

Sponsored Programs Administration

1901 S. First St., Suite A, MC-685 Champaign, IL 61820-7406

SPA Proposal Field Guide (Annotated)

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Basics

Proposal Details

Proposal Type

The submission must be classified into one of the following types:

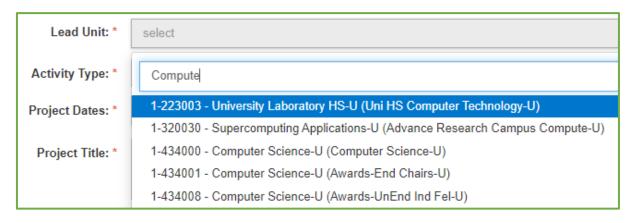
- 1. **Pre-Proposal**: Request for approval to submit a proposal for funding.¹
- 2. **New**: Request to initiate a new sponsored project. If applicable, then please provide a reference number to the Pre-Proposal in "Notes".
- 3. **Supplement / Amendment**: Request to increase funding and SOW on an existing award that does not extend the period of performance. The F&A Rate for the original submission shall apply for this Proposal Type. Please lookup (using, inter alia, the Grant Code) and identify the active award record in "Related Award (Award ID)".
- 4. **Continuation**: Request to increase funding and SOW on an existing award that extends the period of performance. The current F&A Rate for the original Activity Type and Location shall apply for this Proposal Type. Please lookup (using, *inter alia*, the Grant Code) and identify the active award record in "Related Award (Award ID)".
- 5. **Renewal**: Request to initiate a new sponsored project that is related to an existing award, and if funded, will result in a new award number. Please provide the Grant Code for the previous award in "Notes".

Lead Unit

The unit, as designated by the Banner sub-department or organization code (e.g. 1-681000), responsible for the administrative oversight of the project2. For proposals (requests for funding), the Unit Head / Chair of this Unit or his/her delegate3 must approve4 in advance of submission. This approval ensures:

- 1. The work aligns with the mission of the unit;
- 2. The researcher(s) is(are) qualified to perform the work;
- 3. The availability of necessary unit space and resources to perform the work;
- 4. The level of mentorship is appropriate (if applicable);
- 5. The commitment of unit-funded cost sharing⁴, including the researcher's Contributed Effort, to the project (if applicable); and
- 6. The commitment to support the proposal when funded.

*Continuations and Renewals will utilize the current applicable Negotiated Cost Rate Agreement. Supplements may apply the rate applied to the active Grant Code proposal. Fringe rates update annually in all cases.



^{*}Once the lead unit has been selected, it may not be revised. The record must be copied again with the desired lead unit.

Proposal Type: * select

Lead Unit: * New
Continuation
Pre-Proposal
Renewal
Supplement/Amendment

^{*}For Supplements and Continuations, the proposal record should reflect the period of performance which funds are being added. If the sponsor requires a budget reflecting the original period plus supplemental funding, a separate SPA budget should be prepared for internal tracking of only the new money.

¹ The system may generate a warning that a budget is required. Please disregard to this warning and proceed.

² Business Managers of the Lead Unit will be able to see Attachments and Financial Details in the myResearch Portal.

 $^{^{\}rm 3}$ No person may approval a proposal as both a Researcher and as the Lead Unit approver.

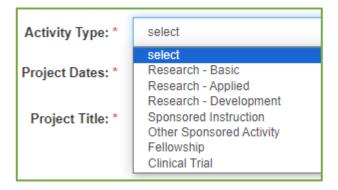
⁴ The unit's Unit Executive Officer (UEO) must approve exceptions to <u>CAM policies</u> and college- or institute-funded cost share commitments; unlike Lead Unit approval, this approval cannot be delegated.

Activity Type

The project must be classified, based on the predominance of activity, into one of the following:

- 1. **Sponsored Research**⁵: Experimental, theoretical, or systematic work undertaken to acquire new knowledge or to improve knowledge of the underlying foundations of phenomena and observable facts. This Activity Type specifically includes training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.
- Fellowship: A sponsored fellowship is a sub-category of Sponsored Instruction in which
 the primary investigator is a graduate student, pre-doctoral student, or a postdoctoral
 researcher to support a specific non-faculty individual on a dissertation project or other
 student or postdoc-led project. This activity is separated from Sponsored Instruction
 since the institution generally does not typically assess F&A costs on these projects –
 see this CAM RP-03 FAQ.
- Sponsored Instruction: Teaching and training activities for university enrolled students and including Fellowships as listed above. This Activity Type includes teaching or training activities offered either for credit or non-credit basis and whether offered through academic departments or separate divisions.
- 4. Other Sponsored Activities: The application of an existing methodology (a.k.a. protocol), which is performed for the benefit of the sponsor, the institution, or to provide instruction to non-students. Examples include Sponsored Service Agreements, use of facilities, grants for conferences or travels, public events, public outreach, community service, etc.
- 5. **Clinical Trial**: A project will be considered a clinical trial if it meets any of the following definitions:
 - a. A[n NIH funded] research study in which one or more 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 (See
 https://grants.nih.gov/policy/clinical-trials/definition.htm);
 - b. The project is or will need to be registered on ClinicalTrials.gov; OR

The project is a controlled, clinical testing of Investigational New Drugs (INDs) or Investigational Devices (IDEs) using either a sponsor or investigator developed protocol under an FDA Phase I, II, III, or IV drug study or an FDA-regulated medical device study, or the controlled clinical testing of a protocol performed under the sponsorship of an approved national cooperative consortium for clinical trial services. Projects involving animal subjects should not be classified as clinical trials.



*The Statement of Work Attachment must support the Activity type selected

3

 $^{^{\}rm 5}$ Specific types of Sponsored Research, NSF HERD Survey, FY20:

<u>Research – Basic</u>: Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view <u>Research – Applied</u>: Original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.

<u>Research – Development</u>: Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

Project Dates

The estimated start date for the project. After the "to", enter the estimated end date for the project.

Project Title

The title for the project. This field is compliant with federal systems, which limit project titles to 200 characters. If your non-federal title is longer than 200 characters, then please truncate the title for internal purposes.

Sponsor

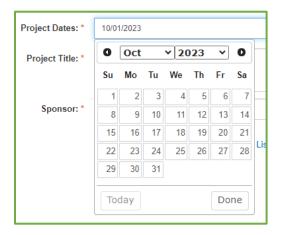
The name of the direct sponsor for the project, that is, Illinois's direct sponsor. Additional information about finding the correct sponsor is available on the <u>START myResearch's Sponsor Help</u>.

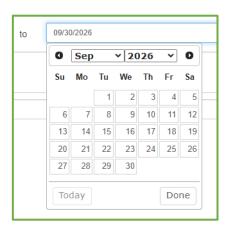
Prime Sponsor

This field is only available after the initial record is created. The name of the funding source for the project. If the Sponsor is also the funding source, then leave this field blank. Additional information about finding the correct sponsor is available on the START myResearch's Sponsor Help.

Related Award (Award ID)

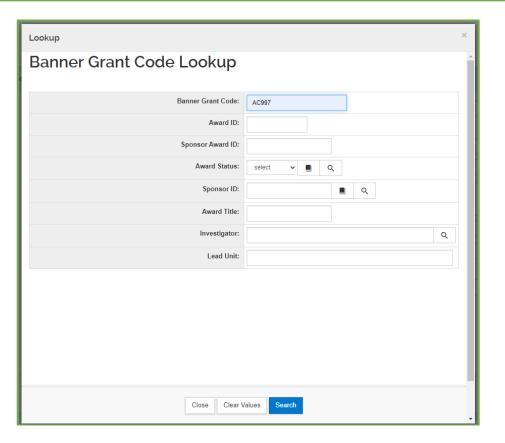
This field is only available after the initial record is created and the Proposal Type is either "Supplement / Amendment" or "Continuation". This field is used to identify the active award record and create a systematic link that is available on the Award Summary in the myResearch Portal.











Delivery Info

Submission By

The party responsible for submitting the final, approved proposal to the sponsor:

- 1. <u>Unit</u>: Proposal will be submitted by PI or unit.
- 2. Central Office (SPA): Proposal will be submitted by SPA.

Submission Type

The means by which the final, approved proposal (not award) will be submitted to the sponsor:

- 1. <u>Do Not Mail</u>: The proposal has already been submitted to the sponsor or SPA needs to either process or draft an agreement before contacting the sponsor (e.g. Sponsored Services Agreement)
- 2. <u>Electronic</u>: Electronic submission via either email or sponsor system.
- 3. Overnight: Hard copy submission via express or overnight shipping with SPA's C-FOAP covering the charges, and the tracking number will be made available.
- 4. <u>US Mail</u>: Hard copy submission via US Mail.

Number of copies

- If Submission Type is either "Overnight" or "US Mail", then indicate the number of copies required by the sponsor.
- Otherwise, leave blank.

Sponsor Mailing Address / Electronic Submission System

- If Submission Type is "Do Not Mail", then leave blank. If proposal record is being processed for the award negotiator to submit to sponsor, then request submission by award negotiator.
- If Submission Type is "Electronic", then provide the email address(es) or name of the sponsor system. The application number for sponsor system is input in the "Temporary Application ID" field.
- If Submission Type is either "Overnight" or "US Mail", then provide the address to receive the proposal.



*If proposal has both components of submission, notate "Central" and clarify in the notes section. (i.e. ProposalCentral has submission delegate access for SPA by the PI. However, an electronic signature must be applied by SPA

Submission Type: *	select
Number of copies:	select Do Not Mail Electronic
Submission System:	Overnight US Mail

*Post COVID, there are few if any US Mail proposal submissions. Reach out early and in advance if mailing is required. *If sponsor requires hard copies of the proposal then you need to provide the mailing address as well as a phone number and/or email address for the sponsor*

Number of copies:	
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Sponsor Mailing Address / Electronic Submission System:	Name of sponsor submission system or email address

*Special notes for processing should also be added if there are concurrent submissions to SPA, for T&C, or if there is already a negotiation action for Agreement review being done

Sponsor & Program Information

Sponsor Deadline

The sponsor's deadline date and time.

- If there is no sponsor deadline, then please keep these fields blank.
- If the deadline is in a different time zone, then please list both for the Central Time Zone.

Sponsor Deadline Type

The type of Sponsor Deadline:

- 1. Hard: The sponsor absolutely must receive the proposal by the listed date and time.
- 2. <u>Target</u>: It is requested that the sponsor to receive the proposal at the by the listed date and time.

Notice of Opportunity

The opportunity announcement type:

- 1. <u>Federal Grant Solicitation</u>: The submission is in response to a federal solicitation for financial assistance, including grants and cooperative agreements.
- 2. <u>Federal Contract Solicitation</u>: The submission is in response to a federal solicitation for procurement, commonly referred to as "contract".
- 3. <u>Unsolicited</u>: The submission is not in response to any formal announcement or request for submissions.
- 4. <u>Non-Federal Solicitation</u>: The submission is in response to a solicitation from an external source of funding that is not federal.
- 5. <u>Internal</u>: The submission is in response to a solicitation from an internal source of funding.

Opportunity ID

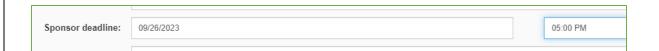
If applicable, the Opportunity Identifier or Announcement Number (e.g. NSF 17-566, PAR-15-332, DE-F0A-000728)

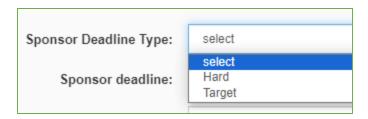
Temporary Application ID

If applicable, the sponsor's temporary identification number for the proposal (e.g. FastLane Temporary Proposal ID, ASSIST ID, Workspace Number).

Final Sponsor Proposal ID

If applicable, the sponsor's final identification number for the proposal (e.g. FastLane Proposal ID, eRA Commons Accession Number, grants.gov Tracking Number). This number is usually entered by SPA.







*Internal Funding is not utilized, and may possibly be decommissioned

Opportunity ID:	123456789
Temporary Application ID:	987654321
Final Sponsor Proposal ID:	

Key Personnel

Personnel

Key Personnel: Those individuals who are essential to carrying out the work of the project, typically those responsible for the design, conduct and reporting of the research. Key personnel includes PIs, Co-Is, and Key Persons. The university tracks PIs and Co-Is on the project. Each key person tracked by the university, and any other individuals who have Contributed Effort (*see "Cost Share Source Types"*) on the project, must certify and approve the submission in advance of submission.

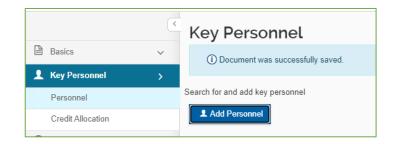
- <u>Principal Investigator (PI)</u>⁶: An individual vested by the university with the primary responsibility to independently design, conduct, and supervise sponsored projects awarded to the university. All variants of PIs are subject to <u>CAM RP-06</u>: <u>PI Eligibility to serve as Principal Investigator</u>.
 - PI/Contact: The primary (contact) Principal Investigator on an NIH funded project that allows multiple Principal Investigators.
 - o <u>PI/Multiple</u>: A Principal Investigator, other than the Contact PI, on an NIH funded project that allows multiple Principal Investigators.
 - <u>Co-Principal Investigator (Co-PI)</u>: The primary (contact) Principal Investigator on any non-NIH funded projects that allows multiple Principal Investigators.
- <u>Co-Investigator (Co-I)</u>: An individual who serves as a key project person, but without the oversight responsibility of a Principal Investigator (PI).

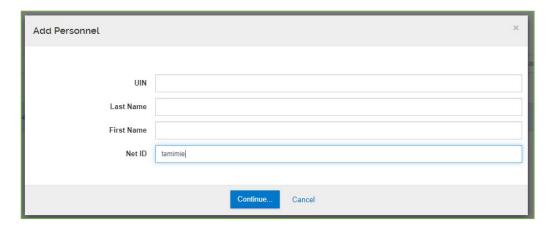
Please note the Urbana-Champaign campus does not currently use the 'Key Person' role for proposal submissions.

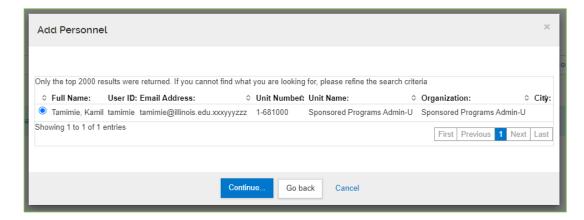
Effort: List person months as an annualized average of effort per person, much like you do (or would do) in the submission of a Current and Pending Report. For effort in a proposal, please remember to comply with <u>CAM HR-24</u>: <u>Effort and Compensation on Sponsored Projects</u> and <u>OBFS 16.1.3 – Compensation for Personal Services Charged to Sponsored Projects</u>. NOTE: If no effort would be listed for the project, then enter '0' in "Calendar Year Effort".

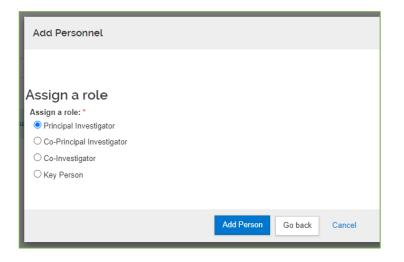
- Academic Year Effort
- Summer Effort
- Calendar Year Effort
- Contributed Effort











⁶ PIs will be able to see Attachments and Financial Details in the myResearch Portal. Co-Is will see the record, but not the Attachments and Financial Details.

Credit Allocation

Intellectual Credit: The participating Principal Investigator(s) shall determine the distribution of Intellectual Credit

at the proposal stage, allocating based on those who are advancing the project's creative/scientific/scholarly aspects through intellectual contributions – e.g., generating ideas, conducting research or scholarly activities, preparing manuscripts/reports/articles, preparing funding applications, mentoring students, etc.

The percentage distribution does not necessarily correlate to anticipated dollars to be expended, percentage of effort in terms of project appointments, or indirect cost distribution.

The Intellectual Credit data is intended solely for departmental, unit and college use. Some departments/units/colleges may give little weight to these data, while others may draw upon them when assessing productivity and considering promotion and tenure. Intellectual credit may also impact external reporting related to unit ranking (e.g., US News and World Report), or internal reporting to reflect the total research activity for individual faculty affiliate members of a research institute, like the Beckman Institute.

It:

IS new, internal metric to measure intellectual credit on the project - of the individual and the department/unit

IS NOT related to Indirect Cost Recovery (ICR)

IS NOT related to patent royalties

IS NOT related to Effort

IS NOT related to separate funds on a Grant Code

DOES NOT impact the proposal application or submission

The system defaults Intellectual Credit to 100% to PI and 100% to the Lead Unit.

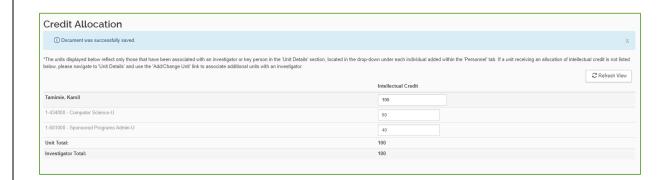
Questionnaire

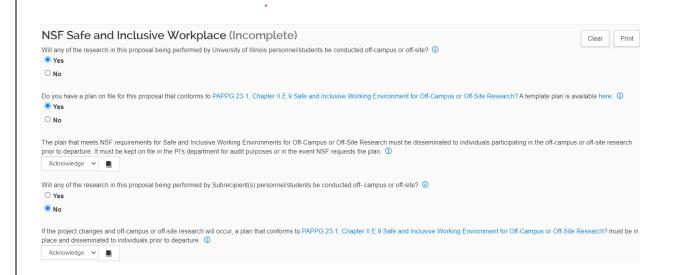
For National Science Foundation Proposals, the MyPropsals system automatically generates this questionnaire for compliance with sponsor specific policies on ensuring a Safe and Inclusive Workplace.

If any of the Research Activity is conducted off campus or off site, select "Yes" in the drop-down field.

Indicate "Yes" if you have a plan must be in place that conforms to NSF policies. (Note, the written plan is not required to be submitted to NSF with the proposal, but maintained on file with the unit/department/PI.)

If the proposal includes a subaward, any research conducted off campus must also conform to NSF guidelines. These stipulations must be acknowledged in the proposal record by selecting "Acknowledge" in the drop down menu.





Compliance

Human Subjects

All research involving human subjects that is conducted at or sponsored by the University of Illinois at Urbana- Champaign, whether funded or unfunded, and whether conducted by Illinois faculty or others, must comply with applicable policies for the protection of human subjects. Under a formal assurance made by the University of Illinois and approved by the federal Office for Human Research Protections (OHRP), and per federal regulations, the Institutional Review Board (IRB) is given broad authority and wide-ranging responsibilities for ensuring the ethical and legal conduct of human subject research at Illinois. The IRB follows widely accepted ethical principles,

legally binding federal regulations, campus policies, procedures, and practices, and other guidelines in carrying out this important responsibility. **Responsible Office: OPRS-IRB**.

Animal Subjects

The USDA Animal Welfare Act and the NIH Public Health Service Policy on the Humane Care and Use of Animals

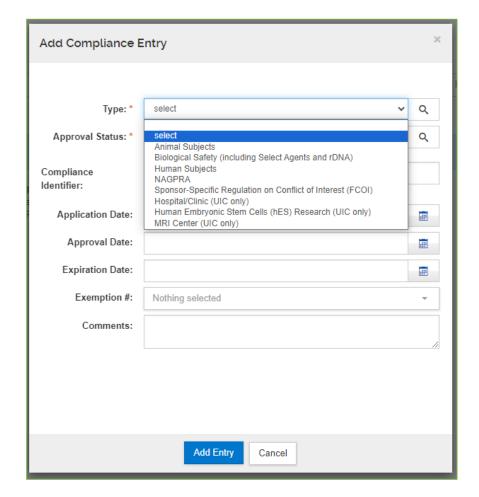
require that institutions conducting research with animals establish an Institutional Animal Care and Use Committee (IACUC). The IACUC provides oversight and helps ensure compliance with all laws, regulations, and policies governing the care and use of research and teaching animals. **Responsible Office: IACUC.**

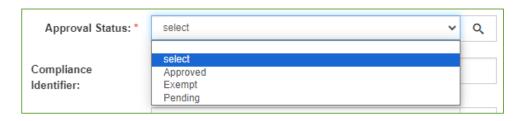
Sponsor-Specific Regulation on Conflict of Interest (FCOI)

The US Department of Health and Human Services (HHS) issued a regulation, 42 CFR Part 50 Subpart F, on financial disclosure for Public Health Service (PHS)-funded investigators. Effective August 24, 2012, this regulation requires additional financial disclosure and training for anyone involved in the design, conduct and analysis of PHS-funded research, including PIs, co-PIs, academic professional research staff, postdoctoral research associates, and graduate research assistants. If your research or employment is funded by the PHS (<u>list of agencies</u>), this regulation will affect you. Training and disclosure are required. **Responsible Office: OCVRI-FCOI**.

The US Department of Energy (DOE) issued a regulation, PF 2022-17, on financial disclosure for DOE-funded investigators. Effective June 17,2022, this regulation requires additional financial disclosure and training for anyone involved in the design, conduct and analysis of DOE-funded research, including PIs, co-PIs, academic professional research staff, postdoctoral research associates, and graduate research assistants. Training and disclosure are required. **Responsible Office: OCVRI-FCOI**.

The National Aeronautics and Space Administration's (NASA) published <u>Grant Information Circular (GIC) 23-07</u> informing grant and cooperative agreement recipients of the conflict of interest (COI) disclosure requirements. Effective **December 1, 2023, new and amended** NASA grant and cooperative agreement recipients shall comply with the conflict-of-interest policy and notification requirements in section 3.3, Conflicts of Interest Policy, of the NASA Grant and Cooperative Agreement Manual (GCAM), as amended by Grant Information Circular 23-07, Conflict of Interest Policy. Training and disclosure are required. **Responsible Office:** <u>OCVRI-FCOI</u>.





Biological Safety (including Select Agents and rDNA)

The Institutional Biosafety Committee (IBC) advises on matters relating to the safe handling, transport, use, and

disposal of biological materials, including recombinant DNA molecules and synthetic nucleic acid molecules, on the Urbana-Champaign campus. **Responsible Office:** <u>DRS-IBC.</u>

NAGPRA

The Native American Graves Protection and Repatriation Act of 1990 and companion federal regulations (NAGPRA)

should be marked when the project may impact Native American communities, including work with North American archaeological sites and materials. **Responsible Office**: NAGPRA Office.

10 Version date 1/24/2024

Controlled Unclassified Information

Title 32, Subtitle B, Chapter XX, Part 2002 of the Code of Federal Regulations (https://www.ecfr.gov/current/title-32/subtitle-B/chapter-XX/part-2002) establishes policies and guidance for handling information that is designated as Controlled Unclassified Information (CUI), which is defined as any information that is **not** classified, but **does** require any safeguarding or dissemination control. **Responsible Office**: Technology Services' Regulated Research Program.

Abstracts / Attachments

Attachments

Please upload all documentation that SPA needs to review the proposal. Additional information about what SPA

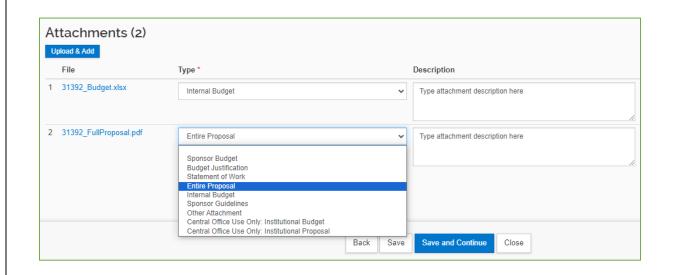
needs to receive is available on SPA's Proposal Guidance page.

Attachment Types:

- 1. <u>Sponsor Budget</u>: Upload the budget that will be submitted to the sponsor.
- 2. Budget Justification: Upload the budget justification.
- 3. Statement of Work: Upload the statement of work.
- 4. <u>Entire Proposal</u>: Upload the entire submission as an alternative to uploading the individual components of Sponsor Budget, Budget Justification, and Statement of Work.
- 5. <u>Internal Budget</u>: Upload the budget that was used for internal purposes, if different than the "Sponsor Budget".
- 6. <u>Sponsor Guidelines</u>: Upload the RFP, RFQ, BAA, or any other sponsor or program guidelines that were used to prepare the proposal submission.
- 7. Other Attachment: Upload any other documentation for SPA to receive, including a draft award, a related, executed agreement, an approval letter from UIC, a subaward package (SOW, Budget, Budget Justification, Letter of Intent, and applicable Reps & Certs), etc.
- 8. Central Office Use Only: Institutional Budget: SPA will upload the final, institutional budget.
- 9. <u>Central Office Use Only: Institutional Proposal</u>: SPA will upload the final, institutional proposal as reviewed and approved.⁷

Attachment Description: This text field is optional and is used to communicate additional information about the document, including its status – e.g. Revised version based on feedback from my Proposal Coordinator.

The PI/Department should mark CUI attribute, if there is any potential for controlled unclassified information or if there is CUI involved. If CUI is marked the system will auto generate a notification email to Technology Services. When the CUI attribute is marked, someone from the CUI support team will contact the PI to determine technology and support needs and assist in drafting a System Security Plan. For questions related to CUI, contact cui-support@illinois.edu



Add Compliance Entry Project Subject to Controlled, Unclassified Regulations (CUI) Q Q Animal Subjects Biological Safety (including Select Agents and rDNA) Human Subjects Compliance NAGPRA Identifier Project Subject to Controlled, Unclassified Regulations (CUI) Hospital/Clinic (UIC only) Application Date: Human Embryonic Stem Cells (hES) Research (UIC only) MRI Center (UIC only) Approval Date: Expiration Date: ... Exemption #: Nothing selected Comments Cancel

⁷ SPA will data mine this attachment for reports and future collaboration efforts.

Budget

Budget

Enter the Direct Costs (Direct Cost) and the F&A costs (F&A Cost) by project period. The system defaults project periods by project year. This behavior can be overridden as applicable for the project.

Cost Sharing

Click "Add Cost Sharing" for each cost share source, including each individual who will provide Contributed Effort and the calculated of imputed F&A costs. Please remember to comply with CAM RP-05: Cost Sharing on Sponsored Projects and OBFS 16.1.3 – Compensation for Personal Services Charged to Sponsored Projects. In addition, please note that, for OVCRI commitments, the myProposals record does not replace the need to follow the OVCRI Cost Sharing Guidelines.

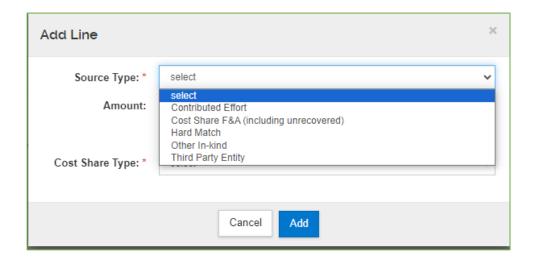
For each cost share source, the following fields are required:

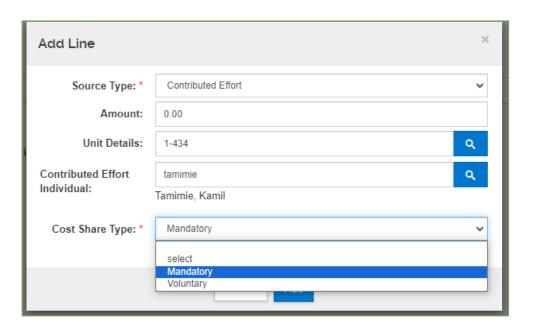
• Source Type:

- 1. Contributed Effort⁹: Institutional salary and fringe benefit costs in support of activities devoted to the project by the PI/faculty member or other academic personnel. A unique entry is required for each person who contributes his/her effort.
- 2. <u>Hard Match¹⁰</u>: Institutional costs that are committed, tracked, and reported via a unique fund or program code.
- 3. Other In-Kind¹¹: Institutional costs that are not effort and do not require the commitment of a fund,
 - e.g. tuition remission costs, donated time on pre-existing equipment, etc.
- 4. <u>Third Party Entity</u>: The value of non-cash contributions that third parties provide to the project. Third parties must provide documentation to support the use of the funds as university Cost Sharing and a certification of the fair market value of the non-cash contribution provided. NOTE: F&A Costs would not be assessed on the amount listed for this Source Type.
- 5. Cost Share F&A (including unrecovered):
 - <u>Calculated F&A</u>: The indirect costs derived from the direct institutional costs committed via cost share in a proposed budget, i.e. the F&A auto-calculated from the costshare column of a standard budget template.
 - Unrecovered F&A: The difference between the federally negotiated F&A
 rate applicable to the award and the actual F&A rate approved by the
 sponsor and used in assessing indirect costs, please note that prior, written
 sponsor approval is required in order to include unrecovered F&A as a
 portion of the cost share commitment.
- Amount: The USD amount for each cost share source.
 - 1. <u>Contributed Effort</u>: The sum of salary and fringe benefit costs for the individual. A unique entry is required for each person who contributes his/her effort.
 - 2. <u>Hard Match</u>: All costs that need to be tracked via a unique fund or program code. A unique entry is required for each unit or college providing funding.



*The defaults can be updated to reflect actual budget periods for the award if they differ from the standard 12 months periods.





- 3. Other In-Kind: All "other" costs provided for the project. A unique entry is required for each type of In-Kind commitment.
- 4. <u>Third Party Entity</u>: All costs provided by a third party entity. A unique entry is required for third party entity. NOTE: F&A Costs would not be assessed on the amount listed for this Source Type.
- 5. <u>Cost Share F&A (including unrecovered)</u>: The sum of the two types of cost share F&A costs Calculated F&A and Unrecovered F&A.

Cost Share Type:

- 1. <u>Mandatory</u>: Cost Sharing that the sponsor requires as a condition of obtaining an award.
- 2. <u>Voluntary</u>: Cost Sharing that the sponsor does not require as a condition of obtaining an award, but is quantified in the proposal budget or budget justification.

⁸ In most situations, there will be at least two entries – one for the direct costs and one for the F&A costs.

⁹ If the person providing Contributed Effort is not listed in Project Personnel, then the person will be required to approve the commitment/submission. The Unit Head for the contributor's effort must be approved by the applicable Unit Head.

¹⁰ The university source for the Hard Match must be provided via the Banner Organization Code, and the Unit Executive Officer responsible for the source, i.e. College Dean, VCR, etc., must approve the commitment/submission.

 $^{^{11}}$ The Unit Executive Officer responsible for the source, i.e. College Dean, VCR, etc., must approve the commitment/submission.

Approval / Access

Approvals

All individuals required to approve the proposal, except Project Personnel, should be listed in this section.

Approvals for the roles below are required. Units have discretion to add other approvers based on internal processes. The system defaults the name for all system-generated approvers to "TBD", which the user must replace by clicking "edit".

Always:

• <u>Lead Unit</u>¹²: The Unit Head / Chair of this Unit or his/her delegate must approve the proposal in advance of submission.

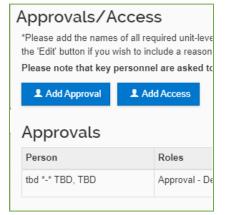
If applicable:

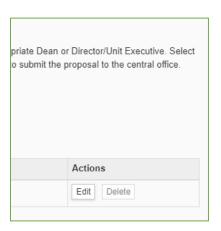
- <u>Cost Share Contributed Effort Provider</u>: The individual who commits the Contributed Effort on the project. The individual will only display on this screen if he/she is not listed in Project Personnel. The individual's name is added in the Cost Share section.
- <u>Cost Share Contributed Effort Approver</u>: The person responsible for approving the Contributed Effort commitment for the individual on behalf of the applicable home, academic unit. The home, academic unit is added in the Cost Share section.
- <u>Cost Share Hard Match</u>: The person responsible for approving the cash commitment on behalf of the unit or college (Unit Executive Office). This unit or college is added in the Cost Share section.
- <u>Cost Share Other In-Kind</u>: The person responsible for approving the Other In-Kind commitment on behalf of the unit or college (Unit Executive Office). This unit or college is added in the Cost Share section.

Access

Roles

- Aggregator: Non-project personnel who have access to view, edit, and submit (to "Submit to Central Office Review") the Proposal Transmittal. The person who creates the record has this access by virtue of creating the document¹³. The name of the Aggregator will show up in the myResearch Portal for "Proposal Transmittals". Additional individuals can be given this role via "Add Access".
- <u>View Only</u>: Non-project personnel who have access to view the Proposal Transmittal. Additional individuals can be given this role via "Add Access".









^{*}Always add another aggregator to the propsoals that has access to edit and submit in case the lead research administrator on the proposal is unexpectedly out of the office.

^{*}Team email addresses can be added as aggregator which can provide access to the transmittal form for all research administrators that have access to the team email.. SPA can provide the "person" name to enter.

¹² This approval is not required for Pre-Proposals.

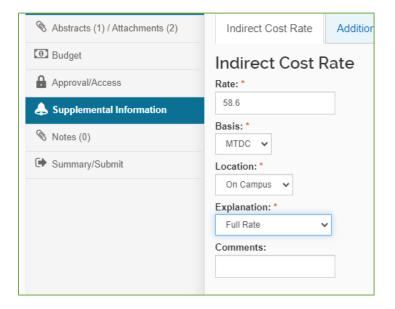
¹³ By default, Department Administrators / Business Managers of the Lead Unit also have the ability to view, edit, and submit all records for which they have access in the myResearch Portal.

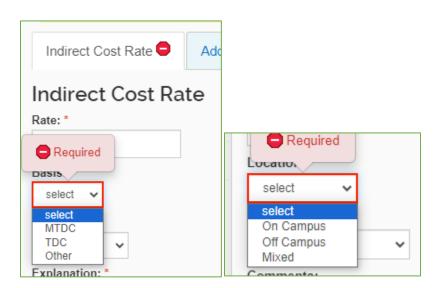
Supplemental Information

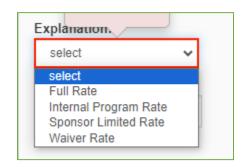
Indirect Cost Rate

The F&A Cost Rate, aka Indirect Cost Rate, must be classified by the determination of each of the following criteria:

- 1. Rate: The percentage applied against the applicable "Basis" of Direct Costs.
- 2. **Basis**: The basis to calculate or assess costs against the proposed F&A Rate:
 - <u>MTDC</u>: Modified Total Direct Costs <u>Uniform Guidance at 2 CFR §200.68</u>. This is the basis to use when applying the Full Rate (*see "Explanation" below*).
 - i. Assessed Costs: All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award).
 - ii. *Unassessed Costs*: Equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
 - <u>TDC</u>: Total Direct Costs. This is the basis to use when applying a reduced rate of anything other than Full Rate (see "Explanation" below)¹⁴.
 - i. Assessed Costs: All costs other than tuition remission.
 - ii. Unassessed Costs: Tuition remission.
 - Other: Another basis as defined by the sponsor in its policies or program guidelines.
- 3. **Location**: The project must be classified as either <u>On-campus</u> or <u>Off-campus</u>. See the <u>FAQs</u> of <u>CAM RP-03</u>: <u>Charging of Facilities and Administrative Costs to Sponsored</u> Projects for a definition and additional explanation.
- 4. **Explanation**: The project must identify how the F&A Cost Rate is applied to this project. Please remember to comply with <u>CAM RP-03</u>: <u>Charging of Facilities and Administrative Costs to Sponsored Projects.</u>
 - Full Rate: The applicable rate for the project according to the Negotiated Indirect Cost Rate Agreement (NICRA) - Activity Type & Location, the project start date, and, for Supplement / Amendment only, the originally submitted rate.
 - Sponsor Limited Rate: A sponsor restriction on the applicable NICRA rate on the project, which is acceptable to the university. The university will accept such a restriction only if:
 - Application: The sponsor policy (or restriction) is published and applicable to all proposers; and
 - Source of Funds: Federal, State of Illinois, Other U.S. States, and Non-Profit Entities (foundations, municipalities, counties, community colleges, and both domestic and foreign entities)
 - o <u>Internal Program Rate</u>: A university approved reduction to the applicable NICRA rate for all projects that submit to the sponsor and/or program.
 - <u>Waiver Rate</u>: A university approved reduction to the applicable NICRA rate for the submission.







¹⁴ In rare circumstances, the F&A Rate is also assessed on tuition remission e.g. USDA and FFAR caps on the percentage of projects costs allocated to indirect costs.

Additional Compliance Attributes

Radiation and Laser Safety -UIUC: The University of Illinois at Urbana-Champaign (U of I) holds a Type A Broad

Scope Radioactive Materials License issued by the Illinois Emergency Management Agency (IEMA) in accordance with the Illinois Radiation Protection Act. The Urbana campus is also required to register radiation-producing machines and laser sources with the same agency under the Radiation Protection Act and the Illinois Laser Systems Act, respectively. DRS-RLSC

Conflict of Interest (COI): A familial conflict of interest exists when...an investigator has a familiar relationship with someone on the project – internal to the university, or externally – subrecipient, consultant, vendor, sponsor, etc. A financial conflict of interest (FCOI) exists when...an investigator's significant financial interest (SFI) could directly and significantly affect the design, conduct, or reporting of the research. OVCRI COI, VPAA COCI Policy, CAM HR-28 Employment of Relatives, and CAM HR-17 – Supervisor Relationships.

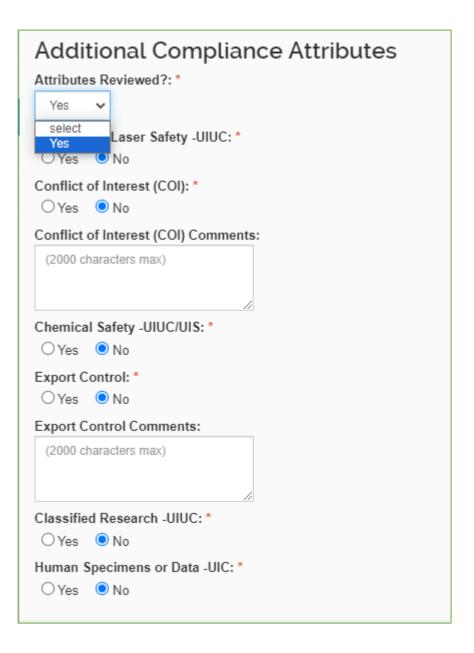
<u>COI Comments</u>: Add additional information about the type of COI – financial or familial and whether there is an approved Conflict Management Plan.

Chemical Safety -UIUC/UIS: Every laboratory group on the University of Illinois Urbana-Champaign campus is required to have a Laboratory Safety Plan, which must be accessible to all laboratory personnel. The plan is composed of information relevant to the laboratory's specific hazards and exposure control measures and is used as a training resources and safety reference for laboratory personnel. Development and implementation of a Laboratory Safety Plan will fulfill each laboratory's requirement for a Chemical Hygiene Plan as specified in the Occupational Safety and Health Administration (OSHA) regulation 29CFR 1910.1450 (OSHA Lab Standard). DRS-Lab Safety Plan

Export Control: Federal export controls impact many activities on campus. These activities include, but are not limited to, researching, purchasing, acquiring, and/or developing items, technologies and information subject to export controls; research, employment, and academic activities involving Foreign Persons located within or outside the United States; the transfer, shipment and/or distribution of equipment, technology, or software outside the United States or with Foreign Persons wherever located; and international travel. Export controls may prohibit engaging in these activities altogether or may require obtaining a license or other governmental authorization prior to engaging in these activities. SPA-Export Control and CAM RP-08 – Export Control

<u>Export Control Comments</u>: Add additional information about the type of Export Control issue, e.g. <u>Export Administration Regulations (EAR)</u>, <u>International Traffic in Arms Regulations (ITAR)</u>, Arms Export Control Act (AECA), Sanction List, Controlled Unclassified Information (CUI)

Classified Research -UIUC: Work conducted under the specific designation as "Classified" by the Federal funding sponsor or other governmental agency.



Additional Project Approvals

Admin Salary Costs -UIUC: The project includes the direct charge of salaries/wages for administrative or clerical staff.

Admin Non-Salary Costs -UIUC: When the project includes the direct charge of office supplies or other non-salary costs that are typically recovered via F&A Costs.

PI Eligibility Exception -UIUC: One or more of the PIs on the project is not, by policy, eligible to serve as PI. CAM

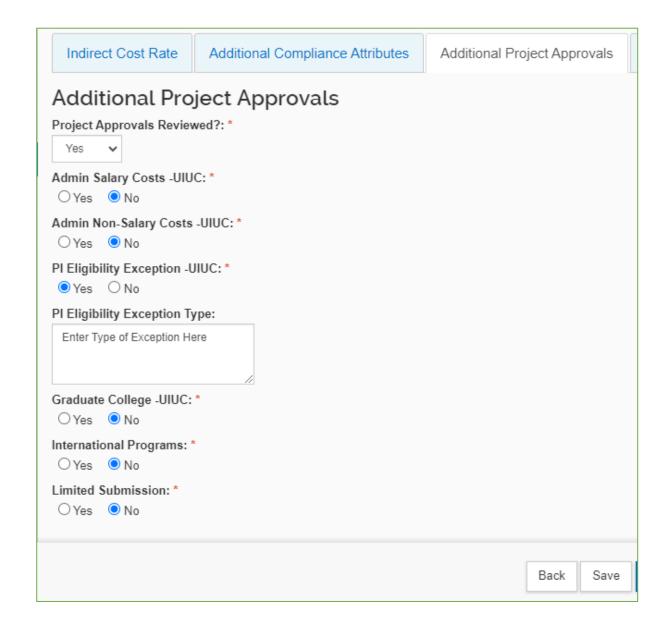
RP-06 — Eligibility to Serve as Principal Investigator

 <u>Eligibility Exception Type</u>: Select the type of approval from the academic dean, institute director, or campus administrative officer – Project, Blanket, or Grandfathered.

Graduate College -UIUC: When the project is for a graduate or pre-doctoral student fellowship and the student will receive compensation via a stipend, not an <u>assistantship</u>. **Responsible Office: Graduate College-Fellowship Office.**

International Programs: When the project contains a significant international component, which includes international travel other than for conferences and collaboration and an international organization. **Responsible Office: Illinois International.**

Limited Submission: When the sponsor or program will only accept a limited number of proposals, applications, or nominations from a single institution. **Responsible Office:** OVCRILIMITED Submissions.



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Project Characteristics

SBIR/STTR Solicitation: The purpose of the program is for either (a) Small Business Innovation Research (SBIR) or

(b) Small Business Technology Transfer (STTR).

Special ICR Distribution - UIUC: Request to deviate from the <u>FY15 Indirect Cost Recovery</u> <u>Distribution Policy & Special Policy</u>.

• <u>ICR Distr. Code (if known)</u>: A special distribution code can be obtained in advance from SPA Award Management.

Program Income Anticipated: Income generated on sponsored projects in accordance with the Federal administrative requirements, awarding agency regulations and terms and conditions of the awards. OBFS Section 16 – Sponsored Projects Program Income

Agreement Assignment Required: Request either (a) SPA initiate an award for the project (e.g. SRA, Sponsored Services Agreement) or

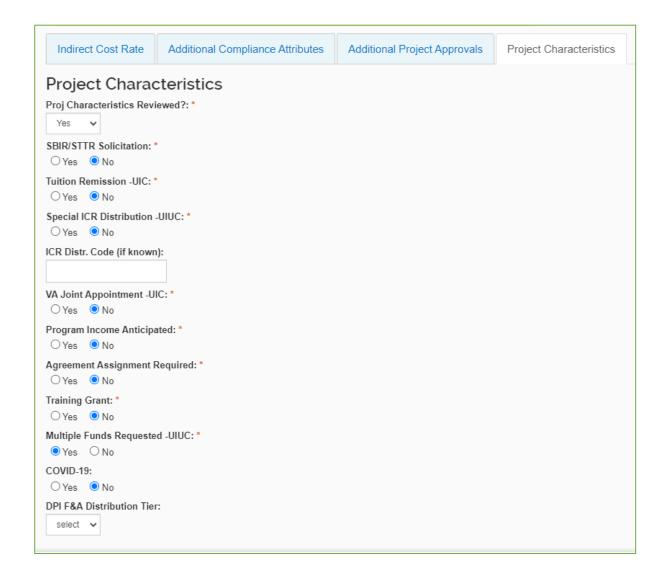
(b) SPA process the award as received from the sponsor and attached to the submission. 15

Training Grant: Funding is intended to pay stipends to, and provide a coordinated training program for students, postdoctoral researchers, staff, teachers and/or faculty who are selected by the institution to be a part of a training program. A training grant is different from fellowships, which generally provide stipends for individuals who are selected by the agency.

Multiple Funds Requested -UIUC: Request multiple funds, or C-FOPS, be established in Banner when/if the project is funded. If known, then you can add the unit codes for the funds in Notes.

COVID-19: The project is related to the COVID-19 outbreak that began in 2019.

DPI F&A Distribution Tier: This selection only applies and is required for DPI proposal submissions.



^{*}Agreement Assignment Required: If this is marked, attach the agreement to the proposal transmittal form. If SPA needs to draft the agreement, make a note in the notes section.

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¹⁵ For "Submission Type" in Delivery Info, please select "Do Not Mail".

Notes

Notes for SPA are added in this section. This field allows up to 800 characters. Examples include:

- The sponsor needs both electronic and hard copies.
- The Grant Code for the previous project for a "Renewal" submission.
- A request for SPA to draft a sponsored research agreement
- Terms and Conditions review needed, (or if concurrent action logged with a Negotiator)

Summary/Submit

Aggregators and Department Administrators / Business Managers of the Lead Unit can "submit" the Proposal Transmittal to the Central Office (SPA).

Once submitted, the record is submitted to SPA and is no longer editable. If prompted to do so, then your Proposal Coordinator can send the PD record back to you, which will enable editing to resume.

Your Proposal Coordinator will send back the record for corrections in the following situations:

- Budget updates;
- Cost Share updates;
- Project Personnel updates;
- Approver updates; and
- Attachment updates (please use the "Description" to explain the newer version of the Attachment.)



