitting the proposal, comply with Sponsor submission method and deadline</td>
<td>A/R</td>
<td>R</td>
<td>I</td>
<td>FR, Innov Part – R</td>
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<td>Log/post unit-submitted proposal into eRPM</td>
<td>I</td>
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