

University of  
Virginia

ResearchUVA  
Powered by Huron

Reference Guide: **Funding**  
**Proposal Guide for the**  
**Research Community**

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## 1 Introduction

This guide describes how the Research Community and Central Offices (Submitting Schools and OSP) will interact with the ResearchUVA Powered by Huron (PBH) system.



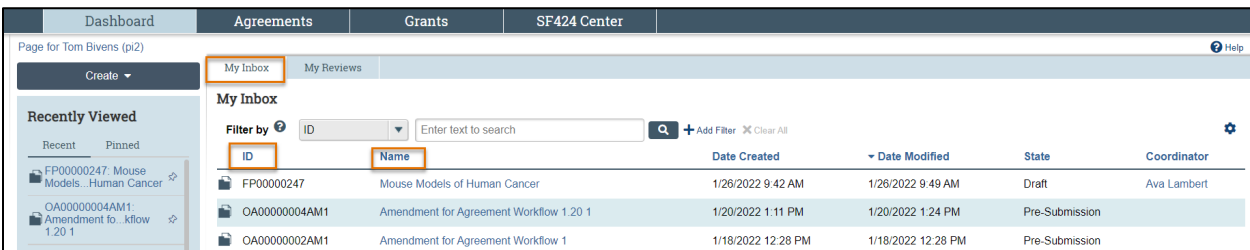
**Tip:** See the Overview reference guide on the [ResearchUVA PBH website](#) for general information on navigation, user roles, searching, and workflow. See the end of this guide for a [glossary](#) of ResearchUVA PBH terminology.

## 2 Navigation

### 2.1 How to Access a Record

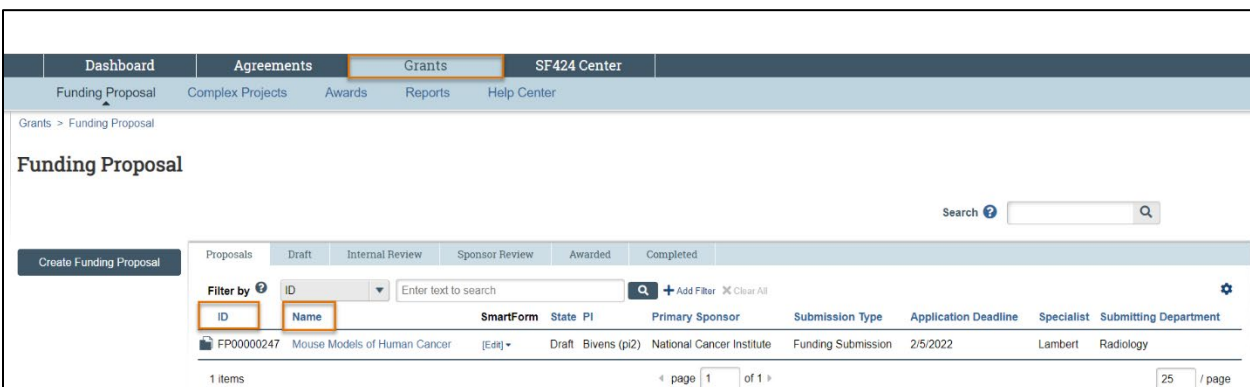
You can access and view Grants module records you have permission to see. You can locate or search for records on the *Dashboard* or *Grants Module* pages as shown below.

- **Dashboard, My Inbox page** – This page acts as your to-do list and contains records from any of the ResearchUVA PBH modules (Grants and Agreements) that require an action from you. To access a record, click on the record **ID** or **Name**.



ID	Name	Date Created	Date Modified	State	Coordinator
FP00000247	Mouse Models of Human Cancer	1/26/2022 9:42 AM	1/26/2022 9:49 AM	Draft	Ava Lambert
OA0000004AM1	Amendment for Agreement Workflow 1.20.1	1/20/2022 1:11 PM	1/20/2022 1:24 PM	Pre-Submission	
OA0000002AM1	Amendment for Agreement Workflow 1	1/18/2022 12:28 PM	1/18/2022 12:28 PM	Pre-Submission	

- **Grants Module page** – Funding proposal and award records can be accessed on this page. To access a record, click on the **ID** or **Name**.

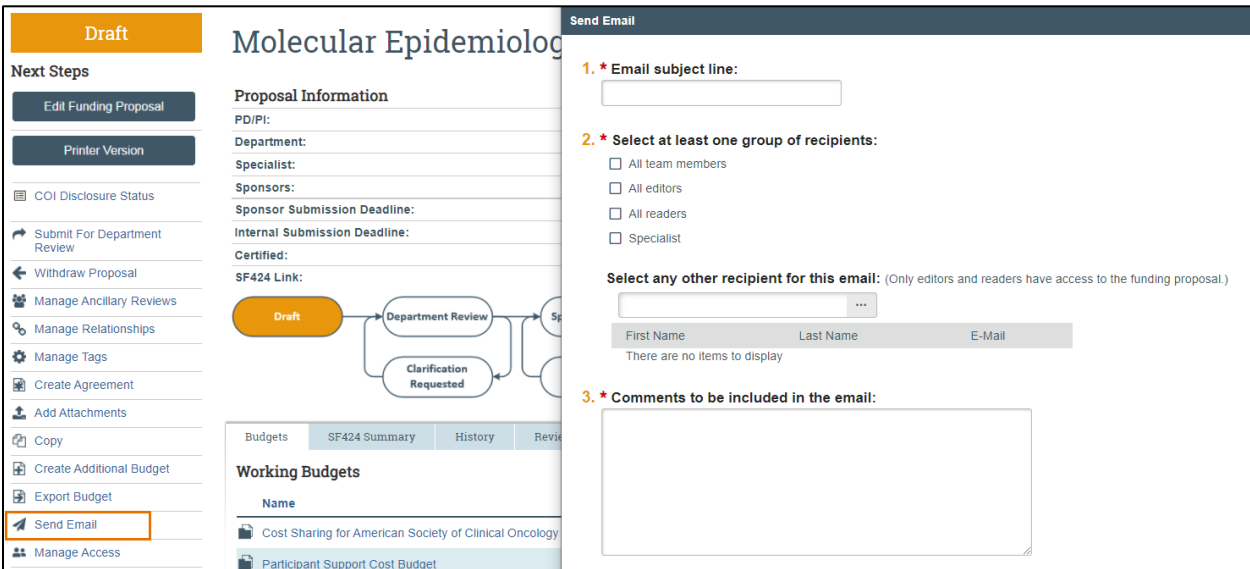


ID	Name	SmartForm	State	PI	Primary Sponsor	Submission Type	Application Deadline	Specialist	Submitting Department
FP00000247	Mouse Models of Human Cancer	[Edit]	Draft	Bivens (pi2)	National Cancer Institute	Funding Submission	2/5/2022	Lambert	Radiology



other proposals, awards or agreements within the email if they are unrelated. Follow the steps below to send an email from the Proposal:

1. On the *Proposal Workspace*, click the **Send Email** activity.
2. In the *Send Email* window, complete the fields.



3. When complete, click **OK** to return to the *Workspace*.

## 2.4 How to Search for a Record

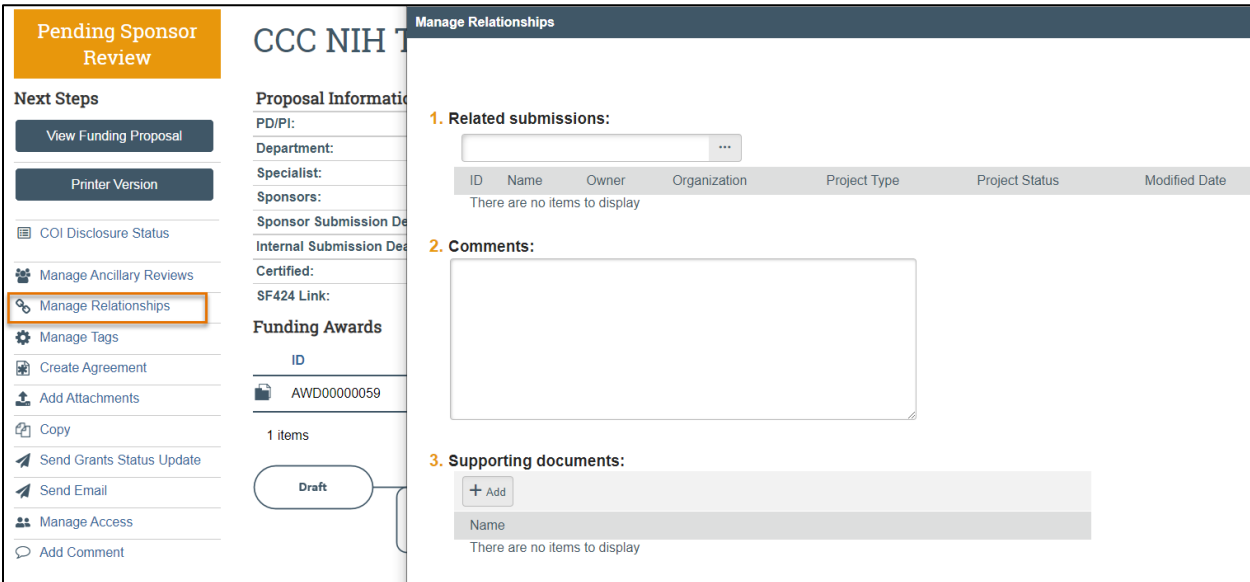
The SF424 Summary tab on the Funding Proposal will contain the SF424 Tracking# and the state of the SF424.

## 2.5 How to Manage Relationships

Proposals can be linked to Agreements using the “Manage Relationships” activity.

Follow the steps below to associate an agreement with a proposal or award:

1. Navigate to the *Proposal Workspace*.
2. On the *Proposal Workspace*, click the **Manage Relationships** activity.



3. In the *Manage Relationships* window, search for the related submission you would like to link. Select the appropriate project and click **OK**.
4. When complete, click **OK**.



**Note:** Linked agreements are displayed on the *Related Projects* tab of the *Workspace*.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
<b>Related Projects</b>								
Filter by <span>ID</span> <input type="text" value="Enter text to search"/> <span>+ Add Filter</span> <span>✕ Clear All</span>								
ID	Name	Owner	Organization	Project Type	Project Status	Modified Date		
MTA00000014	20210727 AVT	Orlando Max (rev1)	The Rector & Visitors of the University of Virginia	Agreement	Active	1/17/2022 8:30 PM		

### 3 Creating a Proposal

Proposal submissions consist of creating a proposal, completing a budget, creating additional budgets as necessary (cost share, subawards, etc.) and managing SF424 submissions (if applicable, for federal proposals submitted via Grants.gov).


The sections below provide step-by-step instructions on how to complete these tasks.

#### 3.1 Pre-Proposals and Letter of Intent

Pre-Proposals should be entered into ResearchUVA PBH if the pre-application requires institutional endorsement, includes a detailed budget, or commits University resources. Do not submit the pre-application to the sponsor until it has been approved by the Specialist.

1. On the *Dashboard* or *Grants Module* page, click the **Create Funding Proposal** button.

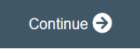


2. Complete the *Proposal SmartForm* pages. When finished with each page, click **Continue** to navigate through the rest of the SmartForm pages.
  - a. General Proposal Information Page
    - i. Expected start date: expected start date of the grant
  - b. Budget Periods and Key Dates
    - i. Application submission date: Note the submission date of the pre-application.
3. If the sponsor requires a detailed budget, complete the *Budget SmartForm*. When finished with each page, click **Continue** to navigate through the rest of the SmartForm pages.
4. If the sponsor requires the submission of the pre-application through their online portal, complete the pre-application there and save a copy of it. Using the **Add Attachments** activity on the Funding Proposal workspace, add the pre-application document(s).
5. If the sponsor requires the submission of the pre-application via email, use the **Add Attachments** activity on the Funding Proposal workspace to add the documents.
6. Using the **Manage Ancillary Review** activity on the *Funding Proposal Workspace* for the necessary personnel to review and approve the pre-application according to your School's business processes (PI, department chair, dean, Specialist). Keep the proposal in *Draft* state, do not submit the proposal using the Submit for Department Review activity.  
 **Note:** The PI will approve via Ancillary Review at the pre-proposal stage. The PI will Certify the proposal if invited to submit a full application.
7. Once approval has been granted, submit the pre-application as directed by the Sponsor. Using the **Add Attachments** activity on the Funding Proposal workspace, add the final pre-application, submission email, or other documents.
8. The Funding Proposal will remain the *Draft* state. When the PI has been notified to submit a full funding proposal, you may edit the Funding Proposal and submit for review as described in subsequent sections of this guide.


### 3.2 How to Create a Proposal

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.

Follow the steps below 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.

### 3.2.1 [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.


### 3.2.2 [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.

### 3.2.3 [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	10/8/2024	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.


3.2.4 [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.

### 3.2.5 [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	<input type="text" value="Period 1"/>	6/30/2023 
2	<input type="text" value="Period 2"/>	6/30/2024 
3	<input type="text" value="Period 3"/>	6/30/2025 
4	<input type="text" value="Period 4"/>	6/30/2026 
5	<input type="text" value="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*.

3.2.6 [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](https://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](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.

### [3.2.7 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.

### [3.2.8 Completion Instructions Page](#)

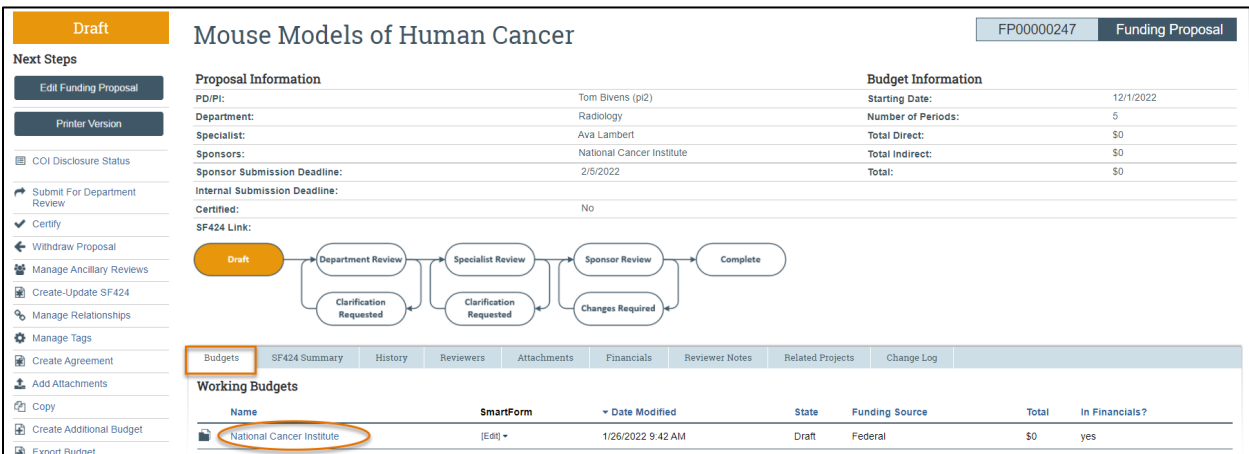
This page provides guidance on what to do after you have completed the SmartForm, including how to validate all required questions were completed. Review the instructions and click **Finish** when complete. You are returned to the *Proposal Workspace*.

**!** **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.).

### 3.3 How to Create a Budget

After the proposal has been created, the system automatically creates a budget record with the name of the direct sponsor. The next step in the proposal submission process is to access the Budget Workspace and complete the Budget SmartForm. Create additional budgets as necessary. Follow the steps below to complete a budget:

1. Navigate to the *Proposal Workspace*. You will automatically be brought to the *Workspace* when you click **Finish** on the Proposal SmartForm.
2. On the *Proposal Workspace*, under the Budgets tab, click the **budget name** to display the *Budget Workspace*.

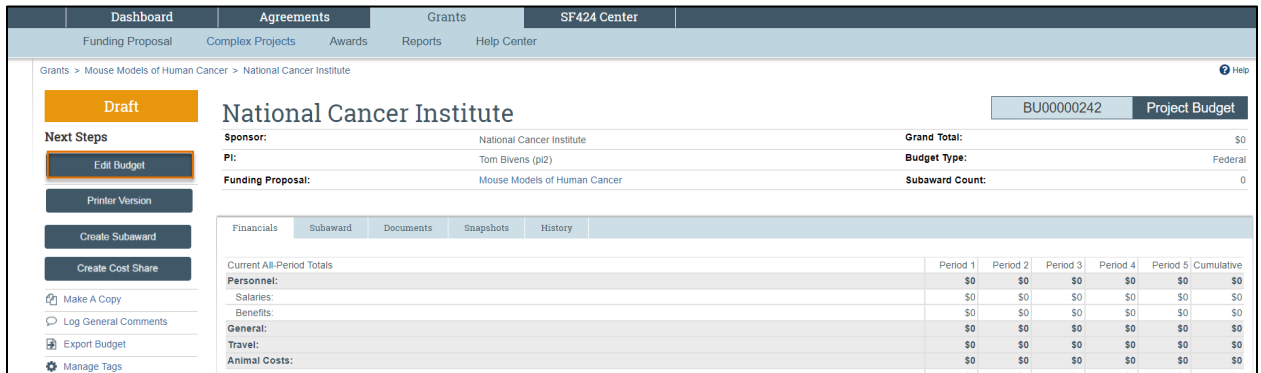


The screenshot displays the 'Draft' workspace for a proposal titled 'Mouse Models of Human Cancer'. The interface includes a 'Next Steps' sidebar with actions like 'Edit Funding Proposal', 'Printer Version', and 'Submit For Department Review'. The main content area is divided into 'Proposal Information' and 'Budget Information' sections. A workflow diagram shows the progression from 'Draft' through 'Department Review', 'Specialist Review', and 'Sponsor Review' to 'Complete', with 'Clarification Requested' and 'Changes Required' loops. Below the diagram is a 'Working Budgets' table with a single entry for 'National Cancer Institute'.

Proposal Information		Budget Information	
PD/PI:	Tom Bivens (pi2)	Starting Date:	12/1/2022
Department:	Radiology	Number of Periods:	5
Specialist:	Ava Lambert	Total Direct:	\$0
Sponsors:	National Cancer Institute	Total Indirect:	\$0
Sponsor Submission Deadline:	2/5/2022	Total:	\$0
Internal Submission Deadline:			
Certified:	No		
SF424 Link:			

Working Budgets							
Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?	
National Cancer Institute	[Edit]	1/26/2022 9:42 AM	Draft	Federal	\$0	yes	

3. On the *Budget Workspace*, click the **Edit Budget** button.



The screenshot shows the 'Budget Workspace' for a 'National Cancer Institute' project. The 'Next Steps' section on the left has the 'Edit Budget' button highlighted. The main area shows project details: Sponsor: National Cancer Institute, PI: Tom Bivens (pi2), Funding Proposal: Mouse Models of Human Cancer, Grand Total: \$0, Budget Type: Federal, Subaward Count: 0. Below this is a table for 'Current All-Period Totals' with columns for Period 1 through 5 and a Cumulative column. The table shows zero values for Personnel, Salaries, Benefits, General, Travel, and Animal Costs across all periods.

4. Complete the Budget 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.

### 3.3.1 [General Budget Information Page](#)

1. **Budget title** – Edit the display name of the budget to better identify the sponsor or the budget's content if necessary. (Example: an internal subproject title should be edited to reflect the receiving department name.)
2. **Principal Investigator for this budget** – This drop-down list contains only the names of those identified as a PI or Co-PI on the proposal. Update as necessary.
3. **Does this budget use the standard F&A cost base and rates?** – The system determines the standard F&A (indirect) cost base and rates from setup selection, sponsor, and budget period dates.

If **Yes**, the Standard F&A cost base and rates display in the table.

3. \* Does this budget use the standard F&A cost base and rates? 

Yes  No [Clear](#)

**Standard F&A cost base and rates**

	Period	1	2	3	4	5
<b>F&amp;A Cost Base</b>	<b>Start:</b>	12/1/2022	12/1/2023	12/1/2024	12/1/2025	12/1/2026
	<b>End:</b>	11/30/2023	11/30/2024	11/30/2025	11/30/2026	11/30/2027
<b>MTDC</b>	<b>Rate:</b>	61.5%	61.5%	61.5%	61.5%	61.5%

If **No**, a second **Non-standard F&A cost base and rates** table displays to specify a different cost rate (if appropriate). When entering rates, enter the value in the first field and use the arrow to duplicate the value in all periods. Select TDC or MTDC as the F&A cost base.

- i. TDC – Total Direct Cost
- ii. MTDC – Modified Total Direct Cost



**Note:** Other F&A cost base options will appear in the system for selection but only TDC and MTDC should be selected for a proposal budget. The additional cost base options will be used at time of award if necessary.

**3. \* Does this budget use the standard F&A cost base and rates?**

Yes  **No** [Clear](#)

**Standard F&A cost base and rates**

	Period	1	2	3	4	5
	Start:	12/1/2022	12/1/2023	12/1/2024	12/1/2025	12/1/2026
F&A Cost Base	End:	11/30/2023	11/30/2024	11/30/2025	11/30/2026	11/30/2027
MTDC	Rate:	61.5%	61.5%	61.5%	61.5%	61.5%

**Non-standard F&A cost base and rates**

	Period	1	2	3	4	5
	Start:	12/1/2022	12/1/2023	12/1/2024	12/1/2025	12/1/2026
F&A Cost Base	End:	11/30/2023	11/30/2024	11/30/2025	11/30/2026	11/30/2027
<input type="text" value="MTDC"/>	Rate:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
						<input type="button" value="Clear"/>



**Important:** ResearchUVA PBH does not allow a user to enter a set indirect cost budget dollar value. If the proposal limits the indirect costs to a specific dollar value, calculate the necessary percentage to recover all costs and enter the relevant percentage.

**4. Will you require detailed budget tables for this budget submission?** – Click **Yes** if you need a detailed Travel budget (type of trip, # of trips, # of people). Click **No** if you will enter Travel costs as a line item on the *General Costs* page.

**5. Include in consolidated budgets?**

- If **Yes**, the budget will be included in the total proposal budget displayed in the Financials tab of the *Proposal Workspace*.
- If **No**, the budget will be excluded from the total proposal budget displayed in the Financials tab of the *Proposal Workspace*. Select No if this is a draft budget that will not be used on the final proposal or if this is a cost share budget.



**Notes:** Selecting Yes adds this budget's totals to the figures on the proposal's Financials tab. The totals of all budgets (except cost share budgets) get rolled up into one total per cost type on the SF424 budget.

**6. Salary Cap** – This field may be automatically populated with the sponsor's salary cap. You can override the default salary cap by typing a new amount. Follow sponsor guidelines for salary caps. Salary cap overages do not need a cost share budget unless they are being reported to the sponsor as part of mandatory cost share.

**7. Apply inflation rate to personnel costs?** – Defaults to "Yes." Update as necessary. Note that if you intend to apply inflation to salary costs for individuals at the salary cap, you will need to remove the Salary Cap otherwise, no inflation will occur in out-years.

**8. Enter inflation rates** –Update as necessary. Click the **Inflate Period 1** box to apply the inflation rate to Period 1; otherwise, inflation will start with Period 2.

### 3.3.2 [Personnel Cost Definition Page](#)

The personnel cost tables consist of two pages. This first page, *Personnel Cost Definition*, is for entering costs. The second page, *Personnel Costs*, is for entering amounts.

Complete the list of personnel by completing one of the following tasks:

**Personnel Cost Definition** ⓘ

[Go to additional personnel on funding proposal](#)

1. Import Proposal Personnel

**Personnel costs:**

+ Add

Staff Member	Appointment	Role	Is Key
There are no items to display			

- i. Click the **Import Proposal Personnel** button to import the PI and all other institutional personnel listed on the proposal at one time. **This action can only be completed once. If you need to add a person after you have run the import, you will manually add them using the "Add" button and then select their name from the dropdown.**
- ii. Click **Update** by each staff member name to complete the additional details
  - a. See [Academic and Summer month instructions](#) on how to edit the summer salary.
  - b. Complete the Workday Personnel Budget category question based on the type of personnel (faculty, graduate student, staff) and their appointment type. For summer salary faculty choose Salaries and Wages. This does not drive fringe rates but transfers to Workday.
- iii. If needed, click the **Go to additional personnel on funding proposal** link to jump to the *Personnel* page of the Proposal SmartForm to add personnel.

When complete, navigate back to the *Personnel Costs* page of the Budget SmartForm and click the **Import Proposal Personnel** button.

Click the **Add** button to add personnel individually.

Use the “Staff Member to Be Determined” value if the position is being budgeted, but the individual has not yet been identified.

**Add Personnel Cost**

**1. Staff member:**

**2. \* Role:**

If "Other (Specify)" selected, enter the role below:

**3. \* Appointment:**

**4. Base salary applied:**

**5. Apply inflation rate:**  
 Yes  No [Clear](#)

**6. \* Workday Personnel Budget Category:**

- Faculty Salary – Use this for faculty academic and calendar appointment salary. Do not use for faculty summer salary.
- GRA/GTA Compensation – Use this for graduate student period activity pay only.
- Salaries and Wages – Use this for all other salary and wages including faculty summer salary.

[Clear](#)

When complete, each row of the table reflects the Appointment duration, Role, and whether the individual is Senior/Key Personnel.

**Personnel Cost Definition** [e](#)

[Go to additional personnel on funding proposal](#)

**1. Personnel costs:**

	Staff Member	Appointment	Role	Is Key	
<input type="button" value="Update"/>	Tom Bivens (pi2)	12 months	PD/PI	yes	<input type="button" value="x"/>
<input type="button" value="Update"/>	Todd Bauer	12 months	Co-Investigator	yes	<input type="button" value="x"/>
<input type="button" value="Update"/>	Jehan Farah	12 months	Post Doctoral	no	<input type="button" value="x"/>

### 3.3.3 [Personnel Costs Page](#)



This page consists of a Budget Summary table and a Personnel Costs table that contains a row for each individual listed on the prior page, which includes their salary, benefits costs, and total compensation.

- i. Click the **Show Effort** button to display additional fields used to indicate the percentage of effort each individual will contribute to the project and the percent of the base salary required.

Personnel Costs						
Budget Summary						
	Period 1 9/29/2020 9/28/2021	Period 2 9/29/2021 9/28/2022	Period 3 9/29/2022 9/28/2023	Period 4 9/29/2023 9/28/2024	Period 5 9/29/2024 9/28/2025	Budget Totals
Personnel Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Direct Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Indirect Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Grand Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Personnel Costs						
	Period 1 9/29/2020 9/28/2021	Period 2 9/29/2021 9/28/2022	Period 3 9/29/2022 9/28/2023	Period 4 9/29/2023 9/28/2024	Period 5 9/29/2024 9/28/2025	
<input type="button" value="Show Effort"/>						
Person: Rebecca Simms (pi) Role: PD/PI	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00
Person: System Administrator Role: Collaborator	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00
Person: test test Role: Co-Investigator	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00	Salary: \$0.00 Benefits: \$0.00 Total: \$0.00
Salary Cost Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Benefits Cost Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Personnel Cost Total:	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

- ii. Enter the applicable **Effort** and **Salary Requested (Sal Req)** percentages and modify the **Fringe Benefits Rate** if necessary. Note that the Fringe Benefit rate is determined by the HR title and maps from Workday. The most common reason the Fringe Benefit rate would need to be updated would be for faculty on summer salary. If you expect these values to remain consistent across all periods, click the **small arrows** to copy the values to the subsequent periods.

Personnel Costs						
	Period 1 12/1/2022 11/30/2023	Period 2 12/1/2023 11/30/2024	Period 3 12/1/2024 11/30/2025	Period 4 12/1/2025 11/30/2026	Period 5 12/1/2026 11/30/2027	
<input type="button" value="Show Totals"/>						
Person: Tom Bivens (pi2) Role: PD/PI	Effort: 0 % <input type="button" value="↔"/>	Effort: 0 % <input type="button" value="↔"/>	Effort: 0 % <input type="button" value="↔"/>	Effort: 0 % <input type="button" value="↔"/>	Effort: 0 % <input type="button" value="↔"/>	Effort: 0 % <input type="button" value="↔"/>
	Sal Req: 0 % <input type="button" value="↔"/>	Sal Req: 0 % <input type="button" value="↔"/>	Sal Req: 0 % <input type="button" value="↔"/>	Sal Req: 0 % <input type="button" value="↔"/>	Sal Req: 0 % <input type="button" value="↔"/>	Sal Req: 0 % <input type="button" value="↔"/>
	FB Rate: 27.7 % <input type="button" value="↔"/>	FB Rate: 27.7 % <input type="button" value="↔"/>	FB Rate: 27.7 % <input type="button" value="↔"/>	FB Rate: 27.7 % <input type="button" value="↔"/>	FB Rate: 27.7 % <input type="button" value="↔"/>	FB Rate: 27.7 % <input type="button" value="↔"/>
	Base: \$150,000.00	Base: \$150,000.00	Base: \$150,000.00	Base: \$150,000.00	Base: \$150,000.00	Base: \$150,000.00

- iii. Repeat this process for all salaried personnel. When complete, click the **Save** to update the totals fields in both the Budget Summary and Personnel Costs tables.


**General Notes about the Personnel Costs table:**

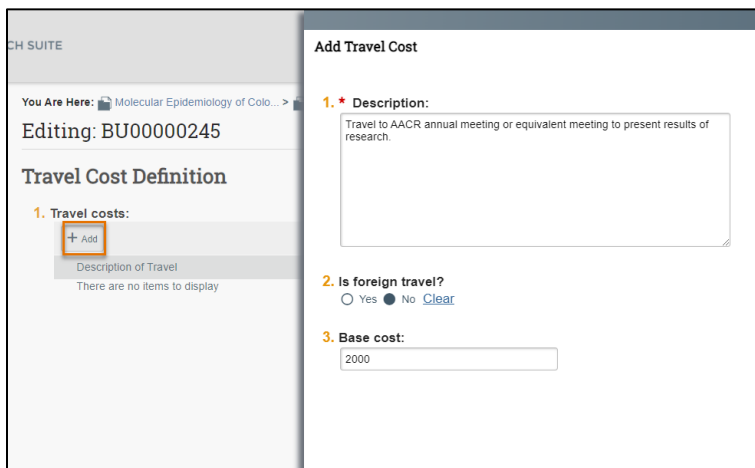
- Use the Show Effort button to toggle between the percentage and dollar amount views.
- The Base salary is defined for each person on the Personnel Cost Definition page.
- $Salary = Base * Sal\ Req\ \%$
- $Benefits = Base * Sal\ Req\ \% * FB\ Rate\ \%$
- The Effort percentage reflects the effort for each person in the period and does not impact the calculations on the table, except that if your effort is greater than the salary requested you will be prompted to create a cost share budget on the Budget Workspace.
- If the base salary is greater than the salary cap amount, the calculations will use the salary cap. You will be prompted to create a cost share budget on the Budget Workspace. UVA does not require cost share budgets to be created for salary cap overage alone.
- If you have salary cap overage plus additional cost share needs, you will need to execute the additional budget activity from the Funding Proposal Workspace. See [Additional Budget](#) instructions below.

### 3.3.4 [Travel Cost Definition Page](#)

This page appears if you entered Yes to Question 4 (Will you require detailed budget tables for this budget submission?) on the General Budget Information page.

Similar to the *Personnel Costs* pages, the General Cost tables consist of two pages. The first page, *Travel Cost Definition*, is for entering costs. The second page, *Travel Costs*, is for entering amounts.

**1. Travel Costs** – Click the **Add** button to add new travel costs and repeat as necessary.



In the *Add Travel Cost* window, answer the following questions:

1. **Description** – Description of travel event.
2. **Is foreign travel?** – Answer Yes or No.
3. **Base cost** – Enter the travel cost.

When complete, click **OK** or **OK and Add Another**.

**Travel Cost Definition**

1. Travel costs:

+ Add

Description of Travel	Is Foreign Travel	Base Cost
<div style="display: flex; align-items: center;"> <span style="border: 1px solid gray; padding: 2px 5px; margin-right: 5px;">Update</span> <span>Travel to AACR annual meeting or equivalent meeting to present results of research.</span> </div>	no	\$2,000.00

### 3.3.5 [Travel Costs Page](#)

This page consists of a Budget Summary table and a Travel Costs table that contains a row for each travel line item listed on the prior page.

- i. Click the **Show Quantity** button to display additional fields used to indicate the number of trips and number of people per trip.

**Travel Costs**

**Budget Summary**

	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027	Budget Totals
<b>Travel Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Direct Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Indirect Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Grand Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**Travel Costs**


	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027
<div style="display: flex; align-items: center;"> <span style="border: 2px solid orange; padding: 2px 5px; margin-right: 5px;">Show Quantity</span> </div>					
<b>Description:</b> Travel to AACR annual meeting ...	<b>Total Units:</b> 0	0	0	0	0
	<b>Unit Cost w/Inf:</b> \$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00
	<b>Total:</b> \$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Domestic Travel Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Foreign Travel Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Travel Cost Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

- ii. Enter the applicable **# Trips** and **# People per Trip** as necessary. If you expect these values to remain consistent across all periods, click the **small arrows** to copy the values to the subsequent periods.

Travel Costs		Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027
<a href="#">Show Totals</a>						
Description: Travel to AACR annual meeting ...	# Trips:	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
	# People per Trip:	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
Domestic Travel Total:		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Foreign Travel Total:		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Travel Cost Total:		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

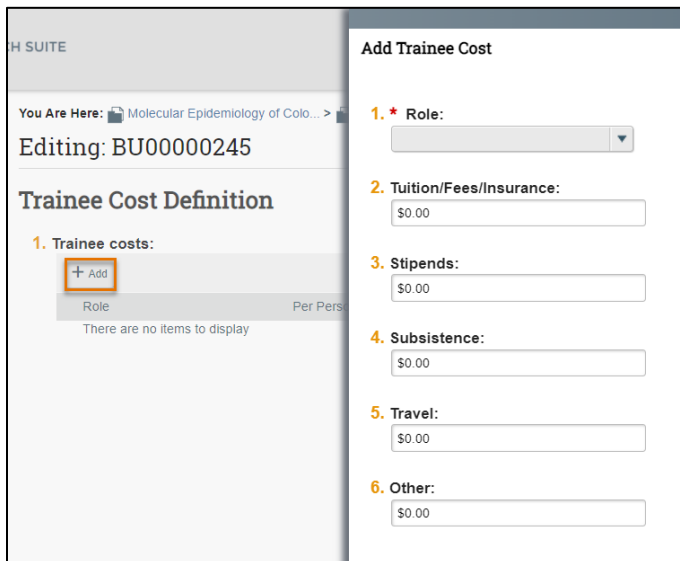
- iii. Repeat this process for all travel costs. When complete, click the **Save** to update the totals fields in both the Budget Summary and Travel Costs tables.

### 3.3.6 [Trainee Cost Definition Page](#)

 **Note:** This page appears on all budgets. Only use this page if appropriate for your proposal and allowed by the funding opportunity and sponsor guidelines that guide your submission. This should not be used for graduate students on a standard proposal.

On this page you'll enter line items for trainee costs. Similar to the *Personnel Costs* pages, the Trainee Cost tables consist of two pages. The first page, *Trainee Cost Definition*, is for entering costs. The second page, *Trainee Costs*, is for entering amounts.

**Trainee Costs** – Click the **Add** button to add new trainee costs for each trainee role/level and repeat as necessary.



In the *Add Trainee Cost* window, answer the following questions, using your funding opportunity announcement and sponsor guidelines:

1. **Role** – Enter the role using the drop-down
2. **Tuition/Fees/Insurance**

3. **Stipends**
4. **Subsistence**
5. **Travel**
6. **Other**

When complete, click **OK** or **OK and Add Another**.

### Trainee Cost Definition

1. Trainee costs:

+ Add

Role	Per Person Cost Total
<span style="border: 1px solid gray; padding: 2px 5px;">Update</span> Post Doc 1 Year	\$70,494.00

### 3.3.7 [Trainee Cost Page](#)

This page consists of a Budget Summary table and a Trainee Costs table that contains a row for each trainee role/level listed on the prior page.

- i. Click the **Show Totals** button to display additional fields used to indicate the number of trainees for each trainee role/level.

### Trainee Costs

#### Budget Summary

	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027	Budget Totals
<b>Trainee Total:</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Direct Total:</b>	\$4,000.00	\$4,000.00	\$4,000.00	\$4,000.00	\$4,000.00	\$20,000.00
<b>Indirect Total:</b>	\$2,460.00	\$2,460.00	\$2,460.00	\$2,460.00	\$2,460.00	\$12,300.00
<b>Grand Total:</b>	\$6,460.00	\$6,460.00	\$6,460.00	\$6,460.00	\$6,460.00	\$32,300.00

#### Trainee Costs

		Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027
<span style="border: 1px solid gray; padding: 2px 5px;">Show Totals</span>						
<b>Role: Post Doc 1 Year</b>	<b># Trainees:</b>	<input style="width: 50px;" type="text" value="0"/>	<input style="width: 50px;" type="text" value="0"/>	<input style="width: 50px;" type="text" value="0"/>	<input style="width: 50px;" type="text" value="0"/>	<input style="width: 50px;" type="text" value="0"/>
<b>Trainee Total:</b>		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

- ii. Enter the applicable **# Trainees** as necessary. If you expect these values to remain consistent across all periods, click the small arrows to copy the values to the subsequent periods.

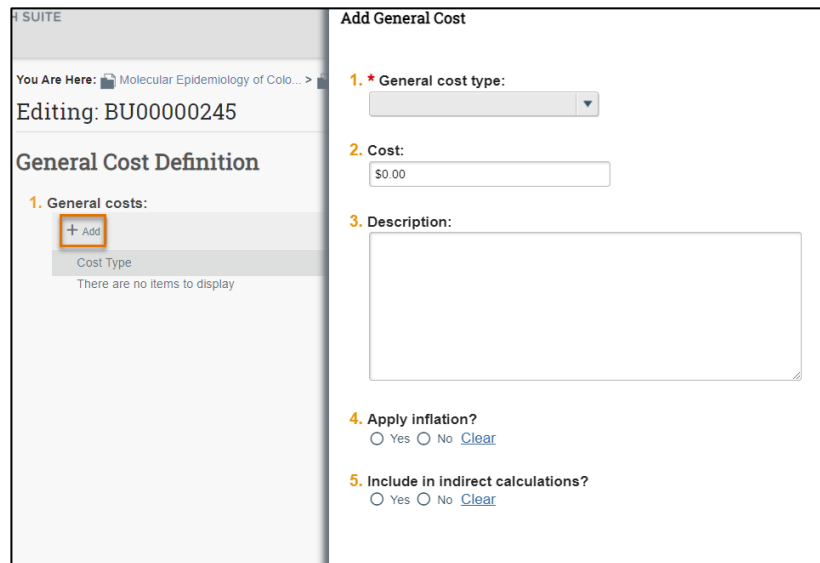
Trainee Costs		Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027
<a href="#">Show Totals</a>						
Role: Post Doc 1 Year	# Trainees:	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
<b>Trainee Total:</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

- iii. Repeat this process for all trainee costs. When complete, click the **Save** to update the totals fields in both the Budget Summary and Trainee Costs tables.

### 3.3.8 [General Cost Definition Page](#)

On this page you'll enter line items for cost categories not entered on the preceding budget tables. Similar to the *Personnel Costs* pages, the General Cost tables consist of two pages. The first page, *General Cost Definition*, is for entering costs. The second page, *General Costs*, is for entering amounts.

- i. **General costs** – Click the **Add** button to add a new cost type and repeat as necessary.



In the *Add General Cost* window, answer the following questions:

1. **General cost type** – Make a selection in the drop-down list.
2. **Cost** – Enter the dollar amount per period.
3. **Description** – Enter additional information about the cost type.
4. **Apply inflation?** – Answer Yes or No. By answering no, the amounts will be editable on the next page. If answering Yes, this will apply inflation rate applied from general information tab (even 0%) and outyear budget amounts won't be editable.

5. **Include in indirect calculations?** - Answer Yes or No. This question only displays for certain cost types Do not change default answer unless sponsor solicitation/guidelines specifically require change. Default answers are driven by indirect cost base.

When complete, click **OK** or **OK and Add Another**.

**General Cost Definition**

1. General costs:

Cost Type	Description	Cost
<input type="button" value="Update"/>	Animal	\$9,000.00
<input type="button" value="Update"/>	Consultant Services	\$5,000.00
<input type="button" value="Update"/>	Materials and Supplies	\$25,000.00

### 3.3.9 [General Costs Page](#)

This page consists of a Budget Summary table and a General Costs table that contains a row for each cost type listed on the prior page. Notice that the costs with inflation factored in are automatically promoted across all budget periods.

- i. Click the **hyperlink** associated with each *Cost Type* to edit the *Cost Type* and the associated details listed for each *Cost Type*.
- ii. Click the **Save** button within the *General Costs* table after you have completed your edits.

**General Costs**

**Budget Summary**


	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027	Budget Totals
<b>General Total:</b>	\$39,000.00	\$39,000.00	\$39,000.00	\$39,000.00	\$39,000.00	\$195,000.00
<b>Direct Total:</b>	\$113,494.00	\$113,494.00	\$113,494.00	\$113,494.00	\$113,494.00	\$567,470.00
<b>Indirect Total:</b>	\$67,031.00	\$67,031.00	\$67,031.00	\$67,031.00	\$67,031.00	\$335,155.00
<b>Grand Total:</b>	\$180,525.00	\$180,525.00	\$180,525.00	\$180,525.00	\$180,525.00	\$902,625.00

**General Costs**

	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027
<input type="button" value="Save"/>					
<b>Cost Type:</b> Animal <b>Description:</b>	\$9,000.00	\$9,000.00	\$9,000.00	\$9,000.00	\$9,000.00
<b>Cost Type:</b> Consultant Services <b>Description:</b>	\$5,000.00	\$5,000.00	\$5,000.00	\$5,000.00	\$5,000.00
<b>Cost Type:</b> Materials and Supplies <b>Description:</b>	\$25,000.00	\$25,000.00	\$25,000.00	\$25,000.00	\$25,000.00
<b>General Cost Total:</b>	\$39,000.00	\$39,000.00	\$39,000.00	\$39,000.00	\$39,000.00

- iii. Enter any notes about the general costs in Question 1 and click **Continue**.

- iv. If you have any supporting documents for this budget, please use the proposal “Add Attachments” activity in the *Proposal Workspace*.

 **Note:** The general cost dollar amounts shown below (Cost Type “Animal”) are editable because the “Apply inflation?” question in the Add General Cost window was answered as “no.”

General Costs						
Budget Summary						
	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027	Budget Totals
<b>General Total:</b>	\$39,000.00	\$39,000.00	\$39,000.00	\$39,000.00	\$39,000.00	\$195,000.00
<b>Direct Total:</b>	\$113,494.00	\$113,494.00	\$113,494.00	\$113,494.00	\$113,494.00	\$567,470.00
<b>Indirect Total:</b>	\$67,031.00	\$67,031.00	\$67,031.00	\$67,031.00	\$67,031.00	\$335,155.00
<b>Grand Total:</b>	\$180,525.00	\$180,525.00	\$180,525.00	\$180,525.00	\$180,525.00	\$902,625.00

General Costs						
	Period 1 7/1/2022 6/30/2023	Period 2 7/1/2023 6/30/2024	Period 3 7/1/2024 6/30/2025	Period 4 7/1/2025 6/30/2026	Period 5 7/1/2026 6/30/2027	
<input type="button" value="Save"/>						
<b>Cost Type:</b> Animal <b>Description:</b>	\$9,000.00	\$9,000.00	\$9,000.00	\$9,000.00	\$9,000.00	
<b>Cost Type:</b> Consultant Services <b>Description:</b>	\$5,000.00	\$5,000.00	\$5,000.00	\$5,000.00	\$5,000.00	
<b>Cost Type:</b> Materials and Supplies <b>Description:</b>	\$25,000.00	\$25,000.00	\$25,000.00	\$25,000.00	\$25,000.00	
<b>General Cost Total:</b>	<b>\$39,000.00</b>	<b>\$39,000.00</b>	<b>\$39,000.00</b>	<b>\$39,000.00</b>	<b>\$39,000.00</b>	

### 3.3.10 [F&A Cost Overrides Page](#)

This page reports the F&A cost base standard being used to calculate the F&A amount for this budget and if applicable, any overrides. **Only Specialists in your School’s Pre-Award office or OSP can change these settings.**

F&A Cost Overrides ?
1. <b>F&amp;A cost base:</b> MTDC
2. <b>* Personnel salary:</b> No override
3. <b>* Personnel benefits:</b> No override
4. <b>* General cost:</b> No override



### 3.3.11 [Attachments Page](#)

Do not attach any documents in this page. Attach any supporting budget documentation to the proposal “Add Attachments” activity. When complete, click the **Finish** button. You are returned to the *Budget Workspace*.

On the *Budget Workspace*, the Financials tab reflects the categories and totals specified on the budget tables. Click the **Edit Budget** button to make any additional updates.

Draft

**American Society of Clinical Oncology Cancer Foundation**

BU00000245
Project Budget

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**Sponsor:** American Society of Clinical Oncology Cancer Foundation

**PI:** Tom Bivens (pi2)

**Funding Proposal:** Molecular Epidemiology of Colon Cancer

**Grand Total:** \$902,625

**Budget Type:** Foundation/Not For Profit

**Subaward Count:** 0

---

Financials
Subaward
Documents
Snapshots
History

Current All-Period Totals	Period 1	Period 2	Period 3	Period 4	Period 5	Cumulative
<b>Personnel:</b>	\$0	\$0	\$0	\$0	\$0	\$0
Salaries:	\$0	\$0	\$0	\$0	\$0	\$0
Benefits:	\$0	\$0	\$0	\$0	\$0	\$0
<b>General:</b>	\$39,000	\$39,000	\$39,000	\$39,000	\$39,000	\$195,000
Travel:	\$4,000	\$4,000	\$4,000	\$4,000	\$4,000	\$20,000
<b>Animal Costs:</b>	\$0	\$0	\$0	\$0	\$0	\$0
Animal Ordering:	\$0	\$0	\$0	\$0	\$0	\$0
Animal Maintenance:	\$0	\$0	\$0	\$0	\$0	\$0
<b>Trainee:</b>	\$70,494	\$70,494	\$70,494	\$70,494	\$70,494	\$352,470

### 3.3.12 [How to Input Academic and Summer Salary Faculty](#)


For those persons with less than 12-month appointments (for example, faculty and graduate students with 9-month appointments) and who are providing effort in both the academic (AY) and summer (SUM) months, 2 lines will need to be created in the Budget Workspace: one for their AY effort, and one for their SUM effort.

On the Personnel Cost Definition page, after the personnel have been imported from the funding proposal, the personnel listed will reflect their primary appointment from the Workday feed (12 months, 9 months, etc.)

To add the line for their SUM effort, from the Personnel Cost Definition SmartForm:

1. Click +Add
2. Select the staff member from the dropdown
3. In #3, Appointment, select 3 months (or 2 months if the primary appointment is for 10 months)
4. In #4, Base salary applied, edit this amount to reflect their base summer salary (for those with 9-month appointments, calculate one-third of their 9-month salary)
5. In #5, Select whether to apply the inflation rate
6. In #6, select “Salaries and Wages” for the Workday Personnel Budget Category.
  - a. For faculty providing effort during their calendar (12 months) or academic (9 months/10 months) appointment, select “Faculty Salary”.
  - b. For faculty on summer salary and graduate students providing effort during the summer months, select “Salaries and Wages”.
7. Click OK.

The Personnel Cost Definition list of personnel updates to reflect the same faculty member listed twice with appointments in both the AY and SUM months.

 **Note:** *Persons with less than 12-month appointments who are not providing effort during the SUM months do not need to be additionally added with a 3-month appointment.*

On the Personnel Costs page:


1. Click Show Effort
2. Add the effort and salary requested over the SUM period for the faculty member recently added
3. Update the FB rate
4. Click Save or Continue.

Complete the remaining Smartform pages for the Budget Workspace. If this is for a federal proposal and this will be submitted using the S2S activity:

1. Use the Create-Update SF424 activity to create or update the SF-424 forms
2. Click the SF424 link from the Funding Proposal Workspace
3. Click Edit Grant Application and navigate to the R&R Budget pages

 **Note:** *All personnel effort is automatically reflected in the Cal. Months column.*

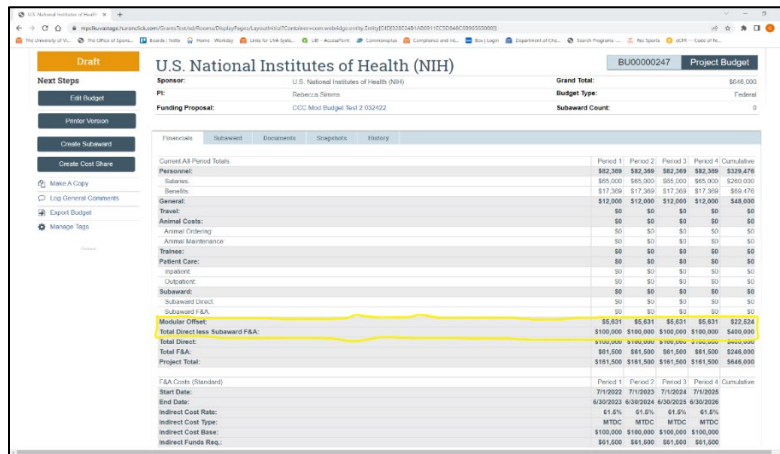
Faculty members with less than a 12-month primary appointment will be reflected on 2 lines. Edit their effort to reflect the appropriate number of months in the Acad. Months or Sum. Months columns. This will need to be done for each budget period.

 **Note:** *On the SF-424 budget form, there is a maximum number of 8 lines for senior/key person effort in Section A. If the number of lines for effort exceeds 8 lines, create a document for Additional Senior Key Persons and upload it into Section A of the SF-424 budget form. ResearchUVA PBH will not automatically create this.*

### [3.3.13 How to Create a Modular Budget](#)

In the Funding Proposal SmartForm, Budget Periods and Key Dates page, select Yes to question 6 “Modular Budget?”

Follow the steps in Sec. 3.2. When complete, click the **Finish** button. You are returned to the *Budget Workspace* where the budget is displayed:



Financials	Subaward	Encumbrance	Sequestrator	History			
<b>Current All Period Totals</b>							
Personnel:			Period 1	Period 2	Period 3	Period 4	Cumulative
Salaries			\$82,300	\$82,300	\$82,300	\$82,300	\$329,200
Benefits			\$17,300	\$17,300	\$17,300	\$17,300	\$69,200
Travel			\$12,000	\$12,000	\$12,000	\$12,000	\$48,000
Animal Costs:			\$0	\$0	\$0	\$0	\$0
Animal Ordering			\$0	\$0	\$0	\$0	\$0
Animal Maintenance			\$0	\$0	\$0	\$0	\$0
Trainers			\$0	\$0	\$0	\$0	\$0
Patient Care:			\$0	\$0	\$0	\$0	\$0
- Inpatient			\$0	\$0	\$0	\$0	\$0
- Outpatient			\$0	\$0	\$0	\$0	\$0
Subaward:			\$0	\$0	\$0	\$0	\$0
- Subaward Direct			\$0	\$0	\$0	\$0	\$0
- Subaward F&A			\$0	\$0	\$0	\$0	\$0
<b>Modular Offset</b>			\$6,691	\$6,691	\$6,691	\$6,691	\$22,624
<b>Total Direct less Subaward F&amp;A</b>			\$100,000	\$100,000	\$100,000	\$100,000	\$400,000
<b>Total Direct</b>			\$100,000	\$100,000	\$100,000	\$100,000	\$400,000
<b>Total F&amp;A</b>			\$15,500	\$15,500	\$15,500	\$15,500	\$62,000
<b>Project Total</b>			\$115,500	\$115,500	\$115,500	\$115,500	\$462,000
<b>F&amp;A Costs (Standard)</b>							
Start Date:			7/1/2022	7/1/2023	7/1/2024	7/1/2025	
End Date:			6/30/2022	6/30/2023	6/30/2024	6/30/2025	
Indirect Cost Rate:			0.15%	0.15%	0.15%	0.15%	
Indirect Cost Type:			0102C	0102C	0102C	0102C	
Indirect Cost Base:			\$100,000	\$100,000	\$100,000	\$100,000	
Indirect Funds Req.:			\$01,000	\$01,000	\$01,000	\$01,000	

**Note:** The **Modular Offset** and the **Total Direct less Subaward F&A** lines in the budget (highlighted in the image above). Based on the total direct costs entered, the system rounds the Total Direct less Subaward F&A up to the next \$25,000 increment by adding the modular offset.

If your budget is over the target direct cost increment, click the **Edit Budget** button to reduce the direct costs to obtain the desired total. If the Total Direct less Subaward F&A is your target amount, and the modular offset is greater than \$0, it is recommended that you edit the budget to increase the direct costs to reduce the modular offset to \$0. However, if there is a non-zero modular offset and the Total Direct less Subaward F&A is correct, the budget will map correctly to the SF424.

### 3.3.14 [How to Create an Additional Budget](#)

Additional budgets may need to be created for the proposal submission.

**Note:** Consider creating additional budgets for the following scenarios:

- Multiple departments or divisions
- Multiple PD/PIs
- Estimate budgets (be careful to select whether to consolidate in financials)
- Additional sponsor budget requirements (i.e., by fiscal year)

Follow the steps below to create an additional budget:

1. Navigate to the *Proposal Workspace*.
2. On the *Proposal Workspace*, click the **Create Additional Budget** activity.
3. In the *Create Additional Budget* window, enter the **Budget title** and the associated **PI Name** and click **OK**.

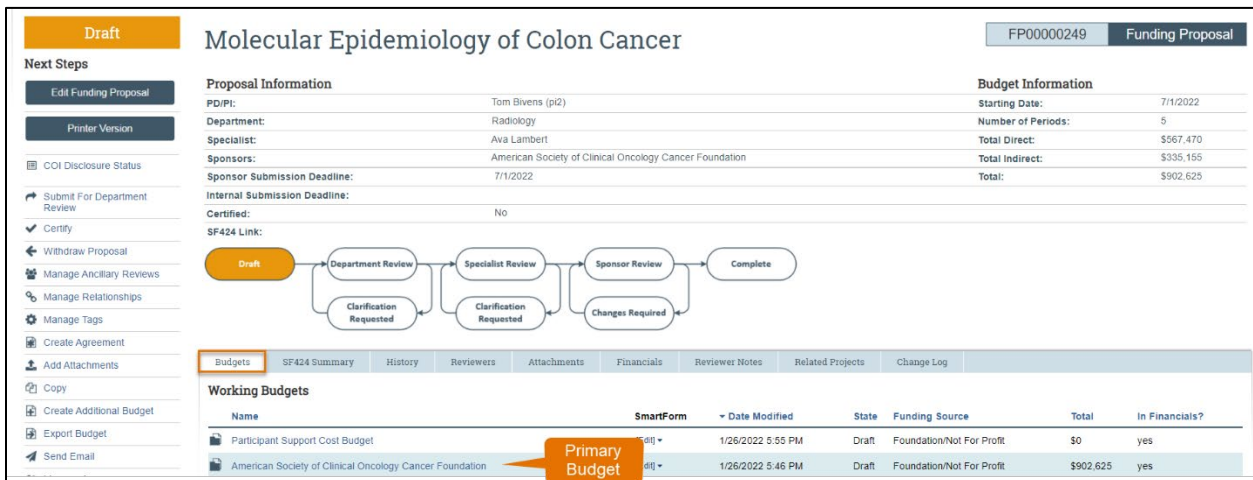
- On the *Budget Workspace*, complete the pages as necessary. See [How to Complete a Budget](#) for additional information.

### 3.3.15 [How to Create a Cost Share Budget](#)

Cost share budgets are necessary to account for funds that must be covered by UVA. Cost share budgets can only be created after the primary budget associated with the proposal has been created.

Follow the steps below to create a cost share budget:

- Navigate to the *Proposal Workspace*.
- On the *Proposal Workspace*, under the Budgets tab, click the **primary budget name** to display the *Budget Workspace*.



**Draft** Molecular Epidemiology of Colon Cancer FP00000249 Funding Proposal

**Next Steps**

- Edit Funding Proposal
- Printer Version
- COI Disclosure Status
- Submit For Department Review
- Certify
- Withdraw Proposal
- Manage Ancillary Reviews
- Manage Relationships
- Manage Tags
- Create Agreement
- Add Attachments
- Copy
- Create Additional Budget
- Export Budget
- Send Email

**Proposal Information**

PDI/PI: Tom Bivens (pi2)  
 Department: Radiology  
 Specialist: Ava Lambert  
 Sponsors: American Society of Clinical Oncology Cancer Foundation  
 Sponsor Submission Deadline: 7/1/2022  
 Internal Submission Deadline:  
 Certified: No  
 SF424 Link:

**Budget Information**

Starting Date: 7/1/2022  
 Number of Periods: 5  
 Total Direct: \$567,470  
 Total Indirect: \$335,155  
 Total: \$902,625

**Working Budgets**

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
Participant Support Cost Budget		1/26/2022 5:55 PM	Draft	Foundation/Not For Profit	\$0	yes
American Society of Clinical Oncology Cancer Foundation		1/26/2022 5:46 PM	Draft	Foundation/Not For Profit	\$902,625	yes

- On the *Budget Workspace*, click the **Create Cost Share** button.



**Draft** American Society of Clinical Oncology Cancer Foundation BU00000245 Project Budget

**Next Steps**

- Edit Budget
- Printer Version
- Create Subaward
- Create Cost Share

Sponsor: American Society of Clinical Oncology Cancer Foundation  
 PI: Tom Bivens (pi2)  
 Funding Proposal: Molecular Epidemiology of Colon Cancer

Grand Total: \$902,625  
 Budget Type: Foundation/Not For Profit  
 Subaward Count: 0

**Current All-Period Totals**

Personnel:	Period 1	Period 2	Period 3	Period 4	Period 5	Cumulative
	\$0	\$0	\$0	\$0	\$0	\$0


- Complete the Cost Share 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.


#### *Cost Share Information Page:*

- Cost share type** – Select the appropriate type. See UVA policy [here](#).
- Cost Share Entity** – Select the entity that will share the cost. Select the academic department responsible for the cost share if it is internal. Use question 3 if more than

one academic department is splitting the cost share, and/or upload an excel file. If the cost share is external, choose third-party in-kind for question 1 and the external entity in this question.

- 3. Are there any other sources of cost share funding? If yes, add an attachment which summarizes each cost share entity, relative percentages, and dollar amounts.** – Enter Yes or No. Note that your attachment should be added on the *Attachment* page of the Cost Share Budget SmartForm.

 **Note:** Cost share documentation is required and must be uploaded to the Funding Proposal. Additionally, cost share approvals via Ancillary Review will be required prior to submission to sponsor.

 **Note:** To add unrecovered F&A or subaward cost share, add them under General Costs as direct costs.

5. The remaining SmartForm pages of the Cost Share budget are similar to those of the primary budget. See the [General Budget Information Page](#) of the [How to Complete a Budget](#) section above.
6. For future reference, cost share budgets are displayed under the Budgets tab of the *Proposal Workspace*.

Budgets	Budget Summary	SF424
<b>Working Budgets</b>		
<b>Name</b>		
	<a href="#">Cost Sharing for National Institutes of Health</a>	
	<a href="#">National Institutes of Health</a>	

### 3.3.16 [Over-the-Cap and Additional Cost Share](#)

UVA is not using a Cost Share budget to account for over-the-cap salary. In the Budget Workspace, salary requested that exceeds the salary cap will prompt a reminder to generate a Cost Share budget. This is a Huron-generated reminder and can be ignored, *unless* over-the-cap salary is being reported to the sponsor as part of mandatory cost share (for example, salary requested on an NIH grant when the salary basis exceeds the NIH salary cap).

However, if the proposal is for a sponsor that imposes a salary cap **AND** there will be salary requested that exceeds that cap **AND** the proposal includes other cost share items (additional salary, supplies, resources provided, etc.), follow the procedure below to account for the additional cost share. The goal is to account for the additional cost share only and exclude the over-the-cap amount.

1. Navigate to the Funding Proposal Workspace. Using the Create Additional Budget activity, create an additional budget for **\$0**.
  - a. On the General Budget Information page, select NO to exclude this budget in consolidated budgets.
2. Navigate to the Budget Workspace for the \$0 budget just created. Using the Create Cost Share activity, create a Cost Share budget associated with the \$0 budget.
3. Open and edit the Cost Share budget to include all other cost share associated with the Funding Proposal except for the over-the-cap salary.
  - a. On the General Budget Information page, select whether or not to include this budget in consolidated budgets.

The Funding Proposal Workspace will now reflect at least 3 budgets:

- a. A primary budget for all costs associated with the Funding Proposal;
- b. A \$0 budget; and
- c. A cost share budget for all cost share items except for over-the-cap salary.

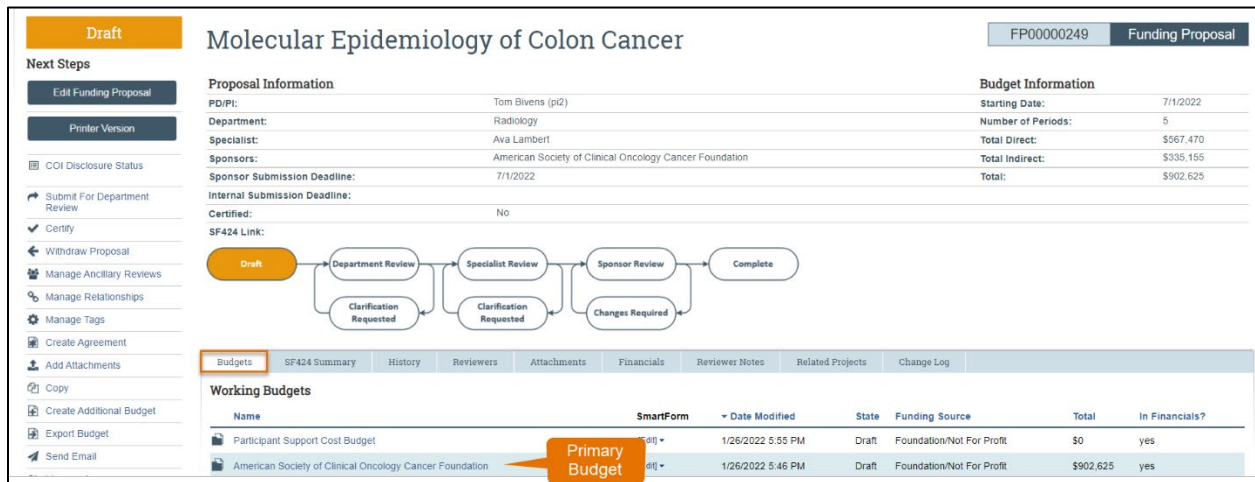
To delete a Cost Share budget that includes over-the-cap salary, open the Cost Share budget workspace. Use the Withdraw activity to withdraw the Cost Share budget.

### 3.3.17 [How to Create an External Subaward Budget](#)

Subaward budgets are necessary to account for funds when contracting an external institution for a specific scope of work as part of the research project. Subaward budgets can only be created after the primary budget associated with the proposal has been created.

Follow the steps below to create a subaward budget:

1. Navigate to the *Proposal Workspace*.
2. On the *Proposal Workspace*, under the Budgets tab, click the **primary budget** name to display the *Budget Workspace*.



**Draft** Molecular Epidemiology of Colon Cancer FP00000249 Funding Proposal

**Next Steps**

- Edit Funding Proposal
- Printer Version
- COI Disclosure Status
- Submit For Department Review
- Certify
- Withdraw Proposal
- Manage Ancillary Reviews
- Manage Relationships
- Manage Tags
- Create Agreement
- Add Attachments
- Copy
- Create Additional Budget
- Export Budget
- Send Email

**Proposal Information**

PID/PI: Tom Bivens (pi2)  
 Department: Radiology  
 Specialist: Ava Lambert  
 Sponsors: American Society of Clinical Oncology Cancer Foundation  
 Sponsor Submission Deadline: 7/1/2022  
 Internal Submission Deadline:  
 Certified: No  
 SF424 Link:

**Budget Information**

Starting Date:	7/1/2022
Number of Periods:	5
Total Direct:	\$567,470
Total Indirect:	\$335,155
Total:	\$902,625

Workflow: Draft → Department Review → Specialist Review → Sponsor Review → Complete  
 Clarification Requested (under Department and Specialist Review) | Changes Required (under Sponsor Review)

**Working Budgets**

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
Participant Support Cost Budget		1/26/2022 5:55 PM	Draft	Foundation/Not For Profit	\$0	yes
American Society of Clinical Oncology Cancer Foundation		1/26/2022 5:46 PM	Draft	Foundation/Not For Profit	\$902,625	yes

**Primary Budget**

3. On the *Budget Workspace*, click the **Create Subaward** button.



The screenshot shows a web interface for a budget workspace. At the top, it displays the title "American Society of Clinical Oncology Cancer Foundation" and the budget ID "BU00000245" with a "Project Budget" label. Below this, there are fields for "Sponsor" (American Society of Clinical Oncology Cancer Foundation), "PI" (Tom Bivens (pi2)), "Grand Total" (\$902,625), "Budget Type" (Foundation/Not For Profit), and "Funding Proposal" (Molecular Epidemiology of Colon Cancer). A "Subaward Count" is shown as 0. On the left, a "Next Steps" sidebar includes buttons for "Edit Budget", "Print Version", "Create Subaward" (highlighted in orange), and "Create Cost Share". Below the main form, there are tabs for "Financials", "Subaward", "Documents", "Snapshots", and "History". A table at the bottom shows "Current All-Period Totals" for "Personnel" across five periods, with all values listed as \$0.

4. Complete the Subaward 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.

- **Subaward Budget Information page**

1. **Title** - Enter a descriptive name for the subaward (50 character maximum). For example, identify the subawardee or the budget's content.

2. **Organization** - Enter the subawardee's name. If the subawardee name is not listed, select "TBD."

3. **Principal Investigator** – This field automatically populates with the primary budget's PI.

4. **Subawardee PI** – Enter the Subawardee PI's information. This is required field.


5. **Subaward budget detail level** – Select how to capture budget data for this subaward.

- **Per Period Direct and Indirect totals** – All costs are captured in a single budget table as per-period direct and indirect totals. If submitting via S2S, SF424 may still require subaward budget details to be entered manually in the SF424 Workspace.
- **SF424 Subaward Import** – Allows you to upload the subawardee's budget totals from a completed *R&R Subaward Budget PDF* form. (You do this on the *SF424 Subaward Import* page, which appears later in the SmartForm. The information from the uploaded R&R Subaward Budget PDF will map to the SF424.) SF424 R&R Budget for specific proposal package will be available for download after you initiate the SF424 Workspace.
  - Select this option when submitting your proposal system-to-system (ResearchUVA PBH to Grants.gov).
  - The PDF form must be opened with Adobe Acrobat (not a web browser) to edit it. Ensure you use the PDF version associated with the opportunity (which can be downloaded from the *SF424 Workspace*). Using older form versions may result in error.
  - The period dates entered in the Subaward R&R Budget PDF form must match the budget periods of the primary budget.



**6. Include in consolidated budgets?** – Select **Yes** to include this subaward budget in the final application budget that is to be submitted to the sponsor. Select **No** if this budget should be excluded from the final application budget.

**7. Subaward indirect allowance limit** – By default, ResearchUVA PBH includes the first \$25,000 of subaward budgets in the cost base for calculating F&A costs for the primary budget for MTDC budgets. However, you can change this value.

 **Note:** This question appears only if the cost base type selected in the parent budget is “MTDC.”

- **All Personnel Page: Do not use this section.**
- **Per Period Cost Totals** page (displayed only if this option was selected on the first page).
  1. Enter the **Direct** and **Indirect** costs as necessary and use the arrows to promote the same values to the subsequent periods.

Per Period Cost Totals	
Total Direct:	
Total Indirect:	
Total Project:	
Cost Totals	Period Start: 7/1/2022 End: 6/30/2023
Direct:	\$100,000
Indirect:	\$54,000
Grand Total:	\$154,000

2. The totals at the top of the table will update as data is entered. Enter applicable notes in the text field by Question 1.

Per Period Cost Totals							
Total Direct:							\$500,000
Total Indirect:							\$270,000
Total Project:							\$770,000
Cost Totals	Period Start: 7/1/2022 End: 6/30/2023	7/1/2023 6/30/2024	7/1/2024 6/30/2025	7/1/2025 6/30/2026	7/1/2026 6/30/2027	Total	
Direct:	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	\$500,000	
Indirect:	\$54,000	\$54,000	\$54,000	\$54,000	\$54,000	\$270,000	
Grand Total:	\$154,000	\$154,000	\$154,000	\$154,000	\$154,000	\$770,000	
1. Budget notes: Enter budget notes in this field							

- **SF424 Subaward Import Page**




This page is only displayed if **SF424 Subaward Import** is selected on the [Subaward Budget Information](#) page. The editable PDF is available on the SF424 Workspace within the system or on the Grants.gov website.

### SF424 Subaward Import

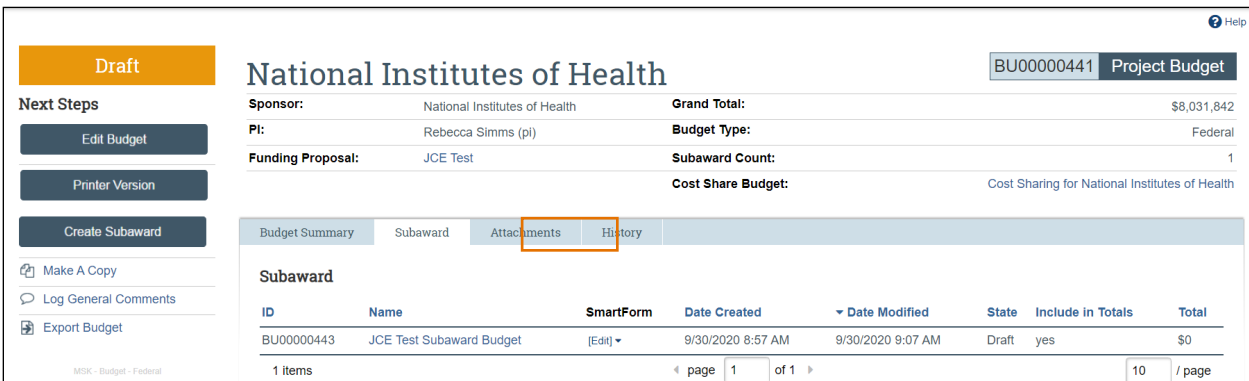
1. To import, select your SF424 Subaward PDF click Save. The totals from the form will be loaded in the system.

Choose File

 **Important:** The budget periods entered on this PDF form must match the budget periods on the primary budget.

1. To import, select your SF424 Subaward PDF and click **Save**. The totals from the form will be loaded in the system.
  - **Attachments Page**
    - i. **Attachments** – Do not upload any supporting documents here. Attach all documentation using the “Add Attachment” activity in the *Proposal Workspace*. When complete, click the **Finish** button. You are returned to the *Subaward Workspace*.

For future reference, subaward budgets are displayed under the Subaward tab of the *Budget Workspace*.



**National Institutes of Health** BU00000441 Project Budget

**Sponsor:** National Institutes of Health **Grand Total:** \$8,031,842

**PI:** Rebecca Simms (pi) **Budget Type:** Federal

**Funding Proposal:** JCE Test **Subaward Count:** 1

**Cost Share Budget:** Cost Sharing for National Institutes of Health

Budget Summary Subaward **Attachments** History

**Subaward**

ID	Name	SmartForm	Date Created	Date Modified	State	Include in Totals	Total
BU00000443	JCE Test Subaward Budget	[Edit]	9/30/2020 8:57 AM	9/30/2020 9:07 AM	Draft	yes	\$0

1 items page 1 of 1 10 / page

## 4 How to Manage a SF424 Submission for Federal Proposals

If you selected to submit your proposal by system-to-system on the [Submission Information page](#) of the Proposal SmartForm, you will also create the applicable SF424 forms and populate them with data from the Proposal and Budget SmartForms. This functionality also allows you to quickly verify compliance with sponsor requirements.

### 4.1 How to Create the SF424

1. On the *Proposal Workspace*, click the **Create-Update SF424** activity.

**!** **Important:** If SF424 forms have been edited directly, re-creating, or updating them from within the Proposal could overwrite those edits.

Draft
Mouse Models of Human Cancer
FP00000247
Funding Proposal


**Next Steps**

- Edit Funding Proposal
- Printer Version
- COI Disclosure Status
- Submit For Department Review
- Certify
- Withdraw Proposal
- Manage Ancillary Reviews
- Create/Update SF424
- Manage Relationships
- Manage Tags
- Create Agreement
- Add Attachments
- Copy
- Create Additional Budget
- Export Budget

**Proposal Information**

PD/PI:	Tom Bivens (pi2)	<b>Budget Information</b>	Starting Date:	12/1/2022
Department:	Radiology	Number of Periods:	5	
Specialist:	Ava Lambert	Total Direct:	\$500,000	
Sponsors:	National Cancer Institute	Total Indirect:	\$307,500	
Sponsor Submission Deadline:	2/5/2022	Total:	\$807,500	
Internal Submission Deadline:				
Certified:	No			

SF424 Link:



Budgets | SF424 Summary | History | Reviewers | Attachments | Financials | Reviewer Notes | Related Projects | Change Log

**Working Budgets**

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
National Cancer Institute	[Edit]	1/26/2022 4:49 PM	Draft	Federal	\$807,500	yes

- In the resulting dialog box, select the SF424 forms to populate with data from the funding proposal and its budgets, then click **OK**. The “Status” column will update as the system generates the forms. When all the forms have been created, a “Success!” message displays at the bottom.

**!** **Important:**

*The applicable optional forms must be selected, specifically the budget forms should be selected for all applications that include a budget.*

- If this is the first time this activity is being executed, click **OK** to create the SF424 application. If this is not the first time this activity is being executed, be aware that selecting **OK** will override any manual changes made in the SF424 form to previously mapped data.
- You have the option to select only the form that needs to be updated.

**Create-Update SF424**

If this is the first time this activity is being executed, select "OK" and this activity will create your SF424 application.  
 If this is not the first time this activity is being executed, selecting "OK" will override any manual changes made in the SF424 form.  
 Select "Cancel" if you do not wish to execute this activity.

Action	Status
<input checked="" type="checkbox"/> Research & Related Senior/Key Person Profile (Expanded) V2.0	Complete
<input checked="" type="checkbox"/> PHS Human Subjects and Clinical Trials Information V2.0	Complete
<input checked="" type="checkbox"/> Research & Related Project/Performance Site Location(s) V2.0	Complete
<input checked="" type="checkbox"/> PHS 398 Modular Budget V1.2	Complete
<input checked="" type="checkbox"/> Research And Related Other Project Information V1.4	Complete
<input checked="" type="checkbox"/> PHS 398 Research Plan V4.0	Complete
<input checked="" type="checkbox"/> SF424 (R&R) V2.0	Complete
<input checked="" type="checkbox"/> PHS Assignment Request Form V3.0	Complete
<input checked="" type="checkbox"/> PHS 398 Cover Page Supplement V5.0	Complete
<input type="checkbox"/> Research & Related Budget V1.4	(Skipped)
<input type="checkbox"/> Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V1.4 (Skipped)	(Skipped)

**Success!**  
All copy requests have completed successfully.

#### 4.2 How to Edit and Complete the SF424

1. Once the system has generated the SF424 forms, click the **SF424 Link** on the *Proposal Workspace*.

Draft

### Mouse Models of Human Cancer

FP00000247

Funding Proposal

**Next Steps**

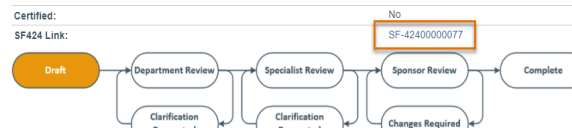
- [Edit Funding Proposal](#)
- [Printer Version](#)
- [COI Disclosure Status](#)
- [Submit For Department Review](#)
- [Certify](#)
- [Withdraw Proposal](#)
- [Manage Ancillary Reviews](#)
- [Create-Update SF424](#)
- [Manage Relationships](#)

**Proposal Information**

PDI/PI:	Tom Bivens (pi2)	<b>Budget Information</b>	
Department:	Radiology	Starting Date:	12/1/2022
Specialist:	Ava Lambert	Number of Periods:	5
Sponsors:	National Cancer Institute	Total Direct:	\$500,000
Sponsor Submission Deadline:	2/5/2022	Total Indirect:	\$307,500
Internal Submission Deadline:		Total:	\$807,500

Certified: No

SF424 Link: SF-4240000077



2. On the *SF424 Workspace*, click the **Edit Grant Application** button.

Pre-Submission		Mouse Models of Human Cancer		SF-4240000077	SF424
<a href="#">Edit Grant Application</a>	<b>Descriptive Title:</b>	Mouse Models of Human Cancer	<b>Start Date:</b>	12/1/2022	
<a href="#">Printer Version</a>	<b>Submission Type:</b>	New	<b>End Date:</b>	11/30/2027	
<a href="#">Validate Submission</a>	<b>PDF Version(s):</b>	Not Available, Please execute Generate PDF Version activity	<b>Agency:</b>		
<a href="#">Generate PDF Version</a>	<b>Tracking Number:</b>		<b>Tracking Number:</b>		
<a href="#">Assign Editors and Readers</a>	<b>Grant:</b>		<b>FOA:</b>	PKG00052570/PA-FO-R01(FOA00000021)	
<a href="#">Log Comment</a>	<b>Tracking Number:</b>		<b>Parent Project:</b>	FP00000247	
<a href="#">Import Subaward</a>	<b>Received Date/Time:</b>		<b>Date Modified:</b>	1/27/2022 2:29 PM	
	<b>Status Updated:</b>		<b>Principal Investigator:</b>	Bivens (pi2), Tom	
	<b>Authorized Representative:</b>	Authorized Organization Representative, Test Lambert, Ava	<b>Contact Person:</b>	Lambert, Ava	

- On the first page of the SF424, select any optional forms to include in the SF424 application.

Validate Compare
Editing: SF-4240000077

**Select Optional Forms**

- SF424 (R & R) V2.0
- Project/Performance Site Location(s) V2.0
- Research & Related Other Project Information V1.4
- Research And Related Senior/Key Person Profile (Expanded) V2.0
- PHS 398 Cover Page Supplement V5.0
- PHS 398 Modular Budget (V1.2) - Period 1
- PHS 398 Modular Budget (V1.2) - Period 2
- PHS 398 Modular Budget (V1.2) - Period 3
- PHS 398 Modular Budget (V1.2) - Period 4
- PHS 398 Modular Budget (V1.2) - Period 5
- PHS 398 Modular Budget (V1.2) - Cumulative

**Application Filing Name:**

Following forms are optional, Please select any that you wish to include in your application:

Form Name
<input type="checkbox"/> Research & Related Budget V1.4
<input checked="" type="checkbox"/> PHS 398 Modular Budget V1.2
<input type="checkbox"/> Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V1.4
<input checked="" type="checkbox"/> PHS Assignment Request Form V3.0

Following forms are required:

Form Name
Research & Related Senior/Key Person Profile (Expanded) V2.0
PHS Human Subjects and Clinical Trials Information V2.0
Research & Related Project/Performance Site Location(s) V2.0
Research And Related Other Project Information V1.4
PHS 398 Research Plan V4.0
SF424 (R&R) V2.0
PHS 398 Cover Page Supplement V5.0

- Click **Continue** and add or modify data in the SF424 forms as needed. On the last page, click **Finish** to return to the *Workspace*.

**Important guidance on creating SF424 forms:**

*If a SF424 form field needs to be updated, but contains data that was automatically populated, make the necessary updates on the proposal and/or budget SmartForm pages and use the Create-Update SF424 activity in the workspace. If changes are made directly on the SF424 forms, the next time the “Create-Update” SF424 activity is executed, your changes will be overwritten with the values in the proposal and/or budget. Be sure to select only the forms on which you made changes.*

*Fields with a red asterisk (\*) are required to be completed by the ResearchUVA PBH system. Please note that Grants.gov may require additional fields to be completed, in addition to those required by our system. When validating the SF424 SmartForm, the system will perform multiple layers of validation. You may receive additional errors or warnings on a second validation due to this approach.*

*All attachments must be uploaded in PDF format.*

*If a Subawardee was entered as “TBD” on the budget, you must update the SF424 form(s) with the name of the Subawardee.*

*If your budget has personnel with both academic and summer salary, they can remain on two lines in the SF424 budgets. However, make sure to adjust the effort to the correct column (calendar months, academic months or summer months). The effort will automatically populate in calendar months.*


*For graduate students on multiple lines in your ResearchUVA PBH budget, when you create-update the SF424 it will double count the number of graduate students. Manually update this figure.*

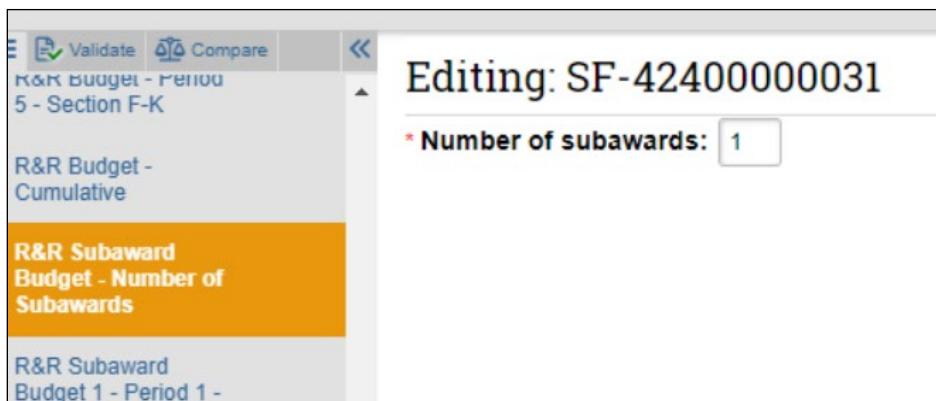
### 4.3 How to Import a Subaward Budget to a SF424 Application

If the subaward budget is being submitted system-to-system, the required Subaward R&R Budget form from Grants.gov form must be uploaded. Typically, users will upload the completed Subaward budget PDF form within the Subaward Budget SmartForm. However, if the data was manually entered on the Subaward Budget SmartForm, Grants.gov will still require that this form be uploaded as part of the SF424 submission. The “Import Subaward” activity can be used to accomplish this task after the SF424 has been created.


1. Once the SF424 is ready to be generated, click the **Create-Update SF424** activity on the *Proposal Workspace*.
2. On the *Create-Update SF424* window, select the applicable forms, including the R&R Subaward Budget form, and click **OK**. The system generated the SF424 application.

3. On the *Proposal Workspace*, click the **SF424 Summary** tab. Click the **SF424 link** to access the *SF424 Workspace*.
4. On the *SF424 Workspace*, click the **Edit Grant Application** button.
5. On the SF424 SmartForm, update the forms as necessary. On the R&R Subaward Budget – Number of Subawards form, enter the number of Subawards. You do not need to complete the Subaward Budget SmartForm pages as this is what will be uploaded using the “Import Subaward” activity.

 **Note:** This step is required even if you have updated the R&R Subaward Budget within the Subaward Budget SmartForm pages.




6. On the *SF424 Workspace*, click the **Import Subaward** activity.
7. In the *Import Subaward* window, select a subaward for Question 1 and upload the completed Subaward R&R Budget PDF form for Question 2. Click **OK**.


 **Important:** The period dates entered in the Subaward R&R Budget PDF form must match the budget periods of the primary budget.

8. When returned to the *SF424 Workspace*, click the **Validate Submission** activity, and complete the remaining steps to submit the SF424 application.

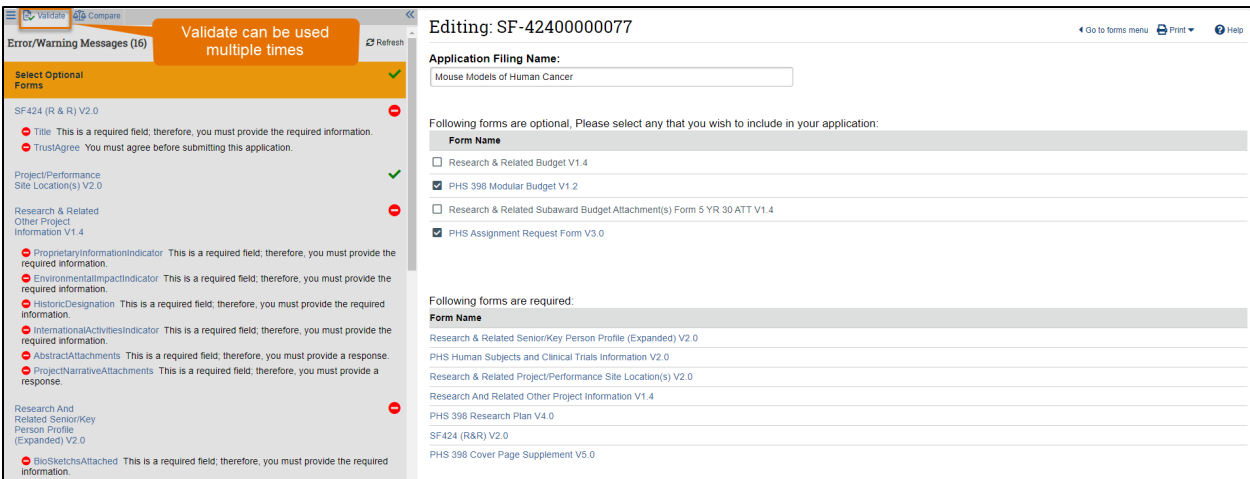
#### 4.4 How to Validate a SF424 Application

When your review of our SF424 Grant Application is complete, check for errors using the **Validate** function.


1. On the *SF424 Workspace* click the **Validate** button in the left navigation pane of the SmartForm.
  - a. *Errors* reflect problems that will impose a hard-stop rejection at Grants.gov or the funding agency. Errors must be corrected and will be highlighted with a red circle .
  - b. *Warnings* are recommendations that will not stop proposal submission but remind you about potentially important items to include or issues to resolve. Warnings highlight situations that may cause issues when your proposal arrives at the agency. Warnings


will be noted with a yellow triangle . Note that certain *Warnings* are required to be addressed to ensure compliance with sponsor guidelines.

Click on the field name or page to navigate to that location within the SF424 forms. It is encouraged to re-run the validation from within the SmartForm as many times as necessary.



2. When validation is complete, return to the *SF424 Workspace* and click the **Validate Submission** activity. This activity runs additional checks on the submission.
3. If the validation passes, the state of the SF424 is updated to the Valid for Submission state, indicating it can be submitted to Grants.gov. The SF424 forms are now locked for editing.
4. It is recommended to execute the Generate PDF activity to save a PDF of the submission at this stage.

 **Important:** *The SF424 Validate Submission activity will need to occur before the proposal is routed for signatures. This will lock the form; do not complete this activity until the submission is ready. However, the PI and study staff may update the research plan attachments after validation occurs from the Funding Proposal Workspace. Use the Update SF424 Research Plan activity.*

 **Important:** *If SF424 changes other than the Research Plan are needed, the user will need to request that OSP or their Submitting School re-open the SF424 for edit so they can make changes. The SF424 will need to be re-validated to lock it again and put it back in a Valid for Submission state.*

#### 4.5 How to Export a Subaward Budget to a Grants.gov PDF Form

When UVA is a direct Grants.gov awardee, the system can generate the required SF424 forms from the data you enter in a funding proposal. Similarly, when UVA is an indirect Grants.gov awardee (also known as a subrecipient) through another institution, the system can generate the required Grants.gov subaward budget form.

Before you can export a subaward budget to a Grants.gov form, you must first ensure the funding proposal specifies both the Direct Sponsor (the primary awardee that is granting your institution a subaward), and the Prime Sponsor (the Grants.gov agency that published the original Funding Opportunity Announcement). Also, while not a technical requirement, it is assumed financial data has been entered into the funding proposal's budget.

Follow the steps below to export a subaward to a Grants.gov PDF form:

1. From the *Proposal Workspace*, click **Export Budget to Subaward PDF**. (If you do not see this activity listed in the *Workspace*, it's because you have not specified both the Direct Sponsor and the Prime Sponsor in the funding proposal.)

2. On the resulting dialog box, click **OK**.

A success message indicates the PDF form has been created.

3. To view or download the filled-out form, click **Subaward Budget Export.pdf** on the History tab.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
Activity							Author	Activity Date
Budget Exported to Subaward PDF							Bivens (pi2), Tom	1/28/2022 12:48 PM
<a href="#">Latest Subaward PDF version is available here</a>								
<a href="#">Subaward Budget Export.pdf</a>								

## 5 Routing a Proposal for Review

### 5.1 Prior to Routing a Proposal for Review

Pay attention to sponsor deadlines and internal School/College-specific deadlines and make sure there is enough time to route for review and meet the deadlines.

1. SmartForm – Budget Period and Key Dates contain the sponsor deadline and internal deadline. The SmartForm does not provide a field for the time of day the submission is due. If the proposal is due at any other time besides 5:00 PM Eastern, please leave a comment on the proposal with the alternate time.
2. After completing the Proposal SmartForm, budget(s), and SF424 forms (if applicable), the proposal is ready for routing.
3. Attach an internal budget file (this will be required for any JIT changes).
4. Validate the SmartForms.
5. Validate the SF424, both within the SmartForm and using the *Validate* activity.
6. If the proposal will not be submitted with System-to-System submission, make sure the submission information is included in the comments of the proposal. The Specialist will need to know how the proposal will be submitted and any relevant information about the submission portal (if applicable).




7. Add Ancillary Reviewers if required.

- Ancillary Reviews marked required will stop the proposal from moving to the Sponsor Review state.

## 5.2 Ancillary Review

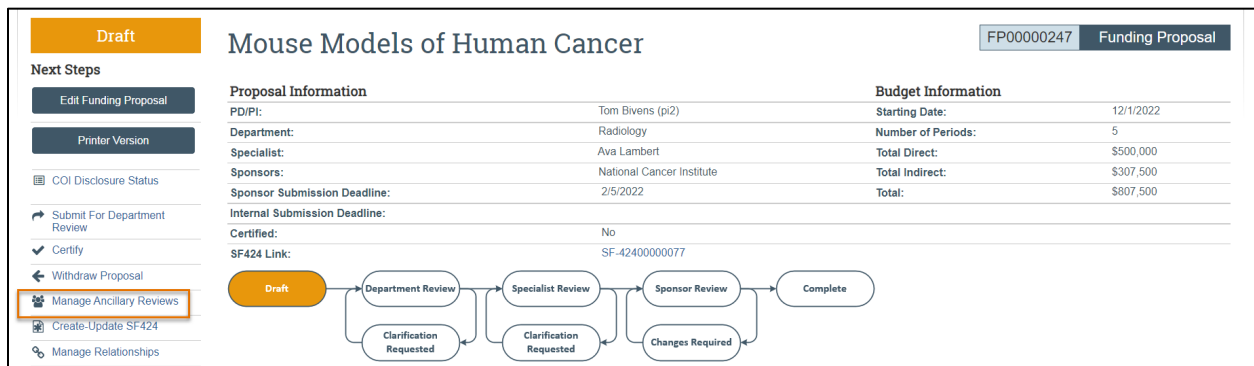
UVA will be using Ancillary Review functionality to add various approvals to projects in ResearchUVA PBH. The directions in this section apply to Funding Proposals and Awards.

 **Tip:** See the *Ancillary Review reference guide* on the [ResearchUVA PBH website](#) for general information on assigning and completing ancillary reviews. This resource also contains details on all the ancillary reviews required at UVA.

### 5.2.1 How to Assign Ancillary Reviewers

Use the steps below to assign an ancillary review on a Funding Proposal or Award project:

1. Navigate to the appropriate *Proposal Workspace* or *Award Workspace*.
2. In the *Workspace*, click **Manage Ancillary Reviews**.
3. In the Manage Ancillary Reviews form, click **Add**.



**Draft** Mouse Models of Human Cancer FP00000247 Funding Proposal

**Next Steps**

- Edit Funding Proposal
- Printer Version
- COI Disclosure Status
- Submit For Department Review
- Certify
- Withdraw Proposal
- Manage Ancillary Reviews**
- Create-Update SF424
- Manage Relationships

**Proposal Information**

PD/PI:	Tom Bivens (pi2)
Department:	Radiology
Specialist:	Ava Lambert
Sponsors:	National Cancer Institute
Sponsor Submission Deadline:	2/5/2022
Internal Submission Deadline:	
Certified:	No
SF424 Link:	SF-42400000077

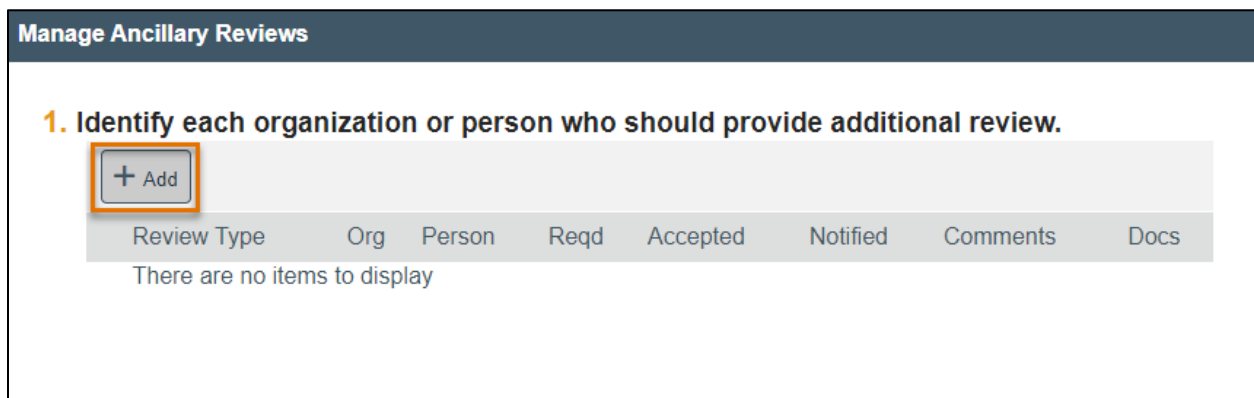
**Budget Information**

Starting Date:	12/1/2022
Number of Periods:	5
Total Direct:	\$500,000
Total Indirect:	\$307,500
Total:	\$807,500

**Workflow Diagram:**

```

    graph LR
      Draft([Draft]) --> Dept[Department Review]
      Dept --> Spec[Specialist Review]
      Spec --> Sponsor[Sponsor Review]
      Sponsor --> Complete([Complete])
      Dept --> Clar1[Clarification Requested]
      Spec --> Clar2[Clarification Requested]
      Sponsor --> Changes[Changes Required]
      Clar1 --> Dept
      Clar2 --> Spec
      Changes --> Sponsor
  
```



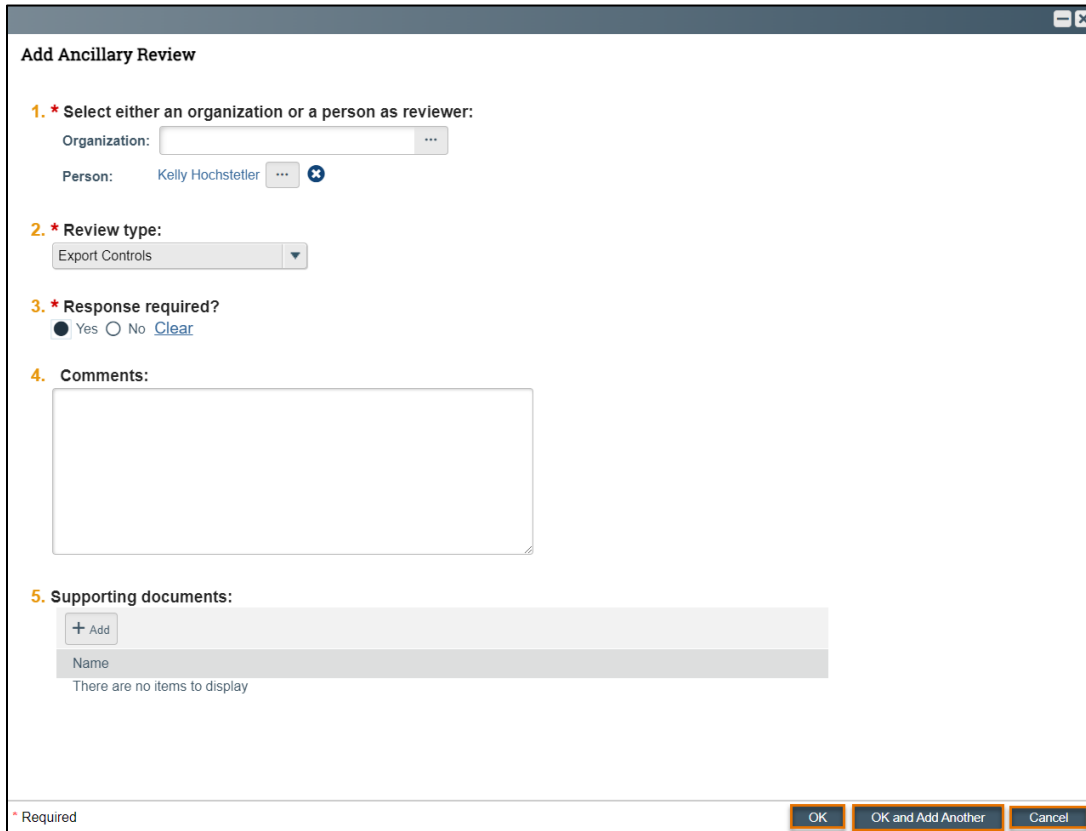
**Manage Ancillary Reviews**

1. Identify each organization or person who should provide additional review.

**+ Add**

Review Type	Org	Person	Reqd	Accepted	Notified	Comments	Docs
There are no items to display							

- On the Add Ancillary Review form, select an organization or person to do the review.



- Select the Review Type, select whether this ancillary review is required, and click **OK** or **OK and Add Another** to add an additional ancillary review.
- You are returned to the project *Workspace*. The assigned ancillary reviewer(s) receives an e-mail notification, and the project appears in the reviewer's *Dashboard*.

### 5.2.2 How to Check the Progress of an Ancillary Review

Use the steps below to check the progress of an ancillary review:

- Navigate to the *Workspace* for the project with the ancillary review you want to check.
- Click the **Reviewers** tab.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
<b>Contacts</b>								
<b>Name</b>	<b>Organization</b>	<b>Phone</b>	<b>Email</b>					
Tom Bivens (pi2)	UVA	503.123.4723	pi2@hurontest.com					
<b>Reviewers</b>								
The following people will review this proposal and provide organizational approval								
Current Step: 0								
<b>Approval Step 1</b>								
Eleanor Danz Rachel Poll								
<b>Approval Step 2</b>								
Rachel Poll								
<b>Ancillary Review</b>								
<b>Review Type</b>	<b>Person</b>	<b>Organization</b>	<b>Required</b>	<b>Completed</b>	<b>Accepted</b>			
Export Controls	Kelly Hochstetler		yes	no				

3. Examine the Ancillary Review area at the bottom of the page to see:

- All ancillary reviews assigned for this project.
- Whether they were assigned to individuals or organizations.
- Whether they are required.
- Whether they have been completed.
- Whether the reviews found the projects to be acceptable.

### 5.3 Submitting for Department Review

When the user submits for Department Review, an automatic notification will route to Step 1 of the Reviewers listed in the Reviewers tab. Additionally, an automatic notification will route to the PI for PI Certification. To identify the Reviewers named on a proposal, navigate to the Reviewers tab. This tab will also tell you how many steps are required in the review process.

### 5.4 How to Complete the PI Certification Process

The PI Certify function is available to PIs in states before Pending Sponsor Review state and allows the PI to certify that the proposal meets institutional and sponsor requirements and is ready for submission.

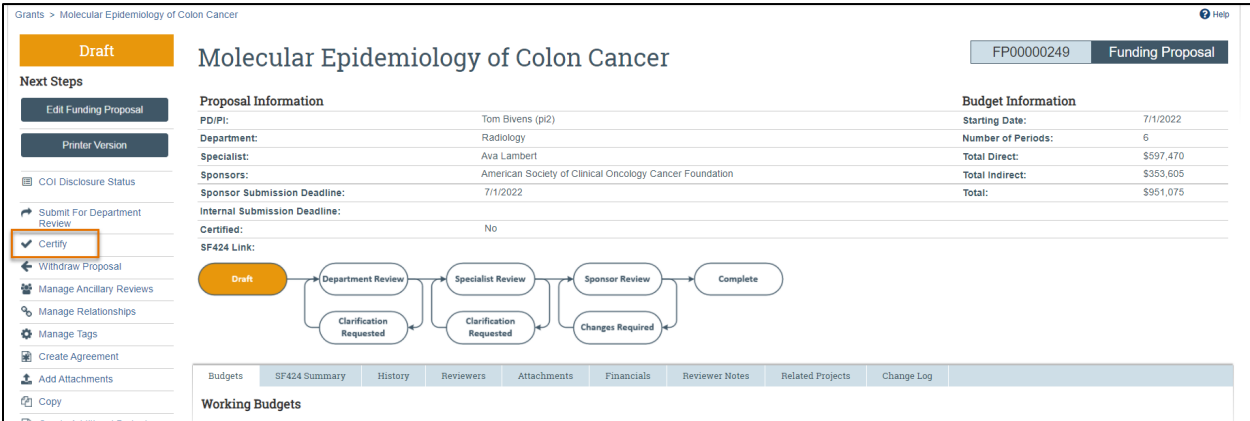
**PI certification is a required step for all proposals.**



*Note: The PI certification process applies only to the contact PI for a multiple PI submission. Additional UVA personnel with the PI role (Multiple PI) on a proposal must certify the proposal using the Ancillary Review process.*

Follow the steps below to perform the PI certification:

1. Navigate to the *Proposal Workspace*.
2. On the *Proposal Workspace*, click the **Certify** activity to start the certification process.



Grants > Molecular Epidemiology of Colon Cancer

**Draft** Molecular Epidemiology of Colon Cancer FP00000249 Funding Proposal

**Next Steps**

- Edit Funding Proposal
- Printer Version
- COI Disclosure Status
- Submit For Department Review
- Certify**
- Withdraw Proposal
- Manage Ancillary Reviews
- Manage Relationships
- Manage Tags
- Create Agreement
- Add Attachments
- Copy

**Proposal Information**

PD/PI: Tom Bivens (pi2)  
 Department: Radiology  
 Specialist: Ava Lambert  
 Sponsors: American Society of Clinical Oncology Cancer Foundation  
 Sponsor Submission Deadline: 7/1/2022  
 Internal Submission Deadline:  
 Certified: No  
 SF424 Link:

**Budget Information**

Starting Date:	7/1/2022
Number of Periods:	6
Total Direct:	\$597,470
Total Indirect:	\$353,605
Total:	\$951,075

Workflow: Draft → Department Review → Specialist Review → Sponsor Review → Complete  
 Clarification Requested (between Department and Specialist Review)  
 Clarification Requested (between Specialist and Sponsor Review)  
 Changes Required (between Sponsor Review and Complete)

Budgets | SF424 Summary | History | Reviewers | Attachments | Financials | Reviewer Notes | Related Projects | Change Log

Working Budgets

3. Review the certification language, add any needed comments and attachments, and click **OK** to complete the certification.

**Certify**

- The information submitted within this application is true, complete, and accurate to the best of my knowledge; any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.
- I agree to accept responsibility for the scientific conduct and financial oversight of the project, including any required reporting, and for compliance with all applicable University, local, state, and federal policies that govern the responsible conduct of research.
- I certify that to the best of my knowledge, myself and members of my project team are not debarred, suspended, declared ineligible, or voluntarily excluded from federally-funded activities.
- I and the appropriate UVA project investigators have disclosed financial interests in the UVA COI disclosure system (<https://coi.sites.virginia.edu/Home>) relative to any sponsor and University proposal-stage requirements and/or COI policies.

**1. Comments:**

**2. Attachments:**

+ Add

Name

There are no items to display

OK
Cancel

4. The activity shows in the History tab and disappears from the *Proposal Workspace* upon execution of the activity.

Draft
Molecular Epidemiology of Colon Cancer

FP00000249

Funding Proposal

**Next Steps**

Edit Funding Proposal

Printer Version

COI Disclosure Status

Submit For Department Review

Withdraw Proposal

Manage Ancillary Reviews

Manage Relationships

Manage Tags

Create Agreement

Add Attachments

Copy

Create Additional Budget

Export Budget

Send Email

Manage Access

Add Comment

**Proposal Information**

PD/PI: Tom Bivens (pi2)

Department: Radiology

Specialist: Ava Lambert


Sponsors: American Society of Clinical Oncology Cancer Foundation

Sponsor Submission Deadline: 7/1/2022

Internal Submission Deadline:

Certified: Yes

SF424 Link:



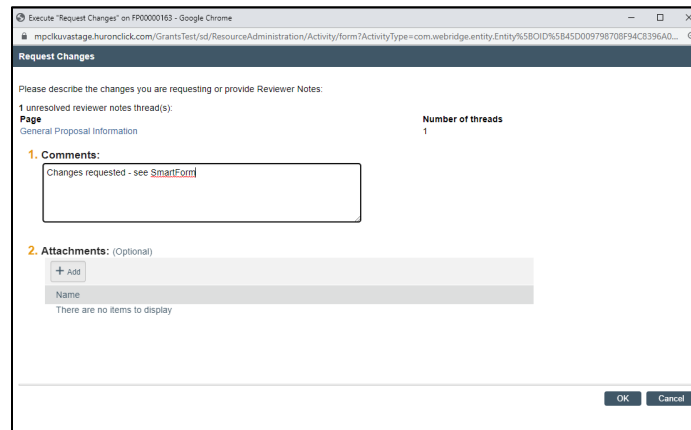
Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
Activity	Author		Activity Date					
✓ Certified	Bivens (pi2), Tom		1/27/2022 12:53 PM					
+	Budget Created		1/26/2022 5:55 PM					
+	Created		1/26/2022 2:30 PM					

**Note:** The notification prompting the PI to certify will automatically be sent when the funding proposal is submitted for Department Review. When the certification is complete, it will be noted on the History tab.

## 5.5 Department Review

Department Review consists of reviewing the Funding Proposal, budget(s), and if applicable, SF424.

1. Best practice is to review the History tab prior to beginning a review.
2. Feedback to the proposal preparer can be left in three ways:
  - a. Through the comment bubble within the SmartForm,
  - b. On the Workspace by using the Add Comment Activity, or
  - c. When you Approve or Request Changes.
3. Attachments should not be uploaded within the comment bubble on the SmartForm but instead by using the Add Attachments activity.
4. Comments marked "Required" would need to be resolved prior to submitting back to the Department or Specialist.
5. Confirm the PI certified and the Ancillary Reviews are complete before submitting to the Specialist.
6. If the Department Reviewer finds a missing Ancillary Review, they will need to Request Changes to have the Admin Contact add the Ancillary Review.
7. Department Reviewers will not have the ability to add an Ancillary Reviewer unless they are listed on the proposal with edit rights.
8. After the review is complete, the Department Reviewer can either Approve or Request Changes on the proposal.



## 5.6 Requesting Clarifications

Replying to Requested Changes:

1. Comments marked “Must Reply” need a response to move forward. Changing the field will not allow the proposal to move forward, the comment bubble will need a response.
2. Submit Changes to Department Reviewer activity, best practice to leave a comment if you made changes.
3. Department Reviewer will receive the proposal on their dashboard and can approve or request further changes.
4. If it is a multi-step Department Review, approving will move it to the next step in the process.
5. If only a single step, Department Review approving will move it to Specialist Review.

## 5.7 Moving to Specialist Review

Specialist review is done by OSP or your Submitting School.

1. PI Certification and all Ancillary Reviews must be completed prior to submitting the proposal to the Specialist for their review. A proposal will be returned without review if these items are missing.
2. The Specialist will review the PI and Key Personnel details in UBI to confirm compliance with conflict of interest and other required compliance at proposal stage.
3. Before moving to Specialist Review the proposal will be required to be in final state, ready for Sponsor submission.
4. The SF424 will need to be validated and return no errors - warnings will allow submission to the sponsor (yellow triangle), but errors (red circle) will prevent submission.

## 5.8 Specialist Review

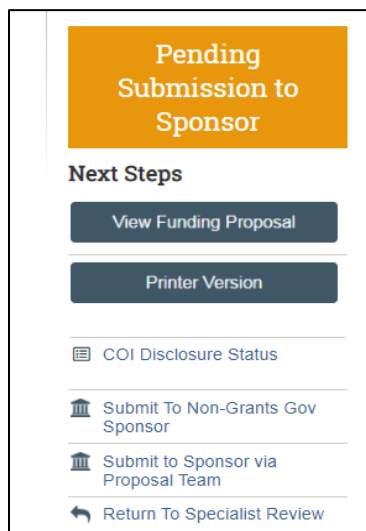
During Specialist Review, the Specialist will:

1. Confirm PI Certification and all Ancillary reviews are complete.
2. Review attachments  
Confirm internal budget excel is attached

3. Confirm all requested changes have been addressed
4. If not already validated, Validate the SF424 and confirm no errors
5. Generate PDF Version of the SF424

### 5.1.1 [Submitting to the Sponsor](#)

1. Mark proposal as Final Review using Final Review activity
2. Complete Submission Pre-Check activity on SF424
3. Execute Submit to Grants.gov activity
4. Wait for the status to change to Validated by Grants.gov, confirm the tracking number populates on the SF424 workspace
5. Return to the Funding Proposal and do the Submit to Federal Sponsor activity
  - a. This will send an automatic notification to the PI and Admin Contact that the proposal was submitted
  - b. Do not do this activity until you receive confirmation the SF424 was submitted – this does not submit to the sponsor!
6. For non-S2S sponsors, after marking Final Review, submit the proposal to the sponsor via their submission method.



## 6. Post-Proposal Activities

### 6.1 How to Request a JIT

When a sponsor needs additional information or a change to a submission, the sponsor will issue a Just-In-Time (JIT) request to either the PI, study team or OSP. If the PI or study team receives notification that JIT information is needed, they will need to request that OSP or the Submitting School mark the Funding Proposal as JIT Changes Required. Follow the steps below to send a request to OSP or the Submitting School for a JIT:

1. Navigate to the related Funding Proposal.

- Execute either the Send Grant Status Update activity or, if that is not an option available, the Send Email activity.


Pending Sponsor Review

**Next Steps**

View Funding Proposal

Printer Version

-  [COI Disclosure Status](#)
-  [Manage Ancillary Reviews](#)
-  [Manage Relationships](#)
-  [Manage Tags](#)
-  [Create Agreement](#)
-  [Add Attachments](#)
-  [Copy](#)
-  [Send Grants Status Update](#)
-  [Send Email](#)
-  [Manage Access](#)
-  [Add Comment](#)

 **Note:** *The Send Grants Status Update can only be used once. Otherwise updates on the Funding Proposal will need to be sent via the Send Email activity.*

- For the Send Grants Status Activity, fill out the pop-up form with the Grants status, any comments, or documents. If the PI prepared the JIT materials and they are ready to submit, they can be uploaded here.

Send Grants Status Update

**Ancillary Review**

Review Type	Person	Organization	Required	Completed	Accepted
Other	MaryBeth Spaulding		no	no	
Indirect Cost Waiver	Stewart Craig		yes	yes	yes

**1. Grants status:**

Award Anticipated  
 JIT Info Requested  
 Not Funded  
 Withdraw Submission (Proposal Not Reviewed)  
 Award Received  
 other  
[Clear](#)

**2. Comments:**

**3. Documents:**

Name
There are no items to display



## 6.2 How to Respond to a JIT Request

The assigned Specialist will use the “JIT Changes Required” activity to move the proposal to the JIT Response Required state, which sends an email notification to the assigned PI and the Administrative Contact.





**Note:** *The proposal and budget are editable when in the JIT state. Prior to creating a JIT, download an export of the budget to preserve an original budget. You may also print the Funding Proposal SmartForm to preserve a copy of the original proposal information. Some Schools may choose to upload an internal template instead of using the excel export for the budget(s).*

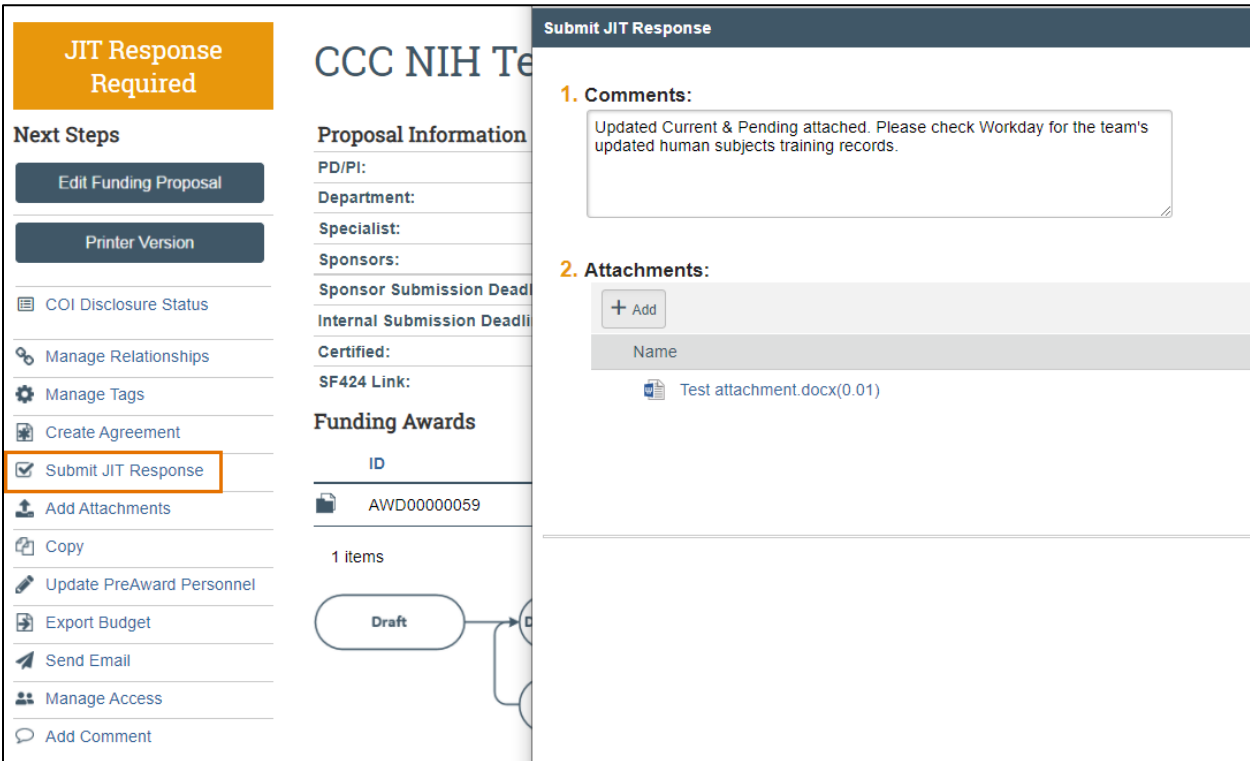
The assigned Specialist will complete the required steps in the system, in addition to submitting the JIT-information directly to the sponsor. Additionally, if the PI or Department wish to submit relevant information via the system, you can follow the steps below. Otherwise, the Specialist will complete this activity directly.

Follow the steps below to respond to a JIT Request:

1. Access the proposal in one of two ways:
  - a. From the system generated email, click on the **“FP” link**.
  - b. Click on the **proposal name** on the *Dashboard* or *Grants Module* page.
2. On the *Proposal Workspace*, click the **History** tab to review the comments and/or attachments from the assigned Specialist.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
Activity			Author			▼ Activity Date		
 JIT Changes Requested			Lambert, Ava			1/27/2022 5:15 PM		
 Sponsor has requested human subjects training certificate and updated current & pending support.								

3. When you're ready to submit the updates to the Specialist, click the **Submit JIT Response** activity on the *Workspace*.
4. In the *JIT Changes Required* window, enter any necessary comments, and attach the document(s) and click **OK**.




5. The system updates the proposal state to Pending Sponsor Review Award Anticipated. The proposal, including the attached JIT documents, will appear in the assigned Specialist's *Dashboard* and will also receive an automatically generated email notification.
6. The Specialist will then forward the JIT information to the sponsor.

 **Important:** *The Specialist needs to confirm the JIT was submitted to the Sponsor.*

### 6.3 How to Withdraw a Proposal

Proposals may be withdrawn in various states throughout the workflow. Follow the steps below to withdraw a proposal:

1. On the *Proposal Workspace*, click the **Withdraw** activity.
2. In the *Withdraw Proposal* window, enter the reason for withdrawal and click **OK**.
3. After the system refreshes, the proposal state is updated to Not Submitted.

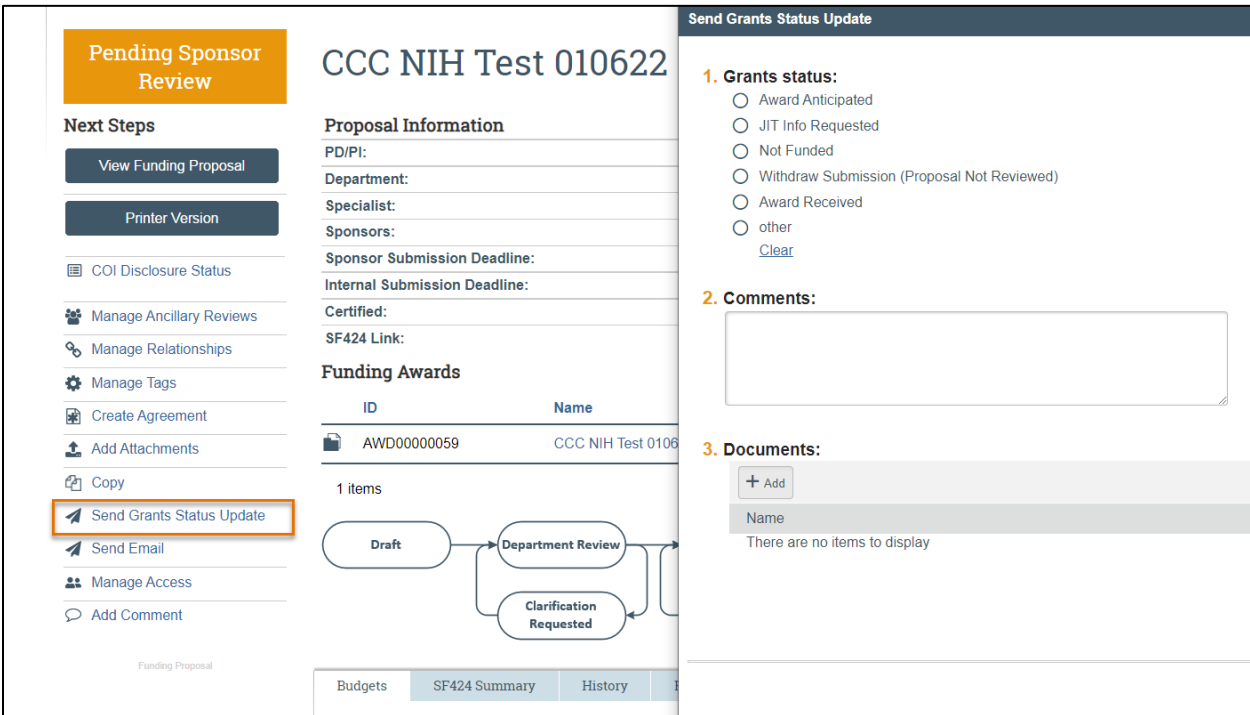
 **Note:** *Proposals in the Not Submitted state cannot be reintroduced to the workflow. A new proposal record will need to be created. See [How to Copy a Proposal](#) for additional information.*

### 6.4 How to Update the Proposal with the Sponsor Determination


When you receive a decision from the sponsor, update the proposal to send a notification to the assigned Specialist in your Schools' Pre-Award office or OSP.


Follow the steps below to update the proposal with the sponsor determination:

1. On the *Proposal Workspace*, click the **Send Grants Status Update** activity.
2. In the *Send Grants Status Update* window, select the **Grant Status** that describes the determination you received.



3. When complete, click **OK**. The state is updated to “Proposal Status Confirmation” and an email notification is sent to the assigned Specialist with the Grant Status you selected.
4. Based on the Grant Status, the Specialist will decide how to proceed.

 **Note:** The *Send Grant Status Update* activity can only be used once. If additional Grant Status updates are needed, use the *Send Email* activity.

 **Note:** If a Submitting School is using the *Send Grant Status Update* activity or the *Send Email* activity to notify OSP that the award has been received, the Submitting School will need to also reassign the Specialist to the appropriate person in OSP.

## 7 Additional Proposal Tasks

The following subsections describe how to complete additional tasks that may be necessary as the proposal submission progresses through the workflow.

## 7.1 How to Export the Budget

Follow the steps below to export the budget to Excel format:

1. On the *Proposal Workspace*, click the **Export Budget** activity. Please note the budget must not contain any special characters (: \ / ? \* [ or ]) to execute this activity.
2. After the screen refreshes, click the **History** tab. The Excel file can be accessed under the “Exported Budget” activity.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log
Activity			Author			Activity Date		
Exported Budget			Simms (pi), Rebecca			1/27/2022 4:47 PM		
Budget Spreadsheet_BL_01-25-2021 GS.1								

## 7.2 How to Add Attachments to a Proposal

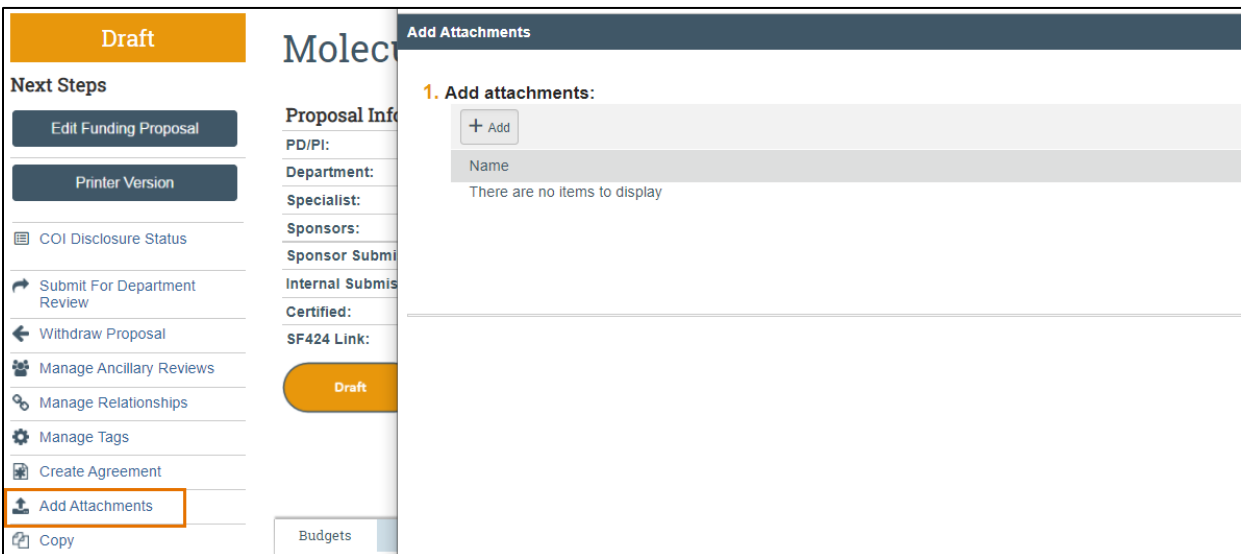
The “Add Attachments” activity can be used to upload new or revised documents to the Proposal.



**Note:** Best practice is to upload all relevant attachments that do not need to be included in the SF424 using this Add Attachments activity.

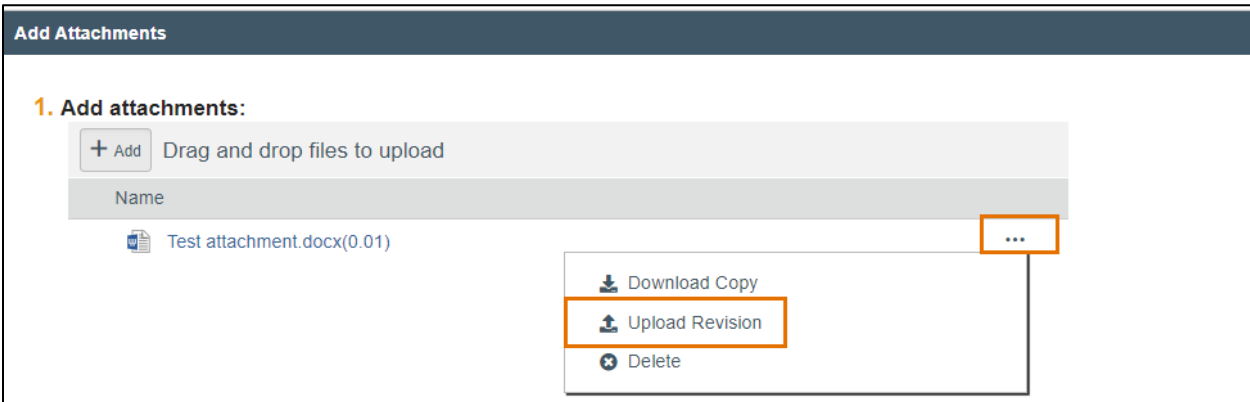
Follow the steps below to add an attachment:

1. On the *Proposal Workspace*, click the **Add Attachments** activity.
2. To add a new document, click the **Add** button search and select your document and click **OK**.



The screenshot displays the 'Add Attachments' interface. On the left, a sidebar lists 'Next Steps' including 'Edit Funding Proposal', 'Printer Version', 'COI Disclosure Status', 'Submit For Department Review', 'Withdraw Proposal', 'Manage Ancillary Reviews', 'Manage Relationships', 'Manage Tags', 'Create Agreement', 'Add Attachments' (highlighted with a red box), and 'Copy'. The main content area is titled 'Add Attachments' and shows a '+ Add' button and a table with a 'Name' column. Below the table, it states 'There are no items to display'. The background shows a 'Draft' status and a 'Budgets' tab.

3. To upload a revised document, click the **three dots “...”** and select Upload Revision.



4. When complete, click **OK** to return to the *Proposal Workspace*.

### 7.3 How to Manage Access to the Proposal

The “Manage Access” activity is used to manage the list of individuals who have either edit or read-only access to the proposal submission.



**Note:** This activity contains the same list of editors and/or readers as those listed as administrative personnel on the Personnel page of the Proposal SmartForm.

Follow the steps below to add an individual to the guest list:

1. On the *Proposal Workspace*, click the **Manage Access** activity.
2. In the *Manage Access* window, enter the individual’s name or use the ellipsis (“...”) to search for an individual to be added as an administrative contact (under Question 1), editor (under Question 2) or as a reader (under Question 3).
3. When complete, click **OK** to return to the *Proposal Workspace*.

### 7.4 How to Copy a Proposal

A proposal can be copied to create a new proposal, and the new proposal retains information from the copied proposal. The new proposal will be in a Draft state until submitted for department review and must undergo the full proposal review workflow.

Follow the steps below to copy a proposal:

1. On the *Proposal Workspace*, click the **Copy** activity.
2. In the *Copy* window, enter the new proposal name and check the **Use background processing** checkbox. When complete, click **OK** to return to the *Workspace*.

**Copy**

This activity will copy this Funding Proposal.

1. \* **New proposal name:**

2. **Use background processing:**

This activity takes time but can save you work! We thank you for your patience.



**Note:** Copied records are not linked as a Related Project. You do not need to use the Copy feature to complete a resubmission. Proposals marked as Not Funded will allow you to create a Resubmission.

## 8 How to Manage Follow-On Proposal Types

The following types of follow-on proposals can be created:

- **Renewal** – Create a renewal for a proposal in the Awarded state.
- **Revision** – Create a revision (also called a supplement) for a proposal in the Awarded state.
- **Resubmission** – Create a resubmission from a proposal in the Not Funded or Withdrawn states. These states occur only after the proposal has been in the Pending Sponsor Review state.

The subsections below describe how to create each of these follow-on proposal types.

### 8.1 How to Create a Renewal Proposal

Follow the steps below to create a renewal proposal:

1. On the *Proposal Workspace* of a proposal in the Awarded state, click the **Create Renewal** button.
2. The Proposal SmartForm displays. Notice Question 1 “Type of application” indicates a type of Renewal.
3. Update the questions as necessary and use the **Continue** button to navigate through the SmartForm. On the last page click the **Finish** button.
4. When returned to the *Proposal Workspace*, note the state is Draft and the proposal type is indicated as Renewal.



5. Complete the Budget and any other necessary activities and/or tasks.
6. When the submission is complete, click the **Submit for Specialist Review** activity.
7. The renewal proposal follows the same workflow as the primary proposal.

### 8.2 How to Create a Revision to a Proposal

Follow the steps below to create a revision to a proposal:

1. On the *Proposal Workspace* of a proposal in the Awarded state, click the **Create Revision** activity.
2. In the *Create Revision* window, enter the **Revision name** and click **OK**.
3. The Proposal SmartForm displays. Notice the **ID** has been amended with “Rev” and the number of the revision.

Editing: FP00000392-Rev1

4. Update the questions as necessary and use the **Continue** button to navigate through the SmartForm. On the last page click the **Finish** button.
5. When returned to the *Proposal Workspace*, note the state is Draft and the proposal type is indicated as “Revision.”

FP00000392-Rev1      Revision

6. Complete the Budget and any other necessary activities and/or tasks.
7. When the submission is complete, click the **Submit for Specialist Review** activity.
8. The revision proposal follows the same workflow as the primary proposal.

### 8.3 How to Create a Resubmission Proposal

Follow the steps below to create a resubmission from a proposal in the Not Funded or Withdrawn states. Note that these states occur only after the proposal has been in the Pending Sponsor Review state.

1. On the *Proposal Workspace* of a proposal in the Not Funded or Withdrawn state, click the **Create Resubmission** activity.
2. In the *Create Resubmission* window, enter the **Resubmission name** and click **OK**.
3. The Proposal SmartForm displays. Notice Question 1 “Type of application” indicates a type of “Resubmission.”
4. Update the questions as necessary and use the **Continue** button to navigate through the SmartForm. On the last page click the **Finish** button.
5. When returned to the *Proposal Workspace*, note the state is Draft and the proposal type is indicated as “Resubmission.”

FP00000138-Res1      Resubmission

6. Complete the Budget and any other necessary activities and/or tasks.
7. When the submission is complete, click the **Submit for Specialist Review** activity.

8. The resubmission proposal follows the same workflow as the primary proposal.

## 9 ResearchUVA PBH Glossary

The following table provides additional information about terminology used within ResearchUVA PBH:

Term	Definition	Notes
Activities	Actions that can be executed by a user to update a record.	
Award	A record created in ResearchUVA PBH after a sponsor has indicated they will fund the research submitted in the proposal.	Awards have separate IDs from the associated Proposal.
Help Center	Contains reference guides and videos which provide step-by-step instructions on how to use the system.	
ResearchUVA PBH	An Electronic Research Administration (eRA) system used for research administration at UVA.	ResearchUVA PBH includes two modules: Grants and Agreements. This Reference Guide covers the Grants module.
ID	Auto-generated identification number created by ResearchUVA PBH for each record created (e.g., FP00000001, UVA00000017).	Proposal IDs and Award IDs replace the ID from Proposal Central.
My Inbox	Dashboard for users that contains to-do list for any user.	
Proposal (or Funding Proposal)	A record created in ResearchUVA PBH that contains submission information for a research project that will be submitted to a sponsor for funding.	Proposals have separate IDs from their associated Awards.
Record	A submission created within ResearchUVA PBH. Examples include proposals, awards, award modification requests, award modifications, subawards, etc.	
SF424	The Grants.gov application for federal assistance. When submitting for a federal opportunity using system-to-system capabilities (S2S) within ResearchUVA PBH, an electronic SF424 is created and populated using information entered on the proposal.	
SmartForm	A series of pages completed with information about the record (e.g., proposal, award, etc.).	
State	The status of a record.	
Workflow	The process through which a record passes from beginning to end.	
Workspace	Contains key information associated with the record (State, Title, ID, etc.) and also contains various buttons and links to perform Activities.	