HOW TO COMPLETE THE PROPOSAL IN RES AND SUBMIT IT TO ROUTING

Overview

Once a draft budget has been submitted through RES, a PI must **complete** the remaining sections of the **proposal** and **submit** it to the routing workflow. Within this workflow, **approvals** are obtained by the PI's Chair/Center Director and Dean before reaching ORA for review.

This must follow ORA's Internal Deadlines which states this proposal must be in ORA's queue for review 5 business days before the sponsor deadline which means submission for **routing** should be done **minimally 6 business days before the sponsor deadline.**

*Reminder, these internal deadlines state that **all** proposal documents must be **final** and **complete** at this point, except for the technical narrative documents which can be in draft form.

Step 1 – Review the entries made during the draft proposal stage in the **Basics** section to confirm nothing has changed. These sections are: **Proposal Details**, **Delivery Info**, **Sponsor & Program Information**, and **Organization & Location**.

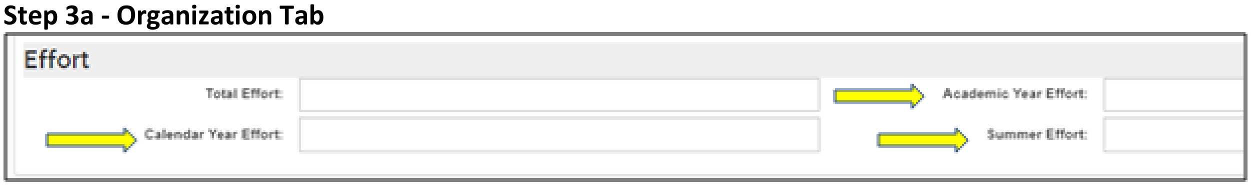
Step 2 – Navigate to the **Key Personnel** section. Add all UML Key Personnel to this section and give them the appropriate role.

***Proposal Roles**: (PI, Co-Investigator, Multi-PI, or Key Person). All roles **EXCEPT** "Key Person" will be automatically added to the Credit Allocation Distribution.

Step 3 – For each person listed, expand their tab, and review and update sections as needed. The only required fields are outlined below. The other fields will be used during the system to system (S2S) rollout.

*__Note__: If an annual **COI disclosure** is required for any of the investigators on the proposal, a notification email to complete the disclosure will automatically be sent to the investigator.
This must be done prior to proposal submission.

Step 3a - Organization Tab

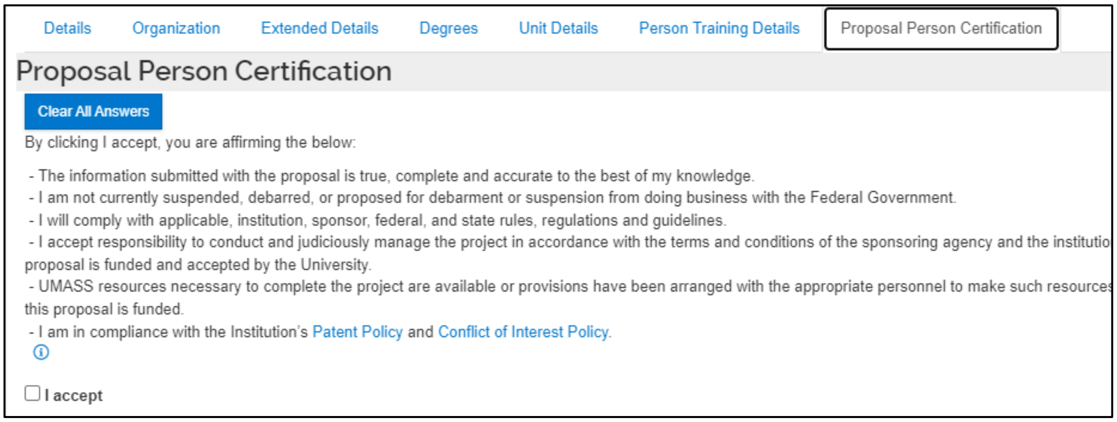


Navigate to the effort screen at the bottom of the Organization tab and enter in the **Year 1** budgeted effort of the person. Effort will be **entered** in **either Academic/Summer** or **Calendar** but never all three. **Leave Total Effort blank**.

- **Effort** is calculated based on **appointment type** (Calendar, Academic, & Summer) and must be entered into the corresponding box. If a person has **both summer** and **academic** effort on the budget, add the effort for each in the appropriate box. For help calculating effort percentage, please see Effort information on ORA's budget webpage.

*Note: Effort for all key personnel and, in particular, **faculty, must be budgeted minimally at 1%**. This correlates to **0.12 calendar months or 0.03 summer months.** As noted, effort should typically be substantially more than 1% since it should reflect the actual effort needs of the project.*

Step 3b – Proposal Person Certification Tab

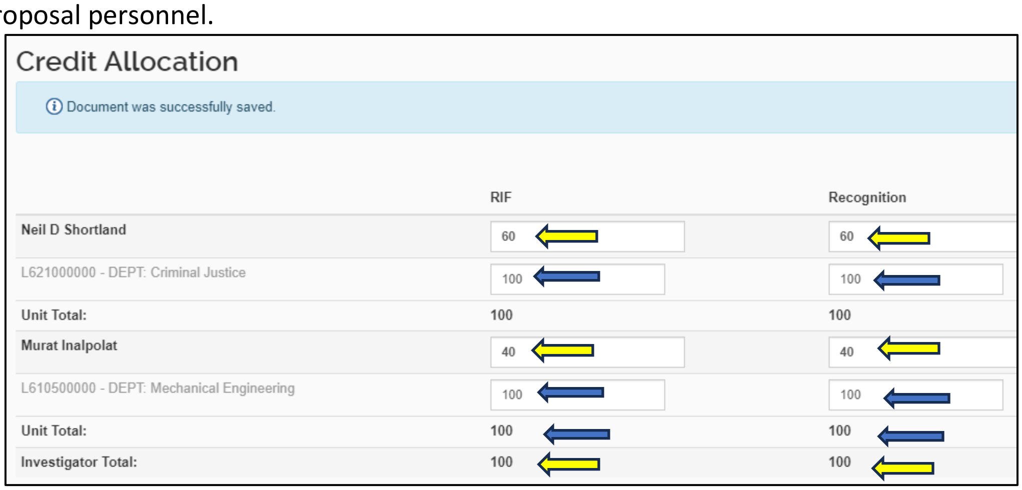


This section **must** be **completed** by **each** person listed under **Key Personnel**. Certifications can be completed either **prior** to the proposal being submitted to routing or **as part of** the person's approval **during routing**.

- The certification can **only** be **completed** by the person who it is for (i.e. - not a proxy).
- If you are **not** the person to accept the certification you can click the **Notify** button to request the person certify before routing. This sends an **email** to the person with a link directly to the certification page.
- To **complete** the **certification** during **routing**, the Key Person will navigate to the Proposal Person Certification tab under their name within the Key Personnel section and click "I accept."

Step 4 – Complete the **Credit Allocation** Section.

The credit allocations when combined for *all* designated proposal **personnel** must total 100% for each credit allocation type (RIF & Recognition). The credit allocation for the **unit (department)** should total 100% for each designated proposal personnel.

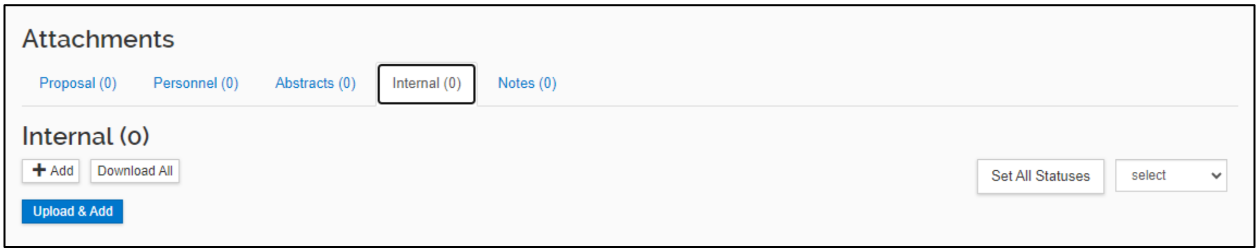


There are two types of credit allocations – a **RIF allocation** and a **Recognition allocation**. Only personnel with a Department ID can receive RIF allocation however, all Key Personnel can receive Recognition allocation.

*It is the expectation that if someone is allowed to receive RIF credit they would also receive Recognition credit. These may often be at the same percentage split. If someone is not able to receive RIF then they would just have Recognition credit.

Step 5 – Upload required documents in the **Internal Tab** of the **Attachments** section.

Depending on the **type** of proposal being submitted (Federal, Sub-Award, Industry), the **number** of **attachments** required to be **uploaded** in RES will **change**.

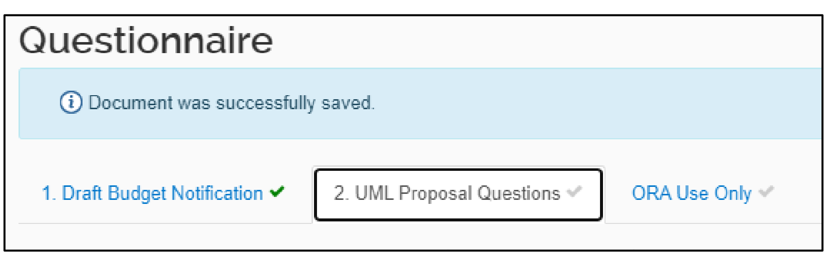


INTERNAL TAB DOCUMENT REQUIREMENTS:

- **Budget – UML Internal**
- **Budget Justification**
- **Sub Award Documents**, if applicable *(Sub-Recipient Commitment Form, Sub Budget, Sub SOW, etc.)*
- **Sponsor Required Documents,** if applicable **(Required to be uploaded if emailing proposal documents.)**
  - *Sponsor Budget Template,* Statement of Work, Proposal Narrative, *CVs, etc.*
    - *According to UML Internal Deadlines, all sponsor required documents, except for the final technical documents, **must be included** when routed for approvals. Draft **technical** documents **must be included** as placeholder documents at this time.*
- **Other Documents,** as applicable
  - Cost Share Approval Form, F&A Waiver Form, Limited Submission Approval, Request for PI Status Approval, Internal Communications

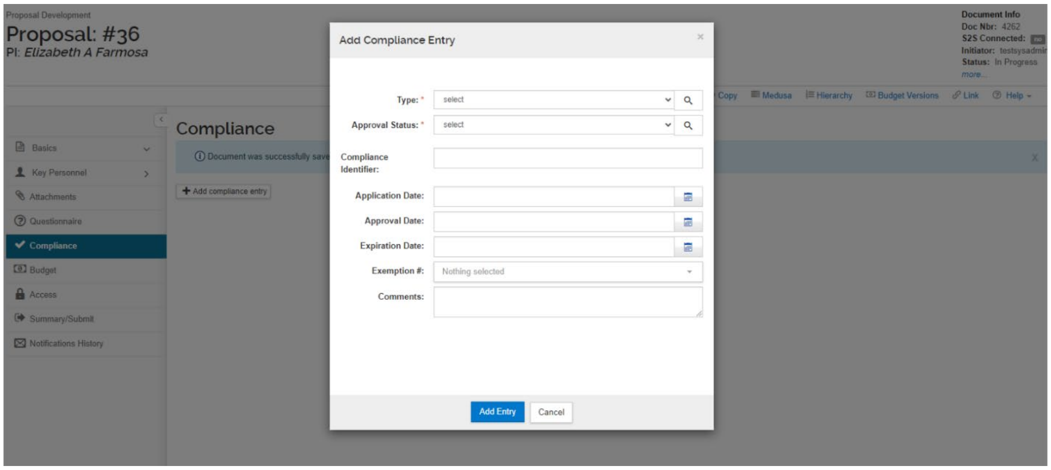
Step 6 – Review the **Preproposal Forms** section to make sure any required internal forms have been completed. The internal forms housed in this section are: Request for a New Sponsor, Request for a New Organization, Request for PI Status, Cost Share Approval, F&A Waiver Form.

Step 7 – Navigate to **Questionnaire** section and complete the **UML Proposal Questions**.



Step 8 - Click on the Compliance section. Select Add Compliance Entry if you have any of the following in your proposal: Human Subjects; Vertebrate Animals; Biohazard Materials; Foreign Component; Recombinant DNA.

- **Compliance Identifier**:
  - If there is an approved protocol at the proposal stage, enter the information here. Otherwise leave blank.

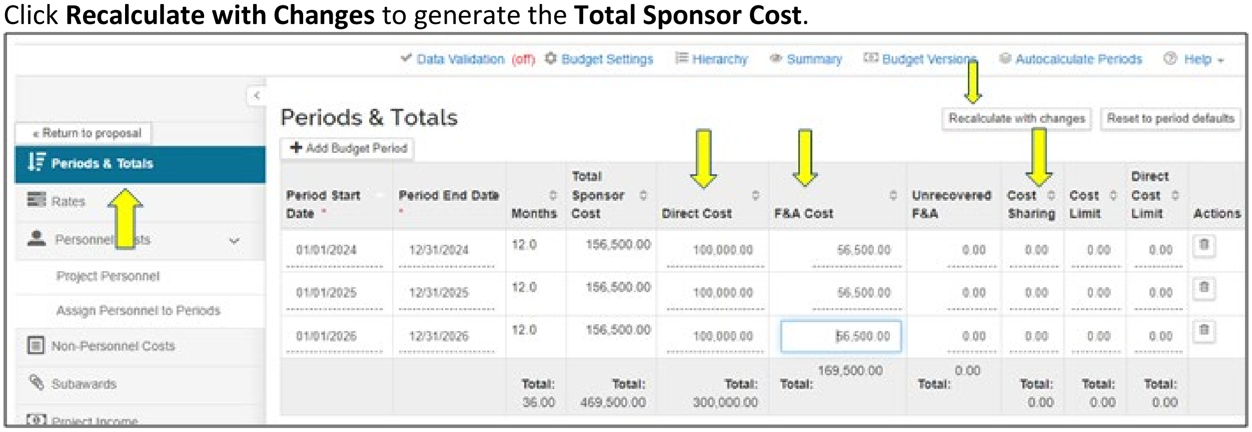


Step 8 – Navigate to the budget section. Click + Add Budget. Add a S**ummary Budget** into the system.

On the Summary Budget screen, enter in the Total Direct and Total F&A (Indirect) for each year of your budget using the **Direct Cost and F&A Cost boxes**. If you have cost sharing, enter the total Cost Share amount (Direct + Indirect) for each year in the **Cost Sharing box.**

- The remainder of the boxes shown are not currently being used.

Click **Recalculate with Changes** to generate the **Total Sponsor Cost**.



If **not final**, click **Save**. You can now navigate to other screens by clicking Return to Proposal and come back to update the budget when ready.

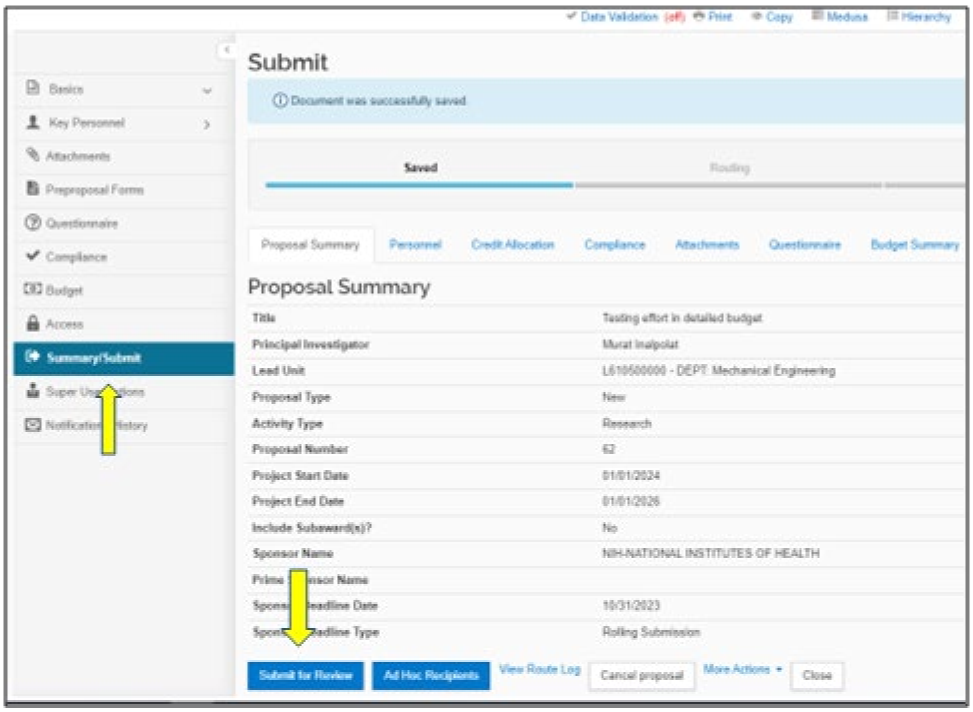
If **final**, click **Complete Budget.** A pop up screen will ask if this budget is ready to submit to sponsor. Check the box and click **OK**.

***NOTE**: You will not be able to submit your proposal into routing until you have clicked Complete Budget and checked that it is Ready to Submit to Sponsor.

Step 9 – When the proposal is ready to be routed for internal approvals select the **Summary and Submit** section. Review to make sure everything is correct and click **Submit for Review.**

If no errors exist your proposal has been submitted for routing. It will now go through required approvals before landing in ORA's queue for review.

Note: When you submit for review, you may receive a message asking if you wish to receive **future approval requests** if you will also need to approve the proposal (e.g. - A PI who is submitting also then has to approve it). Clicking **yes** will require you to approve again at the future stop, whereas, **clicking no will automatically approve on your behalf at the future stop.**



Step 10, if applicable - If there are any errors in the proposal, a **Data Validation** screen will appear and list what the error is and a button titled **Fix It** will guide you right to the error. These **must** be corrected before you can route the proposal.