INSTRUCTIONS FOR THE PROPOSAL APPROVAL or "GOLDENROD" FORM

Tracking #
Some schools use this field for internal tracking purposes.

Proposal #
OSP assigned proposal tracking number

Department
Enter your department and/or school

Date
Today's date

Sponsor
List the funding entity (e.g., NIH, NASA, Whitaker Foundation, etc.)

Fiscal Contact/Phone
The name of the departmental staff person responsible for project's accounting activities, and their telephone extension.

Project Name
The project name, as entered in Oracle.

Award Full Name
The full name of the award funding the project, as entered in Oracle.

Award Short Name
The shortened, abbreviated name of the award, as entered in Oracle.

Award Alternate Name
This is the short name often used by the Department, to identify Awards.

Sponsor Deadline
Indicate the sponsor's submission deadline for the proposed project; obtain this date from the program announcement (PA) or request for proposal (RFP)

Dept Deadline
The date the department needs to receive the proposal back from OSP in order to submit it to the sponsor by the sponsor's deadline.

Principal Investigator/PI SSN/ PI Email
Name, SSN and Email of the principal investigator (PI) primarily responsible for the completion of the proposed research activity

Project Owning Org
Indicate the five digit Oracle related "org" ("org" is the organization or department number) number where the project is assigned; determines where F&A is distributed
Award Owning Org
Indicate the five digit Oracle related "org" where the award is assigned

Proposal Status
Indicate here whether this specific proposal is in regard to

✓ a new project,
✓ the competitive renewal of an existing project,
✓ a revision to a previously submitted project proposal,
✓ an application for a continuation of a currently funded project, or
✓ a supplement to a previously submitted project proposal

Project #
Indicate Project # in the case of a pre-existing Project for which a renewal, a continuation, or a supplement is being requested.

Award #
Indicate Award # in the case of a pre-existing Project for which a renewal, a continuation, or a supplement is being requested.

Research Type
Indicates whether research is basic or clinical.

ERA
If your proposal application will be submitted to the sponsor electronically, and this is the paper copy, check yes. All National Science Foundation proposals will have to be submitted electronically as of October 1, 2000 via "FastLane". Section Three of the Research Administration Guidebook has instructions on the preparation/submission of proposals via FastLane.

Proposal Period
Requested start and end date of the project.

Summary of Costs
Detail budget information here for only the first year of the project, and for the total project period if the proposed project would extend beyond one year. The information for both columns would be the same if the project life was one year.

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Principal Investigator/ Program Director’s Statement
Information regarding these items should be completed by the PI. Her/his signature is required at the bottom of this section (and in Part Three, 'Justification for Cost Accounting Standards Exception Request' of this form in instances when that part is submitted).

Q1. Human Subjects
If the proposed research will involve human subjects, follow the guidelines in the Human Subjects section of this guidebook and include the associated documentation.
See this website for information on the HIC training requirement for all key personnel:
http://www.med.virginia.edu/HIC/

Q2. Animal Subjects
If the proposed research will involve animal subjects, follow the guidelines in the Animal Subjects section of this guidebook and include the associated documentation.

Q3. Environmental Health & Safety Requirements
Relative to the potential use or involvement of hazardous materials in a sponsored project, the Office of Environmental Health & Safety requires a copy of the proposal's abstract be sent to them should there be any involvement of DNA techniques, radioactive materials, hazardous chemical waste, biohazardous materials or infections agents in the project. See the following website address for additional information:
http://keats.admin.virginia.edu/

Q4. Space
The space/facilities necessary to complete the research project needs to be arranged before proposal submission. The PI should discuss and arrange this with the Department Chair and/or other school officials.

Q5./Q6. Conflict of Interest
The PI must disclose the potential for a conflict of interest concerning all scientists involved in her/his proposed research project. The two distinct areas of conflict of interest covered in this policy stem from Virginia law:
1) Restrictions and prohibitions regulate circumstances under which an employee may be involved in University contracts or business transactions. Procedures must be followed and disclosures filed to ensure no personal or financial conflict of interest exists. Some situations are exempt.
2) An employee is not permitted to control employment conditions or activities of an employee who is a family member. In situations of dual employment appearing to have a conflict of interest, certification that none exists must be filed. See http://minerva.acc.virginia.edu/~polproc/pol/xva1.html for additional information concerning Conflict of Interest.

Q7. Patent Agreement
The PI must have a signed University Patent Agreement (upon hire - via Human Resources) on file with the VPR's Office.

Q8. Debarment, Suspension or Proposed Debarment
Check no unless the PI or any other key personnel have been debarred, suspended or has such actions pending. This applies to all project personnel on federal projects.

Q9. Release Time
If the research project involves the PI will spending time working with other departments and/or schools (interdisciplinary activities), and implies being released from the normal teaching load, this must be documented here. Each school also has their own internal practices for approval of such activities.
The signature of the PI must be obtained for this section before routing to the Office of Sponsored Programs (for all schools other than the School of Medicine), or the SOM Office of Grants and Contracts Administration for institutional signatory approval.

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Departments Chair's and Dean's Statements
These signatures should be obtained after the entire proposal has been completed.

The signature of the Department Chair and School Dean must be obtained for this section before routing to the Office of Sponsored Programs (for all schools other than the School of Medicine), or the SOM Office of Grants and Contracts Administration for institutional signatory approval.

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**Part Two - Information for Central Administrator Use in Reviewing Proposals**
This section is completed by the grants administrator for the associated department, and will be reviewed by the appropriate institutional official.

Q1. Foundation Proposals & the Development Office
UVa's Development office promotes, maintains and values its relationships with various foundations and corporate entities, who not only may support UVa with financial gifts, but who are often also sponsors of research programs. When proposals are to be submitted to foundations, the Development offices requests notification so that requests for support be appropriately and professionally coordinated.

Q2. Eligibility
Only elected members of the faculty may submit grant proposals. Elected members of the faculty include professors, associate and assistant professors, instructors and lecturers. See: [http://www.virginia.edu/%7Epolproc/pol/viia1.html](http://www.virginia.edu/%7Epolproc/pol/viia1.html) for additional information.

Q3. Fringe Benefits
A percentage of the cost of fringe benefits (i.e., health, vacation, etc.) paid to University of Virginia associates who work with sponsored projects should be incorporated into the proposed budget. The current "negotiated" or allowed fringe benefit rates requested in proposal budgets for each employment category can be found at [http://www.virginia.edu/%7Esponpqm/rate_memo.html](http://www.virginia.edu/%7Esponpqm/rate_memo.html) and on the Miscellaneous Data for Submission of Sponsored Project Proposals sheet of this Guidebook. If the response to this question is 'no', identify the PTA (Project/Task/Award) to which the fringe benefits will be charged.

Q4. Facilities & Administrative (Indirect) Cost Rate
F&A or 'indirect' costs, generically include 'overhead' expenses or 'common costs' associated with conducting research or other projects, but which cannot be specifically identified with a project. The amount or rate allowed in budget proposals is also a 'negotiated' figure; the current F&A rates allowed may be found at
http://www.virginia.edu/~sponpgm/rrates.html and on the Miscellaneous Data for Submission of Sponsored Project Proposals sheet of this Guidebook. Note: the rate allowed may differ based upon specific sponsor and/or program limitations. If the amount budgeted in the proposal is different that the negotiated amount, document that at this point on the form, checking one of the four options in the Q3 which identify why the 'negotiated' rate is not applied in the proposal's budget.

Q5. Off Campus Rate
F&A (or indirect) cost rates included in the budget proposal differ relative to whether a project's activity predominantly (over 50% of the effort, not expenses) occurs on or off grounds. The off campus rate is used when the projects activity does not occur on grounds. If an off campus rate is used in the budget proposal, it should be clearly justified in the budget narrative.

Q6. Adjustment of Rates relative to Multi Year Proposals
As allowed by the sponsor, consider increasing salary costs when developing multi year budget proposals. NOTE: The Program Announcement may sometimes limit escalation. A recommended amount of increase for salaries would be 4% annually.

Q7. University or State Employees as Consultants
Faculty members typically can't be considered "consultants" for other UVa principal investigator's research efforts unless authorized. Reference http://www.virginia.edu/~polproc/pol/xia1.html for more information.

Q8. Salary Accuracy
Contact your departmental business manager to obtain accurate salary information.

Q9. Student Salary/Wage Rate
There are specific policies concerning student employment and the wage paid to them. See http://minerva.acc.virginia.edu/provost/02Wage.html for current information.

Q10. Central Service Rates
Please attach the current rate schedule from each service center identified in the proposal.

Q11. Federal Cost Accounting Standards and Consistent Treatment of Costs
UVa is required by federal regulation to comply with specifically described "Cost Accounting Standards". See the OSP website: http://www.virginia.edu/~sponpgm/ and the Financial Administration website: http://www.virginia.edu/~7Epolproc/pol/viiia8.html for guidance. If there is a request for exception/s to UVa Cost Accounting Standards policy within the grant budget, detail the proposed exception request in Part Three of the Proposal Approval Form.

Q12. Cost Sharing
Cost sharing occurs when the University contributes to 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 and staff time), cash, supplies, equipment. If cost sharing is included in the budget proposal, it must also be documented on Part Four of this Proposal Approval Form.
Q13/13a. Subcontracts
A subcontract is a contract issued under a prime contract, agreement, purchase order, or grant for the procurement of professional services. Subcontractors involved in the proposed sponsored activity should be aware of the budget aspects directly related to their effort, and provide an authorized signature so indicating.

Q13b. Sole Source Justification
Sole source justification, or the stipulation that only one source fulfills the specific needs of the project, is required when the proposal includes subcontract expenditures over $10,000; this explanation should be included with the proposal. If no explanation is provided, explain here.

Q13c. Subcontractor Certifications
Similar to Q10 on the first page of the Proposal Approval Form, this question asks for affirmation that subcontractors meet these professional standards or "certifications".

Q14. Proposal as RFP Response
Some proposals may be in response to an "RFP" or Request for Proposal. If this is the case, the actual RFP document must be included with the proposal documents.

Q15. Departmental/School Clearances or Release Time
All personnel identified in the proposal to be included in the project's effort need to have prior approval for "release time" away from their current responsibilities. The form **Release Time Proposal for Professional Personnel** must be completed, signed and on file in the PI's department.

Q16. Corporate Proposals
If the proposal is being submitted to a corporation, attach a copy of the contract to the proposal approval sheet.

Q17. Institutional Authorized Signatures
If the proposal has a cover sheet or letter which must be signed by an authorized university official relative to submission, include it with the proposal approval sheet.

Q18. Graduate Student Compensation
See the Provost's website for details on tuition remission:
http://www.virginia.edu/provost/02Wage.html

Remarks Section
Include any explanations required by other Part Two questions in this area.

The signature of the departmental grants administrator must be obtained for this section before routing to the Office of Sponsored Programs (for all schools other than the School of Medicine), or the SOM Office of Grants and Contracts Administration for institutional signatory approval.

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Part Three - Justification for CAS Exception Request

Review and follow the instructions at the top of this page (Part Three) of the form. Refer to the website resources listed therein, and contact your departmental/school grants administrator and/or the Office of Sponsored Programs at 924-4270 for additional assistance.

Signatures of the PI and department Chair are necessary for this Proposal Approval Form to be processed by OSP (or the Office of Grants and Contracts for the SOM) for authorized submission to the sponsor.

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Part Four - Budgeted Cost Sharing

Is Cost Share Mandatory or Voluntary?
Indicate whether or not cost sharing is required by the sponsoring agency or if the PI is voluntarily committing effort to a project without requesting funds from the sponsor.

A) Salaries and Wage Detail (contributed effort)

**NOTE:** It is important that this information be provided as fully as possible so that OSP can accurately and completely maintain the cost share database, which serves as an important part not only of effort reporting, but also in the Indirect Cost Proposal negotiations.

- List all professional staff who are offering effort time, partially or wholly, as an 'in kind' or cost shared contribution to the proposed project. Departmental secretarial and/or clerical time should, as a general rule
  - NOT be included as an element of cost sharing.
- Include the Employee Number (or SSN).
- For each, check whether their 'appointment' or terms of employment are for a 9 month or 12 month "year", or whether they are faculty in the School of Medicine.
- Indicate the percentage of the effort time donated as cost sharing to the project for each associated staff member. The PI should provide this information to you.
- Salary/Wages - multiply the base salary by the percentage of effort time allotted to the project as cost sharing. This figure should be stated as a dollar amount.

B) Other Than Personnel Services (OTPS)

Fringe Benefits
✓ Indicate the dollar amount which will be cost shared under this category. Also indicate the funding source.

Equipment (describe)
✓ Indicate the dollar amount which will be cost shared under this category. Also indicate the funding source.
Please provide a brief description of the equipment being cost shared.

Unrecovered Facilities and Administrative Costs
✓ Indicate the dollar amount which will be cost shared under this category. Also indicate the funding source.

Other (please explain)
✓ Indicate the dollar amount which will be cost shared under this category, and the nature of the cost share concerned. “Other costs may include tuition, human subjects compensation, long distance phone charges, animal care and use costs, etc. Also indicate the funding source.

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. Your 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. You 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. Unless your plans have changed in the meantime, you should be sure to certify the effort report accordingly, adjusting the apportionment of your 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.