



Office of Research and Sponsored Programs Internal Proposal Approval Form Instructions

You must route any sponsored research/program proposals and formal preproposals for review through the Office of Research and Sponsored Programs (ORSP) using the Internal Proposal Approval Form. This form is intended to accompany all required proposal materials including the narrative portions, the budget and budget justification. The form gives internal reviewers relevant information about the investigators, the proposed project, the resources required, and the funding agency. Please note that this form is an internal document and is not provided to funding agencies or collaborators.

Please complete and sign the approval form and make sure any co-Investigators sign the form as well. Also make sure that your Department Head (or Director) and Dean (or Director's supervisor) review the commitments made in the proposal and sign the form. This is true whether the proposal is for a grant that is new or a renewal, revision, continuation, or supplement. You do not need to route any resulting contract when the University has previously approved the proposal to the funding agency. If such contract was sent to you instead of to ORSP, please submit it to ORSP for processing.

To help ensure timely processing, don't forget to include the funding agency deadline date in the top right corner of the form. **You must submit your proposal to ORSP at least three (3) working days before the funding agency deadline** to allow ample time for ORSP to review your proposal and recommend revisions, and for review and approval by the President. **In order for ORSP to process a proposal submitted to the office fewer than three days prior to the agency deadline, the proposal must be accompanied by authorization from the appropriate Dean or appropriate Vice President in the case of Center Directors** (see *University Policy on Late Submittal of Proposals to the Office of Research and Sponsored Programs*). If electronic submission is required, a complete electronic file must be provided to ORSP twenty-four (24) hours prior to the agency deadline.

Instructions for the specific sections of the form are provided below. Please contact Ruth Landry, Pre-Award Administrator, should you have any questions (482-1922 or rwl@louisiana.edu) or require assistance in completing the form.

A: INVESTIGATOR INFORMATION

1. Please provide the name, department, email address and phone number for the PI and all co-investigators. The PI and all co-PIs should read the Investigator Certifications and sign the approval form.
2. If more than three Co-Investigators are on a project, attach an *Additional Investigator Attachment Form* with information about and signatures from the additional Co-Investigators.
3. Indicate the percentage of project credit (% 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. In considering the % Project Credit to be allocated to each investigator, the following factors should be considered:
 - 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 the possible distribution of indirect costs as per the University's *Indirect Costs Policy*. If % Project Credit is not assigned and agreed to by the investigators, ORSP will use a default allocation as follows:

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

4. 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.
5. 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). If this is a proposal to NSF or PHS (including NIH), you must include *Financial Conflict of Interest Assurance and Disclosure Forms* 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 a 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 *Policy and Procedures on Financial Conflicts of Interest Related to Externally Sponsored Projects*)
6. 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.

B: PROPOSAL INFORMATION

1. Please complete this section as fully as possible to give ORSP enough information about your proposal to process and submit it according to funding agency guidelines. Also, if available, include the relevant RFP or program announcement with your proposal.
2. Indicate the Sponsor of the proposed project and the Prime Sponsor (if applicable) as .
 - 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. 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.
3. Indicate if UL Lafayette will be a subawardee or subcontract for this proposal.
4. If a CFDA # (Catalog of Federal Domestic Assistance number) is available in the introductory sections of the RFP or Program Announcement, indicate that number in the space provided. The CFDA # is only applicable to federal programs. If this information is not readily available, then leave the CFDA# field blank and ORSP will complete if a CFDA number has been assigned to the funding opportunity.
5. Indicate the Proposal Type by checking one of the available options as appropriate:
 - a. **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.

- b. 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.
 - 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. Revision/Resubmission: 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.
6. If the proposal includes confidential information, indicate by checking the appropriate box and include the page numbers that include the confidential information.
 7. Please indicate if you are proposing to utilize a UL Lafayette research facility or center not under your control (e.g., LITE Center, Microscopy Center, Louisiana Accelerator Center, New Iberia Research Center) and indicate the facility or center to be used. For your proposal to be approved, you must attach written authorization from the appropriate facility director to your proposal (letter, email, etc).

C: SUBMISSION INSTRUCTIONS

1. Please indicate the method of delivery/submission. If a hard copy submission is required, please provide the number of copies to be sent along with the delivery address. **The address should not be a post office box.**
2. If electronic submission is required, indicate if the submission is to be made through Fastlane or grants.gov. If there are alternate instructions for electronic submissions please check "other" and specify the website or email instruction.
3. If electronic submission is required, a complete electronic file must be provided to ORSP twenty-four (24) hours prior to the agency deadline.
4. The *Additional Proposal Information Attachment Form* can be used if you need additional space to provide instructions for submission or delivery.

D. COMPLIANCE INFORMATION

1. Indicate if your proposal includes human subjects, vertebrate animal subjects, radiation or biohazards (including rDNA, select agents, and biotoxins), if approval from the appropriate committee is pending or if approval has been granted. If approval had been granted, please attach documentation from the appropriate committee chair.
2. Researchers are responsible for complying with relevant University policies and federal regulations governing research concerning these matters. It is the responsibility of the PI to submit an application to the appropriate review committee for approval. Consult the Office of Research and Sponsored Programs website at www.louisiana.edu/research/ for updated committee contact information. ORSP may be reached by phone at 482-5811 or by e-mail at ORSP@louisiana.edu.

E: BUDGET & COST SHARING INFORMATION

1. Please indicate whether cost sharing (university match) is required by the sponsor. UL Lafayette generally reserves cost sharing funding to when it is mandated by the funding agency in formal 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 clearly beneficial to the institution. Such requests should be accompanied by a short explanation why the cost share should be volunteered. The *Additional Proposal Information Attachment Form* can be used for this purpose. ***Whether the cost share commitment is required or is volunteered, the university has the obligation to monitor and account for all of its cost share commitments as described in the text of the proposal or included in the project budget.*** 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.

2. For any proposed cost sharing of direct costs other than personnel related expenses (faculty academic year release time, fringe), indicate the item to be cost shared (GA support, travel, equipment, supplies, etc.), the amount of that item, and source of funds (department, college, other unit).
3. Indicate the indirect cost rate applied to the proposal budget. The indirect rates associated with the choices on the proposal form are as follows:

	Rate	Base
On Campus	44%	Salaries and Wages
Off Campus	10%	Salaries and Wages
LA State Agency	25%	Salaries and Wages
Board of Regents	25%	Salaries, Wages and Fringe

If the funding agency has an established policy regarding the restriction or disallowance of indirect costs, then check "Sponsor Limited" and indicate the rate used in the budget. If a reduced rate is applied other than for Board of Regents, a Louisiana State Agency, or a sponsored limited rate, please check the "Other Reduction" box and specify the rate used. Please explain the rationale for using an alternate rate. The *Additional Proposal Information Attachment Form* can be used for this purpose. For more information, please review the University's *Indirect Cost Policy*.

4. If funding is requested from the sponsor for graduate assistant (GA) stipends, tuition and fees should be requested if allowed by the sponsor/program guidelines. Indicate on the form if GA tuition does not apply to this proposal, if it is requested from sponsor, if it is disallowed by the sponsor, or if it is allowed by sponsor but not included in the proposal budget.

Current policy allows for the following scenarios regarding GA tuition:

- If tuition is included in the proposal budget and accepted by the sponsor at the time of the award, then basic fees are charged to the project account, the student will be responsible for the Student Technology Fee and the Graduate Student Organization Fee and all other fees are waived.
- If a funding agency has a formal policy prohibiting charging fees to a project account (including Board of Regents) then the Graduate School will cover basic fees, the student will be responsible for the Student Technology Fee and the Graduate Student Organization Fee and all other fees are waived.
- If tuition is not included in the project budget and the funding agency allows tuition to be requested, then the student will be responsible for all tuition and fees that apply to them based on their status, citizenship, hours scheduled, etc.

5. Indicate if the proposal budget includes funds for subawards or subcontracts. A budget 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.
6. 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.

F: PERSONNEL EFFORT & COMPENSATION

1. In the first column of this section, 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. 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 in the shaded area, reflect the percentage of each employee's effort that will be committed to the project if it were funded. In the next column, list the percentage of each employee's effort that would be paid directly by grant funds. In the third column in the shaded area, list the percentage that is or will be committed to other sponsored projects during the proposed project period. In addition, list the impact (if any) that the project would have on the individual's existing teaching/work load. Note that the total effort for an individual on all sponsored projects and other duties (teaching, service, etc.) cannot exceed 100%.
3. The last two columns of this section are intended to record the number of summer months to be funded by the proposed project as well as the number of summer months committed to/funded by other projects during the project period. 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).
4. You may use the *Additional Investigator Attachment Form* should you have more investigators than the Internal Routing Form can accommodate.
5. 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.
6. Make sure to answer the check-box question related to extra compensation.

G: UNIVERSITY ENDORSEMENTS

1. Make sure your Department Head (or Director) and Dean (or Director's supervisor) review the proposal and sign the form before you submit it to ORSP. If a co-Investigator is a faculty member from a college other than your own, you must also obtain that Dean's signature. Two signature lines are provided for Deans of Co-PIs to provide for situations involving faculty from up to three different colleges.
2. Except in unusual circumstances, **ORSP will not process proposals that have not yet been approved and signed by department heads/directors and deans.**
3. ORSP will secure the rest of the 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. Note that signature of a Vice President is only required in special situations depending on the circumstances related to the proposal. For instance:
 - If a project is proposing new courses, new curricula, or any other academic programmatic changes, ORSP would route the proposal to the Vice President for Academic Affairs for approval and indicate signature is required.

- If a proposal is received from a research center that reports to the Vice President for Research and Graduate Studies, ORSP would route the proposal to the Vice President for Research and Graduate Studies for approval and indicate signature is required.
- If a proposal budget includes cost sharing of other direct costs other than existing faculty released time and associated fringe benefits or cost sharing committed by the college or department, ORSP would route the proposal to the Assistant Vice President for Financial Services for approval and indicate signature is required.
- Proposals from departments and divisions that report to the Vice President for Information Technology or the Vice President for Student Affairs should be routed to the Vice President for Information Technology or the Vice President for Student Affairs respectively. PI reporting directly to these Vice Presidents can obtain this signature. ORSP will route if necessary.