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Purpose & Use

The Proposal Routing form is used to obtain the necessary approvals before submitting proposals for grants and contract funding.

Information Needed

- PI contact information
- Co-PIs’ contact information (if applicable)
- Sponsor name and program information
- Proposal title, amount, and dates
- Project information and requirements
- Budget, budget justification, and proposal narrative
- F&A rate information
- Cost share information
- Email addresses for approving supervisors

Form Routing

Click this link to review a more detailed workflow chart.

Statuses

DRAFT

The form opens in Draft status and can be edited by the initiator. Once the form is submitted, it will no longer be in Draft status.

SAVED

The initiator can save progress on Proposal Routing forms by clicking the Save for Later button without signing. SharePoint will automatically email a copy of the Saved form to the initiator.

If someone initiates a form on behalf of a PI, the initiator may click the Save for Later button to submit without signing it then forward the resulting email to the PI for their signature.

The next time a Saved form loads, the form will automatically switch to Draft status.
AWAITING CO-

If no Co-PIs are listed, the form will not enter this status.

If all required fields are completed, Co-PIs are listed, and the form is submitted, it will enter **Awaiting Co-1** status. This indicates that the form still requires the signature of the first Co-PI listed.

The Co-PI will be notified via email to review and sign the conflict of interest form embedded in the Proposal Routing form.

If multiple Co-PIs are listed, once the first Co-PI signs their conflict of interest statement, the Proposal Routing form will proceed from **Awaiting Co-1** status to **Awaiting Co-2** status.

Up to four Co-PIs may be listed on one Proposal Routing form.

**NOTE:** Co-PIs must be full-time employees of UNO. See [IMD 85.003 on PI Eligibility](#) for more information.

AWAITING PI

The form may enter **Awaiting PI** status in one of two ways:

1. The PI or initiator fills out all required fields and submits the form without any Co-PIs listed.
2. All the listed Co-PIs have signed the form.

Once either of these conditions is met, the form will enter **Awaiting PI** status. The PI will be notified via email to review and sign the conflict of interest form embedded in the Proposal Routing form.

**NOTE:** PIs must be full-time employees of UNO. See [IMD 85.003 on PI Eligibility](#) for more information.

NEEDS CHAIR APPROVAL

Once the PI and all listed Co-PIs have signed their conflict of interest statements, the Proposal Routing form will enter **Needs Chair Approval** status.

The department head/chair/director listed for the PI will be notified via email that a new Proposal Routing form requires their review and approval.

The form will remain in this status until the department head/chair/director submits the form with their signature.

NEEDS DEAN APPROVAL

Once the PI’s department head/chair/director has submitted the form with their signature, the form will enter **Needs Dean Approval** status.

The dean/VP listed for the PI will be notified via email that a new Proposal Routing form requires their review and approval.

The form will remain in this status until the dean/VP submits the form with their signature.

NEEDS CHAIR APPROVAL #

If no Co-PIs are listed, the form will not enter this status.

If all the Co-PIs listed are in the same department as the PI, the form will not enter this status.

If Co-PIs are listed on the proposal, and if any Co-PIs are not in the same department as the PI, then multiple sets of supervisory approvals will be necessary.
After obtaining the approval of the PI’s dean/VP, the form will enter Needs Chair Approval 1 status. This indicates that the form is seeking approval from the department head/chair/director associated with the first Co-PI who is listed in a different department than the PI.

The department head/chair/director listed for the Co-PI will be notified via email that a new Proposal Routing form requires their review and approval.

The form will remain in this status until the department head/chair/director submits the form with their signature.

If multiple Co-PIs are listed in different departments than the PI, then once the first Co-PI’s supervisors have signed the form to indicate their approval, the Proposal Routing form will proceed from Needs Dean Approval 1 to Needs Chair Approval 2 status.

Up to four Co-PIs’ supervisors, if different than the PI’s, may be asked to sign the Proposal Routing form.

NEEDS DEAN APPROVAL #

If no Co-PIs are listed, the form will not enter this status.

If all listed Co-PIs are in the same department as the PI, the form will not enter this status.

If Co-PIs are listed on the proposal, and if any Co-PIs are not in the same department as the PI, then multiple sets of supervisory approvals will be necessary.

After obtaining the approval of the Co-PI’s department head/chair/director, the form will enter Needs Dean Approval 1 status. This indicates that the form is seeking approval from the dean/VP associated with the first Co-PI who is listed in a different department than the PI.

The dean/VP listed for the Co-PI will be notified via email that a new Proposal Routing form requires their review and approval.

The form will remain in this status until the dean/VP submits the form with their signature.

If multiple Co-PIs are listed in different departments than the PI, then once the first Co-PI’s supervisors have signed the form to indicate their approval, the Proposal Routing form will proceed from Needs Chair Approval 2 to Needs Dean Approval 2 status.

Up to four Co-PIs’ supervisors, if different than the PI’s, may be asked to sign the Proposal Routing form.

SUBMITTED

If the form is submitted with signatures from the PI, all listed Co-PIs, and all listed supervising approvers, the form will enter Submitted status.

The initiator (and the PI, if different) will receive an email confirming submission of the form. The form will forward to the appropriate Research Administrator for processing.

NEEDS VP APPROVAL

If the form is submitted with a signature from a Research Administrator in the Office of Research, the form will enter Needs VP Approval status.

The form will forward to the Vice President for Research & Economic Development for review.

REJECTED

If a form is rejected by any party, the form will enter Rejected status. The initiator (and the PI, if different) will receive notification of the rejected form via email.
COMPLETED

If a form is approved by the Vice President for Research & Economic Development, the form will enter completed status. The initiator (and the PI, if different) will receive notification of the approved form via email.

Recipients

- **SAVED**
  - Initiator
  - PI (if different)
- **AWAITING CO-#**
  - Initiator
  - PI (if different)
  - Co-PI(s)
- **AWAITING PI**
  - Initiator
  - PI (if different)
- **NEEDS CHAIR APPROVAL**
  - Department head/chair/director listed for PI
- **NEEDS DEAN APPROVAL**
  - Dean/VP listed for PI
- **NEEDS CHAIR APPROVAL #**
  - Department head/chair/director listed for Co-PI(s), if different than PI’s
- **NEEDS DEAN APPROVAL #**
  - Dean/VP listed for Co-PI(s), if different than PI’s
- **SUBMITTED**
  - Initiator
  - PI (if different)
  - Research Administrator
- **NEEDS VP APPROVAL**
  - Vice President for Research & Economic Development
- **REJECTED**
  - Initiator
  - PI (if different)
- **APPROVED**
  - Initiator
  - PI (if different)

**Email To**

If the form needs to be sent to any recipients other than those listed above, any user can add any UNO email address into the **Email To** field and then submit the form. The user will be copied on an email sent to the entered email address.
Initiator Instructions by Section

Principal Investigator

Only UNO faculty and staff members as outlined in IMD 85.003 PI Eligibility are eligible to be PIs at UNO. To learn more about verifying PI eligibility, read our policy overview and instructions.

First Name:  
Last Name:  
UNO Email Address:  
Phone Number:  
College:  
Department:*  
Workday Employee ID:  

*NOTE: F&A will be credited here unless otherwise indicated in the F&A Distribution section below.

Add a co-PI (up to four)

1. First Name: Enter the first name of the UNO PI.
2. Last Name: Enter the last name of the UNO PI.
3. UNO Email Address: Enter the UNO email address for the UNO PI.
4. Phone Number: Enter a phone number for the UNO PI.
5. College: Select the PI’s college from the dropdown menu; the college selected will determine which options are available in the Department dropdown.
6. Department: Select the PI’s department from the dropdown menu; the options will be filtered based on the College selected.
7. Workday Employee ID: Enter the Workday employee ID for the principal investigator; if the Peoplesoft employee ID is entered, instructions will appear for finding the Workday employee ID.
8. Add a co-PI (up to four): Click this link to add a Co-PI; up to four Co-PIs may be added.
9. Save for Later: Click the button at any time after entering the above information to save the form for later.
Co-Principal Investigator

This section only appears if the user clicks the Add a co-PI (up to four) link.

1. **First Name:** Enter the first name of the co-principal investigator.
2. **Last Name:** Enter the last name of the co-principal investigator.
3. **UNO Email Address:** Enter the UNO email address for the co-principal investigator.
4. **Phone Number:** Enter a phone number for the co-principal investigator.
5. **College:** Select the Co-PI’s college from the dropdown menu; the college selected will determine which options are available in the Department dropdown.
6. **Department:** Select the Co-PI’s department from the dropdown menu; the options will be filtered based on the College selected.
7. **Workday Employee ID:** Enter the Workday employee ID for the principal investigator; if the Peoplesoft employee ID is entered, instructions will appear for finding the Workday employee ID.
8. **Add a second co-PI:** Click the link to add another Co-PI; repeat steps 1-8 as necessary.

Sponsor

1. **Sponsor Name:** Enter the name of the funding agency that will review the submitted proposal.
2. **Due to Sponsor:** Enter or select the date when the proposal will be due to the sponsor; then, enter the time and select the time zone when the proposal will be due to the sponsor.
3. Select the proposal submission method from the dropdown menu; options include:
   - Office of Research will submit electronically
   - PI will submit electronically
   - Office of Research will send through U.S. Mail
   - Department will retrieve physical packet
   - Other

4. Provide a website URL that links to the program description or the request-for-proposals (RFP); or, attach the program description/RFP; or, explain why no program description is available.

5. Indicate whether or not UNO will be a subcontractor to another agency.
   a. If yes, enter the name of the **Prime Sponsor**.

### Proposal

<table>
<thead>
<tr>
<th>Proposal</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title:</strong></td>
<td>Enter the full proposal title.</td>
</tr>
<tr>
<td><strong>Type:</strong></td>
<td>Select the proposal type from the dropdown menu; options include:</td>
</tr>
<tr>
<td><strong>Start Date:</strong></td>
<td>Enter or select the date when work on the funded project will begin.</td>
</tr>
<tr>
<td><strong>End Date:</strong></td>
<td>Enter or select the date when work on the funded project will conclude.</td>
</tr>
<tr>
<td><strong>Amount:</strong></td>
<td>Enter the amount of funding being requested for the project.</td>
</tr>
</tbody>
</table>

2. **Type:** Select the proposal type from the dropdown menu; options include:
   - New
   - Internal
   - Non-Competing Renewal
   - Pre-Proposal
   - Notice of Intent
   - Supplemental
   - Resubmission
   - Transfer In

3. **Start Date:** Enter or select the date when work on the funded project will begin.

4. **End Date:** Enter or select the date when work on the funded project will conclude.

5. **Amount:** Enter the amount of funding being requested for the project.
Project Information & Requirements

<table>
<thead>
<tr>
<th>Project Information &amp; Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did you (or will you) utilize one of our <strong>grant writers</strong> for this proposal?</td>
</tr>
<tr>
<td>Does this proposal involve…</td>
</tr>
<tr>
<td><strong>Extra compensation</strong> (that is not summer salary?)</td>
</tr>
<tr>
<td><strong>National Science Foundation (NSF) funds?</strong></td>
</tr>
<tr>
<td><strong>Public Health Services (NIH) funds?</strong></td>
</tr>
<tr>
<td><strong>Export controls or foreign nationals restrictions?</strong></td>
</tr>
<tr>
<td>The <strong>transfer of biological materials or chemical materials</strong> to another university or non-profit research institution?</td>
</tr>
<tr>
<td><strong>Human subjects or human tissue?</strong></td>
</tr>
<tr>
<td>The use of <strong>vertebrate animals</strong>?</td>
</tr>
</tbody>
</table>

1. Answer each question by clicking the radio button for **Yes**, **No**, or **Unsure** as appropriate. 
   NOTE: The form is responsive; your answers may prompt more on-screen instructions.

2. For definitions and explanations, visit the [Proposal Routing Tutorial] page on the Office of Research website.

Submission Documents

1. To attach files, click the corresponding **Click here to attach a file** button and navigate to where the file is saved on your computer.

   **NOTE:** The **total** size limit of **all files** uploaded cannot exceed **5 MB**. If you find yourself exceeding the size limit, [save your files in compressed (zipped) folders]; then, upload the folder(s).

2. **Budget:** Attach the project budget created using the [UNO budget template]—download a fresh copy of the template for every project!

3. **Budget Justification:** Attach the budget justification for the project.

4. **Proposal Narrative/Statement of Work:** Attach the proposal narrative or statement of work for the project.

5. If you need to upload any additional attachments, enter a description of the attachment into the text box. Then, upload the file from where it is saved on your computer.

6. You may add more attachments by clicking the **Add another attachment** link.
F&A Distribution

Complete this section to demonstrate how the facility & administrative costs will be split among departments, centers, institutes, etc.

The distribution percentages must total to 100%. If the F&A will not be split, select the single department/center/institute and enter 100%.

<table>
<thead>
<tr>
<th>Department/Center/Institute</th>
<th>Distribution %</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

Add another cost center

To Charge F&A Costs to One Department/Center/Institute

1. **Department/Center/Institute**: Will auto-populate with the PI’s department as selected in the Principal Investigator section; you may update this row as necessary.

2. **Distribution %**: The first row will auto-populate with 100; do not update this row.

To Split F&A Costs Among Departments/Centers/Institutes

3. **Department/Center/Institute**: The first row will auto-populate with the PI’s department as selected in the Principal Investigator section above; you may update this row as necessary.

4. **Distribution %**: The first row will auto-populate with 100; you may update this row as necessary.

NOTE: The distribution percentages from all rows must total to 100%.

5. **Add another cost center**: Click this link to add another row.

Budget Notes & Exceptions

If you require assistance with filling out this section of the form, contact a member of your service team.

**Subaward/Professional Services**

Is there a subaward or professional services agreement listed in your budget? [Definitions & Explanations] ☐ Yes ☐ No

**Cost Share**

Does this project involve cost share? ☐ Yes ☐ No

**Off Campus**

Will more than 50% of the project be conducted off campus (excluding subawards)? ☐ Yes ☐ No

**Adjusted F&A Rate**

Does the proposal require adjustments to the required F&A rate? ☐ Yes ☐ No

1. Answer each question by clicking the radio button for Yes or No as appropriate.
2. **Subaward/Professional Services:** Report whether your project will involve a subaward or professional services agreement.
   - If yes:
     i. Fill out the [Subrecipient vs. Vendor/Professional Services](#) interactive tool to determine the classification of the outside entity.
     ii. Attach a PDF of the results.

3. **Cost Share:** Report whether or not the proposal involves cost share.
   - If yes:
     i. Report whether the cost share is required by the sponsor; if it is, link to or attach documentation from the sponsor.
     ii. Check the boxes for the relevant source(s) of funding.
     iii. Name the source(s) of funding, using the Workday numbers if known.

4. **Off-Campus:** Report whether more than 50% of the work will be conducted off campus; exclude subawards in this calculation. *The radio button for “No” is auto-populated.*
   - If yes:
     i. Provide the justification for the off-campus work.

5. **Adjusted F&A Rate:** Report whether or not the proposal requires adjustments to the required F&A rate. *The radio button for “No” is auto-populated.*
   - If yes:
     i. Link to or attach documentation from the sponsor.
     ii. Alternatively, provide further justification for the adjusted rate.

### Intellectual Property

1. Answer each question by clicking the radio button for **Yes, No, or Unsure** as appropriate.

2. Click the **Definitions & Explanations** link for more information about each question.

**NOTE:** We are only asking these questions for the purposes of internal review and tracking; your answers will not affect IP ownership.
Lab Safety

1. Answer each question by clicking the radio button for Yes or No as appropriate.

2. Click the Definitions & Explanations link for more information about each question.

Mandatory Certifications

1. Agree to each of the mandatory certifications:
   a. Debarment/Suspension: Check the box.
   b. Scientific Commitment: Check the box.
   c. Award Commitment: Check the box.
   d. Legal Applicant: Check the box.
e. **Plagiarism**: Check the box.

**NOTE**: All investigators will sign below to affirm their individual agreements.

2. Click the **Definitions & Explanations** link for more information about each certification.

## Form Routing

<table>
<thead>
<tr>
<th>Form Routing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter the email addresses for the department head/chair/director and the dean/VP who supervise the PI.</td>
</tr>
<tr>
<td>Department:</td>
</tr>
<tr>
<td>Dept. Head/Chair/Director Email:</td>
</tr>
<tr>
<td>Dean/VP Email:</td>
</tr>
</tbody>
</table>

1. **Dept. Head/Chair/Director Email**: Enter the UNO email address for the PI’s department head/chair/director.

2. **Dean/VP Email**: Enter the UNO email address for the PI’s dean/vice president.

**NOTE**: If Co-PIs listed on the proposal are from different departments than the PI, the form will ask for the email addresses for the Co-PI(s)’ supervisors as well.

## Comments (Optional)

<table>
<thead>
<tr>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have entered a test comment into the form.</td>
</tr>
</tbody>
</table>

Submitted by: jelandr1 on 12/7/2020

1. **Add comments**: If relevant, click the **Add comments** link to add a comment to the form.

2. Type your comment in the box that appears. Your username and the date will auto-populate beneath the comment.

3. **Add more comments**: If necessary, click the **Add more comments** link to add more comments.

## Submit Form

Once you have finished filling out all required fields, click the **Submit Form** button at the bottom of the form or the **Submit** button in the ribbon at the top of the browser window.

The form will automatically close and proceed through the **Form Routing**.

## Conflicts of Interest & Investigator Signatures

### Notes on Signing the Proposal Routing Form

- Red buttons indicate a required signature.

- Once the PI signs the **Conflicts of Interest (COI)** form, the **Proposal Routing** form will lock.
The PI will not be able to sign the form until all listed Co-PIs have signed the form.

Accessing the Signature Area

Conflicts of Interest & Investigator Signatures

**PI and Co-PI(s):** To sign this form, sign off on your conflict of interest report using the relevant button below.

The PI will not be able to sign this form before the Co-PIs. Once the PI signs and submits the form, all fields will be locked for processing.

By signing below you are certifying that you have read and agreed to all the above.

**Principal Investigator:** Alicia Smith

1. When you receive an email requesting your signature as a PI or Co-PI on a Proposal Routing form, click the link in the email to open the form.
2. Review all the information reported in the form.
3. Scroll to the bottom of the form to the Conflicts of Interest & Investigator Signatures section.
4. Find the red Sign/View COI button next to your name; click the red button. The Conflicts of Interest (COI) form will open.

Conflicts of Interest: Report of Financial Interests in Research

**NOTE:** Depending on your project information and requirements, the language in your conflicts of interest form may differ from what is shown below.

No Activities to Report?

1. If you have no financial interest or outside activities related to this proposal, check the box in the yellow section.
2. If you check this box, the screening questions will disappear.

Screening Questions

1. If you have a financial interest or outside activity—or, if you are unsure—answer all the required screening questions.
2. Answer each question by clicking the radio button for **Yes** or **No** as appropriate.
3. If you answer **Yes** to any of these questions, provide an explanation.
4. If necessary, you may also upload an explanation letter.
5. If you answer No to all of these questions, the form will automatically check the box in the yellow section on your behalf.

Notes on Signing the Conflict of Interest Form

- By signing the Conflict of Interest form, you are agreeing to all information listed in the Proposal Routing form.
- Once signed, the Conflict of Interest form will lock.
- Once the PI signs the Conflict of Interest form, all submitted information in the Proposal Routing form will lock.

How to Sign

1. Read the certification language.
2. **Signature:** Enter your full name. Your username and the date will auto-populate.
3. **Submit Signature:** Click the button to submit your signature.
4. The form will automatically close and proceed through the Form Routing.

Approver Instructions by Action (Supervisors)

Comments (Optional)

1. **Add comments:** If relevant, click the Add comments link to add a comment to the form.
2. Type your comment in the box that appears. Your username and the date will auto-populate beneath the comment.
3. **Add more comments:** If necessary, click the Add more comments link to add more comments.

Approve Proposal
1. To approve the Proposal Routing form, scroll down to the Approval Signatures section, reviewing the form as you do.

2. **Certification:** Read the certification.

3. Scroll down to where your department and position are listed.

4. **Signature:** Enter your name in the appropriate place. Your username and the date will auto-populate.

5. **Submit Approval:** Once you have signed your name, click the Submit Approval button at the bottom of the form or the Submit button in the ribbon at the top of the browser window.

6. The form will automatically close and proceed through the Form Routing.

**Reject Proposal**

1. To reject the Proposal Routing form, click **Reject this form** at the top of the form.

2. **Reason for Rejecting:** You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).

3. **Sign:** Sign the form. Your username and the date will auto-populate.

4. **Submit:** After signing the form, click the Submit button.

5. The PI (and the initiator, if different) will receive an email similar to below.

```plaintext
Research <UNO.SharePoint.Notification@uno.edu>
To: Julie Landry

Rejected: Proposal Routing Form jelandr1-20210816124357

Proposal Routing form jelandr1-20210816124357 has been rejected by jelandr1 for the following reason:

"I have given this reason for rejecting the form."

Please do not submit a new form. If you would like to resubmit your request:

1. Return to the form.
2. Check the box to clear out all signatures.
3. Remove the rejection section.
4. Modify the form and re-submit for approval.

All instructions are also included in the body of the form.
```
Approver Instructions by Action (Research Administrator)

Comments (Optional)

1. Add comments: If relevant, click the **Add comments** link to add a comment to the form.
2. Type your comment in the box that appears. Your username and the date will auto-populate beneath the comment.
3. Add more comments: If necessary, click the **Add more comments** link to add more comments.

Process & Approve Proposal

1. To process and approve the Proposal Routing form, scroll down to the **Proposal Processing** section.
2. Confirm that the pre-award team reviewed the proposal for plagiarism by checking the box.
3. If there is federal funding in the proposal, and if the CFDA number is known, upload the CFDA description. You will also need to upload this document in Workday.
4. Select the purpose code from the dropdown menu. Options include:
   - Academic Support
   - Equipment
   - Institutional Support
   - Instruction
   - Operations/Maintenance-Plan
   - Public Service
   - Research – Applied
   - Research – Basic
   - Research – Clinical
   - Research – Experimental
   - Scholarship/Fellowship
   - Student Services
   - Training
5. Scroll down to the **Approval Signatures** section.
6. **Signature:** Enter your full name in the appropriate place. Your username and the date will auto-populate.
7. **Submit Approval:** Once you have signed your name, click the **Submit Approval** button at the bottom of the form or the **Submit** button in the ribbon at the top of the browser window.

8. The form will automatically close and proceed through the **Form Routing.**

**Reject Proposal**

1. To reject the Proposal Routing form, click **Reject this form** at the top of the form.

2. **Reason for Rejecting:** You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).

3. **Sign:** Sign the form. Your username and the date will auto-populate.

4. **Submit:** After signing the form, click the **Submit** button.

5. The PI (and the initiator, if different) will receive an email similar to below.

![Email Example]

**Approver Instructions by Action (VP of Research)**

**Comments (Optional)**

1. **Add comments:** If relevant, click the **Add comments** link to add a comment to the form.

2. Type your comment in the box that appears. Your username and the date will auto-populate beneath the comment.

3. **Add more comments:** If necessary, click the **Add more comments** link to add more comments.
Approve Proposal

1. To approve the Proposal Routing form, scroll down to the Approval Signatures section, reviewing the form as you do.

2. **Signature:** Enter your name in the appropriate place. Your username and the date will auto-populate.

3. **Submit Approval:** Once you have signed your name, click the Submit Approval button at the bottom of the form or the Submit button in the ribbon at the top of the browser window.

4. The form will automatically close and proceed through the Form Routing.

Reject Proposal

1. To reject the Proposal Routing form, click Reject this form at the top of the form.

2. **Reason for Rejecting:** You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).

3. **Sign:** Sign the form. Your username and the date will auto-populate.

4. **Submit:** After signing the form, click the Submit button.

5. The PI (and the initiator, if different) will receive an email similar to below.
Proposal Routing Form

Contacts

Technical Issues
If you encounter a technical issue with the SharePoint form, contact Julie Landry at jelandr1@uno.edu.

Research Policy/Scenario Questions
If you have a question about your submission or its results, contact the appropriate member of your service team as indicated on the Office of Research website.