OFFICE OF RESEARCH ADMINISTRATION

Application for Proposal Routing and Approval (APRA)
PI Instructions - How to Complete and Submit the Proposal Routing Form
These instructions may also be used by
Department/College Administrators or other UML employees who are assisting with proposal preparation.

As the first step in the proposal process, the Principal Investigator must complete and submit the Proposal Routing Form (PRF) through APRA. This application will not only be used to notify the Office of Research Administration (ORA) of the proposal submission, but also route to the appropriate signatories for their required approvals prior to ORA's proposal review and submission. The application replaces the former Proposal Intake Form and Proposal Routing Form generated in PeopleSoft, combining them into one, easy-to-use package.

Proposal specific questions, an attached statement of work, and attached draft budget on the ORA Budget Template must be completed in APRA in order for the routing and approval process to begin. The Proposal Routing Form must be received by ORA at least 10 days prior to UML's submission deadline. *It is critical for PIs to submit the PRF prior to the 10-day proposal review process (per the Internal Deadline Policy) as the PRF will not be received by ORA until all required signatories have approved.*

This document provides step-by-step instructions for PIs submitting an upcoming proposal for routing and approval through the new application.

1. *Navigate to the Application for Proposal Routing and Approval Dashboard and click* **NEW**

TEAM Page

2. *Type in the Administrator's email (if applicable)*
   If a College or Department Administrator will be monitoring the progress of the proposal and the PI wants them to have access to the PRF in APRA, include their email in this field. (Administrator will only have access to status of the proposal if their email is entered in this field.)

3. *Use the drop-down menu and select Yes or No*

* Has this proposal already been submitted to the sponsor?	Find items
	Yes
	No

4. *Type in the Principal Investigator's name*

   I. Principal Investigator

   Fill in your Name, Title and Division of Credit for this proposal

* Name (Last Name, First Name)	Norton, Holly ✕	Title		PI Credit	0

   Norton, Holly D
   Holly_Norton@student.uml.edu

   Norton, Holly D
   Holly_Norton@uml.edu

The PI's name must be typed into the required name field in the (Last Name, First Name) format. Before selecting one, it is critical to be sure the email selected is for an "@uml.edu" account rather than an "@student.uml.edu" account [shown above]. Choosing the correct email is extremely important as this field selects the email used in the routing queue. If an incorrect email is designated, it will delay the routing and approval process and notification to ORA for review.

5. *Type in the PI's job title*

6. *Type in the PI Credit (See* **FAQs** *for more information)*
   The division of credit is used for overhead fund delegation and should always add up to 100% between the PI, Co-PIs, Co-Is, or other Key Personnel. The system will show an error in the top right corner of the screen [shown below] and will not allow users to move ahead to the subsequent screens unless the department credit totals 100%.
   If the PI is not a Professor, Research Professor, Associate Professor, or Assistant Professor a Request for PI Status Form may be needed and should be downloaded from the **ORA website**, *completed, attached to the budget page and routed with the record.*

7. *Using the drop-down menu, answer the two questions regarding whether Co-PIs, Co-Is and/or Senior/Key Personnel will be involved. (Definitions below.) If you select yes, additional fields will appear.*
   Co-Principle Investigator (**Co-PI**)
   The term Co-PI is recognized by the funding agency as an individual who shares responsibilities with the PI for the conduct of a research project, including meeting the reporting requirements.

   Co-Investigator (**Co-I**) **and Key Personnel**
   Co-Is are individuals making significant contributions but does not have overall responsibility and authority for the project.
   Key personnel are those considered by the PI to be essential to the work being performed under the proposed project.

8. *As applicable, type in the Co-Principal Investigator, Senior Personnel, and Key Person names - UML Only*
   The team member names must be typed into the field in the (Last Name, First Name) format. Same as with the PI name field, it is critical the correct email is chosen as this field is linked to routing.

9. *Select Yes or No as to whether each Co-Principal Investigator, Senior Personnel, and Key Person are DCRs. – UML Only (See* **FAQs** *for more information)*

DCR stands for anyone involved in the Design, Conduct <u>or</u> Reporting of the project.

10. *Type in the UML Co-PI, Senior Personnel and Key Personnel Credit*.
    The system will show an error in the top right corner of the screen and will not allow users to move to the subsequent screens unless the department credit totals 100% between the PI and Co-PIs.
    If a UML Co-PI is not a faculty member and therefore does not have an overhead account, simply indicate 0% for their division of credit.

11. *Advance to Internal Page.*

INTERNAL Page

12. *Using the drop-down menu, select your Department and College. (See <u>FAQs</u> for more information)*

13. *Type in the Dean and Chair of your College and Department*
    The Dean and Chair names must be typed into the corresponding fields in the (Last Name, First Name) format. Same as with the PI /Co-PI name fields, it is critical the correct email is used as this field is linked to routing.

14. *Using the drop-down menu, select Yes or No as to whether you would like to associate your proposal/award with an approved center. (See <u>FAQs</u> for more information)*
    If you select Yes, an additional field will pop up where you can identify which approved center you would like to affiliate the proposal/award with. Only <u>approved</u> centers (meaning the VCRI has given the designation of an approved center), are eligible and will display in the drop-down menu.

15. *Using the drop-down menu, select how you would like the overhead funds designated if awarded. (See <u>FAQs</u> for more information)*

16. *Advance to Prop Info Page.*

PROP INFO Page

17. *Copy and paste the link to the solicitation. (See <u>FAQs</u> for more information)*
    It is the *<u>PI's responsibility</u>* to provide ORA with the most current version of the guidelines to ensure an accurate institutional compliance check. Please be cognizant of the opportunity opening/closing dates and any amendments to the guidelines. Should a sponsor issue an amended version or generate additional documents after the routing form has been submitted, the PI should immediately notify their <u>ORA contact</u> and email them a link to the revised version.

If *more than one set of guidelines* is required by the sponsor, a copy of the full guidelines must be attached under the attachments field on the subsequent Budget page. An example of this would be an NIH Notice of Special Interest.

If *UML is a subcontract*, the PI should populate this field with the Prime Sponsor guidelines, and if available attach the email from the flow-through organization (UML's Sponsor) with the documents they require UML to provide to the attachments field on the subsequent Budget page. The Prime Sponsor is who the flow-throw organization submits to. For example: If UML was participating as a subcontract under UMMS on a proposal being submitted to NSF, UMMS would be UML's Sponsor and NSF would be the Prime Sponsor.

18. *Type in the tentative proposal title. (See FAQs for more information)*
As a reminder many solicitations have specific title requirements, so it is important to consult the guidelines before completing this field.

19. *Use the calendar button to select the proposal due date.*
The proposal due date is the day UML ORA needs to submit. It is important not to select a weekend or holiday as a due date and be cognizant of the 10-day internal proposal review process.
If UML is a subcontract and the immediate sponsor requires the UML subcontract proposal documents 2 weeks prior to the originating sponsor's hard deadline, the flow through deadline for UML (in this example, 2 weeks prior) should be used in this field.

20. *Use the calendar button to select the proposal start and end dates.*
As a reminder, it is important to consult the guidelines before completing this field as many solicitations have specific requirements regarding the allowable period of performance/duration of the project.

21. *Type in the Sponsor Name (See FAQs for more information)*
If UML is a subcontract on a proposal, the Prime Sponsor field must also be completed. The Prime Sponsor is who the Flow-through Sponsor submits to. For example: If UML was participating as a subcontract under UMMS on a proposal being submitted to NSF, UMMS would be UML's Sponsor (Flow-through Sponsor) and NSF would be the Prime Sponsor.

22. *Advance to Resources Page.*

RESOURCES Page

23. *Using the drop-down menu, select Yes or No as to whether adequate resources (including space) to carry out the proposed work are available.*

24. *Using the drop-down menu, select Yes or No as to whether capital equipment (equipment or fabricated equipment over $5,000) is being requested in the proposed budget. (See FAQs for more information)*
    If you select Yes, additional required fields will pop up where you must indicate where the equipment would be located if funded, whether the equipment requires any unique environmental controls, and the cost of installation.

25. *Advance to Subawards Page (Only complete this page as applicable)*

26. *Advance to Certifications Page.*

CERTIFICATIONS Page

Should the PI have questions regarding any items on this page in regard to their specific proposal, the Office of Research Integrity (ORI) can be contacted directly at one of the contacts listed on the ORI website.

27. *Using the drop-down menu, select Yes or No as to whether this proposed work is to include human subjects, rDNA, animals, biohazards, or a foreign component.*
    Please note: If Yes is selected in the Biohazards drop-down menu, an additional field will appear for the PI to specify the type of biohazard.
    In regards to the Foreign Component field, Yes should be selected for any foreign element including but not limiting to foreign sponsors, travel, collaborators, use of a foreign lab, etc. If Yes is selected in the Foreign Component drop-down menu, an additional field will appear for the PI to specify the type of foreign component.

28. *Advance to Budget Page.*

BUDGET Page *(See FAQs for more information)*

PIs must use UML's internal budget template to draft and finalize the proposed budget regardless of any required sponsor templates. If the sponsor does have a specific template required in the proposal submission, the PI will need to transfer the budget to the sponsor format after ORA has approved the internal version. Please be sure to download a new version of the internal template for each proposal to ensure the correct rates are being used, as this document is frequently updated.
To aid PIs in drafting proposal budgets, ORA has generated several budgeting tools available for download on the ORA website. These include budgeting basics, current institutional rates, cost share, etc.

29. *Type in the total direct and indirect costs based on the draft budget.*

30. *Using the drop-down menu, select Yes or No as to whether the proposed budget includes cost share.*
    If Yes is selected in the cost share drop-down, additional required fields will appear

The University only allows cost sharing when a sponsor requires it as a condition of the award and highly discourages the inclusion of voluntary committed cost share.

31. *Attach the detailed <u>DRAFT</u> budget including cost share (if applicable), guidelines (if link was not provided on the Prop Info Page), and a project summary.*
    The DRAFT Budget, copy of guidelines (if applicable), and project summary or SOW attachments are <u>required</u> in order for the App to route the Proposal Routing Form for signature. Additional documents such as subcontract requirement emails, subcontract budgets, letters of intent, third party cost share commitment letters, etc. may also be attached if applicable.

32. *Advance to the Submission Page.*

33. *Review all statements and affirm by clicking the Submit button.*

Once the Proposal Routing Form has been submitted, the routing process will begin. The PI is responsible for ensuring approvals are done in a timely fashion. The PRF will not enter the ORA review and approval queue until all required APRA approvals have been received.

Every proposal requires a fully executed Financial Conflict of Interest Form before submission, which must be initiated by the PI. NASA also requires a sign NASA Certification which can be found on the <u>ORA website</u>.