Pre-proposal policy and procedures

Definition: The term “Pre-proposals” encompasses anything officially submitted to a sponsor prior to submission of a full proposal. This includes white papers, Notices of Intent, concept papers, and preliminary proposals. Pre-proposals for projects in which UM will be a subaward or collaborator, and pre-proposals for a limited competition are also covered by this policy. Pre-proposals may or may not request a detailed budget, and they may or may not need to be directly endorsed or submitted by UMaine’s Authorized Organizational Representative; neither of these conditions precludes submission through ORA.

1) **ALL** pre-proposals must be submitted to ORA for review via the NOI function in PARS.

2) If a pre-proposal includes **cost-share or commitment** of university resources, it must be routed through PARS and must follow the ORA Proposal Submission Timeline.

3) If a pre-proposal requires a **detailed budget**, it must be routed through PARS and must follow the ORA Proposal Submission Timeline.
   a. By extension, if a pre-proposal only requires an **estimated budget figure**, it does NOT need to be routed through PARS, but should still be reviewed by ORA.

4) ORA will not require a detailed line-item budget unless it is required by the sponsor.

5) If the PI must submit electronically through his/her individual account on a **sponsor portal** or via email, the PI will work with ORA to ensure that all information is correctly entered in the portal prior to submission, and will forward ORA a copy of the final proposal and submission confirmation.

6) Pre-proposals, including those simply requesting estimates, must include **full indirect costs** in their budget calculation unless otherwise stated in the solicitation or published on the sponsor’s website. Exceptions require prior approval from ORA or the Vice President for Research and Dean of the Graduate School.

7) Pre-proposals, whether or not they need to go through PARS at this stage, will be given a submission number for internal tracking purposes. The full proposal will need a new Notice of Intent and will be issued a separate submission number (and linked to the pre-proposal).