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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
- Information about any subawards/contracts
- Cost share information
- F&A rate information
- Information on any conflicts of interest
- Email addresses for approving supervisors

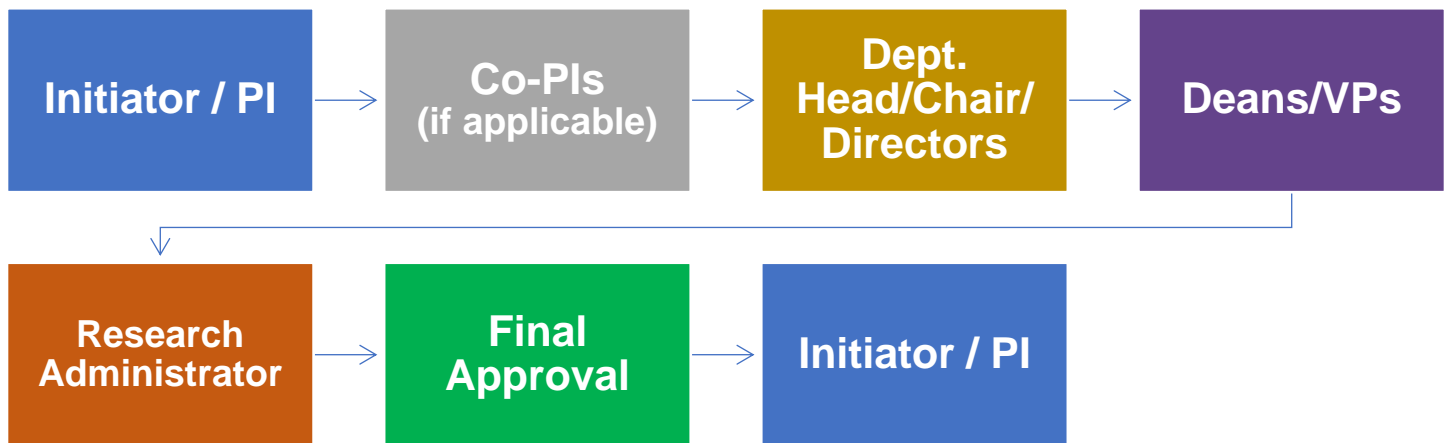
## Attachments Needed

- [Budget & Budget Justification](#)
- Draft proposal narrative, statement of work, or project summary

## Conditionally Required

- [Safe & Inclusive Working Environment Plan](#) for any off-site work
- [Sub/Vendor Classification Forms](#) for any subrecipients or vendors
- [Letters of commitment](#) from any subrecipients
- Letters of support for any third-party cost share

## Form Routing



Click [this link](#) to review a more detailed workflow chart.

## Statuses

### Incomplete

The form opens in **Incomplete** status and can be edited by the initiator. The initiator can save progress on an Incomplete proposal routing form by clicking the **Save** button in the bottom-right-hand corner of the screen.

### Awaiting Co-PI #

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 **Submit for Co-PI Signature** button is clicked, the form will enter **Awaiting Co-PI 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-PI 1** status to **Awaiting Co-PI 2** status.

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

If more than four Co-PIs will be included on the project, the fifth and further Co-PIs should fill out a [Standalone Conflict of Interest](#) or [Standalone Conflict of Interest \(PHS\)](#) form. Attach the PDF to the Proposal Routing form for each additional Co-PI.

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

### **Awaiting PI**

A form may enter **Awaiting PI** status if:

1. An initiator fills out all required fields and clicks the **Submit for PI Signature** button.
2. All 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.

### **Awaiting Chair**

Once the PI and all listed Co-PIs have signed their conflict of interest statements and the final signer clicks the **Submit for Chair Approval** button, the Proposal Routing form will enter **Awaiting Chair** 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 enters their signature and clicks the **Submit for Dean Approval** button.

### **Awaiting Dean**

Once the PI's department head/chair/director has submitted the form with their signature and clicked the **Submit for Dean Approval** button, the form will enter **Awaiting Dean** 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 and clicks either the **Submit for Chair Approval** button (if there are Co-PIs in other departments) or clicks the **Submit to Research** button.

### **Awaiting Chair #**

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 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 **Awaiting Chair 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 and clicks the **Submit for Dean Approval** button.

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 **Awaiting Dean 1** to **Awaiting Chair 2** status.

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

### **Awaiting Dean #**

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 **Awaiting Dean 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 and clicks the **Submit for Chair Approval** button (if there are other Co-PIs in other departments) or clicks the **Submit to Research** button.

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 **Awaiting Chair 2** to **Awaiting Dean 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 has collected signatures from the PI, all listed Co-PIs, and all listed supervising approvers and the **Submit to Research** button is clicked, the form will enter **Submitted** status.

The initiator (and the PI, if different) will receive an email confirming submission of the form to the Office of Research. The form will forward to the appropriate [Pre-Award Research Administrator](#) for processing or to any other Office of Research reviewers necessary.

### **Awaiting Approval**

If the form has collected the signature of a Research Administrator in the Office of Research and the **Request Final Approval** button is clicked, the form will enter **Awaiting Approval** status.

The form will forward to the Executive Director for Research & Economic Development or their designee to 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 Executive Director for Research & Economic Development or their designee, the form will enter **Completed** status. The initiator (and the PI, if different) will receive notification of the approved form via email.

## Recipients

- **Incomplete**
  - An email address can be entered after clicking the **Save** button; the saved form will be emailed to this address
- **Awaiting Co-PI #**
  - Initiator
  - PI (if different)
  - Co-PI(s)
- **Awaiting PI**
  - Initiator
  - PI (if different)
- **Awaiting Chair**
  - Department head/chair/director listed for PI
- **Awaiting Dean**
  - Dean/VP listed for PI
- **Awaiting Chair #**
  - Department head/chair/director listed for Co-PI(s), if different than PI's
- **Awaiting Dean #**
  - Dean/VP listed for Co-PI(s), if different than PI's
- **Submitted**
  - Initiator
  - PI (if different)
  - Research Administrator
  - Director of External Collaboration (if necessary)
  - Assistant Vice President for Research & Economic Development (if necessary)
  - Contracts Specialist (if necessary)
- **Awaiting Approval**
  - Executive Director for Research & Economic Development or their designee
- **Rejected**
  - Initiator
  - PI (if different)
- **Completed**
  - Initiator
  - PI (if different)

## Sharing Forms with Persons Outside Defined Routing

If the form needs to be sent to any recipients *other* than those listed above, contact Julie Landry at [jelandr1@uno.edu](mailto:jelandr1@uno.edu). Do not share any custom Cognito Forms links with other users.

# Initiator Instructions by Section

## Principal Investigator

- Select the PI to AUTO-POPULATE contact information:** If we have a faculty/staff profile on file for a PI, you may search for and select the PI's name from the dropdown list. Their name, email address, phone number, college, department, and Workday ID will all auto-populate.
- First Name:** Enter the first name of the UNO PI (if not auto-populated).
- Last Name:** Enter the last name of the UNO PI (if not auto-populated).
- UNO Email Address:** Enter the UNO email address for the UNO PI (if not auto-populated).
- Phone Number:** Enter a phone number for the UNO PI (if not auto-populated).
- College:** Select the PI's college from the dropdown menu (if not auto-populated); the college selected will determine which options are available in the Department dropdown
- Department:** Select the PI's department from the dropdown menu (if not auto-populated); the options will be filtered based on the College selected.
- Workday Employee ID:** Enter the Workday employee ID for the principal investigator (if not auto-populated).
- If you are NOT the PI, provide your email address:** Enter the UNO email address of the initiator, if different than the principal investigator.
- Are there any Co-PIs:** Select **Yes** to add Co-PIs to the proposal routing form.

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

Select the PI to AUTO-POPULATE contact information...

If the PI is not yet listed, you can [fill out a faculty/staff profile](#) and refresh!

First Name \*

Last Name \*

UNO Email Address \*

Phone Number \*

College \*  Department \*   
Update as necessary—e.g. if proposal is for a Center/Institute.

Workday Employee ID

If you are NOT the PI, provide your email address.

Are there any Co-PIs?  
 Yes  No

## Co-Principal Investigators

This section only appears if the user selects **Yes** to the question **Are there any Co-PIs?**

1. **Select the Co-PI to AUTO-POPULATE contact information:** If we have a faculty/staff profile on file for a Co-PI, you may search for and select the Co-PI's name from the dropdown list. Their name, email address, phone number, college, and department will all auto-populate.

2. **First Name:** Enter the first name of the co-principal investigator (if not auto-populated).

3. **Last Name:** Enter the last name of the co-principal investigator (if not auto-populated).

4. **UNO Email Address:** Enter the UNO email address for the co-principal investigator (if not auto-populated).

5. **Phone Number:** Enter a phone number for the co-principal investigator (if not auto-populated).

6. **College:** Select the Co-PI's college from the dropdown menu (if not auto-populated); the college selected will determine which options are available in the Department dropdown.

7. **Department:** Select the Co-PI's department from the dropdown menu (if not auto-populated); the options will be filtered based on the College selected.

8. **Add Co-PI:** Click the button to add another Co-PI; repeat steps 1-7 as necessary. Up to four Co-PIs may be added.

**Co-Principal Investigators**  
You may add up to four Co-PIs.

⊗ **Co-PI 1**

Select the Co-PI to AUTO-POPULATE contact information...

**First Name \***

**Last Name \***

**UNO Email Address \***

**Phone Number**

**College \*** **Department \***

+ Add Co-PI



# Sponsor

NOTE: Proposals may have both a “Sponsor” and a “Prime Sponsor.” If funds are coming to UNO from the Louisiana Board of Regents, the sponsor is the Board of Regents. If the Board of Regents’ funds originated from the National Science Foundation, then NSF is the prime sponsor. The funds originated at NSF (prime sponsor) and were issued to Board of Regents (sponsor), who will give UNO an award.

- Select UNO’s sponsor:**  
Search for and select the UNO sponsor from the dropdown menu.

NOTE: If the funding agency is not listed, select “(New/Unlisted Sponsor)” from the top of the menu. Then, enter the name of the sponsor organization in the text field that appears.

- Will UNO’s Sponsor be funded by a Prime Sponsor:**  
Select “Yes,” “No,” or “Unsure.” A Prime Sponsor is a top-level organization where funding originates. If UNO’s sponsor will be issuing funds received from any other entity, select “Yes.” If yes:

- Select the Prime Sponsor:** Search for and select the Prime Sponsor from the dropdown menu.

NOTE: If the funding agency is not listed, select “(New/Unlisted Sponsor)” from the top of the menu. Then, enter the name of the prime sponsor in the text field that appears.

- Date Due to Sponsor:** Enter or select the date when the proposal will be due to the sponsor
- Time Due to Sponsor:** Enter or select the time when the proposal will be due to the sponsor on the due date. If unknown, select 4:30 PM.
- Time Zone:** Select the time zone applicable to the sponsor’s due date/time.
- If no due date is applicable for this proposal, you may check the box to remove the due date/time requirements.
- 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
- Provide a website link or attachment that provides the sponsor’s program guidelines or request-for-proposals (RFP); if no program description is available, select “N/A” and explain.

### Sponsor

**Select UNO's Sponsor \***

The "Sponsor" is the organization that would issue funds to UNO.

**Will UNO's Sponsor be funded by a Prime Sponsor? \***

Yes  No  Unsure

A "Prime Sponsor" is a top-level organization where funding originates.

**Date Due to Sponsor \***      **Time Due to Sponsor \***      **Time Zone \***

m/d/yyyy

If a due date is not applicable, check this box.

**How must the proposal be submitted to the sponsor? \***

**How would you like to provide the sponsor's guidelines or program description? \***

Website Link

Attachment

N/A

Guidelines might include a NOFO, RFP, BAA, RFQ, FAQ, APS, RFI, etc.

## Proposal

- Title:** Enter the full proposal title as it will appear on your application.
- 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
- Start Date:** Enter or select the date when work on the funded project will begin.
- End Date:** Enter or select the date when work on the funded project will conclude.
- Sponsor Amount:** Enter the amount of funding being requested from the sponsor for the project.
- Is this a proposal for a limited submission funding opportunity:** Select “Yes,” “No,” or “Unsure.” A limited submission funding opportunity means that the sponsor will only accept a limited number of proposals from a university/region.

**Proposal**

**Title \***

**Type \***

New
▼

**Start Date \*** **End Date \***

📅

📅

**Sponsor Amount \***

**Is this a proposal for a limited submission funding opportunity? \***

Yes
  No
  Unsure

A "limited submission" funding opportunity means that the Sponsor will only accept a limited number of proposals from a university/region.

## Project Information & Requirements

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

### Safe & Inclusive Working Environments

- Answer each question by clicking the radio button for **Yes** or **No** as appropriate.
- If your proposal involves off-campus or off-site research, upload a [Safe & Inclusive Working Environment Plan](#).

**Project Information & Requirements**

**Does this proposal involve...**  
[\[Definitions & Explanations\]](#)

**Extra compensation (that is not summer salary)? \***

Yes
  No

Extra compensation must comply with [AP-BA-39](#).

**National Science Foundation (NSF) funds? \***

Yes
  No

**Public Health Services (PHS) funds? \***

Yes
  No

For a list of PHS Financial Conflict of Interest (FCOI) agencies, visit [TheFDP.org](#).

**Export controls? \***

Yes
  No
  Unsure

**Foreign nationals restrictions? \***

Yes
  No
  Unsure

**The transfer of biological materials or chemical materials to another university or non-profit research institution? \***

Yes
  No
  Unsure

**Human subjects or human tissue? \***

Yes
  No
  Unsure

**The use of vertebrate animals or animal tissue? \***

Yes
  No
  Unsure

## Submission Documents

- To attach files, click the corresponding **Upload** button and navigate to where the file is saved on your computer. You may also drag and drop files from your computer.

**NOTES:**

- The maximum file size allowed for a single uploaded file is 250 MB—about the size of a Blu-Ray movie!
- All uploaded files will be included on automated routing emails sent to reviewers—unless the total size of all uploaded files exceeds 17 MB. The uploaded files will always be accessible when viewing the form, regardless of size.

- Budget:** Attach the project budget created using one of our [UNO budget templates](#)—download a fresh copy of the template for every project!
- Budget Justification:** Attach the budget justification for the project. We recommend using [our templates](#).
- Proposal Narrative/Statement of Work:** Attach the proposal narrative or statement of work for the project. You may upload a working draft.

**Budget \***

Upload or drag files here.

[Download template](#) or [use generator](#)

**Budget Justification \***

Upload or drag files here.

[Download template](#) or [use generator](#)

**Proposal Narrative / Statement of Work \***

Upload or drag files here.

You may upload a working draft.

**Does the Office of Research need to sign any documents for the sponsor or submitting agency? \***

Yes  No

These documents may include cover letters, letters of commitment, subrecipient forms, etc.

**Additional Documents**

+ Add Attachment

- Does the Office of Research need to sign any documents for the sponsor or submitting agency:** If the Office of Research needs to sign a cover letter, letter of commitment, subrecipient form, or otherwise, select “Yes.” A new section will appear allowing you to list the documents that need to be signed and to upload them as necessary.
- Additional Documents:** If you need to upload any additional documents, click the “Add Attachment” button. Enter a description of the attachment into the text box. Then, upload the file from where it is saved on your computer. You may add more attachments by clicking the “Add Attachment” button again.

## F&A Distribution

**F&A Distribution**

Complete this section to request how the Facility & Administrative (F&A) costs should be split among departments, centers, institutes, etc. Refer to [IMD 85.002](#) regarding how F&A is allocated.

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

Department/Center/Institute *	Distribution % *
⊗ [ ]	100%
<b>Total: 100.00%</b>	

+ Add Department

**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**

1. **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.
2. **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%.

3. **Add Department:** Click this button to add another row.

**Budget Notes & Exceptions**

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.

**Subaward/Contractual Services**

1. Report whether your project will involve a subaward or contractual services agreement.
2. If you select “Yes,” a new section will appear.
3. Fill out the [Subrecipient vs. Vendor/Contractual Services](#) interactive tool to determine the classification of the outside entity and generate a PDF.
4. **Subrecipient or Vendor Name:** Enter the name of the Subrecipient or Vendor.
5. **Classification Form:** Attach a PDF of the results from the [Subrecipient vs. Vendor/Contractual Services](#) interactive tool.
6. Based on the results of the classification form, select either **Subrecipient** or **Vendor**.
7. Add as many lines as necessary.

**Subaward/Contractual Services**

Will your project involve a subaward OR a contractual services agreement? \*

Yes  No

Fill out the [Subrecipient vs. Vendor/Contractual Services interactive tool](#) to determine the classification of the outside entity. Use the tool to generate a classification form for each subrecipient/vendor and upload the PDF(s) below.

UNO employees and students may not serve as subrecipients or vendors. UNO employees and students must be paid via salary/wages.

All subrecipients of federal funds must eventually provide a Unique Entity ID (UEI) number. The UEI has replaced the Dun & Bradstreet (DUNS) Number.

If the external entity is **unknown**, please enter "TBD" for the subrecipient/vendor name. Complete the Classification Form based on the work as described in the budget justification you will submit to the sponsor.

⊗ **Sub/Vendor 1**

<p><b>Subrecipient or Vendor Name *</b></p> <input style="width: 95%;" type="text"/>	<p><b>Classification Form *</b></p> <div style="border: 1px solid #ccc; padding: 5px; text-align: center;"> <input type="button" value="Upload"/> or drag files here.                 </div> <p style="text-align: center; color: #00aaff; font-size: small;">Form Link</p>
--	---

**What was the classification of the entity as determined by the classification form? \***

Subrecipient  Vendor

**Cost Share**

1. Report whether or not the proposal involves cost share. Cost share might include course releases, GA tuition, etc.
2. If you select “Yes,” a new section will appear.
3. Report whether cost share is required by the sponsor; if it is, reference documentation from the sponsor as evidence.
4. **Cost Share Lines:** Add a cost share line for each instance of cost share included on the grant.
  - Explain what is being paid for as cost share.
  - Select the source of the cost share—where the funds are coming from.
  - Provide the Cost Center, Function, Fund, and other relevant worktags. Worktags may be found in Workday or provided by your chair/business manager.
  - Worktags for Office of Research cost share will auto-populate. Do not alter these worktags.
  - Add as many lines as necessary.

**Cost Share**

**Does this project involve cost share? \***  
 Yes  No  
Cost share might include course releases, GA tuition, etc.

**Is the cost share required by the sponsor? \***  
 Yes  No  
Voluntary cost share will usually not be approved.

**Explain the involvement of cost share in the project. If cost share is required, reference documentation you've provided above confirming that cost share is required. \***

Below, describe each source of cost share and provide the cost center, function, fund, and any other worktags relevant to the account being charged for that cost share.

A Cost Share & Worktags Help Guide is currently in development.

Add a line for each instance of cost share included on the grant.

**Cost Share Line 1**

**Explain what is being paid for: \***

**Source of Cost Share (Who is paying for it?) \***

College (Operating Fund)

Department (Operating Fund)

Office of Research

Restricted Funds (e.g. PI Return of F&A)

Third Party (Not UNO)

Other

The below numbers can be found in Workday or provided by your chair/business manager.

Cost Center *	Function *	Fund *	Other (Gift, etc.)

[+ Add Cost Share Line](#)

**Off-Campus F&A Rate**

1. 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.*
2. If you select “Yes,” a new section will appear.
3. Provide the location for the off-campus work.
4. Provide a justification for the off-campus work.

**Off-Campus F&A Rate**

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

**Provide the off-campus location where the work will occur. \***

**Provide a justification for the off-campus work. \***

### Adjusted F&A Rate

1. Report whether or not the proposal requires adjustments to the required F&A rate. *The radio button for "No" is auto-populated.*
2. If you select "Yes," a new section will appear.
3. Provide the adjusted F&A rate.
4. Justify the adjustment to the F&A rate. Alternatively, link to or attach documentation from the sponsor.

**Adjusted F&A Rates**

Does the proposal require adjustments to the required F&A rate? \*

Yes  No

[Facility & Administrative \(F&A\) Costs](#) or "indirect costs" are incurred by use of utilities, maintenance, administration, etc.

What is the adjusted F&A rate? \*

Justify the adjustment to the F&A rate. Attach or link to documentation as necessary. \*

Documentation RFP \*

Documentation Website \*

or drag files here.

### 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.

**Intellectual Property**

[\[Definitions & Explanations\]](#)

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

Does this proposal involve...

A patentable invention (including a machine/device, software, compound material, or method of manufacture)? \*

Yes  No  Unsure

Copyrightable works other than "Traditional Academic Copyrightable Works" as defined in AP-RE-03? \*

Yes  No  Unsure

An NDA (non-disclosure agreement) or confidentiality agreement with an outside company, university, or other entity? \*

Yes  No  Unsure

Collaboration with any outside company, university, or other entity? \*

Yes  No  Unsure

### 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.

**Lab Safety**

[\[Definitions & Explanations\]](#)

Does this proposal involve...

Biohazards? \*

Yes  No

Radioactive materials, sealed sources, and/or x-rays? \*

Yes  No

Chemicals? \*

Yes  No

Recombinant DNA or gene transfers? \*

Yes  No

Class IIIB or IV lasers? \*

Yes  No

DEA-controlled substances? \*

Yes  No

## Mandatory Certifications

1. Agree to each of the mandatory certifications:
  - a. **Debarment/Suspension:** Check “PI and Co-PIs agree.”
  - b. **Scientific Commitment:** Check “PI and Co-PIs agree.”
  - c. **Award Commitment:** Check “PI and Co-PIs agree.”
  - d. **Legal Applicant:** Check “PI and Co-PIs agree.”
  - e. **Plagiarism:** Check “PI and Co-PIs agree.”

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

**Mandatory Certifications**  
[\[Definitions & Explanations\]](#)

**Debarment/Suspension:** The PI and the Co-PIs are NOT debarred or suspended from doing business with the federal government.  PI and Co-PIs agree.

**Scientific Commitment:** The PI and Co-PIs certify that the statements of the proposal are true, complete, and accurate to the best of their knowledge. They are aware that any false, fictitious, or fraudulent statements or claims may subject them to criminal, civil, or administrative penalties. They agree to accept responsibility for the scientific conduct of the project.  PI and Co-PIs agree.

**Award Commitment:** The PI and Co-PIs certify that the project will be conducted in accordance with the terms and conditions of the sponsoring agency and University policies, including but not limited to:

- proper stewardship of funds;
- timely submission of progress reports and deliverables;
- disclosure of inventions to the Director of External Collaboration;
- and following Federal and State compliance guidelines.

PI and Co-PIs agree.

**Legal Applicant:** All contracts/agreements are between the funding agency and the University of New Orleans; UNO is the legal applicant, not the department, college, or individual. The Provost, Senior VP, and Executive Director of Research & Economic Development is the signatory authority on proposals. Some proposals require the President's or Fiscal Agent's signature. These will be routed accordingly after this form has been approved by the Office of Research.  PI and Co-PIs agree.

**Plagiarism Check:** The PI and Co-PIs certify that the proposal has been or will be submitted to [Turnitin](#) through the Moodle course “c\_Grant Submission Check.” [\[Instructions\]](#)  PI and Co-PIs agree.

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

## Form Routing

**Form Routing**

Enter the email addresses for the department head/chair/director and the dean/VP who supervise the PI. If they have already [filled out a faculty/staff profile](#), you may select them from the list.

Contact your supervisors to learn what policies dictate approvals for your department/college.

If your department head/chair/director or dean/VP **delegates** signatures to a business manager or to a departmental email inbox, enter **that** email address in place of the approver's.

The form will route to whatever email address is entered.

**Never forward a Cognito Forms email or link to another individual.** Enter the correct UNO email address below to include it in the routing.

<b>Department Head/Chair/Director Name</b>	<b>Department Head/Chair/Director Email *</b>
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
<b>Dean/VP Name</b>	<b>Dean/VP Email *</b>
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

NOTE: The form will route to whatever email addresses are entered in this section. Contact your supervisors to learn what policies dictate approvals for your department/college, as some supervisors would prefer you enter the email address of a business manager or departmental inbox.

1. **Department Head/Chair/Director Name:** If we have a faculty/staff profile on file for the PI's department head/chair/director, you may search for and select their name from the dropdown list. Their email address will auto-populate.
2. **Department Head/Chair/Director Email:** Enter the UNO email address for the PI's department head/chair/director (if not auto-populated).

3. **Dean/VP Name:** If we have a faculty/staff profile on file for the PI’s dean/vice president, you may search for and select their name from the dropdown list. Their email address will auto-populate.
4. **Dean/VP Email:** Enter the UNO email address for the PI’s dean/vice president (if not auto-populated).

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.

## Submit for PI Signature

If you are initiating the form for the PI, click the **Submit for PI Signature** button. This button appears if an email address is entered in the “If you are NOT the PI, provide your email address” box under the Principal Investigator section.

The form will proceed through the [Form Routing](#).

If you are the PI and initiating your own form, proceed to the next section.

## Comments

1. **Add Comment:** If relevant, click the **Add Comment** button to add a comment to the form.
2. Type your comment in the box that appears. Your username and the date may auto-populate above the comment. If your name does not auto-populate, enter it.
3. If necessary, click the **Add Comment** button again to add more comments.

**Comments**

Commenter Name	Date & Time	Status (at time of comment)
Office of Research	07/7/2023 01:05 PM	Incomplete

**Comment**

I have entered a test comment into the form.

[+ Add Comment](#)

## Conflicts of Interest & Research Team Signatures

### Notes on Signing the Proposal Routing Form

- Once the PI signs the **Conflict 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

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 **Conflict of Interest** section.



# Conflict of Interest: Report of Financial Interest in Research

*NOTE: If your project includes PHS funds, the language in your conflict of interest form may differ from what is shown below.*

## Screening Questions

1. Answer each question by clicking the radio button for **Yes** or **No** as appropriate.
2. If you answer **Yes** to any of these questions, provide an explanation.

## 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. Your signature will be recorded in the **Research Team Signatures** section. If you reported a conflict of interest, this will be noted.
4. Click the blue button in the bottom-left corner of the form to submit the form to the next signer.
5. The form will automatically proceed through the [Form Routing](#).

**Conflict of Interest**

**Screening Questions**

Do you have a consulting or other financial relationship with any sponsor of the proposed research? \*

Yes  No

Do you or any member of your family have a managerial role or financial interest in any company in a field of the proposed research? \*

Yes  No

Do you have non-UNO professional or income-producing interests involving UNO students, faculty, or staff related to the proposed research? \*

Yes  No

Do you or any member of your immediate family have any other relationships, commitments, or activities that might present, or appear to present, a conflict of interest with respect to the proposed research? Such relationships may include financial or fiduciary interests or uncompensated activities. (Please refer to the Research Conflict of Interest Policy.) \*

Yes  No

**PI Certification**

1. I have read and understand the [UNO Research Conflict of Interest Policy](#) and understand my obligations to disclose actual or apparent conflicts of interest as defined thereunder.
2. All Financial Interests and Outside Activities meeting the criteria set forth in the UNO Research Conflict of Interest Policy have been disclosed.
3. If I am the Principal Investigator, I have informed all UNO members of the research team meeting the definition of "investigator" of their obligation to comply with the UNO Research Conflict of Interest Policy.
4. I have taken the Office of Research Conflict of Interest training.
5. I am aware and understand that I have an ongoing responsibility to update my disclosure immediately upon any change in circumstances that may create an actual or apparent conflict of interest with respect to this sponsored research project.
6. To the best of my knowledge, I and members of my immediate family are in compliance with state and federal regulations and University Policy concerning disclosure of Outside Activities and Financial Interests.

Signature \* Date

## Supervisory Review

### Approve

**Approval Signatures**

Department Head/Chair/Director	Date
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text" value=""/>
Dean/VP	Date
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text" value=""/>

1. To approve the Proposal Routing form, scroll down to the **Approval Signatures** section, reviewing the form as you do. Read the certification.
2. Scroll down to where your department and position are listed.
3. **Signature:** Enter your name in the appropriate place. Your username and the date will auto-populate.
4. Click the blue button in the bottom-left corner of the form to submit the form to the next signer.
5. The form will automatically proceed through the [Form Routing](#).

### Reject

1. To reject the Proposal Routing form, scroll to the bottom of the form and click the blue **Reject** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.
3. The PI (and the initiator, if different) will receive an email.

**Save or Reject Form**

Ignore all required fields and save or reject form

## Conflict of Interest Review

### Process

1. Scroll down to the section where an investigator reported a conflict of interest. Review the information and contact the PI as necessary.
2. You may:
  - a. Remove the conflict of interest, if it was reported in error, then approve the proposal.
  - b. Address the conflict of interest, then approve the proposal.
  - c. Reject the proposal.

### Remove Conflict

1. If a conflict of interest was reported in error, scroll down to where the investigator reported the conflict.
2. Change their answer to the question from “Yes” to “No.”
3. Scroll to the bottom of the form and click the blue **Submit to Research** button.

## Address Conflict

1. Leave a comment in the **Comments** section explaining how we have addressed the conflict of interest.
2. Scroll down to the **Proposal Processing (Office of Research Only)** section.
3. Change **Have conflicts of interest been appropriately addressed?** from “No” to “Yes.”
4. Type your name in the **Signature** field.
5. Scroll to the bottom of the form and click the blue **Submit to Research** button.

**Proposal Processing (Office of Research Only)**

Have conflicts of interest been appropriately addressed?

Yes
  No
  N/A

Signature \*

## Reject

4. To reject the Proposal Routing form, scroll to the bottom of the form and click the blue **Reject** button.
5. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.
6. The PI (and the initiator, if different) will receive an email.

**Save or Reject Form**

Ignore all required fields and save or reject form

Reject

## Save Work

You may save your work at any time without signing the form or sending it forward. For example, if you need more time or have a question, you can save your work without completing all required fields.

1. Scroll to the bottom of the form and click the blue **Save Work** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.

**Save or Reject Form**

Ignore all required fields and save or reject form

Save Work

Reject

## Sub/Vendor Review

### Process

1. Scroll down to the **Subaward/Contractual Services** section. Review the information and contact the PI as necessary.
2. You may:
  - a. Update information, then approve the proposal.
  - b. Approve the proposal.
  - c. Reject the proposal.

## Update Information

1. Scroll to the **Subaward/Contractual Services** section.
2. You may update the name of a subrecipient/vendor.
3. You may remove a subrecipient/vendor.
4. You may upload a new classification form for a subrecipient/vendor.

## Approve

1. Once you have confirmed that all entered information about subrecipients/vendors is correct, scroll down to the **Proposal Processing (Office of Research Only)** section.
2. Change **Has information about subrecipients/vendors been confirmed?** from “No” to “Yes.”
3. Type your name in the **Signature** field.
4. Scroll to the bottom of the form and click the blue **Submit to Research** button.

**Proposal Processing (Office of Research Only)**

Have conflicts of interest been appropriately addressed?  
N/A

Has information about subrecipients/vendors been confirmed? Signature \*

Yes
  No
  N/A

## Reject

1. To reject the Proposal Routing form, scroll to the bottom of the form and click the blue **Reject** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.
3. The PI (and the initiator, if different) will receive an email.

**Save or Reject Form**

Ignore all required fields and save or reject form

Reject

## Save Work

You may save your work at any time without signing the form or sending it forward. For example, if you need more time or have a question, you can save your work without completing all required fields.

1. Scroll to the bottom of the form and click the blue **Save Work** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.

**Save or Reject Form**

Ignore all required fields and save or reject form

Save Work
Reject

# Proposal Review

## Process & Approve

**Proposal Processing (Office of Research Only)**

Have conflicts of interest been appropriately addressed?  
N/A

Has information about subrecipients/vendors been confirmed?  
N/A

Purpose Code

Is either the Sponsor or the Prime Sponsor a federal sponsor?  
 Yes  No

The pre-award team has reviewed the proposal for plagiarism.  Review Conducted

Award Proposal Number

1. To process and approve the Proposal Routing form, scroll down to the **Proposal Processing (Office of Research Only)** section.
2. **Purpose Code:** Select the purpose code from the drop-down menu.
3. Report whether there are any federal funds involved in the proposal.
  - If federal funds are involved in the proposal, either provide a PDF of the assistance listing/CFDA number description or indicate that the number is currently unknown.
4. Confirm that the pre-award team reviewed the proposal for plagiarism by checking the box.
5. If the PI provided a website link for the sponsor guidelines, convert the website to a PDF and upload it in place of the website.
6. Scroll down to the **Approval Signatures** section under **Office of Research**.
7. **Research Administrator:** Enter your full name in the signature box. Your username and the date will auto-populate.
8. **Request Final Approval:** Once you have signed your name, click the blue **Request Final Approval** button in the bottom-left corner of the form.
9. The form will automatically proceed through the [Form Routing](#).

## Reject

1. To reject the Proposal Routing form, scroll to the bottom of the form and click the blue **Reject** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.
3. The PI (and the initiator, if different) will receive an email.

**Save or Reject Form**

Ignore all required fields and save or reject form

## Save Work

You may save your work at any time without signing the form or sending it forward. For example, if you need more time or have a question, you can save your work without completing all required fields.

1. Scroll to the bottom of the form and click the blue **Save Work** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.

## Final Review

### Approve

1. To approve the Proposal Routing form, scroll down to the **Approval Signatures** section, reviewing the form as you do.
2. Scroll down to the **Office of Research** section at the bottom of the form.
3. **Final Approval:** Enter your full name in the signature box. Your username and the date will auto-populate.
4. Click the blue **Approve** button in the bottom-left corner of the form.
5. The form will automatically proceed through the [Form Routing](#).

### Reject

1. To reject the Proposal Routing form, scroll to the bottom of the form and click the blue **Reject** button.
2. You may need to check the box beneath **Save or Reject Form** in order to ignore required fields.
3. The PI (and the initiator, if different) will receive an email.

## Contacts

### Technical Issues

If you encounter a technical issue with the Cognito 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

**Developed by:**

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