

## Principal Investigator and Primary Contact (Administrator) Instructions

### Steps for Set-up

#### System Requirements Checklist

##### PC Users

The following are system requirements necessary for electronic proposal routing. It is highly recommended that you share this with your computer support person to ensure you have adequate systems in place to handle these requirements:

1. Access to a document scanner.
2. Email account with enough server space to handle several emails with attachments.
3. Adobe Reader 6.0 (available for FREE at <http://www.oldversion.com/program.php?n=acrobat> under Old Versions Available of Acrobat Reader).<sup>1</sup>
4. Software application to compress or "ZIP" documents.<sup>2</sup>
  - a. To zip files with Windows XP, use the utility that comes with Windows XP. Select any number of files and/or folders. Right-click on your selection to bring up the context menu, and move your mouse over "Send To" to reveal a new menu. Click on "Compressed (zipped) folder". You will see a new file icon appear in your Explorer window, representing the new zip archive created.
  - b. Free software application to "ZIP" documents are also available, such as JustZipIt software (available FREE at <http://free-backup.info/justzipit.html>). For a definition of or for more information about ZIP files go to [http://en.wikipedia.org/wiki/Zip\\_file](http://en.wikipedia.org/wiki/Zip_file).

##### Mac Users

The following are system requirements necessary for electronic proposal routing. It is highly recommended that you share this with your computer support person to ensure you have adequate systems in place to handle these requirements:

1. Access to a document scanner.
2. Email account with enough server space to handle several emails with attachments.
3. Adobe Reader 6.0 (available for FREE at <http://www.oldversion.com/program.php?n=acrobat> under Old Versions Available of Acrobat Reader).<sup>3</sup>

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<sup>1</sup> Using a newer version of Adobe Reader can cause problems viewing the form.

<sup>2</sup> Zip files, otherwise known as archives, are compressed collections of one or more files that easily transfer between people and computer systems. Create compressed file archives with a few mouse clicks or keystrokes, no matter the computer you have. All of the common operating systems are able to create compressed file archives, and a number of third party software packages are available.

4. Software application to compress or “ZIP” documents.<sup>4</sup>
  - a. To create a compressed archive with Mac OS X, use the utility that ships free with Mac OS X. Select any number of files or folders, then locate and click on the word “File” in the top left corner of your screen. In the new menu that appears, locate and click on “Create archive of ...”, which will be followed by the name(s) of your selection. A new file will appear, representing the compressed zip archive containing all the original files you selected. This new file will have a .zip file extension.

### Preparing For and Routing Proposals

The electronic version of the “Application for Approval of Grant Application/Contract Proposal (Routing Form)” is comprised of two (2) primary documents:

1. Electronic Proposal Routing form
2. ZIP Attachment file<sup>5</sup> comprised of a variety of scanned internal forms and relevant application or proposal documents such as:
  - a. Disclosure of Financial Interests Part I
  - b. VAMC Memorandum of Understanding for Effort on Grants and Contracts for Individuals with Joint Univ. and VA Appointments
  - c. Taxability Questionnaire (known as UBIT Form)
  - d. Clinical Trials Required Form Effort Commitment and Certification
  - e. Grant Application/Contract Proposal
  - f. Sponsor Instructions
  - g. Additional documentation

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<sup>3</sup> Using a newer version of Adobe Reader can cause problems viewing the form.

<sup>4</sup> Zip files, otherwise known as archives, are compressed collections of one or more files that easily transfer between people and computer systems. Create compressed file archives with a few mouse clicks or keystrokes, no matter the computer you have. All of the common operating systems are able to create compressed file archives, and a number of third party software packages are available.

<sup>5</sup> The ZIP file format is a popular data compression and archival format. A ZIP file contains one or more files that have been compressed or stored into a ZIP file.

To submit a electronic proposal routing for PI certification, HSC approvals, and Institutional endorsement, follow these steps:

Step	Responsible Person(s)	Action	Note
1a	Primary Contact (Administrator) and/or PI	Open this web page: <a href="http://www.uchsc.edu/ogc/pre/eroute.htm">http://www.uchsc.edu/ogc/pre/eroute.htm</a>	
1b		Click on "EPR" link to open the Electronic Proposal Routing form.	This is a PDF form that should open in Adobe Reader 6.0.
1c		Save the EPR form to your computer (or network server).	Name the form with the faculty member, sponsor, and project the routing pertains to so you can easily identify it later.
1d		Use the tab key to move through the EPR form fields in order to complete all information on the form. See Appendix D for instructions.  DO NOT ATTACH THE ZIP file to the EPR form yet. This step should be done later in step 4b below.	Any fields left empty with a asterisk (*) will prevent the routing from submitting.  Be sure to save the EPR form periodically and once you have completed the form <b>using the SAVE/DOWNLOAD button at the end of the form.</b>
2	Primary Contact (Administrator) and/or PI	Prepare ZIP attachment file, which should include a variety of scanned internal forms and relevant application or proposal documents (as described at the beginning of this section).	Name this file in a similar manner as the EPR form for easy identification later.

**-- At this point you should have the  
Electronic Proposal Routing form and the ZIP Attachment file completed --**

3	Primary Contact (Administrator)  If PI is completing steps 1-2, skip to step 4b	Send prepared EPR form and ZIP Attachment file to the Principal Investigator (PI) via email, 3 ¼ disk, or CD.	
4a	PI	Review and modify the EPR form and ZIP Attachment file, modify as needed.	
4b		Attach the ZIP Attachment file to the EPR form using the "Attach ZIP File" button located at the top of Page 2 on the EPR form.	See Image 1
4c		Submit the EPR form using the SUBMIT button at the bottom of Page 2. By submitting the EPR form, the PI is "signing" the form and certifying to the information and statements provided.  <b>The PI is the only one who can "submit" the EPR form!</b>	See Image 2

4d		<p>After submitting the EPR form, a window will pop-up indicating that you have successfully submitted the form.</p> <p>Any required fields left empty will prevent the EPR form from submitting. Be sure to verify you have completed all form information before trying to SUBMIT.</p>	
5	Primary Contact (Administrator) and PI	Email confirmation of submission will be sent to the PI and Primary Contact	

Image 1:

**Attach Appropriate Completed HSC and Sponsor Forms Here\***

The following documentation should be completed, "zipped", and attached below using the "Attach ZIP File" button

- Disclosure of Financial Interests Part I
- VAMC Memorandum of Understanding for Effort on Grants and Contracts for Individuals with Joint Univ. and VA Appointments
- Taxability Questionnaire (known as UBIT Form)
- Clinical Trials Required Form Effort Commitment and Certification
- Grant Application/Contract Proposal
- Sponsor Instructions
- Additional documentation

JustZipIt – Free ZIP Software available for download at <http://free-backup.info/>

**Attach ZIP File**

Image 2:



**What Happens Now?**

From this point, the EPR form begins the process of electronically routing for approvals. The EPR process includes the following approvals in order as illustrated in the Process Diagram in Appendix A:

1. Department Chair, Division Head or Director
2. School Dean
3. Grants and Contracts

At each step in the EPR process, the PI and Primary Contact provided on the routing form are notified via email of the progression of approvals. The notifications are sent when:

1. The routing is submitted by the PI and automatically sent to the Department Chair, Division Head or Director for approval
2. The routing is approved by the Department Chair, Division Head or Director and automatically sent to the School Dean for approval
3. The routing is approved by the School Dean and automatically sent to Grants and Contracts for approval

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**At any point in this process of approvals, the Primary Contact and/or PI may be contacted concerning unclear or questionable information. If the issue cannot be resolved, the School Dean, or the Department Chair, Division Head, or Director may deny approval and request that a new EPR form be submitted taking into account problems or issues raised by the Approving Official(s).**

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Upon Grants and Contracts receipt of each EPR form, Grants and Contracts will:

1. Print a hardcopy of the EPR form, other internal forms and proposal pages requiring institutional endorsement that were sent in the ZIP Attachment file
2. Review the routing and referenced attachments<sup>6</sup>
3. Approve and provide institutional endorsement as appropriate
4. Notify the Primary Contact to either pick-up the approved documents in Grants and Contracts or expect the return of hardcopy documents via the Document Shuttle (reference Appendix D for more information on the Document Shuttle).

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<sup>6</sup> The steps in this process do not include information on the similarities and differences with the review and approval of grant applications as opposed to contract proposals. Electronic routing does not change the method or extent of review and negotiation that may be required to approve these proposals.