


MEMORANDUM

Date: August 29, 2012
To: UMMS Research Community
From: Diego Vazquez, Assistant Vice Provost, Research Funding 
Subject: Streamlined Proposal Review Process Requirements and Compliance Certification Documentation

Proposals Approvals

In order to streamline the proposal review process Research Funding Services (RFS) will initiate the review of a proposal upon receipt of a Proposal Routing Form (PRF) with the Principal Investigator (PI) and Department Administrator's (DA) original signatures and a finalized budget and budget narrative. This will allow for budgetary items to be reviewed in parallel to the PRF signature approval process, allowing the department to continue work on the remaining proposal components while RFS reviews and provides feedback regarding the budget.

Approver Documentation Requirements

RFS will now accept photocopies/scans/faxes of Co-Investigator and Department Chair signatures on the Proposal Routing Form. Moving in this direction allows the initiating department to secure approvals on the PRF in parallel, allowing the process to move forward in the absence of any approvers. E-mail approvals are acceptable in lieu of a signature should an approver not be available to sign. The approver's e-mail must include the Primary PI's name, the PeopleSoft Proposal ID# and a statement indicating that they have reviewed and approved the PRF for the application. Please note that all approvals must still be secured for a proposal to be submitted to the sponsor.

Proposals submitted using the streamlined proposal review process should include the attached checklist identifying any missing or pending signatures. At the intake stage the checklist will let RFS know not to treat the submission as an incomplete packet and that the department will be following up with additional approval signatures. **An updated Proposal Approvals Checklist must accompany each submission of additional approval documentation to RFS (including COI documentation).** It is the responsibility of the department to ensure that all approving signatures are provided to RFS prior to submission of the proposal to the sponsor.

Compliance Certifications

RFS will accept photocopies/scans/faxes of the Summary Disclosure of Financial Interests required at the time of submission for any project personnel regardless of title or position, who is responsible for the design, conduct or reporting of the research. All required disclosures must be provided to RFS prior to submission of the proposal to the sponsor.

Sponsors require disclosure of the existence of human subjects and/or animal research as part of the application process. Most sponsors do not require institutional approval documentation of human subjects and animal research protocols at the proposal stage. RFS is aligning the proposal review and submission process to reflect how sponsors address this issue (e.g., Just-in-time, or JIT) and will not request documentation of protocol approval letters at the application stage. However, departments are still required to disclose the existence of human subject and animal research components on the PRF and will be asked to select the Pending Approval indicator in the Indicator field on the Certification tab when entering data into PeopleSoft. The Approval Date field should be left blank as a **Pending Approval** response will not

require documentation of the approval date. If the project does not have a human subject or animal research component, on the Certifications tab in PeoplesSoft, select H001 for Humans, A025 for Animal Research in the Certification Code field and indicate **No** in the Certification Indicator field.

The screenshot below shows how an Animal Research **Pending Approval** certification should be entered. Note that the circled approval date is left blank. Since Human Subjects are not being used in this project, the H001 Certification Code is selected and the Indicator field is set to **No**.

University of Massachusetts Production 9.1
 Favorites Main Menu > Grants > Proposals > Maintain Proposal

Proposal ID: 000000000000 Version ID: V101
 Description: Test Currency: USD

Project ID: 0000000000 Title: Test

*Certification Code	Certification Date	*Indicator	Certified By	Approval Date	Expiration Dt	Docket/Protocol #	Exemption Number
H001		No					
A025		Pending Approve					

The certification entered above will appear in Section VI. of the printed PRF in the following format:

VI. Certifications			
Cert. Code/Description	Indicator	Docket/Protocol#	Approval Date
A025 ANIMAL	PD		
H001 HUMAN SUBJECTS	NO		

If the department has a valid protocol number and approval date, they can choose to include it on the PRF. However, if a protocol number and date are provided, RFS will require a copy of the most current approval letter to be provided as part of the submitted PRF packet.