Approving Units

General Overview

All proposals must receive internal approval before being fully developed and submitted to the sponsor. Cayuse SP has a workflow component that routes proposals for approval. This process is called routing or internal approval. The **Approving Units** section identifies the internal approvers for each proposal and establishes the proper sequence for routing the proposal.

The assigned OSP Grant Officer completes the Approving Units page after in-depth discussion with the PI about the project. The Grant Officer explains to the PI the process and responsibilities of the PI during the internal approval process.

The Office of Sponsored Projects will verify the correct order of approval hierarchy before routing begins. Each approver must authorize the proposal before it can move forward in the approval process.

Internal approvers include:
- Leadership from the PI's home department, division, area
- Leadership for any Co-PI's or senior personnel home department, division, area
- Leadership from specifically involved auxiliary departments (described below)
- Executive Cabinet for proposals with funding requests over the Cabinet review threshold

Key components of the process are listed below with examples.

Reviewing Cayuse SP Proposal for Accuracy and Completion

The PI must review each section of their Cayuse SP proposal, beginning with the General Information Section through the Proposal Attachments section. Ensure the information entered is accurate and complete. Make any necessary updates to information and fields.

Next, the PI contact their Grant Officer to begin coordinating their Cayuse SP proposal for OSP review, routing and internal approvals.

Communicating Approval

- It is the responsibility of the PI and leaders within the PI's division to be informed about the proposal. The PI must discuss proposals with their supervisor and, as appropriate, other leaders in their area. The internal approval process should not be the first time the PI's supervisor and area leaders learn about the proposal.

- Final proposal documents that will be submitted to the sponsor do not need to be attached before initiation of the approval process. However, the information in all SP fields needs to be as accurate and complete as possible at the time of initiation.
- The PI should communicate with their leadership about their review expectations. For example, if a leader wants to review the project narrative, then the PI will discuss when and how this will be provided. Generally, as noted above, the project narrative will not be provided for review during the approval process because narratives are not usually finalized until days before the proposal is due. This does not exempt PIs from providing details to leaders about the proposal.
- PIs and others are not allowed to make changes to the proposal while it is in the routing process. OSP can make changes. *To facilitate the process, approvers with comments or who are requesting changes to the proposal should contact OSP before rejecting the proposal.*
- Approvers can add comments to the proposal in the approver comment box during the routing process. See the Approver Guide available on the OSP website.

Timing

- At the request or approval of the PI, **OSP initiates the internal approval process after all components of the SP proposal have been completed and reviewed by the PI and OSP for accuracy including the approving units page. The PI must NOT initiate routing.**
- Internal approval takes at least 15 business days for large grants and 5 - 15 business days for small grants. *OSP strongly recommends initiating internal approval three weeks before the submission deadline for projects requiring Cabinet approval and two weeks before the submission deadline for projects that do not require Cabinet approval.* Failure to do so may result in non-submission.
- It is expected that approvers will approve or reject the proposal within 24 hours of receiving the request. Timeliness of approval is critical because delays can result in non-submission.
- The OSP budget template must be reviewed and approved by the Budget Office in writing before initiation of the process. OSP will submit the OSP budget template to the Budget Office for review.

Approving Units and Routing Order

When you are ready to approve, click into the **Approving Units** section of your proposal from the Proposal Development Menu.

- The approval units for personnel added on the Investigators/Project Team page automatically populate in the approving units list. The auto populated units cannot be changed.

- Add units by clicking in the Unit box. A Select Unit menu will pop-up. Choose all units that apply.

- After selecting a unit, click Add Unit.

- To remove an existing unit, select the Remove link on the right-hand side of the list.

- The routing order represents when the approver will receive the proposal. It can be sequential or simultaneous. Sequential numbering means that approvers will not receive the proposal until the approver before them has approved.

- There are three auxiliary departments that must be included in the approval process IF the project involves work that affects these departments.
  - Human Resources: must be added to approving units list if the project involves new positions. Attach a description of the new position, including FTE, classification, and title in the Proposal Attachment section.
  - Office of Information Technology: must be added if the project involves new software, significant hardware or external transmission of sensitive data. NOTE: OIT has review processes for these types of projects. Those processes must be completed BEFORE sponsored project internal approval. As applicable, the written decision of OIT should be included in the Proposal Attachment section.
  - Facilities: must be added if the project involves new space, remodel or unique space needs. NOTE: Facilities has review processes for these types of projects. Those processes must be completed BEFORE Cayuse SP internal approval. As applicable, the written decision of Facilities should be included in the Proposal Attachment section.

Approving Units Page Example

The approver list proceeds up the hierarchy with auxiliary units being between all other approvers and a final individual approver (a Vice President or the Provost).

As shown in the image below, the Lead Principal Investigator will always be listed as the first approver. In this case, the Dean of the School of Business is the PI.

The second approver(s) will be either a) Co-PIs & Senior Personnel, or in the absence of Co-PIs and auxiliary units, b) the supervisor of the PI. In this example, the second approver is the Co-PI, the Assistant Provost for Continuing Education.

In this example, the Co-PI's supervisor is the Associate Provost of Workforce and Economic Development. Further, the project involves two auxiliaries: HR because they are requesting a new position and OIT because they will be transmitting sensitive information outside the college. Some approver groups, like auxiliaries and Dean/AVP-level supervisors, may receive the same ordering number to speed up the approval time. Note that Workforce and Economic Development, HR and OIT are all 3rd in the routing order.

The Provost of Academic Affairs is the 4th approver. He oversees areas of both the PI and Co-PI.

Executive Cabinet is listed last. Their approval is required because the proposal funding request is over the Cabinet review threshold.

Instructions to Initiate and Complete Internal Approval

1. Once the approving unit list is complete, OSP will click the "Authorize Unit Listing" button at the bottom of the page.

2. When the proposal is ready to be routed, **OSP** will click the "Submit for Routing" button on the left side of the page. PIs should **NOT** click this button. Submitting a proposal for routing without OSP consent or knowledge will result in failure of the process.

3. Approvers will receive emails from Cayuse requesting that they review and approve the proposal. A link to the system along with the proposal number will be provided in the email. See the step-by-step guide for approvers in the Certifications and Approvals section of the *Cayuse SP - User Guide: Certifications and Approvals*.
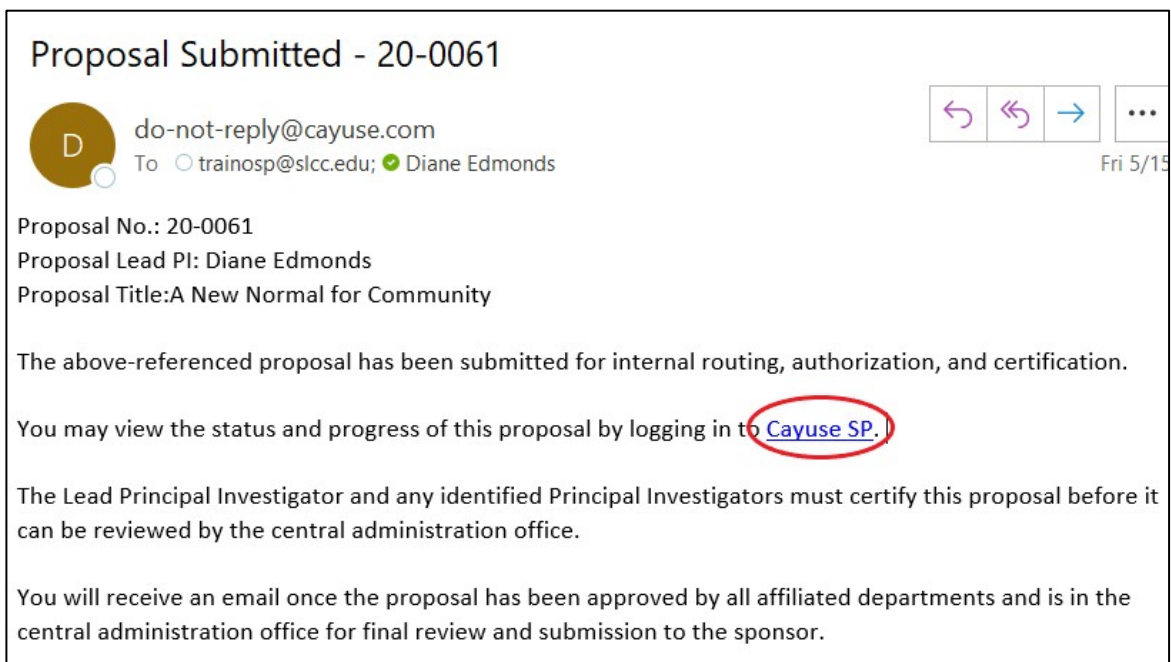
4. OSP will track the routing process and contact any approver who has not approved a proposal within 24 hours of receiving an approval email.
   a. The PI can also view the approval process by clicking on the "View Routing Status" button in the left-hand menu.
5. If applicable, OSP will arrange approval in Cabinet which requires a few extra steps not included within Cayuse.
6. Once the proposal is completely approved, OSP will inform the PI.

Completing the Sponsor Application

Approval of the Cayuse SP proposal signals that SLCC College leadership has approved the PI to move forward with development of the application to the sponsor. The PI will continue to work with their Grant Officer to complete the sponsor application, which will be reviewed and approved by the Office of Sponsored Projects for submission to the sponsor.

The PI is only authorized to submit the application to the sponsor *after* final review by OSP of all application materials. The PI or Grant Officer will upload all final materials to the Proposal Attachments page.

Next Step

Navigating and completing the **Submission Notes** section.
For more information, see [Cayuse SP - User Guide: Submission Notes](#).