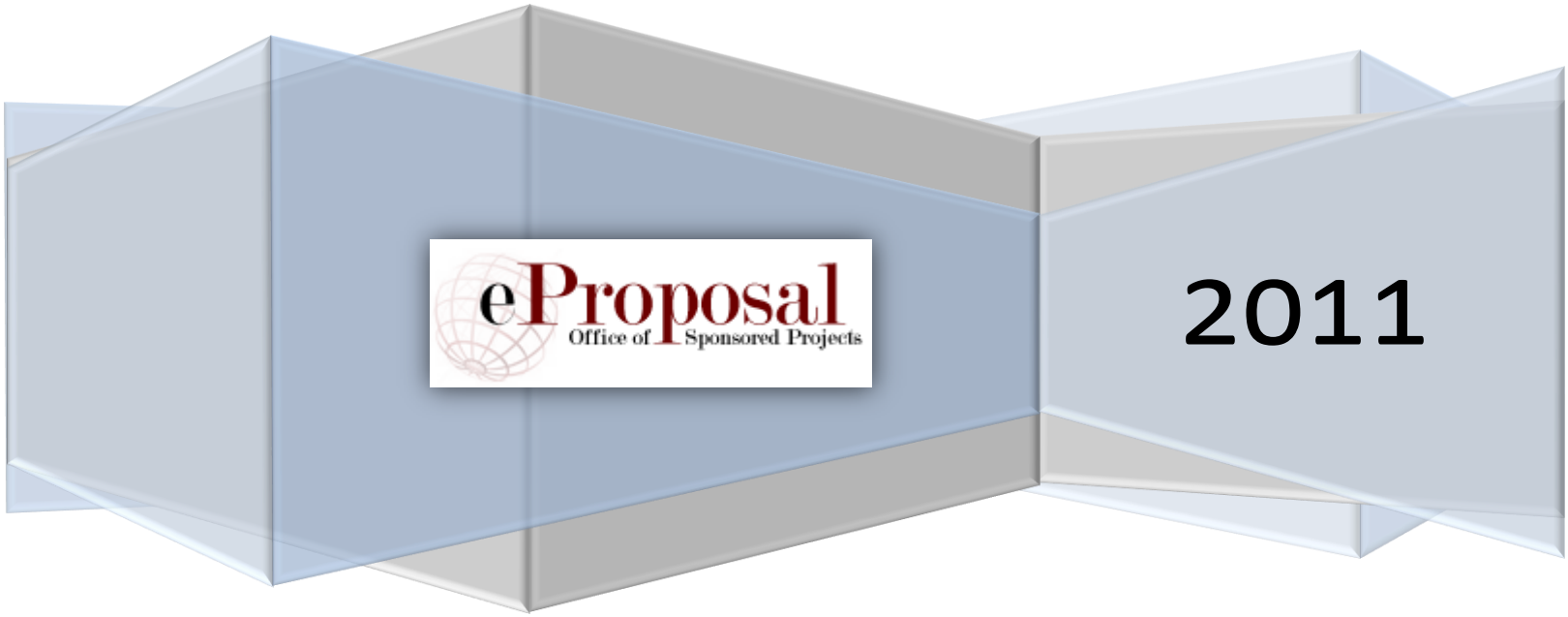
University of Utah

Office of Sponsored Projects

UIT Administrative Computing Services

Administrator's Guide

Sections Pertaining to College & Department Administrators



Contents

Using this Guide

This guide is both a complete and quick reference for eProposal preparers, approvers and college/department administrators. Quickly jump to specific topics using the table of contents (above) or the bookmarks in the navigation pane of your Adobe Reader.

This administrator's guide is a subset of the *eProposal User's Guide*. There are separate guides available that include only those sections pertaining to approvers and college/department administrators.

Several sections within this guide use the format of first describing a page within the application and then displaying a figure that references the paragraphs directly above it.

Quick tips

By the end of **August 2011**, all users must switch over to the new version of eProposal.

Overview

What is eProposal?

eProposal is a web-based system that provides for electronic preparation, submission, review and approval of what has historically been known as the Document Summary Sheet (DSS). As the goal of eProposal is to provide for an all-electronic process the need for a printed and signed paper DSS has been eliminated. Therefore using the term "an eProposal" is synonymous with a "DSS".

The eProposal system is made up of:

- The form presented as a "wizard" (a series of pages that guide the user through the data collection process)
- Electronic approval routing and email notifications
- Integration of eProposal data into PeopleSoft by the Office of Sponsored Projects
- College/Department setup and maintenance of approval roles
- OSP specific pages for maintenance of general settings

The Business Process

This new version of eProposal introduces electronic approvals which replaces the need for printing a paper DSS and manually routing it for the appropriate signatures. The data collection and submission for approval in the new system remains the same as the prior version. **It is expected that beginning August 2011, all users must be switched over to the new version of eProposal**. At that time, the previous version will be sunset.

An outline of the overall process of preparing and submitting an eProposal is described below. (*See Appendix 2 for a diagram of the lifecycle of an eProposal*).

1. The person preparing the eProposal (status shows *In-Progress)*:
    a. Navigates through all pages in the wizard and fills out all required information

   b. Reviews the approval preview list and adds any additional approvers that may be required (*See Step 2: Filling out the Form, Approvals Page*)
   c. Submits the eProposal for electronic approval
2. The people who are assigned as approvers for the eProposal (status shows *Pending Approval)*:
   a. Are notified by email that an eProposal is pending their approval
   b. Review and approves the eProposal. If corrections are needed they may send it back to the preparer to revise & resubmit.
3. The Sponsored Projects Officer (SPO) assigned to the eProposal (status shows *In OSP Review)*:
   a. Reviews the eProposal according to existing business processes
   b. Validates that the necessary approvals have been satisfied. If corrections are needed he/she can send it back to the preparer to revise and resubmit. No further approvals are needed upon resubmission as long as changes are not made to the PI or Financially Responsible Department.
   c. Integrates the eProposal into PeopleSoft to initiate the project setup process
   d. The eProposal status is updated to *Review Complete*

Getting Started

Roles & Security

There are six roles that determine both what the user can see and which actions he/she can perform within eProposal. When a user logs into the system the application determines which menus, reports and home page worklists the user should see based on his/her roles:

Role	Description
Preparer/Creator	Initiates and creates eProposals. Has full access to make changes to those which he/she has created until an eProposal is submitted.
Proxy	Has delegated security access to one or more eProposals. Has full access to make changes to those which he/she has been granted access until an eProposal is submitted.
Approver	Designated as an approver for one or more approval roles required for the eProposal. Has read-only access to eProposal content for eProposals needing his/her approval.
Administrator	Assigned at the college, department, center, or institute level by OSP. Maintains other admins. Maintains approvers and approval roles for their organization.
Sponsored Projects Officer	Reviews approved eProposals according to established processes. Has full access to make changes even after an eProposal has been submitted for approval.

OSP Super User	Designates administrators at the college, department, institute, or center level. Helps maintain and setup approvers and approval roles for all organizations. Has full access to make changes even after an eProposal has been submitted.

Table 1: eProposal Roles

Approvals

New for this version is the electronic collection and tracking of approvals. Approvals are meant to be configured by each college and department as business processes differ across the university. While self configuration is a main goal, there are some approvals that may seem new to some users. An email notification is sent to each approver when an approval becomes ready for his/her approval. An approver can view and approve eProposals that have been submitted, but are not yet ready for his/her approval.

Understanding Levels

An approval level indicates the order by which approvals will be satisfied. Levels can be any number and normally occur from lowest to highest. Multiple approvals at the same level are satisfied concurrently as both must be completed before the next higher level approver will be notified of his/her pending approval. While the notifications will occur in order, approvers may still approve in any order.

Quick tips

An approval level indicates the normal order by which approvals are satisfied.

Although they may vary by organization, generally levels are setup such that approvals are satisfied in this order:

Level 1: PI and CO-PIs
Level 3: Center or Institute Director
Level 5: Department Chair
Level 8: College Dean

Approval Types

There are two types of approvals in eProposal, those that are generated automatically and those that can be added ad-hoc.

Ad-Hoc Approvals

Ad-hoc approvals can be added by any individuals with access to an eProposal. These approvers are specific individuals needed to review and approve the eProposal. Ad-hoc approvals are added by entering a level and the approver's name. The level should be entered such that the new approver will satisfy his/her approval in the desired order. (*See: Preparing an eProposal, Step 4: Adding Ad-Hoc Approvals*)

Auto-Generated Approvals

Auto-generated approvals are those that are automatically added based on defined rules referencing information within the eProposal such as the principal investigator and the financially responsible department and college. Auto-generated approvals are different from

ad-hoc approvals in that they assign approval roles to the eProposal instead of individual people.

These approvals are generally setup for center and institute directors, department chairs, and college dean approvals. Additional approvals may also be configured by college and department administrators. (*See: For College/Department Admins, Maintaining Approvals*)

Approval Roles

Approval roles are setup by college and department administrators who then assign one or more people who are authorized to approve for that role. One person is designated as the primary approver who is the recipient of all email notifications when approvals become pending for that role to approve. (*See: For Approvers)*

Assigning Approvals

College dean, department chair, and center/institute director approvals are added based on whether or not an approval role has been setup for that organization's identification number (OrgID). If an approval role is not setup for an OrgID then one is not added to the eProposal. (*See: Approval Flow Diagram in Appendix 1*)

College and departmental administrators have the responsibility of setting up and maintaining approval roles and assigning one or more people to those roles.

Approvals are assigned to an eProposal based on the following five rules:

1. *PI & Additional Personnel* (Level 1) Field on eProposal:	These individuals are explicitly listed on the eProposal and each is required to approve before the next level approvers are notified. Listed as PI or Additional Personnel
2. *Center/Institute Director* (Level 3) Field on eProposal	If the department with Financial/Administrative responsibility for the project has been identified as a Center or Institute, then all approval roles setup for that OrgID are added. **All approvals relating to this center or institute should be setup with this same OrgID.** Financial/Administrative Resp. Dept/Division.
3. *Department Chair* (Level 5)	Based on the PI's home department. Approvals are setup by default at the OrgID where the Chair is assigned. Because the PI's home department could be at a lower level than where the approval is setup, if an approval has not been setup for that OrgID, then the process rolls up the department tree until an approval is identified. All approval roles setup for that OrgID are added. **All approvals relating to this department should be setup with this same OrgID.**

Quick tips

For more details on approvals, see the *Approval Flow Diagram* in Appendix 1.

	Field on eProposal:	Department ID (DeptID) listed for Principal Investigator
4.	*College Dean* (Level 8)	This is the OrgID listed as the college for the Financial/Administrative Resp. Dept/Division. All approval roles setup for that OrgID are added. **All approvals relating to this college should be setup with this same OrgID.**
	Field on eProposal:	College listed for Financial/Administrative Resp. Dept/Division.
5.	*Vice President for Research* (Level 20)	This role is intended to be the final approval for an eProposal, but is not always required. It is automatically added only when one or both of the following questions are answered YES. **Additionally, the associated documents required for each question must also be attached in order to pass validation and submit the eProposal for approval.**
	Fields on eProposal:	1g. Will a waiver or reduction in the negotiated F&A rate for this project be requested? 1h. (Will the University cost share any of the expenses for this project?)

Table 2: Approval Types

Email Notifications

The new eProposal is equipped to send email notifications. Accordingly, all people using eProposal must have a valid University of Utah email address. In the event that a preferred email address cannot be found in PeopleSoft, the system will use the uNID@utah.edu email address for notifications. All university employees have this address by default (for uMail).

All notifications include summary information and a direct link to the eProposal. Notification types are outlined below.

Quick tips

Emails are sent as notifications to PIs and approvers at each step of the process.

Principal Investigator

The PI and creator (PI only if they're the same person) of the eProposal will receive notifications when:

- An approver or someone in OSP has requested that the eProposal be **revised and resubmitted** along with the person's comments.
- An approver has **not approved** the eProposal along with the approver's comments.
- All **approvals have been satisfied** for the eProposal and it is now received in OSP and ready to be reviewed.

Approvers

The approvers will receive email notifications (who are either listed as either the primary approver for the approval role, or are individually listed as an ad-hoc approver) when:

- An approval becomes **pending/ready** for the approver after lower level approvals have been satisfied.

Sponsored Projects Officers (SPOs)

SPOs working in the Office of Sponsored Projects receive notifications for those which they have been assigned when:

- All approvals have been satisfied and the eProposal is **ready for OSP's review**.

Quick tips

New Timeout! Leave & return to eProposal without being timed-out all day.

eProposal Application

With a general understanding of the details of why eProposal works the way it does, this next section provides detailed examples and a quick tour of the application.

New Features

There have been so many improvements in the new version that it's impossible to list everything here. Highlights include:

- Electronic approvals
- College/Department maintained approval roles
- 10 hour timeout. Work without being kicked out every 45 minutes!
- A completely new way to fill out proposal information with validation along the way
- Validation icons that indicate missing information
- Home page with personalized worklists
- Type-Ahead/Auto-Complete searches for PI, sponsor, department contacts, approvers etc…
- Pages are automatically saved when moving from page to page
- A tracking/audit page that shows the progress, dates and any comments of actions taken on each eProposal
- Enhanced reporting
- Email notifications that include a direct link to the eProposal

For College/Department Admins

This section describes the additional pages and functionality only available to those who have been setup as college/department administrators by OSP. OSP sets up one or more college administrators. After being setup, college administrators then have the ability to create other administrators within the college, or any departments that roll-up to that college. Similarly, once college-level administrators setup departmental administrators, they can setup other administrators within that department or within units that roll-up to that department.

Quick tips

No Access? Check with OSP if you're not seeing the links that you think you should.

Maintaining Approvals

Once an individual has been setup to be an administrator for a college or department by OSP, she/he has access within eProposal to create and maintain approval roles for that OrgID and any OrgID which reports to it.

The following illustrates what an administrator for the College of Engineering might see:

Quick tips

Role Hierarchy
Roles are setup by organization. People are assigned to roles which are then assigned to eProposals.

Figure 1: Maintain Roles

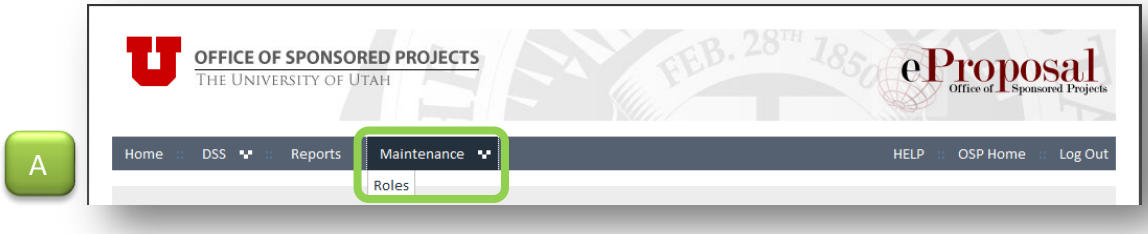
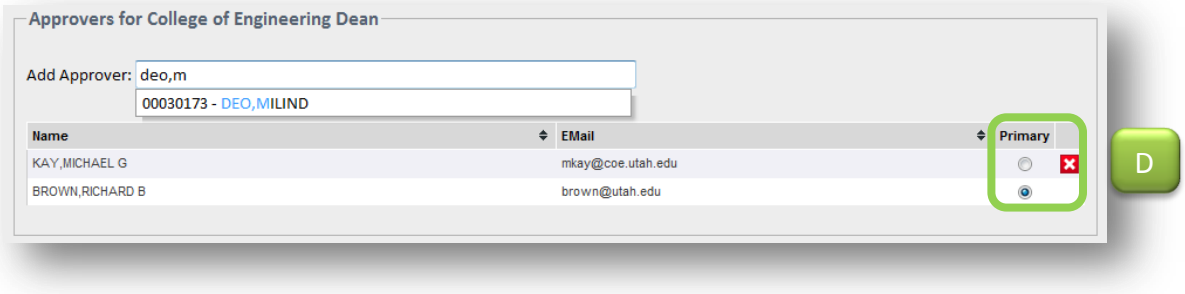


Figure 2: Maintain Roles Detail

Organization	Role	Level
COLLEGE OF ENGINEERING	College of Engineering Dean	8
BIOENGINEERING	Chair of Bioengineering	5
CHEMICAL ENGINEERING	Chair of Chemical Engineering	5
INST. CLEAN&SECURE ENERGY	Director of Inst. Clean & Secure Energy	3
CIVIL AND ENVIRONMENTAL ENGIN	Chair of Civil & Environmental Engineering	5
ENERGY & GEOSCIENCE INSTITUTE	Director of Energy & Geoscience Institute	3
CENTER FOR NUCLEAR ENG PROG	Director of Center for Nuclear Eng Prog	3
SCHOOL OF COMPUTING	Chair of School of Computing	5
CTR FOR COMPUTER GRAPHICS	Director of Ctr for Computer Graphics	3
ELECT & COMPUTER ENGINEERING	ECE AA Review	2
ELECT & COMPUTER ENGINEERING	Chair of Electrical & Computer Engineering	5
MATERIAL SCIENCE AND ENGINEER	Chair of Material Science and Engineering	5
MECHANICAL ENGINEERING	ME AA Review	2
MECHANICAL ENGINEERING	Chair of Mechanical Engineering	5
CENTER FOR ENGINEERING DESIGN	Director of Center for Engineering Design	3
SCIENT COMP & IMAG INSTIT-OPER	Director of Scientific Computing & Imaging Institute	3

Figure 3: Maintain Role Approvers



Figures 12 – 14 illustrate:

A. To view approval roles select the ***Maintenance*** menu from the top navigation and click on ***Roles***.
B. The Maintain Roles page displays, by organization, the roles that can be modified. Listed are the organization's name, role name, role level, an icon to click to maintain individuals assigned that role, and the option to delete the role.
C. Clicking on the approver icon opens the *Add Approver* section of the page.
D. Administrators can add and remove individuals that can approve for this role as well as assign the default approver.

Creating a New Role

To add a new approval role (see Figure 15)

A. Select for which organization the new role will apply. Note – only organizations within the administrator's security will be available in the type-ahead text field.
B. Give the new role a name that will make it distinguishable from other roles. By default, naming for director, chair and dean roles are setup in this format:

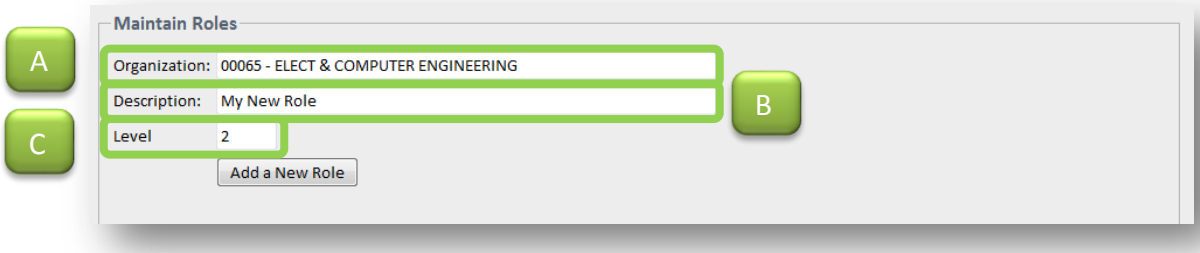
   College of Engineering Dean
   Chair of Bioengineering
   Director of Energy & Geoscience Institute

C. Add the appropriate level for this approval role. (*See Understanding Levels*)
D. Click *Add a New Role* to create the role.
E. Find the role in the organization list, click on the user icon and add approvers as indicated in steps 2 - 4 above.

Quick tips

Role Setup
New roles can only be created for OrgIDs for which users have been setup as administrators.

Figure 4: Add New Role

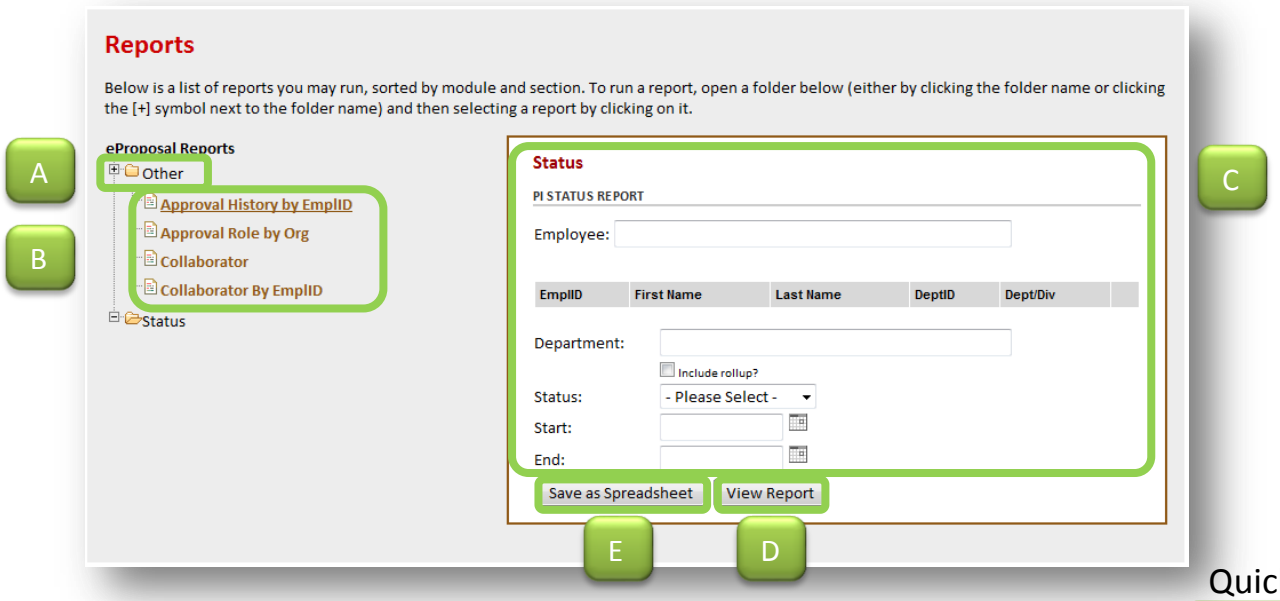


Reporting

There are a variety of reports available to most users that aid in monitoring and tracking status. The number of reports that are visible on the *Reports* page are dependent on the security of the user.

Additional reports may be added in the future. This section outlines those available to date.

Figure 5: Reports Page



To run a report click on the *Reports* menu link. Figure 19 illustrates:

A. Click on the top folder to expand or collapse the reports list.
B. Select a report from the *eProposal Reports* list.
C. Enter any criteria to narrow your search results.
D. Click *View Report* to see the report's results in a web browser.
E. Click *Save as Spreadsheet* to download the results in an Excel format.

Quick tips

New Reports
We're always looking to improve our reports. If you think something is missing, just let us know!

Status Reports

The status reports are publicly available although each has a different targeted audience. The reports return a similar set of data and have a similar set of criteria:

Department:	The college or department
Include Rollup?	Include all organizations that report to the selected department
Status:	The eProposal status: In Progress Pending Approval In OSP Review Review Complete
Start:	Varies depending on report, see below
End:	Varies depending on report, see below
Employee:	When required, this is the name of the listed PI. In most cases, can enter more than one. On the Sponsored Project Officers Status report the employee is restricted to names of SPOs.

Table 3: Report Filters

Table 4: Status Report Criteria

Department Status

This report gives eProposal summary information. It returns data based on the following criteria and all if none are selected.

Date criteria is selecting all eProposals with a **creation date** between the start and end date chosen.

PI Status

This report gives eProposal summary information based on an entered PI. At least one PI must be selected to run the report. It can be run for more than one PI at a time.

Date criteria is selecting all eProposals with a **creation date** between the start and end date chosen.

Sponsor Status

This report gives eProposal summary information based on an entered sponsor. At least one sponsor must be selected to run the report. It can be run for more than one sponsor at a time.

Date criteria is selecting all eProposals with a **creation date** between the start and end date chosen.

Sponsored Projects Officer Status

This report gives eProposal summary information based on the assigned Sponsored Projects Officer (SPO). At least one SPO must be selected to run the report. It can be run for more than one SPO at a time.

Date criteria is selecting all eProposals with a **sponsor due date** between the start and end date chosen.

Miscellaneous/Other Reports

Additional reports are available that are targeted for those who are approvers and those in administration. These reports use similar criteria as the *Status Reports*.

Approval History by EmplID

This report returns eProposal summary information based on those who have approved it and is only intended as a means for tracking statuses after the approval has been satisfied. This has been requested since once an approval is satisfied, the eProposal falls off of the *Awaiting My Approval* worklist for the approver. At least one approver must be entered to run the report, but more than one may be entered.

Approval Role by Org

This report is an administrative report that allows departments see a report of all of the approval roles and assigned approvers associated with their department. If a department is not entered then all results are returned.

Collaborator

The Vice President for Research asked that the *Collaborators* section be added to eProposal. This section collects a list of other faculty members, not involved with the project, who have reviewed the proposal and provided feedback. This report returns summary eProposal information for all individuals listed as collaborators within a specific date range.

Collaborator by EmplID

Similar to the *Collaborator* report, this report returns the same information but for specific PIs.

This concludes the quick tour. The next segment of this manual will go through a step-by-step creation of a new eProposal.

New Users Quick Tour

The quick tour is intended to give new and returning users a “lay of the land”. It’s recommended that readers open eProposal application and click through the pages and features as they are being described to get a hands-on feel for the eProposal application.

Launching eProposal

Access eProposal by either:

1. Logging on to the CIS (Campus Information Services)
    - Locate the *Research Administration Pagelet* (it may need to be added using the Content link in the upper right corner of CIS)
    - Select the *eProposal (new)* link. (The older version of eProposal will remain linked from this pagelet until the entire university has switched to the new version)

OR

2. Go directly to the application's URL (bookmarking this link is recommended):
    - https://www.acs.utah.edu/uofu/fac/eProposal
    - Sign in using a CIS uNID and password

Quick tips

Simple Sign-in
Bookmark the URL to eProposal and go directly to the application.

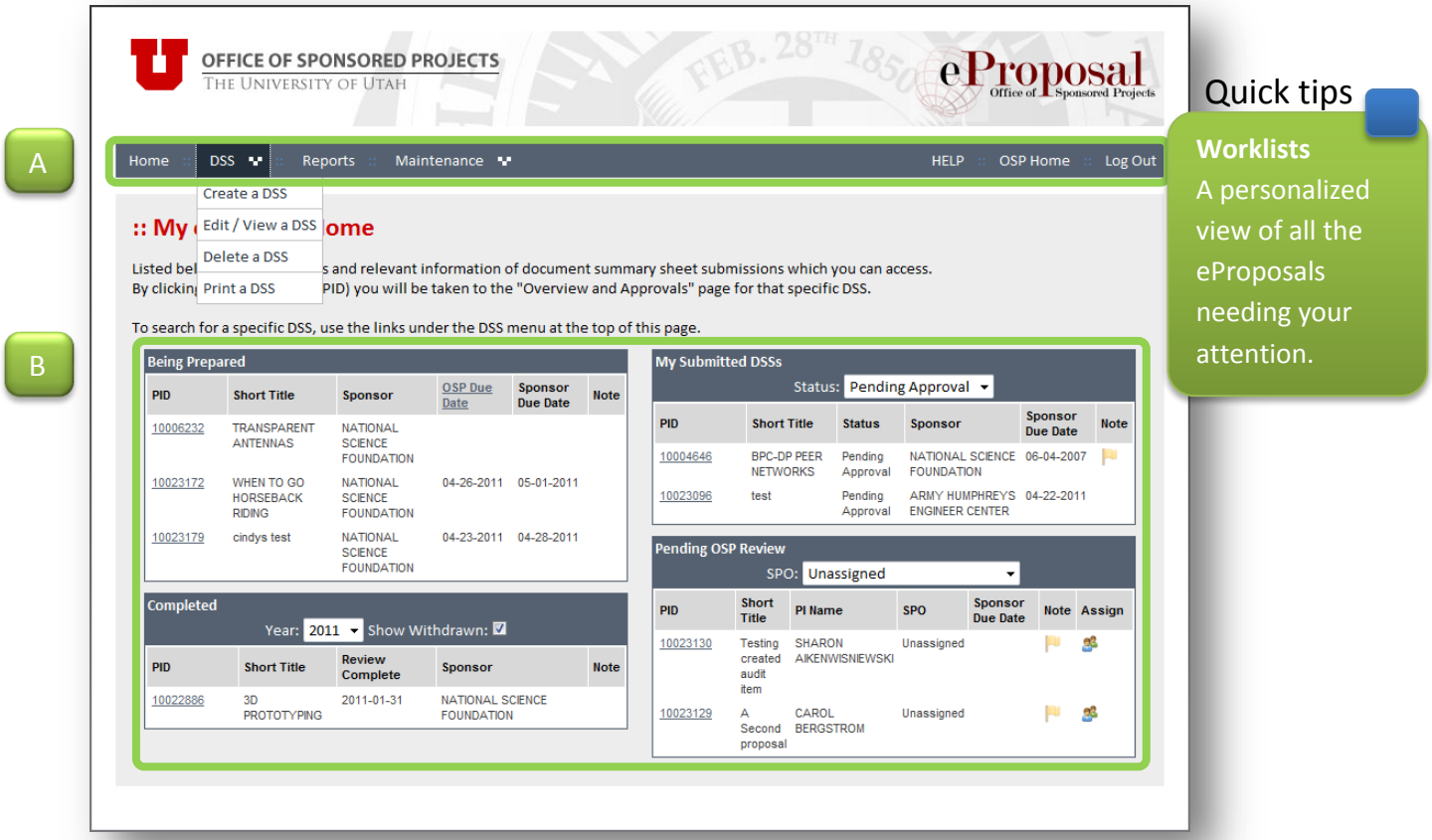
My eProposal Home

The application will open to the Home page, which contains a few different sections:

A. Top menu bar: Home, DSS (create, search, print, delete [*OSP only*]), Reports, Maintenance (for administrators, approvers and OSP users), and Help (link to documentation)

B. Personalized worklists: displays eProposals pending the user's action as well as all eProposals that are still in process, pending approval or completed/withdrawn.

Figure 6: My eProposal Home

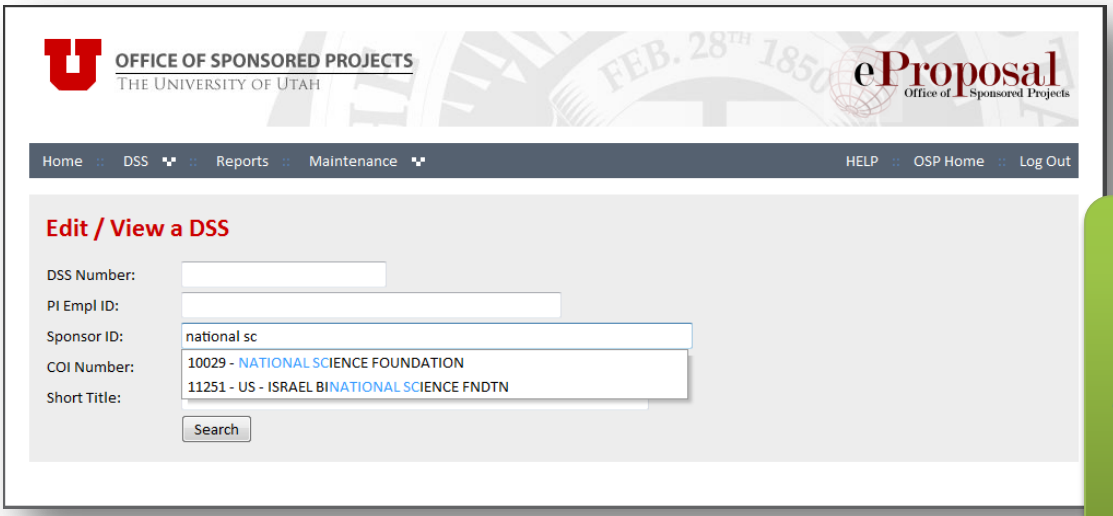


Edit/View a DSS

If an eProposal is not viewable in one of the worklists on the home page, then use this search to edit or view any eProposal. Search by any combination of:

- DSS Number – this is the proposal ID given to the eProposal (PID)
- PI EmplID – the employee ID of the principal investigator. Start typing the first or last name or ID of the person and a drop down box will appear. Select desired individual within the list to use as a search parameter.
- Sponsor ID – This is the sponsor's long name. In the same way the employee box works, begin typing either the id or name of the sponsor and a drop down will appear. Select desired sponsor within the list to use as a search parameter.
- COI Number – the conflict of interest number for the PI or any other personnel listed on the eProposal.
- Short Title – the short title entered for the eProposal.

Figure 7: Edit/View DSS Page

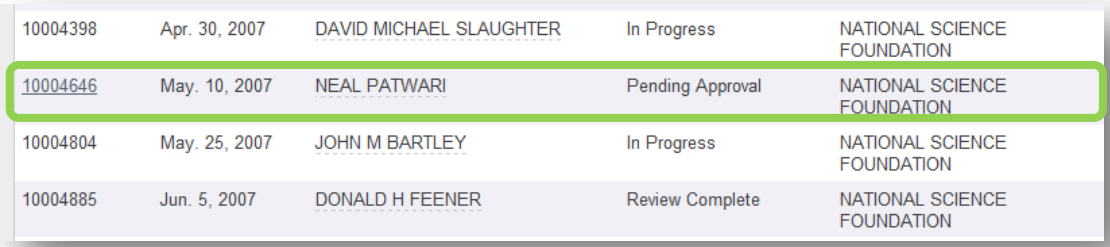


Quick tips

Searching
What you type into the search field shows up in *blue* font. You must still **select your choice** in the drop down

When search results are displayed, the proposal ID is displayed as a hyperlink (underlined) for only those eProposals within the user's security. Otherwise, the summary information is displayed and the detail remains confidential.

Figure 8: Security in Search Results



10004398	Apr. 30, 2007	DAVID MICHAEL SLAUGHTER	In Progress	NATIONAL SCIENCE FOUNDATION
10004646	May. 10, 2007	NEAL PATWARI	Pending Approval	NATIONAL SCIENCE FOUNDATION
10004804	May. 25, 2007	JOHN M BARTLEY	In Progress	NATIONAL SCIENCE FOUNDATION
10004885	Jun. 5, 2007	DONALD H FEENER	Review Complete	NATIONAL SCIENCE FOUNDATION

Quick tips

Finish Later?
It may take more than one session to complete your eProposal. Now it's easier than ever to come back and pick-up where you've left off.

Monitoring & Tracking Tools

Several new tracking features have been added to eProposal to help monitor the lifecycle of an eProposal. These include personalized user worklists and a special tracking/audit page for each eProposal.

Worklists

The worklists on the home page are a great tool to keep track of things. (*See My eProposal Home*) When the flag icon ( ) is displayed then someone associated with that eProposal has made a note which is made visible by using the mouse to hover over the icon. The

worklists that are visible are dependent on the roles that the user has and are detailed below.

Being Prepared

The *Being Prepared* worklist includes eProposals that were created by the user and have not yet been submitted for approval. Included is the date that the eProposal is due at OSP as well as the sponsor's due date. Proposals are due 5 days before the sponsor's due date. Click on the OSP Due Date header to view a memo from the VP for Research regarding this policy. Clicking on the proposal ID will open the first page of the wizard interface.

Quick tips

OSP Due Date
Policy states that eProposals are due to the Office of Sponsored Projects 5 days prior to the sponsor's due date.

Figure 9: Being Prepared Worklist

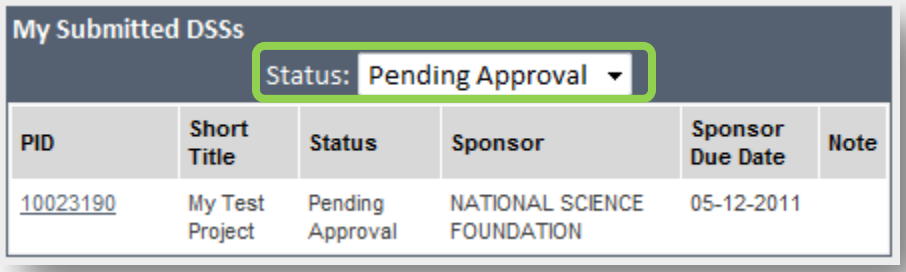
Being Prepared

PID	Short Title	Sponsor	OSP Due Date	Sponsor Due Date	Note
10023095	3/7/11 Jeremy Test	CARNEGIE CORPORATION OF NEW YORK	02-25-2016	03-01-2016	
10023145	Test for ECE	CARNEGIE CORPORATION OF NEW YORK	03-27-2011	04-01-2011	
10023153	MY DUAL PURPOSE TESTING	CARNEGIE CORPORATION OF NEW YORK	03-29-2011	04-03-2011	
10023159	Test for Today	NATIONAL INSTITUTE OF JUSTICE	04-18-2011	04-23-2011	

My Submitted DSSs

The *My Submitted DSSs* worklist includes those eProposals that have been submitted for approval. Select whether to view only those that are *Pending Approval*, *In OSP Review*, or *All* proposals via the drop down menu. Clicking on the proposal ID will display the *Review & Approve* page along with any pending approvals. No changes to the eProposal are allowed in this state.

Figure 10: My Submitted DSSs Worklist

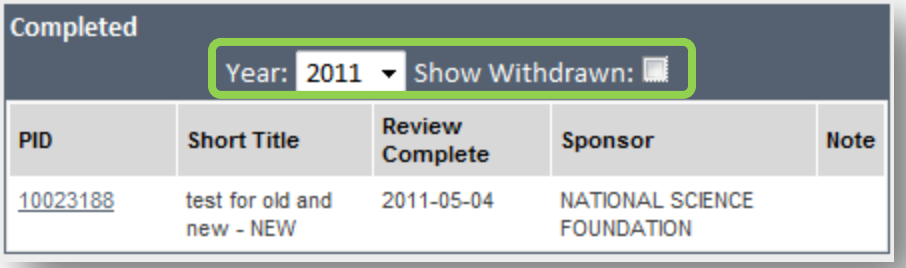


PID	Short Title	Status	Sponsor	Sponsor Due Date	Note
10023190	My Test Project	Pending Approval	NATIONAL SCIENCE FOUNDATION	05-12-2011	

Completed DSSs

The *Completed* worklist displays a history, by year, eProposals that have been approved and reviewed by OSP. The drop down menu will display all years for which a user has created an eProposal. The current year will display and *no data* for new users who have not yet completed an eProposal. eProposals that have been withdrawn can also be displayed in this worklist. No further changes can be made to eProposals in this state.

Figure 11: Completed Worklist



PID	Short Title	Review Complete	Sponsor	Note
10023188	test for old and new - NEW	2011-05-04	NATIONAL SCIENCE FOUNDATION	

Quick tips

You can switch between your approval roles to see eProposals pending your approval.

Awaiting My Approval

Users with approval roles will automatically see this worklist. Individuals who would not normally be an approver but were added as an ad-hoc approver will see this worklist as long as there exists for them a pending approval.

Figure 12: Awaiting My Approval Worklist

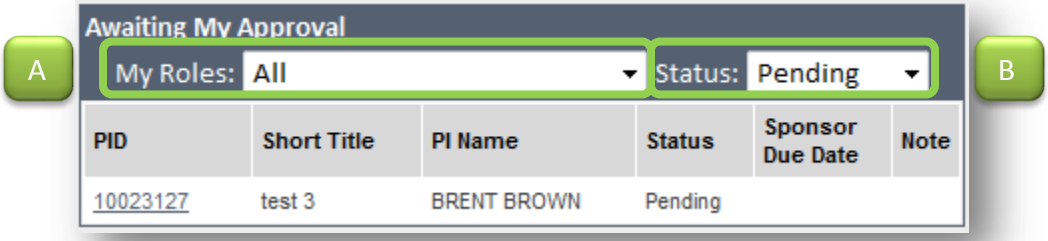


Figure 8 illustrates the following:

A. The *My Roles* drop down menu displays the different roles assigned to the user. Elect to view approvals pending a specific role or choose *All* to view eProposals pending any approval roles assigned to the user.
B. The *Status* drop down menu will display allows switching between the view from those that are *Pending Approval*, those that are *Not Ready*, or *All*.

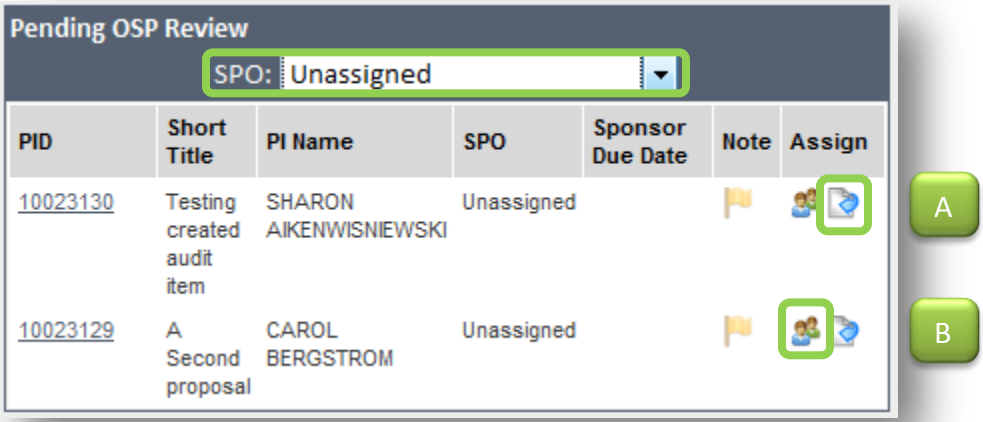
Pending OSP Review

Those who work in the Office of Sponsored Projects are the only people who will see the *Pending OSP Review* worklist. This worklist is meant to view, by SPO, the current list of eProposals being reviewed. It also has a feature to view those that have not yet been assigned.

Quick tips

There's a report for that…
You can run a report to see all eProposals in SPO review.

Figure 13: Pending OSP Review Worklist



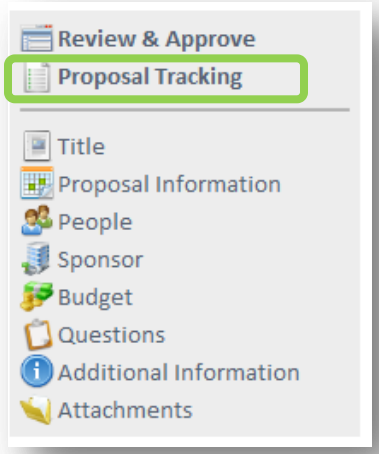
As figure 9 illustrates, the SPO can either choose to

A. Assign him/herself as the sponsored projects officer.
B. Browse to select and assign a different person as the sponsored projects officer.

Tracking Page

The Tracking page for each eProposal is viewable once it has been submitted for approval. The page is accessed by clicking on the *Proposal Tracking* link in the *Section Navigation*.

Figure 14: Proposal Tracking Link



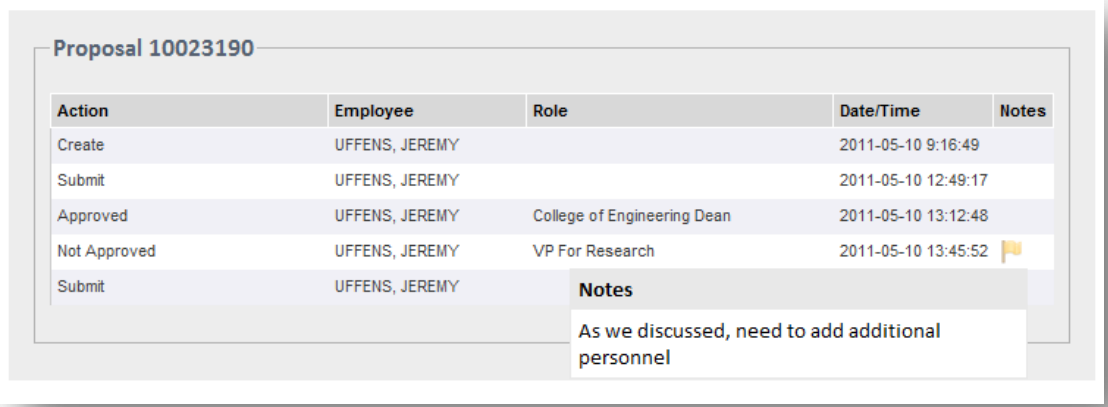
Clicking on the *Section Navigation* opens the navigation page. Comments are visible from this page via the flag ( ) icon. An entry is made into the tracking table that records the action taken, date/time, and user name when:

- An eProposal is Created
- An eProposal is Submitted for Approval
- An ad-Hoc approver is added or deleted
- An approval is satisfied
- A proxy is added or deleted
- An eProposal is Withdrawn
- An eProposal is Deleted (OSP only)
- A file is attached or deleted

Quick tips

Comments…
Only the most recent comment is displayed when hovering over the flag icon.

Figure 15: eProposal Tracking



Proposal 10023190

Action	Employee	Role	Date/Time	Notes
Create	UFFENS, JEREMY		2011-05-10 9:16:49	
Submit	UFFENS, JEREMY		2011-05-10 12:49:17	
Approved	UFFENS, JEREMY	College of Engineering Dean	2011-05-10 13:12:48	
Not Approved	UFFENS, JEREMY	VP For Research	2011-05-10 13:45:52	
Submit	UFFENS, JEREMY			

Notes

As we discussed, need to add additional personnel

Appendix 1

Figure 16: Approval Flow Diagram

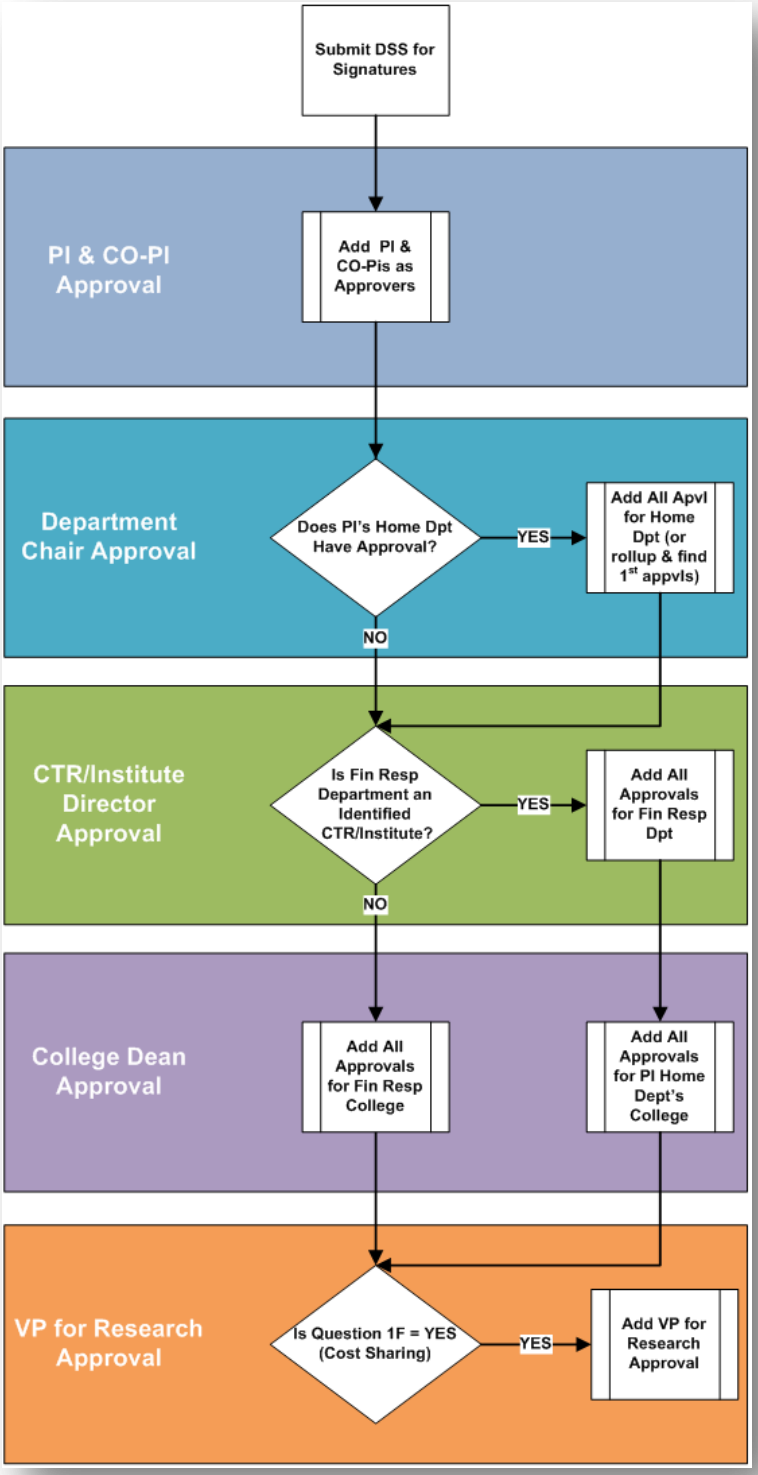


Figure 17: Path of an eProposal