Pink Sheet Companion Guidance for Selected Sections
(08/24)

The Proposal Transmittal Form, commonly known as the "Pink Sheet", must be prepared by the PI, signed and forwarded for signature to all approving parties in time to be received by OSP five working days prior to the agency deadline (or, in the case of a subaward, the internal deadline set by the prime applicant). A budget should always accompany the pink sheet when it is circulated for signatures.

All proposals for external funding are **submitted by the University on behalf of the PI**. The Pink Sheet serves as a single point of approval for designated indivuals with responsibility for externally-funded projects:

- Serves as documentation that the PI wishes to perform the proposed project according to both University and funding agency guidelines.
- Serves as a record that the University approves the submission and is willing to administer an award on behalf of the PI and further documents any college or university commitments to the project such as faculty teaching releases (course buy-out), cost-share (matching, or in-kind support), and it also provides an estimate of salary relief to the college, center, or unit should the application be funded.
- Includes compliance information such as use of human subjects, vertebrate animals, biohazards, etc., which will be shared with research integrity staff for follow-up, and also includes information about any additional space requirements necessary to conduct the project.
- Contains certifications by the PI in Box 18 to indicate compliance with all relevant UNE research related policies, federal regulations, etc.

IMPORTANT NOTE ABOUT THIS SIGNABLE ADOBE FORM. In order to fill out the form and sign it prior to routing to the next signer, it is VERY IMPORTANT that you locally SAVE the blank form to your desktop or drive BEFORE completing it and once again AFTER completing and signing it. This will ensure that all fields are properly saved before routing the form to the next person for signature.

Box 1. UNE Information:
PI/PD name: list name of the UNE Principal Investigator or Project Director for the proposed project. While some agencies such as NSF allow for Co-PIs, only list a single primary lead at UNE who takes responsibility for the project. For who is eligible to be PI, see the PI eligibility policy at
 https://www.une.edu/sites/default/files/2023-11/UNE%20PI%20Eligibility%20Policy%20%2011022023%20FINAL.pdf

Important: For student proposals, please first indicate the name of the student applying for funding (usually a graduate student) followed by the name of the faculty

advisor, who will assume responsibility for administering the award on the student's behalf.

UNE College and Dept/School or UNIV Unit: If you are a faculty member submitting an investigator initiated proposal, indicate your college of primary appointment and associated Department or School. There are currently seven colleges: CAS, CDM, CHP, COB, COM, CGPS and Honors College. Alternately, If the proposal is being submitted by one of the University Units such as the Library, ORS, Provost's Office, etc., then skip the College/School section and enter info into the UNIV Unit field instead.

Note: If applying via a Research Center, leave UNE College and UNIV Unit empty and indicate the appropriate COE in the list in Box 4.

Project Period is the entire proposed period of support represented by this competing application. Do not request a start date prior to the earliest allowable start date of the funding agency.

Campus/Site of Work is the UNE location where the work will be performed, such as the Biddeford or Portland campuses. If the majority of work will be based in non-UNE or rented space where rent is included in the grant budget, so indicate.

Funding Source: Indicate the entity funding the application. For a federal source, you can provide the commonly used acronym such as NIH, NSF, HRSA, etc.   If a foundation or corporate sponsor, spell it out. If this will be a subaward application, also complete Box 3 to indicate the prime applicant and the PI at the Prime Applicant.   For example, if UNE will be a subaward to a proposal being submitted to the NIH by Maine Health Institute for Research, you would put MHIR as the Prime Org in Box 3, along with the Prime PI's name.

Box 4. Applying from Center of Excellence?

If this will be a Center proposal as opposed to a College or University Unit proposal, indicate a selection from the approved list of centers in Box 4. Center descriptions are available online at https://www.une.edu/research/centers. Note that for Center proposals, the Center Director's signature replaces the Dept. Chair's and the designated Associate Provost or Provost overseeing that center replaces Dean's signature.

Box 13. Project Budget

In this section list the amounts requested from the funding source for this project period. Direct costs in this section include all subaward costs (including subaward direct and indirect) which are part of the UNE budget but will be spent at a subaward site. If UNE will be a subaward, only show the amount of funds that will be provided to UNE (UNE direct and UNE indirect). Note that, at a minimum, the Department

Chair and Dean will want to review your full proposal budget and justification prior to signing off on the pink sheet. OSP will work with you to pre-review your budget so that it can circulate with the pink sheet for internal review and signature. The earlier you begin working with OSP, the earlier the pink sheet process can be completed.

Indirect costs should be at UNE's current DHHS negotiated rate unless the funding agency mandates a different rate. If a lower rate is required by the agency, provide agency written guidelines to your OSP contact. UNE policy requires use of highest allowable rate. IDC rate must be entered as a decimal (e.g. .42 for 42%).

Box 15. Course Buy-out

If you wish to ask for a teaching load reduction as part of this project, you will need to request the number of course reductions requested by year. All course reductions must be agreed to IN ADVANCE of proposal submission by an authorized individual at the college level. The pink sheet serves to document this agreement, but OSP plays no role in setting, recommending or approving course buy-outs. Note that course reductions are not applicable for COM proposals.

Box 17. Was the Institutional Advancement (IA) Office Involved in the preparation of this proposal?

Occasionally, the UNE IA office will take the lead on an institutional proposal which leads to a grant award rather than a gift. It is important that OSP track such proposals early, at application stage, so they can be properly designated as grants in UNE's internal systems. A pink sheet is always required for grant proposals that IA participates in. Contact OSP for additional guidance in this area, but if you are the PI/PD on such a proposal, you will be responsible for meeting the pink sheet requirements and obtaining all signatures and approvals.

Box 22. Project Match/Cost Share

If the funding agency requires Project Match, often referred to as Cost-Share or In-Kind Support, indicate the source of UNE cost share in Box 22 under item and indicate the Banner Account where the funds are currently budgeted. Note that you cannot use federal grant funds to match another federal grant award. Finally, have the individual responsible for that account sign off on the match amount. If you have questions about allowable match, contact your OSP representative. Do not include match in your proposal unless required by the funding agency.

Key to Abbreviations used on the Pink Sheet or Guidance

Centers of Excellence (COE)

CAIEP: Center to Advance Interprofessional Education and Practice
CEAH: Center for Excellence in Aging and Health
CEPH: Center for Excellence in Public Health
MSRC: Marine Science Research Programs
UNE-North: Center for North Atlantic Studies
CCSR: Center for Cell Signaling Research
CEN: Center for Excellence in the Neurosciences

Colleges

CAS: College of Arts and Sciences
CDM: College of Dental Medicine
CHP: College of Health Professions
COB: College of Business
COM: College of Medicine
CGPS: College of Graduate and Professional Studies

Committees

IACUC: Institutional Animal Care and Use Committee
IBC: Institutional Biosafety Committee
IRB: Institutional Review Board

Offices, etc.

APRS: Associate Provost for Research and Scholarship
OSP: Office of Sponsored Programs
ORS: Office of Research and Scholarship
IA: Institutional Advancement Office