

# Grants Management System Business Processes

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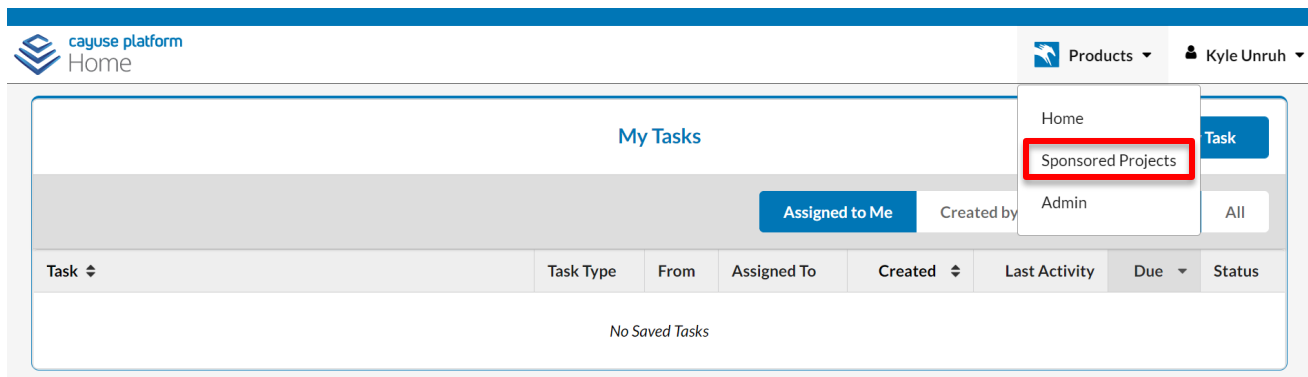
## Standard Business Processes

The business processes in this document are used for Proposal and Award creation and maintenance.

### Creating Proposals

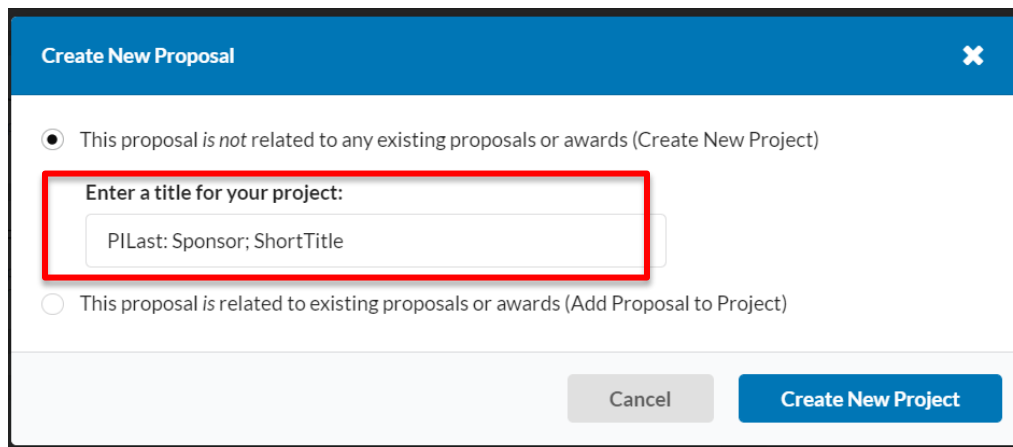
Proposals should be created in Cayuse SP to document each time the University will propose for new funding not already captured in a previous proposal record. In rare cases, proposals may also be created to document an award which has no corresponding proposal record (see RASP proposal type below). For additional instruction on when to create new proposal or award records, please refer to [OSP's Record Determination and Additional Funding guidelines](#).

Both Proposal and Award creation are initiated from the Sponsored Projects page.



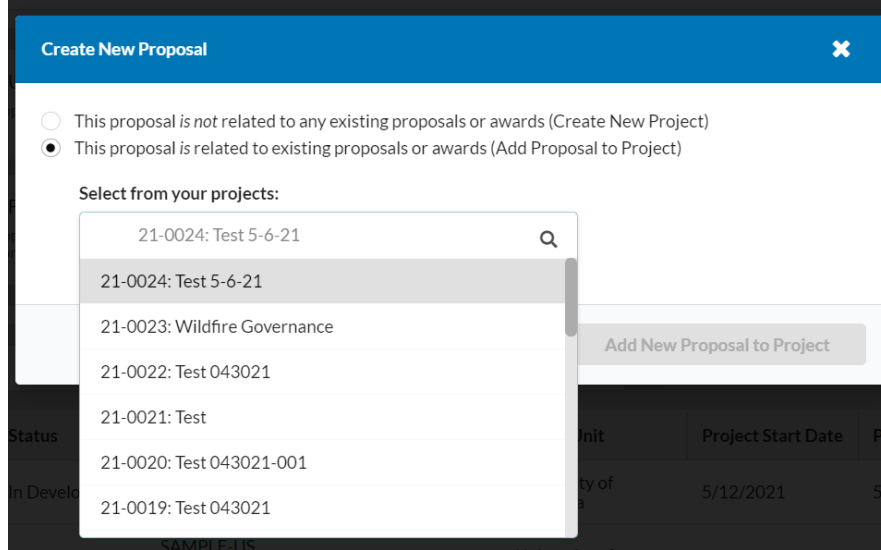
The screenshot shows the Cayuse platform interface. At the top left is the 'cayuse platform Home' logo. At the top right, there is a 'Products' dropdown menu and a user profile for 'Kyle Unruh'. Below the navigation is a 'My Tasks' section with a filter for 'Assigned to Me' and a 'Created by' dropdown set to 'Admin'. A table with columns for 'Task', 'Task Type', 'From', 'Assigned To', 'Created', 'Last Activity', 'Due', and 'Status' is shown, with the message 'No Saved Tasks' below it. A dropdown menu is open, showing 'Home', 'Sponsored Projects' (highlighted with a red box), and 'Admin'. A 'Task' button is visible on the right side of the dropdown.

New proposals can be either related or not related to an existing project. If the proposal is not related to an existing project (e.g. new or RASP proposal type), please provide a project title in this format: PLast: Sponsor Acronym; ShortTitle. The Short Title should be descriptive, but no more than 35 characters.



The screenshot shows a 'Create New Proposal' dialog box. It has a blue header with a close button. There are two radio button options: 'This proposal is not related to any existing proposals or awards (Create New Project)' (selected) and 'This proposal is related to existing proposals or awards (Add Proposal to Project)'. Below the first option is a text input field with the placeholder text 'Enter a title for your project:' and the example text 'PLast: Sponsor; ShortTitle'. The input field is highlighted with a red box. At the bottom, there are 'Cancel' and 'Create New Project' buttons.

If the proposal is related to an existing project (e.g. continuation, revision, supplement), please select the appropriate project from the list.



### Completing Proposal Sections

All required fields in each proposal section must be complete before the record may be routed **by the OSP pre-award specialist** for approvals. The PI/DRA should create a draft proposal record and then assign a Cayuse Task to their OSP pre-award specialist to review and complete. As sections are completed, a green check will appear. Field data will be stored once entered—there is no need to click to save.

General Information	✓
Investigators	!
Summary Budget	5
Subrecipients	!
Financial Conflicts Of Interest In Research	!
Regulatory Compliance	!
Intellectual Property	!
Export Control	!
Proposal Abstract	!
Attachments And Submission Notes	!

## General Information

### Sponsor Information

Sponsor* <input type="text" value="Organization Not Listed"/> <span style="float: right;">v</span> <small>Please select 'Organization Not Listed' if sponsor does not appear in the drop-down list</small> Sponsor (if not listed above) <input type="text"/> Is the Sponsor selected above the prime sponsor?* <input type="radio"/> Yes <input type="radio"/> No	1
Funding Opportunity Number: <input type="text"/>	2
Opportunity Guidelines URL: <input type="text"/>	3
Is this a limited submission opportunity? <input type="radio"/> Yes <input type="radio"/> No	4
<small>Please indicate "Yes" if the sponsor limits the number of proposals University of Montana may submit to this opportunity.</small>	
Sponsor Program Name: <input type="text"/>	5
CFDA Number: <input type="text"/>	6

#### Item 1: Sponsor

The organization/agency/institute from which funding will come directly to UM must be selected from the org finder field by searching on acronym or keyword. If the desired sponsor does not result, please select 'Organization Not Listed' and enter the new organization in the text field directly below.

Sponsor* <input type="text" value="Organization Not Listed"/> <span style="float: right;">x v</span> <small>Please select 'Organization Not Listed' if sponsor does not appear in the drop-down list</small>
Sponsor (if not listed above) <input type="text"/>

\*Note: the OSP pre-award specialist will notify the OSP cayuse administrator each time a new sponsor is entered in this field. The administrator will verify the organization is new and, if so, add it through the Admin module.

If funding does not come directly from this sponsor (i.e. this sponsor is not the prime), please search for and select the sponsor from which funding originates (i.e. the prime sponsor).

Is the Sponsor selected above the prime sponsor?* <input type="radio"/> Yes <input checked="" type="radio"/> No
Prime Sponsor: <input type="text"/> <span style="float: right;">v</span>

**Items 2-3: Funding Opportunity Number, Opportunity Guidelines URL**

These should be provided if known at proposal stage.

\*Note: Any fields whose inputs are known but not completed by the researcher or department research administrator, they must be provided by the OSP pre-award specialist.

**Item 4: Limited Submission**

Please select “Yes” when the opportunity limits the number of submissions from a single organization. If “Yes”, a notification will be sent to the limited submission coordinator when the proposal record completed and routed for approvals.

**Items 5-6: Sponsor Program Name**

This should be provided if known at proposal stage.

**Item 6: CFDA Number**

Enter the Catalog of Federal Domestic Assistance (CFDA) number from the RFP, if known. If the funding program does not have a CFDA or the sponsor is not a federal sponsor, leave blank

### General Proposal Information

1

Proposal Title\*

Primary Admin Unit\* 2  
Please refer to the OSP Department Assignments page above to reference the correct unit.

Primary Admin Unit Administrative Contact\*

Affiliated Unit(s) (if applicable) 3

Proposed Project Start Date\* Proposed Project End Date\*

Type of Activity\* 4

NSF Field of Science Code 5

Proposal Type\* 6

Instrument Type 7

Submission Deadline\* Deadline Time\* 8  
Please include the timezone.

Method of Submission\* Email x | v 9

Sponsor Email\*  
Field must not be empty

Deadline Type\* 10  
Field must not be empty

**Item 1: Proposal Title**  
The complete proposal title should be listed here. This should match the title provided on the proposal budget, budget justification, scope of work, and any other proposal documents.

**Item 2: Administrative Units and Contacts**  
The Primary Admin Unit will handle administration of a consequent award. The Primary Administrative Contact will be the department administrator primarily responsible for development of the proposal and/or administration of a consequent award. Affiliated units are typically those of the Co-PI, or units sharing personnel or resources on the project.

**Item 3: Proposed Project Start and End dates**

Each proposal should list a proposed start and end date for project activity. These dates should correspond to associated entries in the budget, budget justification, and any other proposal materials.

#### Item 4: Type of Activity

- **Research-Basic (OR02)**—Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.
- **Research-Applied (OR02)**—Original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific, practical aim or objective.
- **Research-Development (OR02)**—Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.
- **Instruction (IN01)**—Sponsored teaching or training work, or departmental research (e.g. curriculum development or evaluation) where participants are at least in part UM students or employees.
- **Training-Instruction (IN01)**—Sponsored teaching or training work where participants are not UM students or employees.
- **Other Sponsored Activity (OS03)**—Projects other than organized research or instruction such as health service projects, travel grants, conference travel support, or community service programs.
- **Construction (OS03)**—Where external funding is provided primarily for constructing a new facility or other.
- **Equipment (OS03)**—Where external funding is provided primarily for purchasing equipment.
- **Fellowship (OR02)**—Where the funding opportunity is a graduate fellowship where funding will primarily support the activity of a graduate student.

#### Item 5: NSF Field of Science Code

The closest related field of science should be selected if possible. If not selected by the researcher or department administrator, the OSP pre-award specialist must verify and select.

#### Item 6: Proposal Type

- **New**—New proposals are initial proposals not previously submitted to the sponsor. They have a new title, and the proposed research plan substantially differs from previous proposals. Also use this type if a preproposal advances to full proposal.
- **Continuation**—A continuation is a proposal for which the project end date was extended with **no gap in funding** from the previous project period. Noncompeting continuations (such as the third year of a five year NIH award) are not entered as a new proposal in Cayuse. Continuations that include funding not in the original proposal are created in SP as a proposal record related to the original, parent project. Proposals that fit this definition will be set up under the parent project, regardless of whether the sponsor issues a new award number or uses the same one for the continuation.
- **Supplement**—A supplement is similar to a continuation and renewal in that additional funding is requested for an existing project; however, the funding is for **additional work or unexpected expense within the same project period** as the parent award. Supplements are created in SP as a proposal related to the parent project.
- **Renewal**—A renewal is similar to a continuation except there **may be a gap in funding and a new award number**. For non-competitive renewals, the IDC rate from the original award should be used; for competitive renewals, use the current rate. Renewals are set up in SP as associated with the parent project.

- **Resubmission**—A resubmission is a proposal that does not substantially differ from previous proposals submitted to a funding agency. These generally have the same or similar titles, project objectives, research questions, etc., as a previous submission. Resubmissions are considered unrelated to the initial proposal and, therefore, are created as new Proposal records, with no relation to an existing project.
- **Revision**—A revision is an updated proposal record which has undergone substantial changes since completing review and approvals, and has not yet been awarded. Revisions should be related to the parent project (likely the original proposal), and routed for approvals when complete.
- **Pre-proposal**—Enter a proposal as a pre-proposal if this is a preliminary proposal (also called white paper, concept paper, preproposal) before submission of a full proposal, and if OSP involvement for submission and a budget is required. If the pre-proposal advances to a full-proposal, a new record should be created and related to the parent project (i.e. the pre-proposal).
- **RASP**—Routing as Proposal; used on any record created for a new proposal retroactively, after the subject proposal was already submitted to the sponsor (i.e. a retroactive proposal).

#### Item 7: Instrument Type

The instrument type should be designated at proposal based on UM's expectation. If the instrument type changes between proposal and award, the OSP post-award specialist will update the award record as appropriate.

- **Grant**—A financial assistance agreement to carry out a public purpose. Generally no acquisition of property or services by the sponsor, and no substantial involvement of sponsor during performance of activity.
- **Cooperative Agreement**—Funding to carry out a public purpose with substantial involvement of sponsor during performance of activity. A cooperative agreement is a type of Grant. If the proposal is a cooperative agreement, the PI/DRA will need to indicate whether the proposal is part of the Cooperative Ecosystem Studies Units master agreement.
- **Contract—cost reimbursable**—A contract for which the sponsor pays for the allowable and allocable costs incurred in the conduct of the work up to an agreed-upon amount. Contracts are a mechanism for procurement of a product or service with specific obligations for both the sponsor and recipient.
- **Contract—fixed price**—A contract for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered, and which becomes due in full when deliverables are accepted. Contracts are a mechanism for procurement of a product or service with specific obligations for both the sponsor and recipient.
- **Fellowship**—The funding opportunity is a graduate fellowship where funding will primarily support the activity of a graduate student.

#### Item 8: Submission Deadline

Each proposal should designate an anticipated deadline for submission. Please elect a date, time (24hr format), and time zone.

#### Item 9: Method of Submission

- **Electronic—ASSIST**—Select for NIH proposals to be submitted through ASSIST.
- **Electronic—Research.gov**—Select for NSF or other proposals submitted through research.gov.
- **Electronic—Grants.gov**—Select for all federal proposals to be submitted through Grants.gov.
- **Electronic—NASA NSPIRES**—Select for all NASA proposals to be submitted through NSPIRES.
- **Electronic—Other**—Select for any proposal submission on a sponsor platform not listed here.



- **Email**—Use this method of submission for any proposals submitted by email to the sponsor. Indicate in the subsequent “Sponsor Email” field the desired email address.
- **Mail Hardcopy**—Use this method of submission for any proposal submitted via paper copy in the mail to the sponsor. Indicate the sponsor’s address in the “submission notes” section.

**Item 10: Deadline Type**

- **Hard Deadline**—Use this deadline type for any proposal where submitting after the deadline will nullify the proposal.
- **Desired**—Use this deadline type for any hard deadline that does not fall in one of the other categories. This deadline type might be used for umbrella proposals where the prime sponsor’s deadline is different from UM’s to the prime recipient. Indicate in the Submission Notes the sponsor’s deadline, if applicable, and submission method.
- **ASAP**—As soon as possible may be used if there is no hard deadline as well as for RASPs. This deadline type should be used sparingly.

## Investigators

All named personnel must be entered on this page.


Please note: any corrections or changes to the "List of Personnel" below during proposal review may require reauthorization of the Departments and/or Deans' Offices.

### Allocation of Credit

- Credit is used for reporting and must total 100%

+ Add Team Member

0% of total credit has been allocated

Name *	Role *		Association *	Credit	
<input type="text"/>	<input type="text"/>		<input type="text"/>	%	<span style="color: #0072bc;">+</span>

All UM personnel named in the budget, budget justification, or scope of work should be entered. TBD personnel who are not named should not be entered. Please select the appropriate role per person and their unit association(s) for the proposal/project.

Credit allocation: credit will be evenly split among PIs and Co-PIs, regardless of their effort on the project (i.e. if there are two PIs/Co-PIs, each receives 50%; if there are four, each receives 25%). A single person may have multiple unit associations, in which case an allocation will be made between units for that person. The allocation within a single person's associations may be standard across all projects, or may be project-specific. All credit allocations across all PIs and Co-PIs must add to 100%.

## Summary Budget Details and Attachments

### Summary Budget Details

Please provide the proposal budget total

1

#### Budget Summary

Budget Item	Total
No Budget Information Uploaded	

#### Detailed Budget

Name	Uploaded By	Date
No budget found. Upload a budget .xls below		

2

Attaching UM's standard budget template will enable Budget Summary auto-fill. We encourage use of this standard template for all proposals.

Please Attach the Budget Justification\*

3

#### Item 1: Proposal Budget Total

Please enter the total estimated project cost, inclusive of any cost share.

#### Item 2: Budget Summary/Upload

The proposal budget should be uploaded here in excel format using UM's standard budget template. Budget summary and Detailed Budget information will auto-populate when the standard budget template is used.

#### Item 3: Budget Justification Upload

The proposal budget justification be uploaded here in an editable format.

## Cost Sharing

Does this proposal include cost share (either voluntary or mandatory) or additional committed resources?\*

Yes  
 No

1

If the proposal includes cost share or additional resources, please completed the Cost Share/Additional Resources Request section.

### Item 1: Cost Share Validation

Indicate "Yes" if any form of cost share is identified in the proposal. Cost share may be identified either in the budget or any section of the budget justification or proposal narrative. If "Yes", please complete the Cost Share/Additional Resources Request Section.

## Course Buy-Out

Is a course buy-out being requested in connection with this proposal?

Yes  
 No

1

Course Buy-Out College/School\*

The dean of the selected college/school will be notified a course buy-out is associated with this proposal.

### Item 1: Course Buy-Out Validation

If a researcher on the proposal is requesting a course buy-out contingent on proposal funding, please select "Yes".

### Item 2: Course Buy-Out College/School

Please select the college or school in which the course buy-out will be requested. A notification will be sent to the respective dean or designee once the proposal record is routed by OSP for review.

## F&A Information

Does this proposal use UM's current, federally-negotiated F&A rate(s)?\*

- Yes  
 No

1

Please specify the type of F&A used on this proposal (select one)

Master agreement rate

2

### Item 1: NICRA Rates Validation

Both MUS Board of Regents and Uniform Guidance require UM to apply its federally negotiated indirect costs on all proposals for federal dollars unless otherwise provided in the funding opportunity announcement. If federally negotiated rates are utilized, please select “Yes”; if they are not utilized on the proposal, please select “No”.

### Item 2: F&A Rate Type

- **Master Agreement Rate**—Where the proposal is under an existing master agreement which specifies its own F&A rate.
- **Training Grant Rate**—Where the Type of Activity is “Training-Other Sponsored Activity”. Please consult the OSP pre-award specialist to ensure the rate is correct.
- **Montana State Agency Rate**—UM will ordinarily apply a separate, negotiated rate with MT state agencies. Please consult the OSP pre-award specialist to ensure the rate is correct.
- **Documented Sponsor Policy**—In cases the sponsor requires a reduced F&A rate, and has applied this across all of their programs, or for all applicants on a specific program, the specified, reduced rate may be applied.
- **Other (F&A Waiver Request)**—If none of the above categories describe the rate being applied, please complete the F&A Waiver Request section.

## Cost Share/Additional Resources Request

**Proposal Information** 1

Proposal Title

Sponsor

Affiliated Unit(s) (if applicable)

Activity Type

Admin Unit:  Primary Administrative Contact

Proposed Project Start Date  Proposed Project End Date

**Cost Share Detail**

<p><b>Unit 1 providing cost share*</b> <span style="border: 1px solid red; padding: 2px;">2</span></p> <input type="text" value="v"/>	<p><b>Cost Share Source(s)*</b> <span style="border: 1px solid red; padding: 2px;">3</span></p> <input type="text" value="v"/> <small>Please select all applicable sources</small>	<p><b>Dollar Amount</b> <span style="border: 1px solid red; padding: 2px;">4</span></p> <input type="text"/>
---	---	--

**Cost Share Line 1 Notes** 5

**Add Unit 2** 6

Yes

No

**Additional Comments** 7

### Item 1: Proposal Information

These fields will auto-populate from earlier sections of the proposal.

### Item 2: Unit Providing Cost Share

Select the department/center/unit providing the quantified cost share. If the unit is not listed, please select "Unit Not Listed" and enter the Unit name in Item 5.

### Item 3: Cost Share Source

Select all applicable sources as defined here.

- **Salary**—Compensation at the budgeted rate which will be reimbursed for effort on the project.
- **Benefits**—18% of salary, or the standard benefits rate associated with salary.
- **Contracted Services**—A service is provided outside award funding.
- **Supplies**—Supplies are purchased or provided without use of award funds.
- **Communication**—When communications resources are purchased or provided without use of award funds.

- **Travel**—Funding for travel is provided without use of award funds.
- **Tuition**—Tuition expense is provided without the use of award funds.
- **Other**—Any expense not otherwise listed which is provided without the use of award funds.
- **Equipment**—Provided either in kind or through cash funding outside of award funds.
- **Match F&A**—IDC recovery on other cost share categories which are in-turn matched.
- **Waived F&A**—The portion of IDC recovery which is waived to meet a cost share requirement.
- **VPR Cost Match**—Funding directly from the VPR in support of the project.
- **Program Income**—When income will be utilized to support project costs.
- **Third Party**—Cost share being contributed by an entity outside UM. Letters of commitment should be included in attachments when this is present.

**Item 4: Dollar Amount**

Please enter the total quantified cost share amount the specified unit is committing.

**Item 5: Cost Share Notes**

Please enter at minimum: the account(s) or specific sources within the unit providing the cost share. If multiple accounts are provided, please specify the amount per account. If “Unit Not Listed” is designated in Item 2, please enter the Unit name here.

**Item 6: Add unit**

If all units providing cost share have not yet been provided, please select yes and repeat items 1-5 for the additional unit. The form will accommodate up to five different units. If 6+ units are contributing cost share, this can be noted in Item 7.

**Item 7: Additional comments**

Please provide any necessary, clarifying information related to cost share on the project as a whole. If more than five units are providing cost share, units 6+ and their commitments can be listed here.

Additional Resources

Are there resources not listed in the budget or cost share sections required for this project (i.e. fringe benefits, salary, facilities, equipment, etc.)?\*

Yes  
 No

1

If yes, please specify the additional resources:

**Item 1: Additional Resources Needed**

Additional resources will on occasion be either specified in the proposal, but not quantified (e.g. particular equipment or facilities), or will be necessary to the project, but not covered by the sponsor (e.g. fringe benefits). When such resources which are necessary for the project are not specified in the budget, or quantified in the narrative, and therefore are not included under cost share, they must be listed here. In these cases, please select “Yes” and specify in the text field.

## Administrative Review

### Unit 1 Approver Response\*

- Approve  
 Deny

1

### Unit 1 Approver\*

Typically the Director of a research center or Dean of a college.  
 This review must be completed by the person listed here.

2

3

### Unit 1 Approver Comments

### Item 1: Unit Approver Response

The designated unit approver, themselves, must select approve or deny to indicate whether the proposed cost share will be provided by their unit as described in the request above. A response must be provided by each unit approver in order for the proposal record to be complete and the proposal submitted to the sponsor.

### Item 2: Designated Approver

The designated unit approver will most frequently be the director of a research center or dean of a college. In rare cases the director or dean are not able to review, it may be necessary to solicit approval from their designee. Search for the appropriate person in the box and select.

### Item 3: Approver Comments

The designated unit approver, themselves, may provide an explanation alongside their decision in this field.

\*Note: As soon as possible once complete, the initiator of the proposal form (ordinarily the PI or DRA), should follow the Recommended Routing Procedure directly below.

### Recommended Routing Procedure:

A task notification will be generated by the researcher or research administrator to indicate to the approver(s) there is a Cost Share/Additional Resources Request which requires review.

**Step 1:** Add approver to the Access Tab; Enter the person, select "Edit" access, and select Save.

Proposal Form   Routing   History   Access   Tasks   Notes   Attachments   Links

---

**Proposal Access** 
  

Manage who can view or edit the proposal.

Person	Email	View	Edit
No team members have been assigned to this proposal.			

My Tasks



Proposal Form   Routing   History   **Access**   Tasks   Notes   Attachments   Links

**Proposal Access** Cancel   **+ Save**

Manage who can view or edit the proposal.

Person	Email	View	Edit
<input type="text" value="Kyle Anthony Unruh (790562995)"/>	kyle.unruh@umontana.edu	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

My Tasks

**Step 2:** Generate a new task in the Task Tab in the record.

Proposal Form   Routing   History   Access   **Tasks**   Notes   Attachments   Links

**+ New Task**

Open   All

Task	Task Type	From	Assigned To	Created	Last Activity	Due	Status
No Saved Tasks							

**Step 3:** Enter the approver’s name (or employee id), due date of next business day unless another date is desired, “Cost Share/Additional Resources review.” under Task. Once complete, select “Assign and Send”.

**New Task** ✕

**Assign To\*** **Due\***

Select a Person... MM/DD/YYYY

**Task\***

URL

/sp/proposals/bd171a5d-997a-417f-96c2-bb4a6e36e825

Cancel Assign And Send

**Step 4:** If multiple unit approvers are present, repeat steps 1 and 2 until a task notification has been sent to all approvers.

**Step 5:** Monitor progress on each task on your home page. Once an approver completes their review, the approver should close the task, which will remove the listing from the creator's queue. The creator may also update the status to closed if the review has been completed.

**Task** ✕

Created by: Kyle Anthony Unruh (790562995)

**Assign To\*** **Due\***

Kyle Anthony Unruh (790562995) 07/05/2021

**Task\***

A Cost Share/Additional Resources Request requires your review.

**URL**

<https://umt-t.uat.cayuse.com/sp/proposals/a8d507e1-f0ee-46b0-8789-1a1019ca0921>

**Task Status\***

Open

Open

Closed

Cancel

Save Changes

## F&A Waiver Request

### F&A Waiver Request

Completion of this form is not necessary if sponsor limits F&A recovery in a documented policy applied to all applicants. Please attach sponsor policy with other proposal documents in the attachments tab, not in this form.

This request must be completed at least **five business days** in advance of the sponsor's deadline. This proposal record may not be submitted for review until the F&A Waiver approval(s) are complete.

NOTE: Waivers are seldom approved if:

- 1) the sponsor or prime sponsor are federal
- 2) the sponsor is a for-profit enterprise
- 3) the sponsor is a U.S.-based non-profit foundation that does not explicitly limit F&A costs as a matter of foundation policy; or,
- 4) the sponsor is an office or agency of a foreign government, including organizations funded by that government.

### Proposal Information

Proposal Title

Sponsor

Submission Deadline

Admin Unit

Affiliated Unit(s) (if applicable)

Activity Type

Proposed Project Start Date

Proposed Project End Date

### F&A Waiver Proposal Information

All items listed will pre-populate directly from items entered in previous sections

### Justification

Maximum F&A Rate Allowed per Sponsor Policy

1

Proposed F&A Rate

2

Requested F&A Dollars to be Waived

3

Does the sponsor limit available funding on this opportunity?

- Yes  
 No

4

Is cost sharing required on this opportunity?

- Yes  
 No

5

How will indirect costs waived through this request be covered? For example, how will unit facilities and administration, as well as central administration used on this project be funded?

6

Is it likely this award will be jeopardized without a reduction in F&A?

- Yes  
 No

7

Will this waiver benefit new or junior researchers?

- Yes  
 No

8

9

Please provide any additional justification

#### Item 1: Maximum F&A Allowed per Sponsor Policy

The maximum F&A rate the sponsor would allow without disqualifying the proposal should be listed. In most cases, this will be UM's federally negotiated rates. For private sponsors, there may be no limit, in which case the maximum practicable rate should be entered (not necessarily UM's federally negotiated rates). Please consult the OSP pre-award specialist if any clarity is required.

#### Item 2: Proposed F&A Rate

The F&A rate provided on the proposal budget should be listed. In most cases this rate will be reduced below either what the sponsor allows or UM's federally negotiated rates. If this is not the case, the F&A Waiver may not be necessary. Please consult the OSP pre-award specialist.

#### Item 3: Requested F&A Dollars to be Waived

The waived dollars listed should equal the difference between the maximum rate allowed by the sponsor and the proposed F&A rate.

**Item 4: Opportunity Funding Cap**

If the sponsor limits the dollar amount of the proposal request, either by year or on the proposal total, please select “Yes”. If not, select “No”.

If “Yes” is selected, the cap amount must be provided. This should be the cap on the proposal total (i.e. if cap is \$10k/year on a three year proposal, the cap listed should be \$30K).

**Item 5: Cost Share Requirement**

“Yes” should be selected if cost share is required on the opportunity. If “Yes” is selected, whether the waived F&A can count toward mandatory committed cost share must be indicated “Yes” or “No”.

**Item 6: Funding Waived F&A Recovery**

When F&A recovery is waived, there are costs incurred by UM either centrally or within the units which would have been funded by F&A recovery, but which must now be funded by some other means. A detailed description of the alternative funding method should be provided.

**Item 7: Likelihood of Jeopardized Funding**

“Yes” should be selected when a failure to reduce the F&A rate would likely result in the proposal not being awarded. If “Yes” is selected, the following questions should be answered in detail regarding the effect on the researcher him/herself and what follow-on opportunities would be missed.

**Item 8: Benefit to New or Junior Researchers**

“Yes” should be selected when the proposed project is expected to benefit new or junior researchers. If “Yes” is selected, a description of the benefit should be provided.

**Item 9: Additional Justification**

Any justification material to the waiver which was not provided in earlier items should be provided here.

## Administrative Review

Primary Admin Unit

Primary Admin Unit Dean\* 2

Dean Response\*

Approve

Deny 1

I certify this review was completed by the person listed here.

Primary Admin Unit Dean Comments 3

Vice President for

Vice President for Research\* 5

Research Response\*

Approve

Deny 4

I certify this review was completed by the person listed here.

Vice President for Research Comments 6

### Items 1 and 4: Approver Response

The Dean and VPR, respectively, must select approve or deny to indicate whether the proposed F&A reduction will be allowed. A response must be provided by each in order for the proposal record to be complete and the proposal submitted to the sponsor.

### Items 2 and 5: Approver Input

Both the primary administrative unit's Dean (for academic college) or Director (for research center) and the Vice President for Research must be provided here.

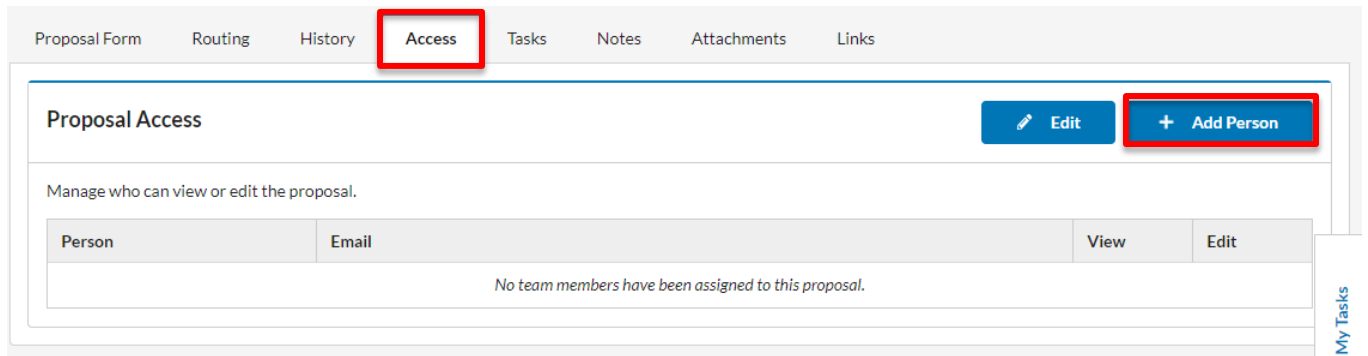
### Items 3 and 6: Approver Comments

Approvers may provide comments regarding their review.

\*Note: As soon as possible once complete, the initiator of the proposal form (ordinarily the PI or DRA), should follow the Recommended Routing Procedure directly below.

**Recommended Routing Procedure:**

**Step 1:** Add approver to the Access Tab; Enter the person, select “Edit” access, and select Save.



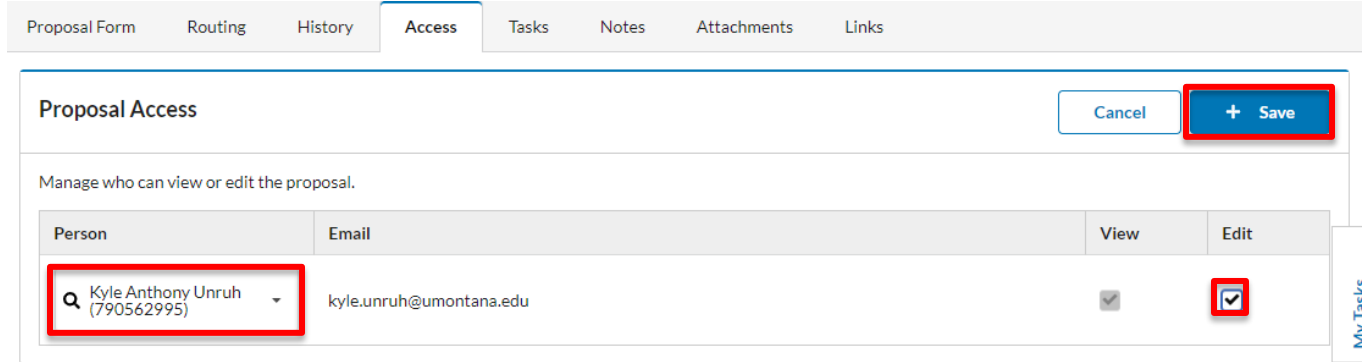
Proposal Form   Routing   History   **Access**   Tasks   Notes   Attachments   Links

**Proposal Access** Edit **+ Add Person**

Manage who can view or edit the proposal.

Person	Email	View	Edit
No team members have been assigned to this proposal.			

My Tasks



Proposal Form   Routing   History   **Access**   Tasks   Notes   Attachments   Links

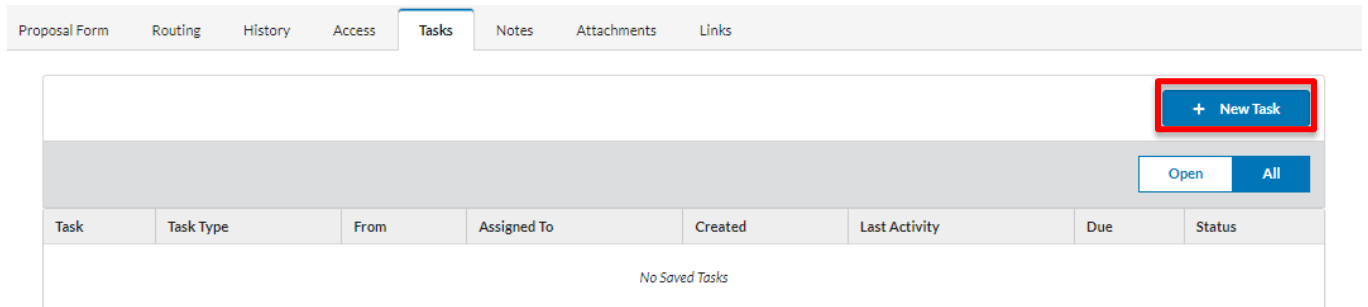
**Proposal Access** Cancel **+ Save**

Manage who can view or edit the proposal.

Person	Email	View	Edit
<input type="text" value="Kyle Anthony Unruh (790562995)"/>	kyle.unruh@umontana.edu	<input type="checkbox"/>	<input checked="" type="checkbox"/>

My Tasks

**Step 2:** Generate a new task in the Task Tab in the record.



Proposal Form   Routing   History   Access   **Tasks**   Notes   Attachments   Links

+ New Task Open All

Task	Task Type	From	Assigned To	Created	Last Activity	Due	Status
No Saved Tasks							

**Step 3:** Enter the approver’s name (or employee id), due date of next business day unless another date is desired, “F&A Waiver review.” under Task. Once complete, select “Assign and Send”.



**New Task** ✕

**Assign To\*** **Due\***

Select a Person... MM/DD/YYYY

**Task\***

**URL**

/sp/proposals/bd171a5d-997a-417f-96c2-bb4a6e36e825

Cancel Assign And Send

**Step 4:** If multiple unit approvers are present, repeat steps 3 and 4 until a task notification has been sent to all approvers.

**Step 5:** Monitor progress on each task on your home page. Once an approver completes their review, the approver should close the task, which will remove the listing from the creator's queue. The creator may also update the status to closed if the review was completed.

**Task** ✕

Created by: Kyle Anthony Unruh (790562995)

**Assign To\*** **Due\***

Kyle Anthony Unruh (790562995) 07/05/2021

**Task\***

A F&A Waiver Request requires your review.

**URL**

<https://umt-t.uat.cayuse.com/sp/proposals/a8d507e1-f0ee-46b0-8789-1a1019ca0921>

**Task Status\***

Open

Open

Closed

Cancel

Save Changes

Subrecipients

If this proposal includes one or more subrecipients for which funds are requested, please add the subrecipient(s) below. Each following for each subrecipient must be attached to the proposal record in the Attachments tab:

- Budget
- Budget justification
- Scope of Work
- Completed [Subrecipient Commitment Form](#)

[UM Research - Subrecipients](#)

**Proposed Subrecipient(s)**

Select the proposed Subrecipient(s) using the finder. If Unit is not listed, please select 'Organization Not Listed'

1

**If organization not listed, please specify:**

2

**Please Provide all Subrecipient(s) Attachments Here:**

Drag and drop new files or [click](#) to select from file system...

3

**Item 1: Subrecipient Organization(s)**

Any organizations receiving flow-through funding from UM should be selected here. If any organization(s) are not listed, please select "Organization Not Listed" and enter in Item 2.

**Item 2: Organization Not Listed**

Any organizations not listed in Item 1 should be entered here.

**Item 3: Subrecipient Attachments**

Please upload all subrecipient attachments here. At minimum, these will include: budget, budget justification, scope of work, and subrecipient commitment form.

## FCOI, Regulatory Compliance, IP, Export Control Certifications

For each of these sections, the researcher should certify to each item. Based on responses, members of UM's research compliance teams may be notified. Each item must be completed before the proposal is routed for review and approvals.

## Proposal Abstract

### Proposal Abstract

Provide a succinct and accurate description of the proposal. The abstract must capture the academic significance of the research, the hypotheses or research questions to be addressed, the approach and feasibility of the study.

1

### Item 1: Proposal Abstract Narrative

The proposal abstract text should be copied here.

## Submission Notes and Additional Attachments

### Enter any additional comments on this proposal

Please include any special notes, comments or instructions regarding your proposal in the box below. This is internal information for the University only and will not be forwarded to the sponsor.

1

### Proposal Attachments

Drag and drop new files or click to select from file system...

At minimum, a scope of work should be included here. Other common attachments include biosketches, current and pending, facilities and equipment.

2

#### Item 1: Submission Notes

Please enter any proposal specific information critical to the opportunity or submission here. Common entries include instructions around submission platform or deadline (as provided in Deadline Type).

#### Item 2: Proposal Attachments

Please upload all draft proposal documentation not already provided in earlier sections. At minimum, this would ordinarily include a scope of work and may include other documents such as biosketches, current and pending, facilities and equipment, letters of support, etc. All attachments in the record will flow to the attachments tab where they may be viewed in aggregate.

\*Note: The OSP pre-award specialist will remove any draft attachments from the record and upload all final proposal documentation once available to the attachments tab. All final attachments must conform to [OSP's file naming conventions](#):

- **Proposal Document**—Any documentation which is included in UM's proposal to the sponsor.
- **Award Document**—Any documentation relating to an award made by the sponsor.
- **Subaward Document**—Any documentation relating to a proposal or an award made by UM to a subrecipient.
- **Budget**—Any budget documentation through the lifecycle of the award.
- **Supporting Documentation**—Any documents which do not clearly fall in another attachment type.

## Route for Review

My Actions

Complete Review

Route for Review 1

### Item 1: Route for Review

Once the OSP pre-award specialist has ensured all proposal components are complete and accurate, including attachments with [OSP's Naming Conventions](#), they will click the "Route for Review" button. This will trigger the formal review process in which the primary unit chair/director will review to approve/deny the record.

## Proposal Status Management

Proposal Summary

PI: --	Sponsor: --	Project Start Date: --
Admin Unit: --	Prime Sponsor: --	Project End Date: --
	Sponsor Deadline: --	Instrument: --
	Proposed Total Amount: --	

Notes    Attachments

- ▼
- In Development
- Under Review
- Approved
- Submitted to Sponsor
- Under Consideration
- Funded
- Closed

The OSP pre-award and award specialists are responsible for managing status on proposal records. The appropriate status will update automatically except in the following circumstances:

- **Under Review → In Development:** When a record is routed for review and the OSP pre-award specialist finds one or more elements require correction, the status must be changed manually from Under Review to In Development
- **Approved → Submitted to Sponsor:** The OSP pre-award specialist must update this status once the proposal has been approved and submitted to the sponsor.
- **Funded:** OSP must select this status once UM receives a NOA from the sponsor
- **Closed:** The OSP must select this status if UM receives notice the award will not be funded.