

**University of
Virginia**

**ResearchUVA
Powered by Huron**

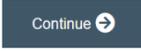
Job Aid: Create a Proposal

1 Create a Proposal Overview

Creating a proposal consists of completing the Proposal SmartForm, which is a series of pages where you will answer questions about the proposal. For federal opportunities, many of the answers to these questions will populate on the SF424 form.

 **Important:** This job aid outlines how to create a proposal. Budget and SF424 creation are covered in separate job aids.

2 How to Create a Proposal

1. On the *Dashboard* or *Grants Module* page, click the **Create Funding Proposal** button.
2. Complete the Proposal SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click **Continue**  to navigate through the rest of the SmartForm pages.

 **Tip:** Click on the **Help icons**  throughout the SmartForm for additional information on how to answer the questions.

3 How to Complete the Proposal SmartForm Pages

3.1 General Proposal Information Page

1. **Type of application** – Defaults to “new” for new proposals.

Indicate (Yes or No) if the award is being transferred from another institution.

2. **Short title of proposal** – Enter the School/College abbreviation, department abbreviation and a descriptive name for the proposal/PI name (50 character maximum). The short title identifies the proposal throughout system, such as in the ResearchUVA PBH *Dashboard*, *Grants Module* page, and in reports. Example: *MD-INMD-Studying childhood illness*

3. **Long title of proposal** – If this is an SF424 application, this title will display on the SF424 forms (255 character maximum).

4. **Program director/Principal Investigator/Project lead/Fellow** – Enter or search for the PI’s name.

 **Note:** For proposals with a Multiple PI, the PI listed here should be the Contact PI. Any Multiple PIs can be listed on the Personnel page. Multiple PIs will need to approve/certify the proposal via Ancillary Review.

 **Note:** If the proposal is specifically for mentored research, enter the Fellow’s name in Question 4 and the Mentor/Sponsor in the space below. See Institutional policies around mentored research.

 **Note:** If the PI is incoming faculty, work with your HR business partner and Submitting School or OSP to be able to select them from the PI list.

5. Select the direct sponsor – Enter the sponsor’s name.

If the sponsor's name is not listed, enter “TBD” in Question 5 and type the sponsor's name in Question 5a. Add the new sponsor’s address in Question 10 Sponsor Address. The OSP Info Team will add new sponsors to the system before the funding proposal is finalized.

If UVA is a subrecipient on a funding proposal for the organization listed in Question 5, enter the prime sponsor in Question 5b.

6. Instrument type – Select the appropriate instrument for the proposal (Grant, Contract, or Cooperative Agreement).

 **Note:** Instrument type also contains an option for Subaward. UVA will not use the Subaward type.

7. Primary Purpose of this project – Select the primary purpose of the project. Based on the answer to this question, a new Question 9 may appear on the form.

8. Expected start date – Enter the expected start date.

9. Additional questions related to the primary purpose of this project: – Enter the appropriate subtype of research. For Clinical Trials, you will be prompted to select the appropriate phase. If you select Other, select a description of the research type.

 **Note:** This is numbered as Question 9 only when Research On-Grounds, Research Off-Grounds or Industry-Funded Clinical Trial is selected for Question 7. If another option is selected for Question 7, this question will not appear and the question listed below as Question 10 will instead appear as Question 9.

10. Major Goals (For Use with Current and Pending Support) – Enter the major goals of the project. The goals listed here will populate the entry for this project on the Current and Pending Support report.

 **Note:** This question may appear as Question 9 depending on the answer to Question 7. See the above note for more details.

3.2 Personnel Page

1. Program director /Principal Investigator /Project lead /Fellow – This field contains the name selected on the prior page. Under Question 1b, upload a Biosketch if necessary. Only upload an Other Support document if required by the funding opportunity announcement. Note that for system-to-system submissions, this information will map to the SF424.

2. Responsible department / division / institute – Enter the department or program that will manage the proposal or award. This will default to the PI’s department and may need to be updated.

 **Note:** The Responsible department may be based on the PI's home department but can be updated as needed.

3. Project Personnel – Enter UVA key, non-key, or other significant contributor (OSC) personnel in Question 3a and enter non-UVA key personnel in Question 3b.

 **Note:** The system maps all UVA personnel marked as key personnel to section A of the Research & Related Budget in the SF424 forms (if applicable), and all personnel marked as non-key map to section B of the Research & Related Budget. Non-UVA key personnel entered in Question 3b will map to the Senior Key Person Profile section of the SF424.

4. Administrative Personnel – Enter the administrative contact in Question 4a. The administrative contact entered in Question 4a will be able to edit the proposal and respond to reviewer notes. Enter any additional contacts who may need edit or read-only access to the record under Questions 4b and/or 4c.

3.3 Submission Information Page

➤ **For a Federal Proposal:**

- 1. Submission type** – “Federal” is displayed based on the sponsor selected on the *General Proposal Information* page.
- 2. Direct sponsor** – Displays the sponsor selected on the *General Proposal Information* page.
- 3. Will this application be submitted system-to-system (S2S)?**
 - System-to-system applications are supported for many Grants.gov submission opportunities.
 - If **yes**, then enter or search for the Package ID, Opportunity ID (including dashes), CFDA number, or Competition ID under Question 4. Click the **Help** icon for search tips. After the opportunity displays, click the radio button to select it and click **Continue** to navigate to the next page of the SmartForm.

 **Note:** See next section for how to process a Grants.gov application that cannot be submitted system-to-system. At this time, NSF applications cannot be submitted system-to-system.

 **Note:** Complex Proposals will not be submitted to Grants.gov in ResearchUVA PBH at this time. These will be submitted via Workspace or ASSIST (for NIH) for the immediate term. Contact your School's Pre-Award staff or OSP if you have any questions about your complex proposal submission.

3. * Will this application be submitted system-to-system?
 Yes No [Clear](#)

4. Type a package ID, opportunity ID, or CFDA number, and click Find. [?](#)

Package ID: [Find...](#) [Clear](#) [Refresh Form Support](#)

Opportunity ID (PA or RFA number):

CFDA number:

Competition ID:

Package Id	Opp Id	Opportunity Title	Opening Date	Closing Date	CFDA	Comp ID	Instructions
PKG00052570	PA-FO-R01	G.g Training and NIH Ext-UAT FOA (R01-Clinical Trial Optional)	10/9/2019	10/6/2024	93.855	FORM-F	PKG00052570-instructions.png

- If No, then enter the funding announcement opportunity identifiers (Package ID, Opportunity ID, and/or Opportunity title) under Questions 4a, 4b, and 4c. If the opportunity is a NIH grant, select the grant type under Question 5. Any general submission documents can be attached under Question 6.

3. * Will this application be submitted system-to-system?
 Yes No [Clear](#)

4. Type a package ID, opportunity ID, or CFDA number, and click Find. [?](#)

Package ID: [Find...](#) [Clear](#) [Refresh Form Support](#)

Opportunity ID (PA or RFA number):

CFDA number:

Competition ID:

If the desired opportunity is not listed above, type its ID and title below:

a. Package ID:

b. Opportunity ID:

c. Opportunity title:

5. NIH grant type (if applicable):

6. Add any general submission documents:

[+ Add](#)

Name	Version
There are no items to display	

➤ **For a Non-Federal Proposal:**

- 1. Submission type** – The type displayed is based on the sponsor selected on the *General Proposal Information* page.
- 2. Direct sponsor** - Displays the sponsor selected on the *General Proposal Information* page.

3. Add any general submission documents – Best practice is to add all attachments under the Attachments tab of the Workspace and not use the attachment uploads within the SmartForm.

3.4 Funding Opportunity Announcement Page

Displayed for Federal Proposals only

This page contains a list of required and optional SF424 Forms and identifying opportunity information from the prior page and indicates if the forms are supported by the system.

Click the **link under Question 8** for the funding opportunity instructions.

 **Note:** A SF424 must be created manually for S2S submissions.

 **Important:** If the screen indicates all forms are supported under Questions 1 and 2, but you still receive a red error message indicating “Some of the required forms are not supported. Submission would not occur electronically,” navigate back to the Submission Information page and click **Refresh Form Support** as shown below:

Funding Opportunity Announcement

Some of the required forms are not supported. Submission would not occur electronically.

1. Required SF424 Forms:

Form Name	Supported
SF424 (R&R) V2.0	yes
Research & Related Project/Performance Site Location(s) V2.0	yes
Research And Related Other Project Information V1.4	yes
Research & Related Personal Data V1.2	yes
NSF Cover Page V1.9	yes
NSF Senior Key Person Profile (Expanded) V1.2	yes
Research & Related Budget V1.4	yes

4. Type a package ID, opportunity ID, or CFDA number, and click Find. 

Package ID:

Opportunity ID (PA or RFA number):

CFDA number:

Competition ID:

- If any of the forms are not supported, the opportunity cannot be submitted system-to-system. In this rare circumstance, return to the prior page and update Question 3. “Will this be submitted system-to-system?” to indicate No. If you expected your submission to be submitted system-to-system and think this is incorrect, contact your School’s Pre-Award staff or OSP.

3.5 Budget Periods and Key Dates Page

1. Application submission deadline – Enter the date the proposal is due to the sponsor.

 **Note:** For incoming subaward/consortium proposals, enter the date the application submission is due to the direct sponsor (*Pass-Through Entity*).

2. Date response expected from sponsor

3. Date projects starts – Displays the start date entered on the General Proposal Information page.

4. Date project ends – End date displayed is based off the End Date of the last budget period. Edit the budget periods to update this date.

5. Project length (years) – Number of years displayed based on the budget periods. Edit the budget periods to update this duration.

6. Modular budget – Select Yes or No as appropriate based on sponsor guidelines.

7. Budget Periods – The system automatically creates 5 periods that are 12 months each, even if you have designated a different project period (e.g., 1 year). Click the **Add Period**, **Remove Period**, and/or **Update Periods** buttons to modify the periods as necessary. Budget periods are typically 12 months unless otherwise noted by a funding opportunity announcement.

 **Note:** In the Update Periods window, click the **Use advanced editing** checkbox to enter specific period end dates (as opposed to a number of months).

7. Add Period Remove Period Update Periods

Budget periods:

Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12	7/1/2022	6/30/2023
2	Period 2	12	7/1/2023	6/30/2024
3	Period 3	12	7/1/2024	6/30/2025
4	Period 4	12	7/1/2025	6/30/2026
5	Period 5	12	7/1/2026	6/30/2027

Edit Budget Period

Update Budget Periods

Use advanced editing

* Project start date
7/1/2022 

Period number	Name	* Period end date
1	Period 1	6/30/2023 
2	Period 2	6/30/2024 
3	Period 3	6/30/2025 
4	Period 4	6/30/2026 
5	Period 5	6/30/2027 

8. Internal submission deadline: Enter the appropriate internal submission deadline based on your Submitting School’s policy. Refer to the Help text bubble for links to the relevant policies. The date entered here is used to calculate the “Internal Submission Deadline” date displayed on the *Proposal Workspace*.

3.6 Compliance Review Page

Select **Yes** or **No** or check the appropriate boxes for the questions listed below. In some cases, answering Yes or checking a box will prompt additional questions to display. If you are unfamiliar with the relevant policies, refer to the Help Text for additional information and links.

1. Human subjects involved in this project

2. Animals involved in this project

3. Microorganisms; biotoxins; human derived materials and/or experiments involving recombinant or synthetic nucleic acid molecules (including human gene transfer) involved in this project

4. Radioactive materials involved in this project

The Radiation Safety Program’s primary objective is to ensure that operations involving radioactive material are conducted according to policies and procedures designed to adequately protect public health and safety and maintain exposures ALARA. Regulatory compliance and consultation on the safe use of radioactive materials and analytical radiation producing equipment are key components of the program. We strive to be responsive to the needs of the University and the individual user. For more information please visit the EHS Radiation Safety webpage available at <https://ehs.virginia.edu/Radiation-Safety.html>.

5. Radioisotopes involved in this project**6. Human embryonic stem cells involved in this project****7. Class 3B or Class 4 lasers involved in this project**

Principal Investigators and Faculty of research laboratories and teaching facilities that employ Class 3B and/or Class 4 lasers for purposes other than patient care (Academic Lasers) are required to do the following:

1. Register the laser(s), prior to use, with the University Laser Safety Officer (LSO) via the UVA Laser Registry (log-in).
2. Develop a written LASER SAFETY MANUAL describing your lab's specific procedures and precautions when utilizing laser light.
3. Identify all laser users in your research group with potential to use the laser or to be present during laser operations and ensure each research group member completes laser safety training (log-in) prior to working in the lab.

These 3 steps are specific to the Academic Laser Registration Information. The UVA Medical Center Clinical Engineering Department operates a similar program for lasers used in the medical center for patient care (Medical Lasers). Information about both registration programs, classification descriptions, safety resources, and program staff is available at Laser Safety, UVA-EHS (virginia.edu).

8. Does this project involve any of the following activities?

- a. *International Travel – e.g., Presenting data, conference attendance, investigator meetings, etc.*
- b. *Performance site in a non-US location – e.g., Gathering data, subject enrollment, etc.*
- c. *Foreign Subawardee or other collaborator (funded or unfunded)*
- d. *Individuals (Foreign Nationals or US persons) working on behalf of a foreign entity.*
- e. *Financial or in-kind support from a foreign entity.*

Foreign entities, include, but are not limited to foreign governments, foreign universities, foreign corporations, foreign non-governmental organizations, foreign nonprofit organizations, etc.

9. Does the sponsor's documentation contain the following terms?

- a. *Participation of foreign persons/non-US citizens on this project is prohibited or restricted*
- b. *An investigator may not publish research results without sponsor's explicit approval, except for the sponsor's right to review and exclude their proprietary data from publication*

This question seeks to identify if this project can be considered Fundamental Research.

Fundamental research is any basic or applied research in science and engineering, the results of which are ordinarily published and shared broadly within the scientific community. To qualify as Fundamental Research, the research must be conducted free of any publication restrictions and without any access restrictions.

A project is no longer considered Fundamental Research if the sponsor:

- Forbids the participation of foreign persons/non-US citizens (or)
- Gives the sponsor a right to approve publications resulting from the research, (or)
- Otherwise restricts participation in research, and/or access to the research results

10. Does the sponsor's scope of work or other documentation define the project as export controlled, or refer to

- a. *Export Administration Regulations (EAR)*
- b. *International Traffic in Arms Regulations (ITAR)*
- c. *Controlled Unclassified Information (CUI), Controlled Technical Information (CTI) or Covered Defense Information (CDI)*
- d. *U.S. Government Classified Information (any level)*
- e. *Other U.S. Government export regulation or limited access framework*

U.S. export control regulations (e.g., EAR and ITAR) and other limited access frameworks (e.g., CUI, CIT, CDI or classified) may be mentioned in the FOA/RFP/BAA, or in a **sponsor's award documentation.**

11. Does this project involve any of the following activities?

- a. *International Shipping – e.g. Sending equipment, materials, samples, supplies, etc. to a foreign location*
- b. *Providing access to or transferring "technology" or "technical data" to a foreign national or entity, in the U.S. or abroad*

The terms "technology" and "technical data" are used in U.S. export regulations to refer to non-public (i.e., proprietary) information that is required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance or modification of controlled commodities. Information may be in the form of blueprints, drawings, photographs, plans, instructions, or documentation.

- c. *Providing a "defense service" or "nuclear assistance" to a foreign entity*

Providing a "defense service" means providing assistance (including training) to foreign nationals or entities, in the U.S. or abroad, in the design, development, engineering, manufacture, production, assembly, testing, repair, maintenance, modification, operation, demilitarization, destruction, processing or use of any ITAR-controlled item, material, or

software. It also includes providing military or advice to foreign military personnel, agencies or organizations.

The term "nuclear assistance" means providing assistance (e.g., instruction, skills, training, working knowledge, or consulting services) related to the development or production of nuclear material outside the U.S. or the transfer of certain technology related to nuclear power generation, fuel reprocessing, etc. Assistance may involve the transfer of technical data.

d. Interacting with an individual or entity in a "comprehensively sanctioned country/region"

The term "comprehensively sanctioned country/region" currently includes Cuba, Iran, N. Korea, Syria, and the Crimean Region of Ukraine.

12. Does this project involve the acquisition or use of products or services of Kaspersky Labs; or prohibited telecommunications equipment or services?

In order to retain our ability to receive federal funds, including grants and contracts, and to safeguard University systems and resident data from unauthorized access/intrusion, UVA prohibits the acquisition or use of products and services from certain companies subject to the following statutory provisions. UVA provides a consolidated list of the companies, identified to date, that are subject to these prohibitions on the Research website (<https://research.virginia.edu/merged-companies-list>); Netbadge is required for access.

The 2018 National Defense Authorization Act (NDAA), Sec. 1634, included the following:

Prohibition. -- No department, agency, organization, or other element of the Federal Government may use, whether directly or through work with or on behalf of another department, agency, organization, or element of the Federal Government, any hardware, software, or services developed or provided, in whole or in part, by -- 1) Kaspersky Lab (or any successor entity); 2) any entity that controls, is controlled by, or is under common control with Kaspersky Lab; or 3) any entity of which Kaspersky Lab has a majority ownership.

The 2019 NDAA, Sec. 889. prohibits government contractors (including universities receiving grants and contracts) from purchasing telecommunications and surveillance equipment manufactured by or services provided by certain companies. Federal agencies are prohibited from procurement and contracting with parties that use covered equipment or services. Specifically Sec. 889 identifies the following companies:

- 1) Huawei Technologies Company;
- 2) ZTE Corporation;
- 3) Hytera Communications Corporation;
- 4) Hangzhou Hikvision Digital Technology Company;
- 5) Dahua Technology Company; or
- 6) Any subsidiary or affiliate of 1-5.

Examples of covered equipment include, but are not limited to, laptops, phones, servers, hubs, switches, modems, routers, gateways, repeaters, VoIP switches, and surveillance cameras.

11/24/2020: The Office of Management and Budget published FAQs (https://www.cfo.gov/assets/files/Sec.889-of-2019-NDAA_FAQ_20201124.pdf) regarding the implementation of Sec. 889 to assistance agreements through updates to 2 CFR 200.216 (Uniform Guidance). Note: Federal contracts are subject to the requirements of the Federal Acquisition Regulations (FAR) which differ from the Uniform Guidance.

3.7 Additional Proposal Information Page

1. Applicant Institution – *The Rector & Visitors of the University of Virginia* is selected by default. This may be edited to reflect a submission by Wise.



Note: Disregard Question 1a. Do not complete.

2. Will there be program income?

3. Select resources required for this proposal – Select as applicable. Additional information must be attached to Question 3a if one or more of the listed resources are selected.

4. Abstract – Enter the abstract for the proposal and indicate whether permission is granted to give UVA faculty and staff access to search the abstract if the proposal is awarded.

3.8 Completion Instructions Page

This page provides guidance on what to do after you have completed the SmartForm, including how to validate all required questions were completed. Review the instructions and click **Finish** when complete. You are returned to the *Proposal Workspace*.



Important: Clicking **Finish** does **not** submit your proposal to your School's Pre-Award office or OSP. This allows for additional edits and/or actions to occur prior to the proposal submission (e.g., completing the budget, creating/updating the SF424, etc.).