

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

<i>Title:</i>	<b>PROPOSAL REVIEW AND APPROVAL POLICY</b>
<i>Effective Date:</i>	<b>10/13/2008</b>
<i>Update Responsibility:</i>	<b>Academic Affairs</b>
<i>Update Date:</i>	<b>NONE</b>
<i>Cancellation Date:</i>	<b>NONE</b>

**1) PURPOSE/PREAMBLE**

The University supports scholarly activities of faculty and staff but must depend on outside sources for funding of much of those activities. Faculty and staff preparation of applications, proposals, and requests for outside support for research and special projects is strongly encouraged. The Office of Sponsored Programs and Research (OSPR) is prepared to assist in all aspects of the search for external support of research and scholarly activities.

**2) DEFINITIONS**

- a. Authorizing Official Representative (AOR) refers to the individual(s) authorized to act on behalf of ULM.
- b. Principal 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 the internal ULM form that must accompany the proposal. It provides OSPR with information regarding the potential legal and scientific risks of the project. In addition, PRAF provides assurance that the appropriate ULM officials reviewed and approved the project.
- 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. The principal investigator needs to route a proposal together with a completed PRAF. In order to accomplish this, the principal investigator must perform the following *at least* five working days prior to the submission deadline:
  - i. Complete the PRAF and certify its integrity
  - ii. Obtain their department chairperson's signature (Chair certifies appropriateness)
  - iii. Obtain their dean's signature (Dean certifies appropriateness and approval)
  - iv. Forward completed proposal package to OSPR for review and approval
- b. 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.
- c. OSPR will notify the Principal Investigator when a proposal has been submitted.

**4) RESPONSIBILITIES**

- a. Principal Investigator – originates and writes the proposal.
- b. Department Chairperson or Head – determines if the proposal activity is within the scope of the departmental goals; if personnel, space, equipment, utilities, etc. are available and adequate; and makes recommendations concerning the proposal.

- c. Dean and/or Director – 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/Chairs 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. These responsibilities are vested in the Office of Sponsored Programs and Research by the President’s Office.

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*Policy References:*

Research Administration and Management. [edited by] Elliott C. Kulakowski and Lynne U. Chronister. Jones and Bartlett Publishers. Sudbury, MA. 2006.

*Review Process:*

Academic Affairs  
Academic Deans

*Distribution:*

Academic Deans  
Controller  
Budget Officer  
Vice President for Business Affairs