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## Purpose & Use

The [Advanced Number Request/Pending Amendment](#) form is used to request an award number or grant ID in advance of a fully-executed contract or official award notification. The form can also be used on pending amendments to extend the end date or add funding.

Requests must include:

- reasonable written assurance from the sponsor that UNO will receive funding
- written acknowledgement by the PI and their management chain that unallowable charges or overdrafts will be covered by funding source(s) under their purview

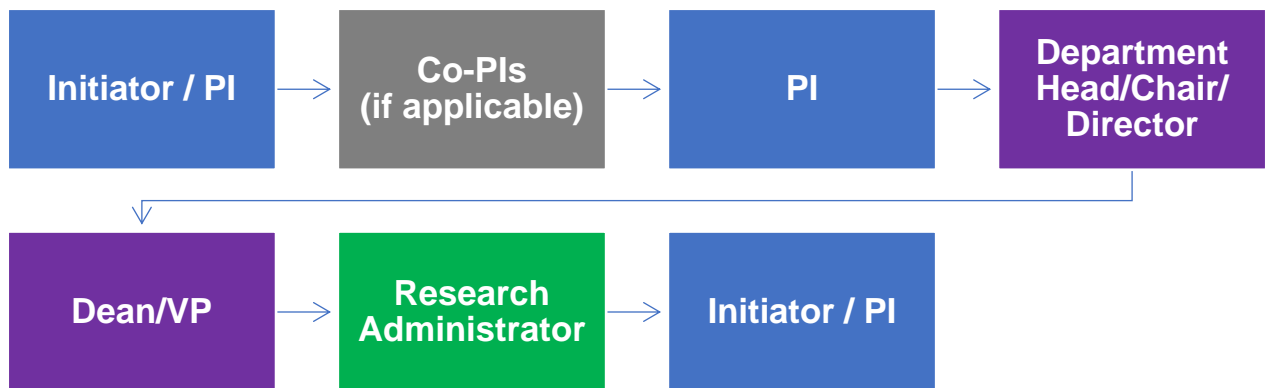
The advanced number process allows for timely spending and seamless project continuity when the executed contract is received. However, the budget may need to be adjusted if the award differs from the proposal.

This process also reduces cost transfers. Once the award is set up in Workday, allocated expenses should be charged no differently than if the executed award were on file. The exception is subawards, which will not normally be granted an advanced number.

## Information Needed

- Sponsoring agency
- Proposal name
- CFDA information
- PI contact information
- Co-PI contact information (if applicable)
- Grant-specific information (if applicable)
- Agency point of contact and contact information
- Budget
- Budget justification
- Award proposal form or ID
- Attachments from the agency such as the award notification email or letter
- Department head/chair/director email address
- Dean/VP email address

## Form Routing



## 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**

If the initiator edits the form and submits it without any signatures, the form will enter **Saved** status.

The initiator can save progress on Advanced Number Requests 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 submit the form 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.

### **SENT TO CO-PIs**

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 **Sent to Co-PIs** status. This indicates that the form still requires signatures from at least one Co-PI.

Co-PIs will be notified via email to review and sign the request. Co-PIs will be notified in the order in which they were entered.

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

### **SENT TO PI**

If the PI initiates and signs the form at the same time, the form will not enter this status.

If the PI submits the form without signing—or, if all listed Co-PIs have finished signing—the form will enter **Sent to PI** status. This indicates that the form still requires the PI's signature.

The PI will be notified via email to review and sign the request.

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

### **SUBMITTED**

If a form is submitted with a PI's signature, the form will enter **Submitted** status.

The initiator (and the PI, if different) will receive an email confirming submission of the form. The request will forward to the listed Department Head/Chair/Director for approval.

### **APPROVED BY DEPT HEAD**

Once the department head/chair/director has signed to indicate approval, the form will enter **Approved by Dept Head** status.

The request will forward to the listed Dean/VP for approval.

### **APPROVED BY DEAN/VP**

Once the dean/vice president has signed to indicate approval, the form will enter **Approved by Dean/VP** status.

The request will forward to the appropriate [Research Administrator](#) for processing.

### **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. The Office of Research will be copied.

## APPROVED

If a submitted form is approved by the Research Administrator or by another member of the Office of Research, the form will enter **Approved** status.

The initiator (and the PI, if different) will receive notification of the approved form via email.

## Recipients

- **SAVED**
  - Initiator
- **SENT TO CO-PIs**
  - Initiator
  - PI (if different)
  - Co-PIs listed on the form
- **SENT TO PI**
  - PI
- **SUBMITTED**
  - Initiator
  - PI (if different)
  - Department Head/Chair/Director
- **APPROVED BY DEPT HEAD**
  - Dean/VP
- **APPROVED BY DEAN/VP**
  - [Research Administrator](#)
- **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

### Save for Later

At any point, click the **Save for Later** button at the top of the form to save your progress. The button is located near the initial instructions—it is not located in the ribbon.

## General Information

| General Information |                        |
|---------------------|------------------------|
| Sponsoring Agency:  | <input type="text"/> * |
| Proposal Name:      | <input type="text"/> * |

1. **Sponsoring Agency:** Enter the full name of the sponsoring agency that will issue an award to UNO.
2. **Proposal Name:** Enter the complete name of the proposal. This must match the award title that will be used in Workday.

## CFDA Information (Optional)

| CFDA Information   |  |
|--|--|
| Please enter the applicable CFDA number, attach a CFDA form, or indicate the other means you will use to send the CFDA form to the Office of Research. |  |
| <b>Complete ONE of the below options.</b>  |  |
| CFDA Number:   | <input type="text"/> *                                       |
| Attach CFDA form:  | <input type="button" value="Click here to attach a file"/> * |
| Deliver via:   | <input type="text" value="Select..."/> * ▼                   |

1. **Add CFDA information:** If relevant, click the **Add CFDA Information** link to add the section.
2. Complete ONE of the following:
  - a. **CFDA Number:** Enter the CFDA number.
  - b. **Attach CFDA form:** Attach a .pdf or .doc of the CFDA form.
  - c. **Deliver via:** Indicate which of the listed methods you will use to send the CFDA form to the Office of Research.

## Principal Investigator

| Principal Investigator |  |
|------------------------|--|
| First Name:            | <input type="text"/> *                     |
| Last Name:             | <input type="text"/> *                     |
| Email:                 | <input type="text"/> *                     |
| Phone:                 | <input type="text"/> *                     |
| College:               | <input type="text" value="Select..."/> * ▼ |
| Department:            | <input type="text"/> * ▼                   |

1. **First Name:** Enter the first name of the PI.
2. **Last Name:** Enter the last name of the PI.
3. **Email:** Enter the UNO email address for the PI.
4. **Phone:** Enter a phone number for the PI.

5. **College:** Select the PI's college from the dropdown menu.
6. **Department:** Select the PI's department from the dropdown menu.



## Co-Principal Investigators (Optional)

| Co-Principal Investigator 1   |                          |
|-------------------------------|--------------------------|
| First Name:                   | <input type="text"/> *   |
| Last Name:                    | <input type="text"/> *   |
| Email:                        | <input type="text"/> *   |
| Phone:                        | <input type="text"/> *   |
| Department:                   | <input type="text"/> * ▼ |
| <a href="#">➕ Add a co-PI</a> |                          |

Note: Only UNO staff and faculty members may be added as Co-PIs on this form.

1. **Add a co-PI:** If relevant, click the **Add a co-PI** link to add a Co-PI.
2. **First Name:** Enter the first name for the Co-PI.
3. **Last Name:** Enter the last name for the Co-PI.
4. **Email:** Enter the UNO email address for the Co-PI.
5. **Phone:** Enter a phone number for the Co-PI.
6. **Department:** Select the PI's department from the dropdown menu.
7. If necessary, repeat these steps for up to four total Co-PIs.

## Grant-Specific Information

| Grant-Specific Information |  |
|----------------------------|--|
| Function of Grant:         | <input type="radio"/> Academic <input type="radio"/> Instruction<br><input type="radio"/> Research <input type="radio"/> Support |
| Begin Date:                | <input type="text"/>                        |
| End Date:                  | <input type="text"/>                        |
| Amount Awarded:            | <input type="text"/>   |

1. **Add more grant information:** If relevant, click the **Add more grant information** link to add the section.
2. **Purpose Code:** Select one of the four possible functions for the grant (Academic Support, Research, Instruction, or Institutional Support).
  - a. If you select **Research** as the purpose code, the form will also ask for the type of research (Applied, Basic, Clinical, Experimental).
3. **Begin Date:** Enter or select the begin date for the grant.
4. **End Date:** Enter or select the end date for the grant.
5. **Amount Awarded:** Enter the amount awarded in the grant.

## Required Agency Information

| Required Agency Information |                        |
|-----------------------------|------------------------|
| Contact Name:               | <input type="text"/> * |
| Title:                      | <input type="text"/> * |
| Email:                      | <input type="text"/> * |
| Phone:                      | <input type="text"/> * |

1. **Contact Name:** Enter a name for a point of contact at the sponsoring agency.
2. **Title:** Enter the point of contact’s job title.
3. **Email:** Enter the point of contact’s email address.
4. **Phone:** Enter the point of contact’s phone number.

## Required Attachments

| Required Attachments   |  |
|--|--|
| The award proposal SharePoint form must be attached for the advanced number request to be processed. If the budget has changed, please attach the new version. |  |
| Budget:  | <input type="button" value="Click here to attach a file"/> * |
| Budget Justification:  | <input type="button" value="Click here to attach a file"/> * |
| <b>Provide one:</b>  |  |
| Award Proposal Form:   | <input type="button" value="Click here to attach a file"/> * |
| Award Proposal ID:   | <input type="text"/> *                                       |

1. **Budget:** Attach the budget submitted with the proposal. If there have been changes since the proposal stage, attach an updated budget.
2. **Budget Justification:** Attach the budget justification submitted with the proposal. If there have been changes since the proposal stage, attach an updated budget justification.
3. **Provide one:** Either attach a PDF of the Award Proposal form (available from SharePoint) or enter the Award Proposal ID (available in Workday) associated with the grant.

## Agency Attachments

| Agency Attachments                                       |  |
|--|--|
| Please attach the award notification email, letter, etc. |  |
| Description  | Attachment   |
| <input type="text"/>                                     | <input type="button" value="Click here to attach a file"/> |
| <input checked="" type="checkbox"/> Add another          |  |

You must attach some written documentation from the sponsor confirming the award or extension. In this section, you may add as many attachments as necessary.

1. **Description:** Enter a description of the file that you are uploading.
2. **Attachment:** Attach the award notification email, letter, etc. as relevant.
3. **Add another:** If relevant, click the **add another** link to add another attachment line.



## Routing

| Routing   |                        |
|---|------------------------|
| This form must be signed by the co-PI(s), the PI, the PI's department head/chair/director, and the dean/VP. Please add the department head/chair/director and dean/VP's emails below to assist with form routing. |                        |
| Dept. Head/Chair/Director's Email:  | <input type="text"/> * |
| Dean/VP's Email:  | <input type="text"/> * |

1. **Dept. Head/Chair/Director's Email:** Enter the UNO email address for the PI's department head/chair/director.
2. **Dean/VP's Email:** Enter the UNO email address for the PI's dean or vice president.

## Comments (Optional)

| Comments                                     |                     |
|--|---------------------|
| I have entered a test comment into the form. |                     |
| Submitted by: <b>jelandr1</b>                | on <b>12/7/2020</b> |
| <input type="checkbox"/> Add more comments   |                     |

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.

## Signatures

Review the form, read the certification, and sign the form. Your username and the date will auto-populate.

Co-PIs must sign before the PI. The form will automatically route to any listed co-PIs.

When the PI's name is entered in the signature field, all of the fields above will lock for processing except for the **Comments** fields.

Once the PI has signed the form, it will route to the listed Department Head/Chair/Director.

## Approver Instructions by Action (Supervisors)

### Comments (Optional)

| Comments                                     |                     |
|--|---------------------|
| I have entered a test comment into the form. |                     |
| Submitted by: <b>jelandr1</b>                | on <b>12/7/2020</b> |
| <input type="checkbox"/> Add more comments   |                     |

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 Request

| Approver Signatures  |   |
|--|---|
| <b>Certification:</b> If the agreement is not fully executed or if the charges are deemed unallowable, the principal investigator, department, center, institute, or college will cover the expenses. Up to 50% return of F&A for all parties will be retained until balances are paid off, in this order: PI, department, center, institute, college. |   |
| Dept. Head/Chair/Director Signature:   | <input type="text" value="Test Signature"/><br>jelandr1 <span style="float: right;">1/3/2021</span> |
| Dean/VP Signature:   | <input type="text"/>  |

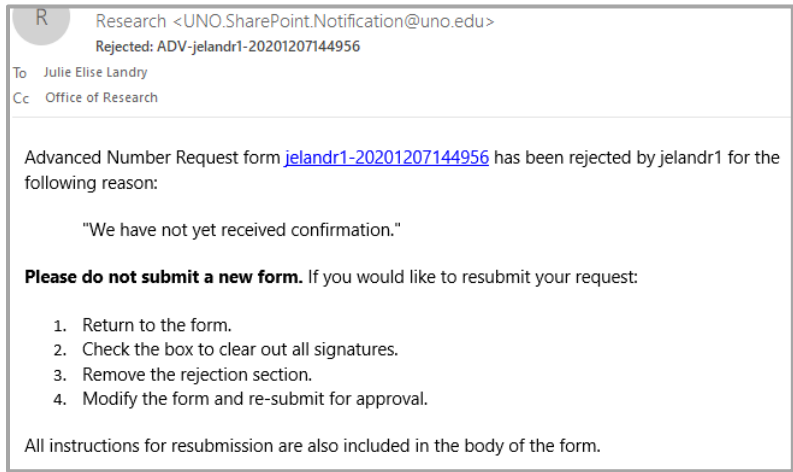
1. To approve the Advanced Number Request, scroll down to the **Approver Signatures** section, reviewing the form as you do.
2. **Certification:** Read the certification.
3. **Signature:** Enter your name in the appropriate place. Your username and the date will auto-populate.

## Reject Request

|   |                      |
|---|----------------------|
| Reason for Rejecting:   | <input type="text"/> |
| Sign:   | <input type="text"/> |
| <b>Click "Submit" in the ribbon above to reject the form.</b> |                      |

Rejecting a form deletes all prior signatures/approvals, but no other information is lost. The initiator can update the rejected request and then re-submit.

1. To reject the Advanced Number Request, 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 in the ribbon at the top.
5. The PI (and the initiator, if different) will receive an email similar to below. The Office of Research will be copied.



## Approver Instructions by Action (Office of Research)

### Approve Request

**Signatures**  
 All signatures are required for this form to be processed. The form must be signed by the principal investigator.

**All fields above will lock as soon as the PI signs.** You may submit without signing to save the form for additional review.

Principal Investigator:

Office of Research:

1. To approve the Advanced Number Request, scroll down to the **Approver Signatures** section.
2. **Office of Research Signature:** Sign the form. Your username and the date will auto-populate.
3. **Award Number:** Enter the award number (generated in Workday).
4. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.
5. The PI (and the initiator, if different) will be notified via email.

### Reject Request

Reason for Rejecting:

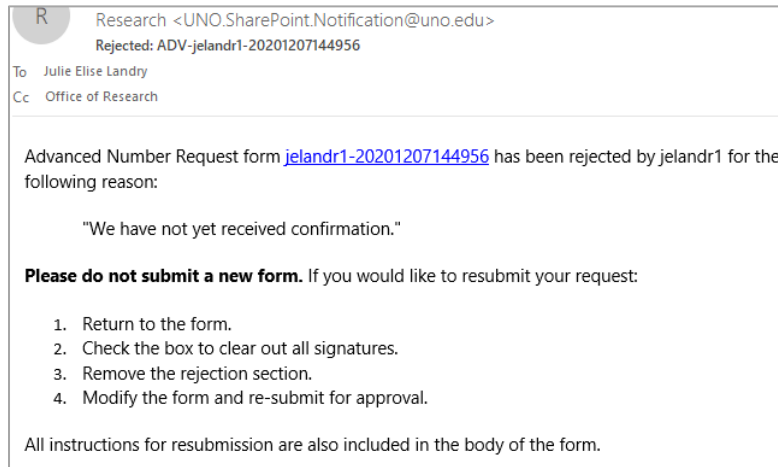
Sign:

**Click "Submit" in the ribbon above to reject the form.**

Rejecting a form deletes all prior signatures/approvals, but no other information is lost. The initiator can update the rejected request and then re-submit.

1. To reject the Advanced Number Request, 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 in the ribbon at the top.
5. The PI (and the initiator, if different) will receive an email similar to below. The Office of Research will be copied.



## Contacts

### Technical Issues

If you encounter a technical issue with the SharePoint form, contact Julie Landry at [jelandr1@uno.edu](mailto: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.

## Document Notes

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