



## PROPOSAL ROUTING FORM INSTRUCTIONS

The University of Virginia's Proposal Routing Form (PRF), developed and issued by the Office of Sponsored Programs in collaboration with UVA schools, as well as the Office of the Vice President for Research, serves a critical purpose in the administration of sponsored programs at the University. The PRF collects demographic information of strategic and compliance importance regarding proposed sponsored programs. Many of these proposed sponsored programs become awarded. The integrity of PRF information thus greatly contributes to the quality and efficiency of transactions related to sponsored programs, as well as the quality and efficiency of reporting on sponsored programs. Ensuring this integrity is a shared responsibility.

**Sponsor Deadline Date and Time:** Enter the date and time indicated as the immediate sponsor's deadline for submission. In situations in which UVA is proposing to receive funding from an immediate sponsor (i.e., via a pass-through entity), it may be helpful to additionally be aware of the originating sponsor's deadline. In situations where there is no explicit deadline from the sponsor, please set a target deadline date. A 5-business-day processing window is recommended in these situations. Please convert any hourly deadline to Eastern Standard Time (EST)/Eastern Daylight Time (EDT), as applicable. Where a time is not indicated, 5:00pm EST/EDT will be presumed.

1. KEY/SENIOR PERSONNEL
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**Key/Senior Personnel** may be defined as individuals who contribute to the scientific development or execution of a sponsored program in a substantive, measureable way, whether or not they receive salary or compensation under the program, and whose absence from the program would be expected to impact the scope of work. "Key Personnel" tends to be an NIH-specific term; "Senior Personnel" tends to be an NSF-specific term.

For each Key Personnel or Senior Personnel identified, please choose a role from the drop down list and enter Name, Org/Department Number, Computing ID (**Note: Please do not use an alias. This field should contain the actual UVA Computing ID**), and Phone Number. If you have more Key/Senior Personnel on your project than the form allows, please use the Supplemental Information section.

The roles available are:

- **Principal Investigator:** The Principal Investigator (PI) is the individual deemed by UVA to have the appropriate level of skill, authority and responsibility to direct the sponsored program. An individual not automatically eligible to be a PI at UVA via their University appointment must request permission (on a proposal-by-proposal basis) in accordance with UVA policy.
- **PI (Multiple PI Submission):** This option should be chosen only in situations in which the sponsor allows more than one Principal Investigator (typically under NIH solicitations). There should nonetheless be a "Contact PI" on record in these situations, designated as the PI with whom formal communication regarding the sponsored program should be directed. The Contact PI's information should be entered in the Principal Investigator field on this form, and the other PI(s) on the project should be entered as "PI (Multiple PI Submission)." More information on NIH multi-PI programs is available at [http://grants.nih.gov/grants/multi\\_pi/faq.htm#2965](http://grants.nih.gov/grants/multi_pi/faq.htm#2965)
- **Co-PI:** A Co-Principal Investigator (Co-PI) is recognized as an individual who shares with the PI the responsibility for the conduct of a sponsored program, including meeting reporting requirements. ("Co-PI" tends to be an NSF term.)
- **Co-Investigator:** A Co-Investigator is an individual recognized as making a significant programmatic contribution to a project. The Co-Investigator is an individual that the PI relies on to assume responsibilities above those of other personnel. ("Co-Investigator" tends to be an NIH term.)
- **Other:** This role includes individuals for whom the other role definitions may not be appropriate but whom are appropriately deemed Key/Senior Personnel.

Additional information on Key Personnel (NIH): [http://grants.nih.gov/grants/policy/senior\\_key\\_personnel\\_faqs.htm](http://grants.nih.gov/grants/policy/senior_key_personnel_faqs.htm)

Additional information on Senior Personnel (NSF):

[http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/gpg\\_2.jsp#IIex7](http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/gpg_2.jsp#IIex7)

This section also collects information about the administrative personnel for the proposed project.

- **Fiscal Contact:** Please enter the name, Org/Department Number, Computing ID, and Phone Number of the individual who will be responsible for the fiscal administration of the project, if awarded.
- **Administrative Contact:** Please enter the name, Org/Department Number, Computing ID, and Phone Number of the individual who should be contacted during the process of proposal review and approval if there are questions about the information provided.

## 2. PROPOSAL DETAILS

**Proposed Title:** Please enter the title of the proposed project.

**Short Title:** The short title is limited to 30 characters and should begin with a standard prefix that represents the award owning school and department. For example, a proposal from the Cancer Center in the School of Medicine would have a short title that begins with “MD-CANC” and contains up to 23 additional characters that identify the project.

**Proposal Type:** Choose an option from the drop down list. The options are:

- **New:** This indicates an entirely new proposal. New proposals are counted in yearly proposal dollar totals.
- **Renewal:** This indicates an application to renew (on a competitive basis) an existing sponsored program. Renewal proposals are counted in yearly proposal dollar totals.
- **Resubmission:** This indicates a resubmission of a proposal previously submitted to a sponsor but not funded based on the initial submission. (**Note:** NIH rules define and limit resubmissions. Please see [http://grants.nih.gov/grants/policy/resubmission\\_q&a.htm](http://grants.nih.gov/grants/policy/resubmission_q&a.htm) for more information.) Resubmission proposals are counted in yearly proposal dollar totals.
- **LOI/Pre-proposal:** This indicates a letter of intent or preliminary proposal submission that requires institutional endorsement and will later require the submission of a full “new” proposal. Budgetary information presented in LOIs/Pre-proposals are not counted in yearly proposal dollar totals.
- **Non-Competing Continuation:** This indicates a proposal or report requesting continuation (on a noncompetitive basis) of an existing sponsored program. Budgetary information presented in non-competitive continuations are not counted in yearly proposal dollar totals. Note that the term “non-competitive continuation” typically refers to an NIH progress report, which must be institutionally endorsed before submission. (This is not always true of progress reports due to other sponsors.)
- **Supplement:** This indicates a proposal for supplemental funding relative to an existing sponsored program, typically for the augmentation of a scope of work. Supplement proposals are typically awarded competitively. Irrespective, supplement proposals are counted in yearly proposal dollar totals.

**Note:** If you are requesting review/submission of a Renewal, Resubmission, Non-Competing Continuation or Supplement, please record the related Proposal, Award and/or Project number(s) in the Comments field at the bottom of the first page.

**Proposal Org/Dept Number:** This should represent the org or department responsible for the proposal.

**Award Owing Org/Dept Number:** This should represent the org or department responsible for the award.

**Primary Activity Type:** Choose an option from the drop down list. The categories reflect those in our federally-negotiated indirect cost rate agreement (found here: [https://www.virginia.edu/sponsoredprograms/FA-Fringe\\_Rate\\_Agreement\\_6-13-16.pdf](https://www.virginia.edu/sponsoredprograms/FA-Fringe_Rate_Agreement_6-13-16.pdf)), and are as follows:

- **Organized Research:** All research and development activities of an institution.
- **Instruction:** The teaching and training activities of an institution.
- **Other Sponsored Activity:** Programs and projects which involve the performance of work other than instruction and organized research. Examples of such programs and projects are clinical trials, health service projects, and community service programs.

**This project will occur: On-Grounds or Off-Grounds:** Please choose the correct option. To determine whether a project will primarily occur on or off grounds, consider where the majority (50% or more) of the work will occur. For

more information, see the relevant University policy, available at: <http://www.virginia.edu/finance/polproc/pol/viuid2.html> . A clear explanation consistent with the above-referenced policy should be present in the proposal package for the use of the Off-Grounds rate.

**Check all that apply:** This series of options allows you to record other information about the proposed project. Choose all that apply.

- **Basic Research:** Research undertaken primarily to acquire new knowledge without any particular application or use in mind.
- **Applied Research:** Research conducted to gain the knowledge or understanding to meet a specific, recognized need.
- **Development:** The systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.

Note that Basic Research, Applied Research and Development are definitions used in reporting to the NSF Higher Education Research and Development Survey (<http://www.nsf.gov/statistics/srvyherd/>).

- **Clinical Research:** Clinical Research is research conducted with human subjects (or on material of human origin such as tissues, specimens and cognitive phenomena) for which an investigator directly interacts with human subjects. More information is available from NIH at <https://www.nichd.nih.gov/health/clinicalresearch/Pages/index.aspx> and FDA at <http://www.fda.gov/ForPatients/ClinicalTrials/Types/default.htm>
- **Clinical Trial:** A Clinical Trial is a research study in which human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.
- **Computational:** Research that has a need for computational infrastructure.

**Proposal Period: To: and From:** Please enter the proposed start and end dates for the project.

### 3. SPONSOR DETAILS:

Please check the appropriate box if applying under an SBIR or STTR solicitation, or if this proposal was chosen for submission through an internal limited submission process in the VPR's office. If the latter, please include the internal selection email from the VPR office in the proposal package.

**Immediate Sponsor:** Please enter the name of the entity to whom UVA is applying for funds. This is the entity with whom we would enter into an award agreement.

**Originating Sponsor:** In situations in which UVA is receiving pass-through funds from another entity, please enter the name of the entity providing the original funding.

For example, if we are receiving a subaward/subcontract from another university, which has in turn received an award from a federal agency, then that university (as a pass-through entity) would be our Immediate Sponsor, and the federal agency would be our Originating Sponsor.

**Sponsor Type:** Choose an option from the drop down list. The options are:

- **Federal:** The sponsor is a U.S. government agency. Irrespective of our Immediate Sponsor, or the award mechanism, if the funds originate with the U.S. government, the sponsor type should always be Federal.
- **Foreign/International:** The sponsor is in a country other than the U.S.
- **Foundation:** The sponsor is a foundation located in the U.S.
- **Industry:** The sponsor is a company, firm, or private industry located in the U.S.
- **State:** The sponsor is a Virginia state agency.
- **Other:** The sponsor does not fit any of the above categories (Example: city or municipal governments, etc.)

**Solicitation #:** Please enter the sponsor's solicitation number (or title), if applicable.

**CFDA Number:** Please enter the federal CFDA number, if applicable. **Note: CFDA numbers are not applicable to federal contracts and procurements.**

**Sponsor Contact Information:** Please enter the name, phone number, and email address of the sponsor contact, if known.

#### 4. BUDGET SUMMARY

**Cost Share:** If the proposal budget includes cost share, please indicate the type by checking the appropriate box.

**Note:** For NIH salary cap cost share, please check “None.” Salary cap differential is unallowable cost sharing—it is not considered Voluntary or Mandatory cost share.

**F&A Rate Applied to this project:** Please indicate the F&A rate you have used in the proposal budget. If the sponsor limits F&A recovery via a written policy or statement in the proposal development guidelines/solicitation, or if an F&A waiver has been obtained through the appropriate channels at UVA, please check the appropriate box and include documentation in the proposal package as indicated on the PRF.

Please enter the project period dates, total direct costs, indirect costs, and cost share information by year as indicated in the budget summary table. The “Total” columns and rows will automatically calculate for you.

**Note:** The Cost Share line in this section should not include quantification of minimum PI Effort under UVA policy. That should be recorded in section 8 (Cost Share) of the form.

**Comments:** Please record any additional information relevant to the proposal submission. If you are requesting review/submission of a Renewal, Resubmission, Non-Competing Continuation or Supplement, please record the related Proposal, Award and/or Project number(s) in the Comments field.

**University Approval:** This field should be completed and signed upon submission of the proposal to the sponsor.

#### 5. KEY/SENIOR PERSONNEL EFFORT

This section captures detailed effort commitment information for the Key/Senior Personnel on the project. Please note that you may need to enter more than one line for the same person if that individual has more than one appointment type (i.e., an investigator with a 9 month appointment period is committing both academic year and summer effort to the project). Of course, the appointment type of a Key/Senior Personnel drives the effort calculation (i.e., an investigator with a 10 month appointment committing one month to the project would have a proposed formal effort commitment of 10%).

**Project Role:** Please choose the appropriate role from the dropdown list. These roles are the same as for the Key/Senior Personnel Section above, and the names of any Key/Senior Personnel indicated in Section 1 are already pre-populated. You will note that there are multiple lines available for each Key/Senior Personnel in this section. This allows for recording effort for multiple appointments (Summer, Academic, or Calendar).

**Name:** Please enter the individual’s name.

**COI Investigator:** Please check the box to indicate whether this individual qualifies as a “COI Investigator.” A COI Investigator is any individual, regardless of title, role or position, who is responsible for the design, conduct, or reporting of research on a proposal to a relevant federal agency/under a relevant solicitation (though typically on NIH and NSF proposals).

The NIH definition of “COI Investigator” may be found here:

[http://grants.nih.gov/grants/policy/coi/coi\\_faqs.htm](http://grants.nih.gov/grants/policy/coi/coi_faqs.htm). The NSF definition of “COI Investigator” may be found here:

[http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/aag\\_4.jsp#IVA](http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/aag_4.jsp#IVA)

**Note:** All COI Investigators on a proposal to a relevant federal agency/under a relevant solicitation (including all of those on NIH and NSF proposals) must complete the required financial disclosures in the UVA Conflict of Interest system (<http://cacsprd.web.virginia.edu/uvacoj>).

**Appointment Type:** Please choose the appropriate option from the drop down list:

- **Academic:** This represents effort during the academic year (9-, 10- or 11-month appointments).
- **Calendar:** This represents effort for a calendar year (12-month) employee.
- **Summer:** This represents effort during the summer (or noncontracted appointment period, in the case of employees with 10 and 11 month appointments).

**Year 1 Effort Percentage:** Please enter the appropriate effort percentage for the first year of the proposed project.

**Will Effort Levels Change in Out Years?:** Check “Yes” if the individual’s effort level is expected to change in subsequent project periods. Check “No” if the effort level is expected to remain the same throughout the project.

Note that Key/Senior Personnel effort commitments established at proposal stage must be met/maintained at award stage (via funding from the sponsored program or via funding from non-sponsored sources). Notwithstanding, Key/Senior Personnel effort commitments to federal agencies typically may be unilaterally reduced up to 25% without sponsor notification/approval.

**Will there be course buyout/release?:** Choose the appropriate option.

## 6. COMPLIANCE AND OTHER INFORMATION

Does this project involve human subjects?: Please indicate whether the proposed project involves human subjects. For more information, including definitions, please see [http://www.virginia.edu/vpr/irb/hsr/activities\\_require\\_review.html](http://www.virginia.edu/vpr/irb/hsr/activities_require_review.html).

Does this project involve vertebrate animals?: Please indicate whether the proposed project involves vertebrate animals. For more information including definitions, please see <http://www.virginia.edu/vpr/iacuc/regs.html>.

Does this project involve recombinant DNA, hazardous chemicals, radioactive or biohazard materials, infectious agents, or Select Agents?: Please indicate whether the proposed project involves the listed items and activities. For more information, please see <http://ehs.virginia.edu/biosafety/bio.ibc.html>.

### INTELLECTUAL PROPERTY:

Does this project involve Intellectual Property (IP) developed at UVA for which an invention disclosure has been made to the Licensing & Venture Group?: Please check “Yes” or “No.” For more information about LVG, please visit <https://lvg.virginia.edu/about/lvg>.

Does this project involve IP obtained under a licensing agreement from another entity?: Please check “Yes” or “No.”

Does this project involve Material Transfer Agreements (MTAs) or Data Use Agreements (DUAs) with a party other than the sponsor?: Please check “Yes” or “No.”

Is the express purpose of this project the development of new IP?: Please check “Yes” or “No.”

Have all personnel involved in the proposed work signed the University Patent Agreement?: Please check “Yes” or “No.”

### EXPORT CONTROL:

Will any of the funded activities be performed outside the United States?: Please check “Yes” or “No.”

Will performance of this project require access to or result in the production of information subject to proprietary or government access or dissemination restrictions?: Please check “Yes” or “No.” You would likely answer “Yes” if the announcement or solicitation indicates that restrictions or limitations will be applied to eventual awards, including prior approval for dissemination or publication, export control restrictions (ITAR, EAR, or nuclear regulations), restriction on access or participation of foreign nationals, the need for a U.S. government security clearance, or certain IT security requirements. Access or dissemination restrictions may include the following:

- “For official use only” (FOUO) is used by the Department of Defense and other federal agencies to identify information which is unclassified but may not be appropriate for public release.
- Controlled Unclassified Technical Information (CTI) is technical information with military or space application that is subject to controls on the access, use, reproduction, modification, performance, display, release, disclosure, or dissemination (DFARS 252.204-7012).

For more information about the UVA Office of Export Controls, please see <http://export.virginia.edu/>.

### OTHER INFORMATION:

Does this project require new or additional space not already assigned, or the renovation of space?: Please check “Yes” or “No.”

Does this project include subawards or subcontracts external to UVA?: Please check “Yes” or “No.” If your project includes external (outgoing) subawards or subcontracts, please attach a subrecipient package for each subrecipient entity, to include a commitment letter or face page signed by the appropriate Authorized Organizational Representative, a scope of work describing the work proposed by the subrecipient, a detailed budget and budget narrative, and other information that may be required by the sponsor (CVs, biosketches, etc). Subrecipient packages should be reviewed prior to submission to OSP for completeness, accuracy and conformance with UVA and sponsor requirements.

If awarded, will this project require internal subaccounts? Please check “Yes” or “No.” Please note that at award stage it is labor intensive and inefficient for OSP to re-establish multiple internal subaccounts in situations in which only one PTAE0 was originally established.

## 7. CERTIFICATION

Please read the certifications required and agree to them via signing, and obtain appropriate additional certification agreements/signatures. Use the “Other Approval (if applicable)” fields to obtain signatures for collaborating faculty and their associated department(s) and/or school(s).

## 8. COST SHARE COMMITMENT



This section of the form institutionally documents cost share and financial commitments to the project, including Minimum PI Effort under the UVA policy (<http://uvapolicy.virginia.edu/policy/FIN-028>), which may or may not be expressed in the proposal budget presented to the sponsor. However, note that not all cost shared/financial commitments should be quantified in a proposal. Additionally note that per the Uniform Guidance (2CFR200.306), voluntary committed cost sharing is not expected under federal research proposals. Per NSF guidelines ([http://www.nsf.gov/pubs/policydocs/csfaqs\\_jan13.pdf](http://www.nsf.gov/pubs/policydocs/csfaqs_jan13.pdf)), voluntary committed cost sharing is prohibited.

**Personnel Name:** Please enter the name of the individual whose project effort is being cost shared.

**Computing ID:** Please enter the UVA computing ID. Remember, do not use an alias in this field.

**Employee Type:** Please choose the appropriate option from the drop down list. The options are:

- **Faculty:** An individual holding a faculty appointment at UVA.
- **Staff:** An individual holding a staff position at UVA.
- **Student:** An undergraduate or graduate student at UVA.

**Appointment Type:** Please choose the appropriate option from the drop down list:

- **Academic:** This represents effort during the academic year (9-, 10- or 11-month appointments).
- **Calendar:** This represents effort for a 12-month employee.
- **Summer:** This represents effort during the summer (or non-contracted appointment period, in the case of employees with 10 and 11 month appointments).

**Effort Percentage:** Please enter the appropriate effort percentage for the proposed project. Remember that the appointment type of a Key/Senior Personnel drives the effort calculation (i.e., an investigator with a 10 month appointment committing one month to the project would have a proposed formal effort commitment of 10%).

**Salary/Wages:** Please enter the dollar amount associated with the effort level indicated.

The total Salary/Wages entered for all cost shared personnel will calculate for you in the **Total Salary/Wages** field.

**Fringe Benefits:** Please enter the total fringe benefits amount associated with the effort commitments you have entered above.

The total personnel cost share will calculate for you in the **Total Personnel** field.

**Other Costs:** Please enter a description of any other, non-personnel costs being cost shared on the project (e.g., graduate student tuition). For each identified Other Cost, an active PTAO must be identified.

**Source of Cost Share (PTAO):** Please enter an active PTAO that will support the identified costs.

**Amount of Cost Share:** Please enter the dollar amount being cost shared.

**Third Party In-Kind:** Please enter the dollar amount (in total costs) for in-kind cost share formally being committed by a third party (external to UVA). In such cases signed commitment letters from all third parties must be attached.

The **Total Other Costs** will calculate for you automatically.

The total personnel and other costs will calculate for you in the **Total Cost Share** field.

## 9. SUPPLEMENTAL INFORMATION

If your project includes more than six Key/Senior Personnel, you will use this section to record their information. Please see sections 1 and 5 above for detailed instructions.

## 10. DETAIL BUDGET (OPTIONAL at proposal stage)

This section of the form can be used to document proposal budget information in terms of Oracle categories that OSP uses to establish a PTAO at the time of award. Filling out this section at the proposal stage can save time at award stage in the OSP PTAO creation process. It can also be used to check budget totals quickly, as well as to memorialize internal subaccount requests. The project period dates from section 4 auto-populate in this section.

**Note:** This portion of the form is optional at the proposal stage.

## TIPS

**Software considerations:** This form has been configured to work with the free Adobe Reader software as well as Adobe Professional. We recommend upgrading to the latest version of Adobe Reader (11) for best results, as problems have been reported with some earlier versions. Problems have also been reported when using the free PDF reader from Mac (Preview), but the form is compatible with the free Adobe Reader software for Mac.

**Updates:** The PRF form will be updated periodically as needed. To ensure you have the latest version of the form, always download the PDF from the OSP website. Also, note the “Revised XX/XX/XX” date on the form’s footer to be sure you are using the latest version.

**PRF Requirements:** The PRF form will be required for all proposals submitted 7/1/2016 or thereafter.