



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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