Part 1

**Sponsor Deadline:** Enter the date and time the proposal is due to the sponsor

**Department Deadline:** Some departments have deadlines prior to the OSP and/or school date. Enter this if applicable for your area; otherwise, enter “n/a” or leave blank.

**School Proposal #:** Some schools use this field to assign a number to the proposal for internal tracking purposes; otherwise “n/a” or leave blank

**School Name:** Enter School Name where the department that will “own” the project is located

**Department Name:** Enter the department name of the department that will “own” the project

**Sponsor:** List the FULL NAME (not abbreviation) of the funding entity that is providing the support to UVA. If UVA is a subrecipient, list the “Prime” awardee(s) followed by the originating sponsor. For example, a subaward to UVA from Georgetown University might look like this: “Georgetown University/Department of Education”

**Fiscal Contact:** List the full name as it appears in Oracle and contact information for the person who will be the Integrated System fiscal contact for the PTAO (will also be the reconciler in Recon@)

**Preparer Email:** Enter the email id of the individual to contact if there are questions about the goldenrod/proposal

**Principal Investigator:** This should be the investigator who is primarily responsible for completion of the project. List the individual’s full name as it appears in the Integrated System HR module. Contact your school administrator/OSP for multiple PI/Co-PI projects.

**PI Employee ID:** Enter the 6 digit employee identification number for the Principal Investigator listed above. (A Human Resources representative, or someone with HR responsibilities in the Integrated System can provide this)

**PI Email:** List the PI’s UVA email id here (you can just use their user id, e.g., “mst3k”)

**Award Owning Org:** Indicate the 5 digit Integrated System award organization where the award (the A in the PTAO) should be. This field is mandatory for PTAO setup. Leaving it blank can delay creation of your PTAO

**Project Owning Org:** List the 5-digit Integrated System organization number where the Project is assigned (the "P" in PTAO). This field is mandatory for PTAO setup. Leaving it blank can delay creation of your PTAO. This field also determines where F&A recoveries are assigned.

**Project Name:** Enter the School Organization Name Prefix, then any departmental prefix and other information as required by unit. Enter a unique name that will make the project easily identifiable in the Integrated System and
Discoverer Reports. For example: “MD-NEUR-ACE-Proj1 Yr5” Limit is 30 characters (including spaces). Names longer than the 30 character limit will be truncated by OSP to facilitate setup of the PTAO.

**Award Full Name:** Enter the School abbreviation, followed by a longer, more descriptive name you wish to appear in the Integrated System and Discoverer Reports

**Award Short Name:** Similar to the Project Name above, enter the School Abbreviation followed by a short description of the project as you wish it to appear under this field in the Integrated System and Discoverer Reports. Some schools have a convention of using identical Award Short Name and Project Names. Max 30 characters (including spaces).

**Award Alternate Name:** This optional field allows departments to add additional descriptors that are useful for their organization, for example, “Smith award, Year 6.” This field appears in the Integrated System and on certain Discoverer Reports. 30 character limit (including spaces)

**Proposal Status** - New Proposal - Use for first-time and supplemental proposals (For supplemental proposals, provide Project/Award Number)

**Proposal Status:** Revised: Check this for revisions/resubmissions of previously submitted proposals (be sure the sponsor allows resubmissions). Please indicate on the form which action you are taking: revision vs resubmission

**Proposal Status** - Renewal: Check if this is a proposal for a *new competitive segment* of an existing project

**Proposal Status** - Continuation: Check this if you are submitting an application for continuation (i.e., next year’s funding) of an existing PTAO

**Project #:** If the proposal is a supplement, or you checked renewal or continuation in Proposal Status, enter the existing Project number (“P” segment of the PTAO)

**Award #:** If the proposal is a supplement, or you checked renewal or continuation in Proposal Status, enter the existing Award number (“A” segment of the PTAO)

**Research Type:**

**Non School of Medicine** - check with your school administrator to see if you use these fields (Note: “Bench” is listed as “Basic” on other school Goldenrods)

**For SOM** - Enter the type of work you are doing in percentages (split as necessary):

- “Bench” refers to traditional wet lab activities (e.g., molecular genetics, microbiology, animal work).
- “Computational” refers to dry lab activities (such as computer-intensive research or epidemiology).
- “Clinical” refers to everything else, other than subcontracts.
ERA: Check this box if the proposal is being submitted to the sponsor electronically

Proposal Period: For new, renewal, and revised proposals, enter the start and end dates of the entire competitive segment. In the case of supplements, enter the estimated start date of the new funds with the end date of the competitive segment. For Continuations, enter the next budget year. If this field is left blank, the date of PTAO setup will be used as the default.

Direct Costs:
- For new, renewal, and revised proposals, enter the first year’s direct costs and direct costs for the entire competitive segment in the respective columns.
- For supplements, enter the direct cost portion of the supplemental funding under “Proposal Period” column only.
- For continuations, enter the total direct costs for the next year only and leave “Proposal Period” column blank.

Indirect Costs: Enter the total calculated F&A costs for the first year and/or proposal period, depending on type of proposal (see “Direct Costs” above).

Total Budget Cost: Add Total Sponsor Costs plus any Cost Sharing and put the amount here. If no cost sharing, please re-enter the Total Sponsor Cost.

Cost Sharing: Put the total cost sharing for the project, if applicable. This total should match the total calculated cost share in Part V of the Proposal Approval Form. Otherwise, put n/a or leave blank.

Total Sponsor Cost: Add the Direct and Indirect Costs and put the total here.

% Cost Sharing: Divide the number from the “Cost Sharing” field above by the Total Budget Cost line and and enter the answer here as a percentage.

Department Chair’s and Dean’s Statements: by signing Part 1, the Chair and Dean (or their respective designees) are agreeing to the statements and responsibilities laid out in statement #1-5.

Item #1: Chair/dean agree to release faculty from other activities as needed to achieve the aims of the proposed project, should it be awarded. Certain schools may have separate time release processes required for proposal submission - check with your school administrator.

Item #2: Be sure that space is available for the program! The department signature means that space is committed by the dept to the investigator for use on this project.
**Item #3**: Cost sharing is not encouraged and should not be budgeted, unless required by the sponsor. Certain schools have their own requirements for documenting cost share during the proposal process - check with your school level administrator.

**Item #4**: Self-explanatory

**Item #5**: Departments are solely responsible for covering any deficits or cost overruns incurred on sponsored projects.

**Department Chair Signature**: Chair or designee must sign; be sure to check with your business manager or other representative to determine who has signatory authority for your department.

**Dean of School Signature**: Dean or Dean’s Designee must sign.

**Comments**: Insert any comments you wish reviewers to reference during the review of the proposal

**Part 2**

By signing Part 2, the PI is attesting to the accuracy of the statements below; the PI should complete the form; not administrators or other staff.

**Question 1. A)**: PI should check the applicable box on human subjects - attach a copy of the latest IRB approval (the PI should be able to provide this). In the box below item (i), enter the IRB number if protocol is active, “pending” if the IRB is under development.

**Question 1. A)ii)**: Self-explanatory. Attach IRB copy or enter “pending” if appropriate. Otherwise, check n/a.

**Question 1. B)**: If either answer in 1A is yes, all key personnel listed in the proposal must have completed the online training noted. See listed links for assistance.

**Question #2**: If the project involves use of animals, attach a copy of the IACUC approval and list the expiration date in the box, or put “pending” in that box if IACUC is under development.

**Question #3**:  
- In the box provided, enter YES or NO to answer whether or not proposal involves techniques/agents listed.
- Check Yes, No, or N/A to answer question on OEHS notification. OEHS requires a copy of the proposal abstract if there is involvement of any of the techniques or materials listed.
**Question #4**: If space is not assigned, this needs to be discussed and arranged with Department chair and/or other school officials before the proposal is submitted

**Question #5**: Read this question and its requirements carefully:
* List all investigators (PI, Co-PI and anyone else whose role includes responsibility for design, conduct and reporting of the research) - including subrecipient personnel who meet this definition. Up to 8 may be listed (only 2 are presented on this slide). Attach additional pages if there are more than 8 individuals that meet the criteria for investigator.

* Check yes or no regarding whether the research is funded by PHS/DHHS (NIH, HRSA, AHRQ, CDC, FDA, SAMHSA, etc) and if so, whether all Investigators listed have used the FIRS system to disclose significant financial interests (SFIs) or the absence of any SFI. Check the appropriate box for each listed investigator. (Visit the links provided on the form for additional information on the FIRS and SFI). More non-PHS sponsors are adopting the PHS regulations, so checking "no" does not necessarily mean no disclosure is needed. See your grants office or contact OSP for further information.

*See the link provided to UVA’s Financial Conflict of Interest Policy for a definition of “personal interest” for additional information on the Virginia Conflict of Interest Act, and check yes or no regarding whether any employees (not just the PI) have personal interest in the study sponsor. If the project sponsor is a faculty startup company, check “yes”.

**Question #6**: Answer yes if PI and other staff have signed the Patent Agreement. (This should have been completed with Human Resources upon hire.) Contact the Vice President for Research’s Office if unsure.

**Question #7**: Check “No” unless PI or any other key personnel have been debarred, suspended or have such action pending. Notify OSP if any individual has been debarred, and proposal should include an explanation.

**Question #8**: If a PI is being released from a normal teaching load, answer yes and follow any school level practices for approval of the release. Note: schools may require this before allowing the proposal to be submitted/forwarded to OSP.

**Question #9**: If computers are used for any of the reasons listed, check yes

**PI signature**: PI must sign. If PI is unavailable, contact your school representative or OSP for instructions

**Part 3**

**Question #1**: List the name of the Development Office contact, if applicable.
**Question #2**: Only faculty members may submit proposals. See http://www.virginia.edu/polproc/proc/8-8.html (see “Pol 8-8 Exceptions” link) for information on requesting an exception. If you are submitting a fellowship or similar application, a faculty member must be designated as the PI on the goldenrod, even if the proposal will go in under the fellow’s name.

**Question #3**: If the answer is no, note the reason why in the comments section (e.g., “sponsor does not pay fringe benefits”).

**Question #4**: If current F&A rate isn’t going to be applied, one of the subsequent 4 boxes must be checked. If “Other” is checked, explain below in Remarks section

If the sponsor does not allow F&A costs or has a maximum rate, attach the sponsors documentation/statement (often in the proposal guidelines or sponsor website)

**F&A Waivers**:

Follow the instructions at the link below. The waiver should be prepared in the form of a memo/letter (there is no standard form). Waivers are RARELY approved. See Policy VIII.D.3, Section 2.3 for the waiver request process

**Question 5**: If over 50% of the time devoted to the project by all the staff on the project (except undergraduates) will be on work that occurs off-grounds, check yes. See Policy VIII.D.2 [Click here for Policy VIII.D.2 - Determination of On-Grounds/Off-Grounds]

**Question 6**: Answer yes if:

1) the proposal period covers multiple years and an annual estimated inflation has been included in the salary budget and
2) multiple F&A (indirect) rates will apply, and the budget has been adjusted accordingly.

If the answer to either one is no, an explanation must also be included and indicated in the remarks section at the bottom of the page.

**Question #7**: Faculty members and other state employees typically cannot be considered consultants for other UVA Principal Investigators’ research unless authorized. See “Information on Faculty Overload and Supplemental Compensation” link for more information. [Click here for information on Faculty Overload and Supplemental Compensation]

**Question #8**: If you are not using current salaries (plus any multi-year inflation), explain below. Include any University Physicians Group (UPG) pay in calculating institutional base salary for employees with UPG appointments.

**Question #9**: There are specific policies concerning student employment and the wages paid to them. (See the current Wage Authorization document linked above). If using a different rate in the budget, explanation must be explained in Remarks section at the bottom of the page.
**Question #10:** TBA

**Question #11:** See the CAS guidelines website for common items that require Cost Accounting Standards approval. Click here to visit the Guidance and Tools for Cost Accounting Standards page.

**Question #12** Cost Sharing occurs when the University contributes towards the costs associated with research and other sponsored projects, and may occur in a number of ways, depending on resources and sponsor requirements, e.g. effort (faculty/staff time), cash, supplies, equipment. If answer to this question is yes, check yes and complete part 5 of the Proposal Approval “Goldenrod” packet

**Question #13:** A subcontract (subaward) is an agreement issued under a “prime” contract, agreement, purchase order, or grant. Answer yes if there will be a subaward or subcontract associated with this project. Note: This question applies to OUTGOING subawards only.

13a): Typically the subawardee will provide a letter - signed by an authorized institutional official, statement of work, and budget to include with the proposal documentation.

**Question #14:** If there is an RFP (request for proposal), attach a copy to the Goldenrod package

**Question #15:** If proposed project will involve effort from individuals in schools outside of the PI’s school, approval must be obtained from the other school to release their employee(s)’ time. The appropriate form must be on file in the PI’s department, and follow school or department-level procedures as applicable.

**Question #16:** TBA

**Question #17:** If the proposal has a cover sheet or letter that requires a signature from an authorized university official, answer yes and attach it to the Goldenrod packet

**Question 18A:**

Answer yes if there are graduate students being paid as wage employees who will be paid more than $5000 in a budget year.

18B: If 18A is yes, then answer yes to 18B if tuition remission (required for all GRA’s) is included in the proposal budget. (If tuition remission is not in the proposal budget, the department will need to identify sources for the remission. See the Wage Authorization document on the Provost website for more information.)

Click here for Provost’s Office current year student wage authorization rates

The Research Administrator completing the checklist should sign. Note: Schools may require this to be completed by a school level representative.
Click here to view Policy FIN-028 “Minimum Effort on Federally Sponsored Research Activities”

**Total**: Enter the total of the Subtotal Salary/Wages $ to the Total Fringe Benefits.

**Fringe Benefits**: Calculate the fringe benefits for each individual and enter the total for all cost shared fringe benefits here.

**Salary/Wages**: Multiply the individual's base salary times the % of cost share effort listed in the previous column and enter it here as a dollar amount. (If the time committed is less than a 12 month period for 12 month employees, note the specific time period of the commitment.)

**% Cost Share Effort**: Enter the percentage of their time committed as cost sharing to the project for each associated staff member. PI should provide this information.

**Employee Type**: For each person listed, check the employee type. All School of Medicine faculty are 12 month faculty. For University Staff, use the Classified Staff box.

**Employee Number**: List the employee's UVA ID number. Someone with HR responsibility should be able to provide this number, or the employee can retrieve it under the "Personal Information" section of the Integrated System Self-Service module.

**Name**: List all professional staff who are offering any effort as an "in kind" or cost shared contribution to the sponsored project. **Departmental clerical/administrative staff time should, as a general rule, NOT be included as an element of cost sharing.**

**Salary and Wage Detail (Effort Commitments)**: It is critical that this information be provided as fully as possible so OSP can accurately and completely maintain the cost share database, which is used to generate effort reports, and in the F&A rate negotiation process..

Check the type of cost share: **NOTE**: Do not include NIH "over the salary cap"as cost share. (Do include amounts over all other salary caps, e.g., K awards, as cost share.)

**Mandated**: Sponsor requires cost sharing or matching (attach documentation to Proposal packet).

**Voluntary**: PI is voluntarily committing effort or other resources to the project without requesting funds from the sponsor.

**Minimum Effort**: PIs and key personnel must include some level of committed effort (minimum 1%) on most Federal/Federal flow-through sponsored research activities. Check this if the PI is committing only the minimum effort required and not requesting funds from the sponsor.

PI Name, Dept/School, and Budget Years should match those listed on Part 1

**Dean of School Signature**: Dean or designee must sign
Department Chair Signature: Chair or designee must sign; be sure to check with your business manager or other representative to determine who has signatory authority for your department.

NOTE:

• Effort, funds and equipment documented in a proposal as committed cost share obligate the department/school to fund the research in the manner outlined, and to track such cost share accordingly.
• The department/school should be able to provide, when requested, detailed information about the nature of this cost share activity and the source of funds which is supporting it.
• Departments may not fund this portion of the project with moneys provided either by this grant or any federal grant.
• Effort reports will be generated according to the information provided in this form.
• Employees with cost shared effort should be sure to certify the effort report accordingly, adjusting the apportionment of effort and the funding sources from which grant personnel are paid, to account for cost share committed in this section of the goldenrod proposal approval sheet.

Other: Indicate the dollar amount and nature of the cost share. Other costs may include tuition, human subjects compensation, etc.

Third Party/In-kind: List any contributions by an individual/group outside the University and the sponsor, for example cash (rare) or non-cash contributions, such as equipment.

Unrecovered F&A Costs: This applies anytime there is mandatory cost share as part of the award conditions and the sponsor accepts "unrecovered Facilities and Administrative costs" as a valid cost share contribution. If this applies, calculate the actual dollar amount of proposed f&a using the sponsor's rate and subtract the result from what the dollar amount would have been had UVA's rate been used.

Travel, Supplies: List the dollar amount of any travel or supplies costs, borne by the University, that will be incurred on behalf of the project.

Equipment: If equipment is to be purchased with cost-shared funds, indicate the dollar amount and a description of the type of equipment being cost-shared.

Other Than Personnel Services (OTPS): Enter all non-personnel project costs that are being committed as an "in kind" or shared contribution to the project, without requesting funds from the sponsor.