

**UNIVERSITY OF LOUISIANA AT MONROE
POLICIES AND PROCEDURES MEMORANDUM**

<i>Title:</i>	PROPOSAL REVIEW AND APPROVAL POLICY
<i>Effective Date:</i>	11/1/2019
<i>Update Responsibility:</i>	Office of Sponsored Programs and Research
<i>Update Date:</i>	NONE
<i>Cancellation Date:</i>	NONE

1) PURPOSE/PREAMBLE

The University supports scholarly activities of faculty and staff but must depend on outside sources for funding much of those activities. Faculty and staff are strongly encouraged to submit applications and proposals requesting external support for research and special projects. In an effort to support research and scholarly activities, the Office of Sponsored Programs and Research (OSPR) is prepared to assist scholars in all phases of this process, from search to submission.

2) DEFINITIONS

- a. Authorizing Official Representative (AOR)/Chief Research Officer (CRO) refers to the individual(s) authorized to act on behalf of ULM.
- b. Principal investigator (PI) refers to the ULM faculty or staff member designated by the University and recognized by the funding agency as the person directly responsible for the project or program supported by the award.
- c. Proposal refers to an application for funding that describes the project, capabilities and associated costs.
- d. Proposal Routing and Approval Form (PRAF) refers to a form internal to ULM that must accompany the proposal. It provides OSPR with information regarding the potential legal and scientific outcomes of the project. In addition, the PRAF provides assurance that the appropriate ULM officials have reviewed and approved the project submission.
- e. Sponsored Programs refer to grants, contracts and/or cooperative agreements. Sponsored programs have characteristics that distinguish them from gifts such as: statement of work, detailed financial accountability, and specified deliverables. These agreements are enforceable by law and require performance within a specified period.

3) PROCEDURES

- a. To initiate the proposal review process, the principal investigator must first complete the intent to submit for funding [form](#) located on OSPR's submission and awards [website](#). Upon receiving the form, OSPR will contact the PI to begin the review and submission process.
- b. The principal investigator must route a completed proposal package (including external letters of support, matching/cost sharing documentation, quotes, etc.) together with a completed, approved PRAF and all applicable internal supporting documents (internal budget worksheet, budget justification, conflict of interest for all key personnel, cost sharing commitment, IT approval form and/or quotes, etc.). Note: University Letters of support will be requested through OSPR. **The principal investigator must perform the following at least five (5) working days, and ten (10) working days if cost sharing is requested, prior to the Sponsor's submission deadline date:**
 - i. Complete the PRAF and certify its integrity;
 - ii. Obtain their director's signature (Director certifies appropriateness);
 - iii. Obtain their dean's signature (Dean certifies appropriateness and approval); and

- iv. Forward completed proposal package (including all supporting documents) to OSPR for review and approval.
- c. OSPR will date stamp receipt, then review the proposal to ensure it complies with university, state, federal and sponsor laws, regulations, and guidelines. OSPR will obtain the appropriate AOR's signature and transmit the proposal to the sponsor, or adhere to other requirements stated by the sponsor.
- d. OSPR will notify the Principal Investigator when a proposal has been submitted or is ready for submission.

4) RESPONSIBILITIES

- a. Principal Investigator – originates and writes the proposal.
- b. School Director or Department Head – determines if the proposal activity is within the scope of the departmental goals and if resources are available and adequate, where resources can include but are not limited to personnel, space, equipment, and utilities; and makes recommendations concerning the proposal.
- c. Dean – determines if requested matching funds will be provided and if the proposal activity is within the goals, as well as the role and scope of the college and/or division; acts upon recommendations of department chairperson or head; and makes recommendations concerning the proposal.
- d. OSPR – determines if PRAF has been completed and reflects the appropriate approvals of Deans/Directors or Department Heads and campus oversight committees; determines whether or not the budget in the proposal meets University requirements, (e.g., indirect costs, employee benefits, compensation limitations); and signs proposals as the AOR/CIRO. OSPR is responsible for determining whether or not a proposal is recommended for submission. These responsibilities are vested in the Office of Sponsored Programs and Research by the President's Office.

NOTE: ULM business hour ends at 11:30AM on Fridays. OSPR will not review or submit grants past this time (or during University Closures), unless a five (5) days' notice is given and OSPR agrees to do so.