

DOCUMENTATION TO MEET INSTITUTIONAL REQUIREMENTS

The Process

The University of Virginia submits over 3000 proposals for research funding annually. Proposal submissions often cluster around specific sponsor deadline schedules and involve a number of internal signatory approvals. In order for the University to adhere to the regulatory and administrative requirements of your grant, the proposal must be submitted for university review and approval before the proposal is submitted to the sponsor. **See Appendix A for the Proposal Checklist.**

UVa Proposal Approval Sheet - "The Goldenrod"

The Proposal Approval Sheet (PAS), often referred to as the Goldenrod, is required whenever a new proposal, continuation, revision, or renewal is submitted for funding. Check for the latest version of this form at the OSP website: <http://www.virginia.edu/sponsoredprograms/> The Goldenrod form is the internal 'coversheet' used in the routing of proposals and documentation of the proposal submission process. It serves as a guide and as a checklist toward the steps and ingredients essential to the internal proposal approval process. *Some schools have customized versions relative to their internal processing and policy issues, and these may also be found at the website listed above.* **See Appendix B for a generic version of the Goldenrod form. Detailed instructions for its completion are included.**

Deadlines & Assistance

Sponsor deadlines must be met if the proposal is to be accepted for review by OSP or the SOM Office of Grants and Contract Administration. In order to review and obtain the pertinent University signatures and ensure necessary compliance issues have been followed, your school research administrator's office* will need to have the proposal in their office at least FIVE (5) working days prior to the sponsor deadline date. *The Office of Sponsored Programs* and your department/school administrator's office are your primary sources of assistance and support should you have any questions. **See Appendix C for a List of Administrative Contacts.**

** If you are in one of the following School of Arts and Sciences' departments, deal directly with your department research administrator: Biology, Chemistry, Environmental Science, Physics, Psychology. Refer to Appendix C in this section for these departments' administrative contact information.*

Incomplete Applications

Incomplete applications will not be approved by OSP for submission. All the required local University forms and the sponsor's application forms must be completed in order for OSP to complete the proposal review process. Incomplete applications may jeopardize timely submissions to the sponsor.

Requirements Common to All Schools

To expedite timely and thorough review of the proposal, the original and two copies of completed proposal applications should be submitted to:

- 1) OSP three days in advance of the proposal deadline, thus to your department/school research administrator five days in advance of the proposal deadline
- 2) OCGA (for SOM departments) five days in advance of the proposal deadline

Required Forms:

- ✓ Sponsor's required application
- ✓ Sponsor's Request for Proposal (RFP), Request for Application (RFA), or Program Announcement (PA)
- ✓ Proposal Approval Form (Goldenrod)

And forms as relevant:

- ✓ Justification for Cost Accounting Standards Exception Request (Part III of Goldenrod)
- ✓ Sponsor indirect cost rate if different than current UVa federal F&A cost rates
- ✓ Off grounds F&A rate
- ✓ Sole Source Justification
- ✓ Professional Time Release Form
- ✓ Human Subjects approval
- ✓ Animal Subjects protocol
- ✓ Rate sheet for internal service providers' ("central services", e.g., vivarium, tissue culture center)
- ✓ If Subcontracts, include a signed proposal from the subcontractor's authorized agent; the subcontractor's proposal must be in the format required by the sponsor, including forms, certifications and budget breakdown
- ✓ If Cost Sharing, provide an itemized breakdown of costs and proposed source of cost-sharing (i.e., department, school; see Part IV of Goldenrod)
- ✓ Drug Study Questionnaire
- ✓ Conflict of Interest Agreement
- ✓ Research Funding Agreement - typically used with corporate sponsors
- ✓ Clinical Research Funding Agreement
- ✓ Material Transfer Approval Sheet

Note: Some forms have school specific versions. Check with your school research administrator about the appropriate form(s) to use.

Release Time

- ✓ If the proposal/budget includes "effort" (paid or unpaid/donated) from faculty outside the PI's school, this form, which requires both Dean and Chair signatures, must be included with the proposal application.
- ✓ If the proposal/budget includes effort from faculty from a different department(s), but within the same school, each of the associated chairs should sign the proposal approval form (goldenrod).

Cost Sharing

- ✓ When UVa contributes money or items of value toward the cost of the project
- ✓ Methods of cost sharing include: effort, cash (expenditure costs), indirect (F&A) costs
- ✓ Might be required by the sponsor or may be 'voluntary' on the part of the institution
- ✓ More than a nominal amount
- ✓ More commonly on grants and cooperative agreements than on contracts.

Drug Study Questionnaire

- ✓ The completion of this form is related to UVa's need to document activities, related to its tax exempt status, which could potentially lead to earned project income. It's completed for clinical grants or contracts involving: corporate / industry sponsors AND the study, testing, evaluation, or research of drugs.

Conflict of Interest Agreement

- ✓ This signed form must be on file for all corporate or corporate-sponsored organization checks intended for deposit in any University of Virginia account. This form must also be on file for corporate or corporate-sponsored organization checks deposited at the Medical School Foundation or the University of Virginia Alumni Foundation. It is not permissible to deposit grant or gift funds, regardless of source, to Health Services Foundation accounts. The form should be completed and accompany all industry proposals submitted within the school of medicine. See websites:
 - ✓ <http://www.healthsystem.virginia.edu/internet/grants>
 - ✓ <http://www.virginia.edu/researchandpublicservice/research/researchpol/objectivity.html>
 - ✓ <http://www.virginia.edu/%7Epolproc/pol/xva1.html>

Clinical Research Funding Agreement

These forms are always used in clinical trials. See

<http://www.med.virginia.edu/medicine/admin/grants/forms.html>

Material Transfer Approval Form

Any time research tools (such as biological materials) owned by UVa are requested for use at other institutions (or when research tools from other institutions are coming into UVa), there must be a Material Transfer Approval Form completed. Contact the VPR's office (924-3606) for additional information, and find the form at: <http://www.med.virginia.edu/medicine/admin/grants/forms.html>

The Patent Foundation also sponsors invention development and support, reviews and drafts Material Transfer Agreements and other documents relating to intellectual property. The Foundation accomplishes its mission by soliciting disclosures of new inventions from University faculty and staff, pursuing patent protection in the US and abroad, and aggressively marketing intellectual property. Their website may be found via: <http://www.uvafp.org/> See these links for VPR policy related information:

Patent Policy <http://www.virginia.edu/finance/polproc/pol/xve2.html>
Copyright Policy <http://www.virginia.edu/finance/polproc/pol/xve1.html>

Subcontracts

When subcontracting to other institutions, separate budgets and letters of certification from that subcontracting entity are required. Subcontracts contain the following, which are included in the UVa PI's proposal:

- ✓ Institution cover sheet or cover letter with appropriate authorized signature
- ✓ Institution certifications and notices of commitment signed by their Co-Investigator AND authorized institutional representative
- ✓ Subcontract budget with budget justification narrative
- ✓ Concise description of the scope of work to be accomplished by subcontractor
- ✓ Biographical sketch of subcontractor personnel involved

Effort & Effort Reporting

Individual Effort Certification Reports represent ***the University's system for documenting time and effort contributed to sponsored programs***, indirect cost activity, and major functions. This system is *designed to comply with Federal government requirements* as specified in the Office of Management and Budget (OMB) Circular A- 21. UVa is required by federal law to confirm the accuracy of payroll charges to sponsored research projects through effort certification reports.

It is the responsibility of department heads to assure that Individual Effort Certification Reports reasonably reflect the percentage of activity applicable to each sponsored program and function.

It is the responsibility of the Office of Sponsored Programs to develop applicable procedures necessary to implement the Individual Effort Certification Report System. Contact their office at 924-4270 for further information.

To obtain additional information regarding Effort Report Certification, refer to UVa Procedures at this website: http://www.virginia.edu/finance/polproc/proc/Proc_toc.html#sectionVIII

For professorial and professional staff, the reports will be prepared:

School of Medicine: 2 times annually (by semester - every 6 months)

Other Schools: 3 times annually (by semester including summer)

For classified staff and graduate students, the reports will be prepared quarterly. THESE DOCUMENTS WILL BE RETAINED BY OSP.

OMB Circular A-21 describes Individual Effort Certification Report as follows:

Individual Effort Certification Reports reflect the distribution of activity expended by each employee covered by the system.

The reports will reflect an after-the-fact reporting of the percentage of activity of each employee. Charges are completed initially on the basis of estimates made before the services are performed, provided that such charges are adjusted promptly if significant differences are indicated by activity reports. Each report accounts for 100 percent of the employee's effort.

To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period, each report will be signed and dated by the employee or by a responsible official having firsthand knowledge of the work performed.