Finalize for Submission to Sponsor

This document explains how to finalize for submission to sponsor in eResearch Proposal Management.

- The business practice allows a PI to complete his/her proposal while the PAF is being routed for approval.
- The proposal does not have to be finalized before the PAF is routed for review & approval.
- PAF can still be routed concurrent with or before the proposal completion process.
- Finalize proposal steps are designed to make it clear:
  - When the proposal document is finalized and ready for submission.
  - Who is expected to submit the final proposal document.
  - A common location for the final proposal document (sponsor required documents).

Who Can Finalize: Key & Administrative Personnel with edit rights can finalize for submission to sponsor.

Important Information

⚠️ ORSP will not submit a proposal to a Sponsor until it has been finalized.
⚠️ If the project team is submitting the proposal, the project team cannot log project submission until the proposal is finalized for the sponsor.
⚠️ All finalized proposals appear in the Finalized Proposals tab of your Home Workspace.

Steps to finalize depend on:
- Who will submit the proposal
  - ORSP
  - PI/Project Team
- How the proposal will be submitted
  - All methods except Grants.gov using eResearch
  - Grants.gov using eResearch
  - Online System (e.g. Fastlane, proposalCentral)

When can you finalize the proposal?
- After the PAF has been routed for approval, you can finalize at any time using the Finalize Proposal for Submission to Sponsor Manage Data activity.
- If you have the final proposal, you can finalize when initially completing the PAF worksheet.

Topics:
- Submission Instructions
- Finalization Scenarios
  - Proposal Not Final When Completing PAF Worksheet
  - Finalize Proposal for Submission to Sponsor - After PAF Routed for Approval
    - ORSP Will Submit: Method—Not Grants.gov using eResearch
    - ORSP Will Submit: Method—Grants.gov using eResearch
    - PI/Project Team Will Submit
    - Submission Method Electronically via Other Online System
  - Proposal Final When Completing PAF Worksheet
Submissions Instructions

Who will submit the proposal (ORSP or PI/Project Team) & how the proposal will be submitted impacts how you will finalize your proposal.

Submission instructions are first completed in the PAF Worksheet & can be maintained after the PAF is routed for review & approval.

PAF Worksheet Section 5. Supporting Information – Routing Instructions

1. Answer question 5.15 Will ORSP submit any proposal documents to the sponsor?
   - Yes = ORSP will submit proposal to sponsor
   - No = PI/Project Team will submit proposal to sponsor

2. Select all methods that will be used to submit your Proposal.

Note:
After you route the PAF for approval, Submission Instructions can be managed & changed using Submission Instructions under the Manage Data menu on the PAF Workspace.
Proposal Not Final When Completing PAF Worksheet

PAF Worksheet - Section 5. Supporting Information – Routing Instructions

1. If your proposal is not finalized when you are completing the PAF, Select No for question 5.17 Are you ready to upload the final proposal document for submission to the sponsor?

Proposal Documents

2. Do NOT attach sponsor-required documents in 6.1 Final Documents for Submission because your final proposal document is NOT complete & ready to be submitted to the sponsor.

3. Attach documents needed for UM Internal Review (Unit & ORSP Review) in 6.2 Supporting Documents.

Important! Do NOT upload the Final Proposal documents here.

- For a Federal Direct Sponsor attach ORSP Administrative Shell which includes:
  - Sponsor Forms
  - Budget
  - Budget Justification
  - Abstract or Draft of Proposal Text

- For Non-Federal Direct Sponsor attach:
  - Draft Contract
  - Internal Budgets
  - Other draft documents The Administrative Shell is not submitted to the sponsor.

4. Complete the steps to route the PAF for approval. The proposal does not have to be finalized before you route for approval.
Finalize for Submission to Sponsor - After PAF Routed for Approval

Use the **Finalize for Submission to Sponsor** Manage Data activity to finalize the proposal after the PAF has been routed for approval.

- Your PAF could be in the Unit Review state or any of the ORSP states.

⚠️ If you have not finalized your proposal and all ORSP Approvals have occurred, what happens next depends on your submission instructions.

- If the submission instructions indicate that **PI & Project Team** will submit the proposal:
  - ORSP will send PAF back to the PI & Project Team for proposal submission to sponsor
  - PI & Primary Research Administrator will receive an email
  - The proposal must be finalized before the submission can be logged
  - The PAF will be in the state: *Project Team Submission to Sponsor*

- If the submission Instructions indicate that **ORSP** will submit the proposal
  - ORSP will send the PAF back to the PI & Project Team for proposal finalization
  - PI & Primary Research Administrator will receive an email
  - The PAF will be in the state: *ORSP Approved: Awaiting Final Proposal*

- Regardless of who will submit to the sponsor if the proposal is not finalized, "**According to the PAF, the proposal documents are not yet finalized.**" appears on the PAF Workspace.

⚠️ ORSP will not submit a proposal to a Sponsor until it has been finalized.

⚠️ If the project team is submitting the proposal, the project team cannot log project submission until it is finalized.
ORSP Will Submit: Method—Not Grants.gov using eResearch

This section explains the steps to finalize when ORSP will submit & the method is not Grants.gov using eResearch.

Methods could include:

- Email to Sponsor
- Other Online System
- Commercial Courier
- Fax to Sponsor
- Other

PAF Workspace: Unit Review state

Note: Steps to finalize shown using the Finalize Submission for Sponsor Manage Data activity. Could also finalize from PAF Worksheet.

1. Click Finalize for Submission to Sponsor under the Manage Data menu.
Finalize for Submission to Sponsor

2. Check to confirm for ORSP that the proposal is final & ready to be submitted.

**Note:** Selecting the box means that YES the proposal is final and can be submitted at any time after unit & ORSP approvals are complete.

This check box changes the answer to question 5.17 *Are you ready to upload the final document for submission to the sponsor?* to **Yes** in the PAF worksheet.

3. Upload one PDF proposal document for submission to the sponsor, it should include all required sponsor documents, such as:

**Notes:**
- For Non-Federal Direct Sponsor, the PDF should include Statement of Work, Abstract, etc.; Budget; Budget Justification
- For Federal Direct Sponsor, if you are submitting via Grants.gov Workspace, attach one PDF file of the final proposal.

**Important!** Do not attach Word, Excel or multiple documents unless specifically indicated otherwise by the sponsor or your PR.

Make sure to click **Attach!**

4. Click **OK.**

Proposal is finalized & ready for submission to the sponsor.

5. A message appears on the PAF Workspace: **“According to the PI/Project Team, the proposal documents have been finalized and are ready for submission to the sponsor.”**

After all reviews are complete this proposal can be submitted to the sponsor.
ORSP Will Submit: Method—Grants.gov using eResearch

This section explains the steps to finalize when ORSP will submit & the method is eResearch Submission to Grants.gov.

**Note:** Steps to finalize shown using **Finalize for Submission to Sponsor**. Could also finalize from PAF Worksheet.

1. Click **Finalize for Submission to Sponsor** from Manage Data menu.
2. Check to confirm for ORSP that the proposal is final & ready to be submitted.
   - Selecting the box means that YES the proposal is final and can be submitted at any time after unit & ORSP approvals are complete.
   - This check box changes the answer to question 5.17 *Are you ready to upload the final document for submission to the sponsor?* to Yes in the PAF worksheet.
   - For Grants.Gov submissions in eResearch, you do not need to upload any documents.

3. Grants.Gov Submission Status needs to be “Valid for Submission”
   - An error will occur if it is not valid for submission.
   - To learn how to validate see the [Grants.gov in eRPM step by step procedure](http://eresearch.umich.edu).

4. Click OK.
   Proposal is finalized & ready for submission to the sponsor.

5. A message appears on the PAF Workspace: "According to the PI/Project Team, the proposal documents have been finalized and are ready for submission to the sponsor."
PI & Project Team Will Submit

This section explains the steps to finalize when PI/Project Team will submit the proposal to the sponsor:

The project team cannot log project submission until the proposal is finalized.

PAF Workspace: Unit Review state

Note: Steps to finalize shown using Finalize for Submission to Sponsor. Could also finalize from PAF Worksheet.

1. Click Finalize for Submission to Sponsor under the Manage Data menu.
Finalize for Submission to Sponsor

2. Check to confirm that the proposal is final and ready to be submitted.

3. Upload one PDF of the final proposal document to keep a historical record. Make sure to click Attach!

4. Click OK.
   Proposal is finalized & ready for submission to the sponsor.

5. A message appears on the PAF Workspace: “According to the PI/Project Team, the proposal documents have been finalized and are ready for submission to the sponsor.”

6. The Project team can then log submission. See instructions to Log Project Team Submission to Sponsor: http://www.umich.edu/~eresinfo/erpm/docs/PM_PT_LogSubmission_SS.pdf
Submission Method Electronically via Other Online System

This section explains the steps to finalize an electronic submission that either the PI & Project Team or ORSP will submit.

PAF Workspace: Unit Review state

Note: Steps to finalize shown using Finalize for Submission to Sponsor. Could also finalize from PAF Worksheet.

1. Click Finalize for Submission to Sponsor under the Manage Data menu.

Finalize for Submission to Sponsor

2. Check to confirm that the proposal is final & ready to be submitted.
3. Check to indicate that the proposal has been uploaded to sponsor system.

4. Click **OK**.

5. A message appears on the PAF Workspace that says, "According to the PI/Project Team, the proposal documents have been finalized and are ready for submission to the sponsor."

### Finalizing from the PAF Worksheet

Use the steps below to finalize your proposal documents when initially completing the PAF worksheet. It will still be in the Proposal Preparation state.

⚠️ If your proposal is NOT ready to be finalized, use **Finalize for Submission to Sponsor** under Manage Data menu.

#### PAF Worksheet Section 5. Supporting Information

1. If your proposal is final when completing the PAF, select **Yes** for question 5.17 Are you ready to upload the final document for submission to the sponsor? on the PAF Worksheet.

**Note:** If not all documents associated with this proposal have been finalized, please answer NO to question 5.17.

Answering YES to question 5.17 indicates to ORSP that the proposal is final and can be submitted at any time after unit & ORSP approvals are complete.

You can manage this page after you route for approval by executing **Finalize for Submission to Sponsor** under the Manage Data menu in the PAF Workspace.

Even if you validate SF424 (Grants.gov) forms, you still must finalize.
PAF Worksheet Final Proposal (Section 6. Proposal)

2. If you have uploaded your submission to the sponsor system & cannot upload any documents here, check the box to note this.

**Note:** You will only have this option if you selected “Other Online System (e.g. Fastlane)” for question 5.15 Submission Methods.

3. Attach sponsor-required documents in 6.1 Final Documents for Submission.
   - For Non-Federal Direct Sponsor, the PDF should include Statement of Work, Abstract, etc.; Budget; Budget Justification
   - For Federal Direct Sponsor, attach one PDF.
   - Attach one PDF if you submit to Grants.gov.
   - For Grants.Gov in eResearch, you do not need to attach a document, but you must validate. See Grants.gov in eRPM step by step procedure.

**Important!** Do NOT upload the Final Proposal documents here.

   - For Grants.gov submissions and non-Grants.gov submissions, attach all final documents.
   - For a **Federal Direct Sponsor** attach ORSP Administrative Shell which includes:
     - Sponsor Forms
     - Budget
     - Budget Justification
     - Abstract or Draft of Proposal Text
   - For **Non-Federal Direct Sponsor** attach:
     - Draft Contract
     - Internal Budgets
     - Other draft documents The Administrative Shell is not submitted to the sponsor.

5. Complete the steps to route the PAF for approval. You have noted that the proposal is finalized. It can be submitted to the sponsor after all unit & ORSP reviews are complete.

6. After the proposal has been finalized for ORSP submission, a PAF Workspace message displays: “According to the PI/Project Team, the proposal documents have been finalized and are ready for submission to the sponsor”.

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