

### **GENERAL ROUTING INFORMATION**

All proposals for external funding must be routed through the University's administration for approval before submission. Use the [Internal Proposal Approval Form](#) to route your proposal through the appropriate channels. This form is intended to accompany all required proposal materials, including (but not limited to) the project narrative, proposal budget, and the budget justification. This form gives internal reviewers relevant information about the investigators, the proposed project, required resources, and the funding agency. **Please note: This form is an internal document and will not be submitted to funding agencies or collaborators.**

### **WHO SHOULD SIGN**

All Principal Investigators (PIs) and Co-PIs must review and sign the approval form. Respective PI and Co-PI Department Heads (or Directors) and Deans (or Director's supervisors) must also review and sign the proposal in order to certify that the proposed project fits within the scope and mission of the Department and College and that the commitments made in the proposal are supported and allowed. The internal approval process is necessary for all grant types, including (but not limited to) a new project, renewal, revision, amendment, or supplement.

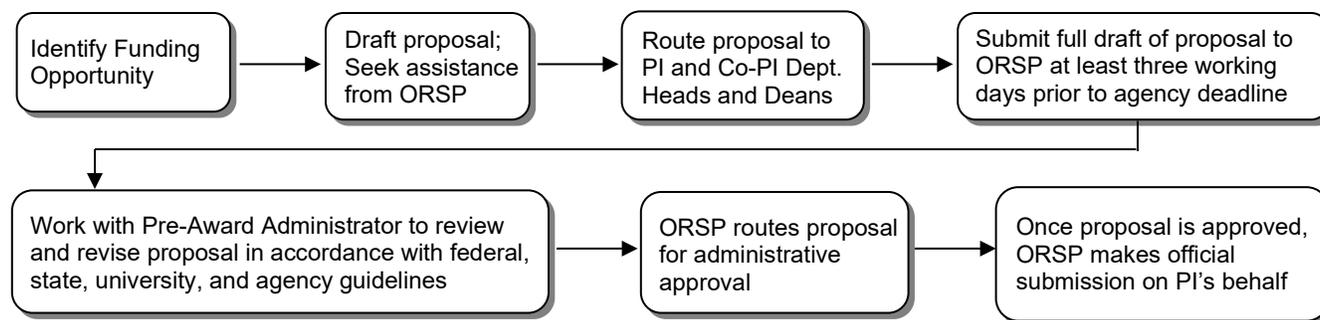
### **ONCE A PROPOSAL IS AWARDED**

Once a proposed project is awarded, a contract must be in place before any work can commence. The office of [Sponsored Programs Finance Administration and Compliance \(SPFAC\)](#) will review, negotiate, and execute the contract. If the funding agency would like the University to initiate a contract, please contact SPFAC to proceed. If a contract has been sent to you instead of to ORSP or SPFAC, please submit it to SPFAC for processing. **Please note: An approved proposal must be on file in ORSP before a contract can be executed.**

### **INTERNAL DEADLINES**

To help ensure timely processing, please be sure to provide ORSP with the funding agency deadline date. **A full proposal draft should be submitted to ORSP at least three (3) working days before the funding agency deadline.** This internal deadline will allow sufficient time for ORSP to review the proposal and recommend revisions and for the University administration to review and approve the proposal for submission. If the proposal is not received by the internal deadline, ORSP cannot guarantee proposal submission. Please note that large scale projects, multi-institutional projects, and/or complex proposals (i.e., projects with cost sharing and/or sub-recipients) will require additional processing time. ORSP encourages submission earlier than the noted three days to process proposals such as these.

### **PRE-AWARD FLOW CHART**



Instructions for the specific sections of the [Internal Proposal Approval Form](#) are provided below. Please contact your assigned Pre-Award Staff Member should you have any questions or require assistance in completing the form. Pre-Award Administrator assignments can be found on our website at <http://vpresearch.louisiana.edu/pre-award-administrators>.

## INTERNAL PROPOSAL APPROVAL FORM INSTRUCTIONS BY SECTION

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### PROJECT INFORMATION

Please complete this section in its entirety. ORSP uses this information to process and submit your proposal according to funding agency guidelines. Also, if available, include the relevant RFP or program announcement with your proposal.

1. Provide the full, official **Project Title**.
2. Provide **Principal Investigator** information, including the PI's home department/center, department/center facilitating the submission, PI's campus phone number, and e-mail address.
3. Indicate the Agency/Sponsor of the proposed project and the Prime Sponsor (if applicable):
  - a. **Sponsor:** A sponsor is the agency or organization that provides the funding for a grant or contract. Sponsors may be federal or state government agencies, as well as non-governmental organizations.
  - b. **Prime Sponsor:** The prime sponsor is the agency or organization that initially provides the funding for a project. (For example, if NIH awarded funding to the American Heart Association, which then used all or part of that award to fund a project at the University of Iowa, NIH would be the prime sponsor of the project. The American Heart Association would still be the sponsor.)
4. For **Program Name**, indicate the specific program to which you are applying. The "Program Name" refers to a formal solicitation that encourages the submission of proposals in specific areas of interest. Program solicitations generally have a specific focus and typically have a funding window open for a limited period of time.
5. If an **Assistance Listing Number** (*formerly called the CFDA Catalog of Federal Domestic Assistance number*) is available, indicate that number in the space provided. The CFDA number is only applicable to federal programs and can be found within the RFP.
6. Indicate the **start and end dates** for the entire project period. Some programs have a project duration specified in the guidance. Other programs or unsolicited proposals must have a start date at least 60 days after the proposal has been submitted to the agency. This will allow time for contract review and negotiation.
7. Indicate the **Proposal Type** by checking one of the available options as appropriate:
  - a. *New:* select this option for submission of a new proposal to a funding agency, or submission of a proposal that is being resubmitted after having been officially declined by the sponsor.
  - b. *Pre-Proposal:* select this option for a pre-proposal, notice of intent, letter of intent, or some other submission requested by the agency prior to submission of a full proposal.
  - c. *Transfer:* select this option for an award granted to another institution that you are seeking to transfer to UL Lafayette.
  - d. *Supplement:* select this option for a proposal seeking supplemental funds or an increase in support for an existing award in a current budget period that may include an expansion of the project's approved scope.
  - e. *Resubmission/Revision:* select this option for submission of a revised or modified pending or unfunded proposal.
  - f. *Renewal:* select this option for a proposal to a funding agency for an additional period of funding to support an ongoing program/project beyond its original term.
  - g. *Continuation:* select this option for a proposal to a funding agency for next year funds in a previously approved multi-year award.
8. Choose from the drop-down list the **Discipline Category** and the **Activity Type**. This information is required for reporting purposes (ex. Grad Act Report to State, Higher Education Research and Development Survey, etc.). Activity Type(s) are defined as follows:
  - a. *Applied Research* is defined as systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.
  - b. *Basic Research* is defined as systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind.
  - c. *Development* is defined as systematic applications of knowledge or understanding directed toward the production of useful materials, devices, and systems or methods, including design, development and improvement of prototypes and new processes to meet specific requirements.
  - d. *Instruction* includes the teaching and training activities of an institution. This term includes all teaching and training activities, whether they are offered for credits toward a degree or certificate or on a non-credit basis, and whether they are offered through regular academic departments or separate

divisions, such as a summer school division or an extension division. These projects are intended for non-research purposes.

- e. *Other Sponsored Programs* include programs that involve the performance of work other than instruction and research. Examples of such programs and projects are health service projects, student services (activities that contribute to the welfare of university students), and community service programs.
9. Next, indicate whether the project is a collaborative effort with one or more University Research Center(s) (e.g., LITE Center, Microscopy Center, Louisiana Accelerator Center, New Iberia Research Center, etc.) and whether that Center is under the PI's control. If the Center is not under the PI's control, please attach written authorization from the appropriate facility director (letter, e-mail, etc.).
  10. If the proposal includes confidential information, indicate by checking the appropriate box and include the page numbers that include the confidential information.

**COMPLIANCE INFORMATION**

All areas of research must adhere to a code of ethics that fosters public confidence. Some areas of research and teaching must abide by federal and state regulations enacted to protect the public and natural resources. To promote an environment of excellence, integrity and compliance in research, the University has established policies and review committees to assist the researcher in complying with the regulations and maintaining high ethical standards within the research community. Please complete this section as it applies to your project.

1. Indicate if your proposal includes any of the items noted under *Regulatory Compliance* by placing a check mark in front of the item.
2. Indicate whether your project will involve any of the items noted under *Travel / Foreign Workers / Proprietary Information* by placing a check mark in front of the item.

*If necessary, a staff member from ORSP and/or Research Integrity will contact you regarding obtaining any required approvals, etc.*

**BUDGET INFORMATION**

It is important to remember that the budget for a sponsored project must be in accordance with the applicable policies, rules, and regulations of both the sponsor and UL Lafayette. UL Lafayette adheres to the federal cost principles as defined in the [Uniform Guidance \(2 CFR § 200 Subpart E\)](#). This guidance defines the rules applied to educational institutions when doing business with the federal government and forms the basis for UL Lafayette's costing practices.

1. Indicate the budgetary information in the Budget Summary section, including the funds requested from the agency, University cost share (if applicable), and third-party contributions (if applicable).
2. Denote the indirect cost rate applied to the proposal budget. The indirect rates associated with the choices on the proposal form are as follows:

<b>Location/Activity</b>	<b>Rate</b>	<b>Base</b>
On-Campus – Research	45%	Modified Total Direct Costs (MTDC)
On-Campus – Instruction	45%	Modified Total Direct Costs (MTDC)
On-Campus – Other Sponsored Programs	40%	Modified Total Direct Costs (MTDC)
New Iberia Research Center – All Activities	48%	Modified Total Direct Costs (MTDC)
Off-Campus – All Activities	26%	Modified Total Direct Costs (MTDC)
University Approved Rate for State Funding	26%	Modified Total Direct Costs (MTDC)

- a. The University's federally negotiated rate is to be applied to a Modified Total Direct Cost (MTDC) base. MTDC consist of all salaries and wages, fringe benefits, materials, supplies, services (e.g., consultant or professional services), travel, and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). MTDC shall exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.
- b. If the funding agency has an established policy regarding the restriction or disallowance of indirect costs, then check "Agency Limitation" and indicate the rate used in the budget.
- c. If a voluntary waiver/reduction of F&A is requested, please check the appropriate box and specify the rate used. Please explain the rationale for using an alternate rate using the [F&A Cost Waiver/Reduction Request Form](#). For more information, please review the University's [Indirect Cost Policy](#).

3. Please indicate whether the proposal budget contains cost sharing/matching and attach the [Cost Share/Matching Funds Approval Form](#). UL Lafayette will show cost sharing only when it is mandated by the funding agency in formal, consistently-applied agency guidelines/policies, the program announcement, or the RFP. However, the University may consider a request for voluntary (non-required) cost share when it is necessary to make a proposal more competitive for an award that is beneficial to the institution. Such requests should be accompanied by a short explanation why the cost share should be volunteered. All cost share requests must comply with the University's [Policy and Procedures on University Cost Sharing \(Matching\) on Externally Sponsored Projects](#), with funding agency requirements, and with applicable state and federal regulations, and must be approved prior to proposal submission.
4. Indicate if the proposal budget includes funds for subawards or subcontracts. **A scope of work, budget, budget justification, and letter of collaboration signed by a representative from the subawardee's sponsored research office or equivalent must be included for each subaward/subcontract proposed.**
5. Indicate if the proposal includes third-party contributions/match. A letter of commitment signed by a representative from the third-party contributor that includes specific details about the proposed contribution must be included.

### **PROJECT PERSONNEL**

Include information about UL Lafayette employees only. Use the [Additional Investigator Attachment Form](#) if more space is required. Please note: 1) **Project Credit** is used to track activity for the project personnel, departments, centers, etc. listed. 2) UL Lafayette's cost share should only reflect agency required cost share, not voluntary cost share. 3) Summer Effort cannot exceed three (3) months, and NSF restricts this to two (2) months total on all NSF awards.

1. List each employee who will be working on the project (including the PI, co-PIs, or other faculty/staff, but not students) and the type of appointment held by that individual (9-month or 12-month).
2. Indicate the percentage of Project Credit to be assigned to each investigator participating in the project. The Project Credit for all investigators must equal 100%. The Project Credit is used to capture sponsored project activity at the investigator level. The following factors should be considered in allocating project credit to each investigator:
  - The overall responsibility of each investigator for the activities included in the proposal.
  - The expenses in the budget reserved for the activities of each investigator (student support, equipment, materials and supplies, etc.).
  - The effort (both requested and shown as cost share) to be expended by each investigator.

This data will be used for internal reporting and will serve as the basis for project credit. If Project Credit is not assigned and agreed to by the investigators, ORSP will use a default allocation as follows:

<b>Scenario</b>	<b>Default % Project Credit for PI</b>	<b>Default % Project Credit for each Co-PI</b>
PI with One (1) Co-PI	67%	33%
PI with Two (2) Co-PIs	50%	25%
PI with Three (3) Co-PIs	40%	20%

3. The shaded area of this section is intended to record commitments of 9-month employees during the academic year or 12-month employees during the fiscal/calendar year. In the first column of the shaded area, indicate the percentage of each employee's effort that will be charged to the project. In the next column, list the percentage of each employee's effort that would be shown as cost share by UL Lafayette.
4. The last column of this section is intended to record the number of summer months to be funded by the funding agency. Note that only 9-month or academic year employees are eligible for summer salary. The maximum number of months that can be funded per year for any 9-month/academic year employee is three (3) months, and NSF restricts this to two (2) months total on all NSF awards.
5. You may use the [Additional Investigator Attachment Form](#) should you have more investigators than the Internal Routing Form can accommodate.
6. If faculty and staff will be expending effort on the project in a role other than PI or co-PI, please provide information about their effort on the [Internal Proposal Approval Form](#) or the [Additional Investigator Attachment Form](#); however, their signature is not required in the "Investigator Certifications" section.
7. Please answer the check-box question related to extra compensation. Please note that summer salary for 9-month employees is not extra compensation. For more information, please review the extra compensation policy in the [Faculty Handbook](#). All requests for extra compensation will be closely reviewed against sponsor guidance and University policies.

## **CONFLICT OF INTEREST & FINANCIAL DISCLOSURE**

All Investigators are required to disclose their outside financial interests related to a proposed project to the Institution at the time of proposal submission, on an annual basis, in the event the project is funded and on an ad hoc basis as changes in their situation arise. Disclosure is made via the [Financial Conflict of Interest Assurance and Disclosure Form](#). Researchers are responsible for complying with UL Lafayette Drug Free Workplace, research, financial conflict of interest, intellectual property and patent policies as currently contained in the faculty handbook or on UL Lafayette's website.

If this is a proposal to NSF or PHS (including NIH), you must include the [Financial Conflict of Interest Assurance and Disclosure Form](#), which is to be completed by each UL Lafayette investigator named in the proposal regardless of the response to the questions. These forms can be obtained from the ORSP website or office. If any financial interest exists related to the work proposed, an investigator must complete the [Financial Conflict of Interest Assurance and Disclosure Form](#) regardless of the funding agency (see the University's [Financial Conflict of Interest Policy](#)).

1. Indicate any salary or royalties that would be earned from possible inventions resulting from this project and whether any faculty, staff, or student (or family members) will derive any economic benefits from the project.
2. Indicate if any participating faculty, staff or students (or family members) currently have or have had in the past three (3) years a financial interest related to an entity involved with the above named proposed externally sponsored project and if any participating faculty, staff or students (or family members) will derive any economic benefits from the project aside from salary or royalties that would be earned from possible inventions resulting from this project. If the response is "yes" to either of the questions, attach a completed [Financial Conflict of Interest Assurance and Disclosure Form](#) for the applicable investigator(s).
3. It is critical that the PI and Co-PIs read the Investigator Certifications and Investigator Certifications Regarding Disclosure of Conflict of Interest. By signing the [Internal Proposal Approval Form](#), each individual is certifying to the terms and conditions included therein.

## **CERTIFICATIONS, ACKNOWLEDGEMENTS & APPROVALS**

Those listed as PI and Co-PIs in the Project Personnel section should review the certifications and sign in this section. PI's and Co-PIs' respective Department Heads (or Directors) and Deans (or Director's supervisors) must also review the proposal and sign the form before it is submitted to ORSP.

If the proposal to be submitted is provided to ORSP after or within the requested three-day deadline, the PI must formally acknowledge the proposal's late submission by checking the acknowledgment box and initialing where indicated. The PI should carefully read the risks of late submission of their proposal to ORSP.

1. Except in unusual circumstances, **ORSP will not process proposals that have not yet been approved and signed by department heads/directors and deans.**
2. ORSP will secure the remaining required approvals/signatures, including additional certifications and signatures that may be required in the body of the proposal, as part of the internal review process.