

University of  
Virginia

ResearchUVA  
Powered by Huron

Job Aid: Routing and Approvals -  
SOM

## 1 Overview

Research administration transactions in the ResearchUVA Powered By Huron (ResearchUVA PBH) system will require approvals from Principal Investigators, Department Chairs, Administrators, or others in accordance with School of Medicine and Institutional policies and procedures. This document outlines the routing processes to obtain these approvals for three main transaction types: Funding Proposals, Agreements, and Award Modification Requests. Please direct any questions regarding ResearchUVA PBH processes to [som-ruva-help@virginia.edu](mailto:som-ruva-help@virginia.edu).

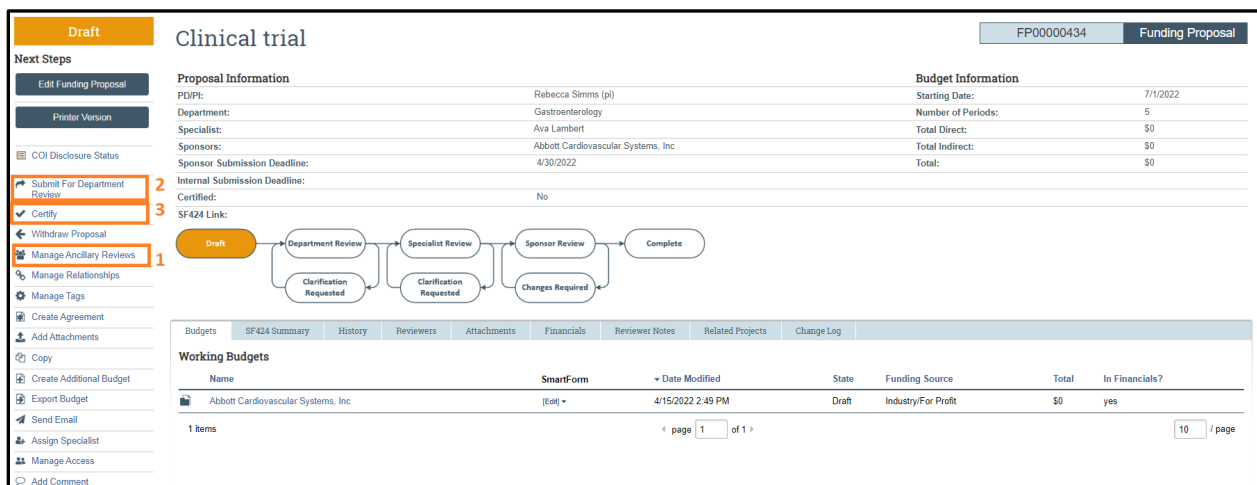
**!** **Important:** For a complete list of approvals required for each transaction type and sub-type, please review the SOM Internal Forms Approvals Matrix at <https://med.virginia.edu/grants-and-contracts/site-menu/training-resources/checklists-guides/>

## 2 Funding Proposals

- Once the Funding Proposal, Budget, and SF424 SmartForms (if applicable) are complete and ready for review, use the **Manage Ancillary Reviews** activity on the *Funding Proposal Workspace*, to request Department Chair/designee approval.

**!** **Important:** If additional Ancillary Reviews are required (e.g. for Collaborating Unit Verification, F&A Waiver, Cost Share, etc), they should be requested at this step.

- Use the **Submit for Department Review** activity to move the Funding Proposal into the *Department Review* state. This activity will trigger a notification to the PI that the Proposal is ready for review and Certification.
- The PI will login to the system and use the **Certify** activity to provide their approval.



**Draft** Clinical trial FP00000434 Funding Proposal

**Next Steps**

- Edit Funding Proposal
- Print Version
- COI Disclosure Status
- Submit For Department Review** 2
- Certify** 3
- Withdraw Proposal
- Manage Ancillary Reviews** 1
- Manage Relationships
- Manage Tags
- Create Agreement
- Add Attachments
- Copy
- Create Additional Budget
- Export Budget
- Send Email
- Assign Specialist
- Manage Access
- Add Comment

**Proposal Information**

|                               |                                    |                           |                    |          |
|-------------------------------|------------------------------------|---------------------------|--------------------|----------|
| FDIPI:                        | Rebecca Simms (pi)                 | <b>Budget Information</b> | Starting Date:     | 7/1/2022 |
| Department:                   | Gastroenterology                   |                           | Number of Periods: | 5        |
| Specialist:                   | Ava Lambert                        |                           | Total Direct:      | \$0      |
| Sponsors:                     | Abbott Cardiovascular Systems, Inc |                           | Total Indirect:    | \$0      |
| Sponsor Submission Deadline:  | 4/30/2022                          |                           | Total:             | \$0      |
| Internal Submission Deadline: |                                    |                           |                    |          |
| Certified:                    | No                                 |                           |                    |          |
| SF424 Link:                   |                                    |                           |                    |          |

**Flowchart:** Draft → Department Review → Specialist Review → Sponsor Review → Complete. Loops for 'Clarification Requested' and 'Changes Required' connect back to previous stages.

**Working Budgets**

| Name                               | Smart-Form | Date Modified     | State | Funding Source      | Total | In Financials? |
|------------------------------------|------------|-------------------|-------|---------------------|-------|----------------|
| Abbott Cardiovascular Systems, Inc | [PDF]      | 4/15/2022 2:49 PM | Draft | Industry/For Profit | \$0   | yes            |

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- The Department Reviewer will login to the system and review the Proposal, Budget, and SF424 (if applicable). If changes are required, the Proposal can be routed back to the Study Team using the **Request Changes** activity. If no changes are needed, use the **Approve** activity to move the Proposal into the *Specialist Review* state.



**Department Review** 20220405MDB Funding Proposal Training FP00000393 Funding Proposal

**Next Steps**

- Review Funding Proposal
- Printer Version
- COI Disclosure Status
- Approve
- Request Changes
- Manage Relationships
- Manage Tags
- Create Agreement
- Send Email

**Proposal Information**

PID/PI: Rebecca Simms (pi)  
 Department: Gastroenterology  
 Specialist: Ava Lambert  
 Sponsors: National Institutes of Health  
 Sponsor Submission Deadline: 4/7/2022  
 Internal Submission Deadline: 4/6/2022  
 Certified: No  
 SF424 Link:

**Budget Information**

Starting Date: 4/15/2022  
 Number of Periods: 2  
 Total Direct: \$0  
 Total Indirect: \$0  
 Total: \$0

**Workflow Diagram:**

```

  graph LR
    Draft --> Department_Review[Department Review]
    Department_Review --> Specialist_Review[Specialist Review]
    Specialist_Review --> Sponsor_Review[Sponsor Review]
    Sponsor_Review --> Complete[Complete]
    Department_Review --> Clarification_Requested_1[Clarification Requested]
    Clarification_Requested_1 --> Department_Review
    Specialist_Review --> Clarification_Requested_2[Clarification Requested]
    Clarification_Requested_2 --> Specialist_Review
    Sponsor_Review --> Changes_Required[Changes Required]
    Changes_Required --> Sponsor_Review
  
```

**Working Budgets**

| Name                          | SmartForm | Date Modified    | State        | Funding Source | Total | In Financials? |
|-------------------------------|-----------|------------------|--------------|----------------|-------|----------------|
| National Institutes of Health | IE01      | 4/5/2022 3:18 PM | Under Review | Federal        | \$0   | yes            |

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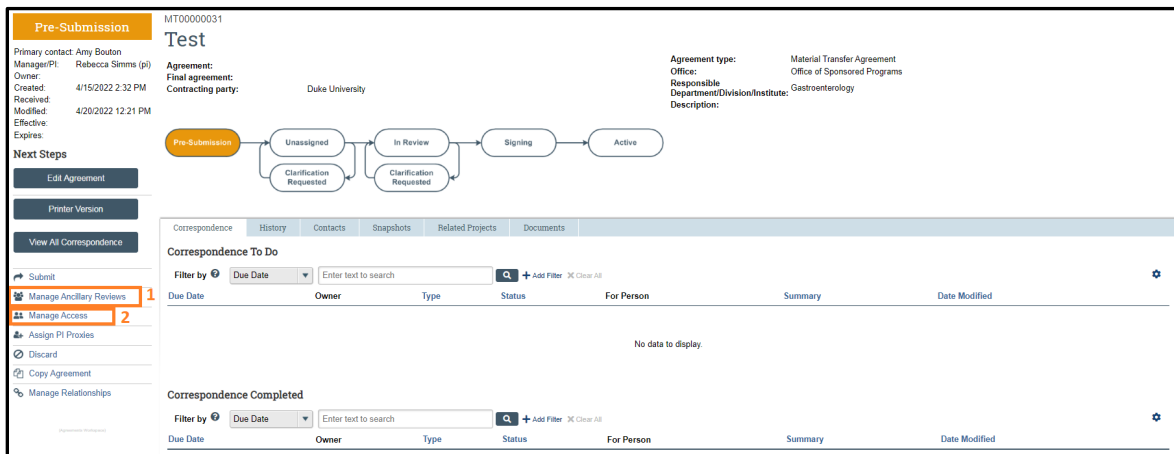
**!** ***Important:** If the Study Team member initiating the Funding Proposal is also a Department Reviewer, they may need to complete both steps 2 and 4 to move the proposal to Specialist Review.*

- The Department Reviewer should send an email to [somogc@hscmail.mcc.virginia.edu](mailto:somogc@hscmail.mcc.virginia.edu) to alert SOMOGC that the Proposal is ready for review.

### 3 Agreements

- Once the Agreement SmartForms are complete and ready for review, use the **Manage Ancillary Reviews** activity on the *Agreement Workspace* to request PI, Department Chair/designee (if applicable), and SOMOGC Administrator approval.

**!** ***Important:** For Non Funded Agreement types, please send the Ancillary Review request to Lauren Armstrong.*



**Pre-Submission** IT00000031

**Test**

Primary contact: Amy Bouton  
 Manager/PI: Rebecca Simms (pi)  
 Created: 4/15/2022 2:32 PM  
 Received: 4/20/2022 12:21 PM  
 Modified: 4/20/2022 12:21 PM  
 Effective:  
 Expires:

Agreement type: Material Transfer Agreement  
 Office: Office of Sponsored Programs  
 Responsible: Gastroenterology  
 Department/Division/Institute: Gastroenterology  
 Description:

Contracting party: Duke University

Workflow: Pre-Submission → Unassigned → In Review → Signing → Active  
 (Unassigned and In Review have sub-states: Clarification Requested)

**Next Steps**

- Edit Agreement
- Printer Version
- View All Correspondence
- Submit
- Manage Ancillary Reviews **1**
- Manage Access **2**
- Assign PI Proxies
- Discard
- Copy Agreement
- Manage Relationships

**Correspondence To Do**

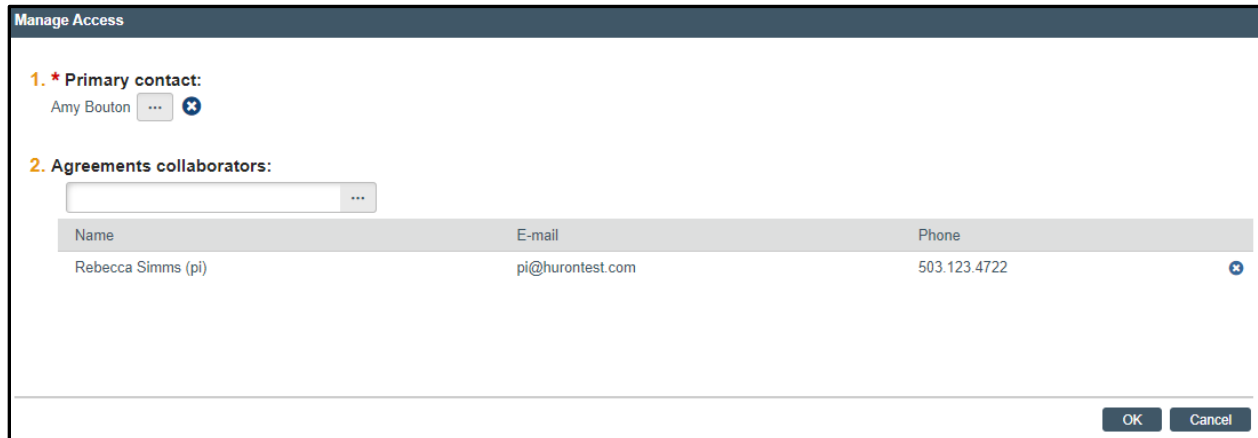
Filter by Due Date [dropdown] Enter text to search [input] [Search] + Add Filter X Clear All [Close]

| Due Date            | Owner | Type | Status | For Person | Summary | Date Modified |
|---------------------|-------|------|--------|------------|---------|---------------|
| No data to display. |       |      |        |            |         |               |

**Correspondence Completed**

Filter by Due Date [dropdown] Enter text to search [input] [Search] + Add Filter X Clear All [Close]

| Due Date | Owner | Type | Status | For Person | Summary | Date Modified |
|----------|-------|------|--------|------------|---------|---------------|
|----------|-------|------|--------|------------|---------|---------------|



**Manage Access**

**1. \* Primary contact:**  
 Amy Bouton [dropdown] [Add]

**2. Agreements collaborators:**  
 [dropdown]

| Name               | E-mail           | Phone        |
|--------------------|------------------|--------------|
| Rebecca Simms (pi) | pi@hurontest.com | 503.123.4722 |

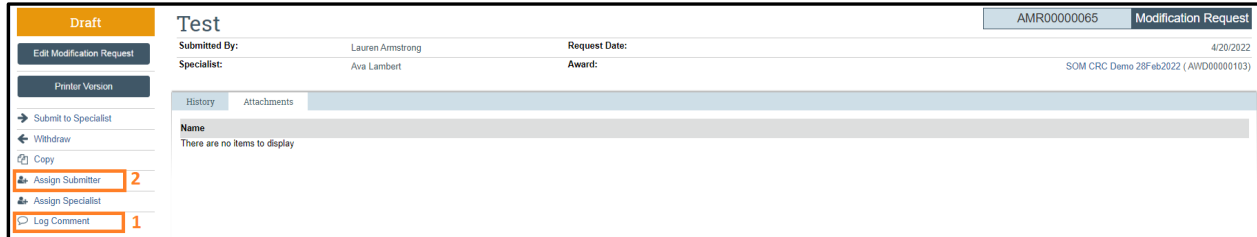
[OK] [Cancel]

- The Study Team/PI should send an email to [somogc@hscmail.mcc.virginia.edu](mailto:somogc@hscmail.mcc.virginia.edu) to alert SOMOGC that the Agreement is ready for review.

#### 4 Award Modification Requests (AMRs)

- Once the Award Modification Request SmartForms are complete and ready for review, request PI and Department Chair/designee approval (if applicable) via email. Each party will log into ResearchUVA PBH, find the AMR record, and use the **Log Comment** activity to document their approval. Alternatively, approval documentation in the form of an email or other correspondence can be uploaded to the record by the request initiator via the **Log Comment** activity.

- Once PI and/or Department Chair/designee approvals are completed, the request initiator will use the **Assign Submitter** activity to reassign the Submitter to the SOMOGC administrator responsible for the transaction.



**Draft** Test AMR00000065 Modification Request

Submitted By: Lauren Armstrong Request Date: 4/20/2022  
Specialist: Ava Lambert Award: SOM CRC Demo 28Feb2022 (AWD00000103)

History Attachments

Name  
There are no items to display

2  
  
 1

- The request initiator should send an email to [somogc@hscmail.mcc.virginia.edu](mailto:somogc@hscmail.mcc.virginia.edu) to alert SOMOGC that the AMR is ready for review.



**Important guidance on requesting Ancillary Reviews:**

- When requesting Ancillary Reviews, please mark the Response Required question as “no” so that the transaction can continue to move forward through the routing/review process. Although these responses may be required in order to finalize a transaction, marking the requirement question as “yes” will prevent the action from being routed to the next review step due to the system’s processing rules. Required reviews will be verified via business process at the department and/or SOMOGC level and transactions will move forward only when all required approvals are in place.