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In: _____ Out: _____ Rush
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Version FY2007 – Replaces All Previous Versions
Complete the Entire Form Per the Instructions
Minimum of five (5) business days for review

(1) The Basics

(a) **Proposal S000** _____
 (b) Sponsor Due Date: _____
 (c) Unit Due Date: _____
 (d) Unit Proposal Number: _____
 (e) Program Guidelines: Attached or URL: _____

(2) Project Background Information (a) Title: _____

(b) Sponsor:	(c) Div./Prog.:	(d) Start Date:	(e) End Date:
(f) Sponsor Type: Federal University/Inst. Private/Found.	State Industry/Corporate	(g) Activity Type: Organized Research Other Spons. Activity	Training/Instruction Off-Campus
(h) Project Type: NC NN PP RC RN RV XN	(i) Mechanism: Grant Contract CA RSA	(j) Proposal Format: Electronic Paper	
(k) Is UAF a Subaward Recipient? Prime Sponsor:	Yes No	(l) Does the Project Contain Subawards? Subaward(s) To:	Yes No
(m) Any Equipment Budgeted?	Yes No	(n) Is Tuition Budgeted for Grad. Students?	Yes No
(o) Peer Review: Internal	External	(p) Is Project EPSCoR Related?	Yes No
(q) Is Project Alaska Specific?	Yes No	(r) Banner Research Theme Code(s):	
(s) D-Level Org. Code:	(t) Related Proposal in Banner:	S0000	

(3) Personnel	Last Name	First Name	Phone	Unit	UAF ID#	FTE	E-Class
(a) PI							
(b) Co-I #1							
(c) Co-I #2							
(d) Co-I #3							
(e) Unit Contact							
(f) Fiscal Officer							

(4) Ethics and Regulatory Compliance Check if the project involves any of the following:

(a) Use of Vertebrates?	IACUC#
(b) Research on Human Subjects?	IRB#
(c) Use of Radiation, Lasers, or Significant Chemical Hazards?	
(d) Use of Biohazards?	LBC#
(e) Potential for Tech. Transfer, Patent, Copyright, Trademark, or Licensing?	
(f) Material Transfer Agreements?	
(g) Potential for Program Income?	
(h) Conflicts of Interest?	
(i) Research Restrictions?	
(j) Import or Export of Data, Goods, or Services?	ITSC#
(k) Confidential or Classified Information?	ITSC#

(5) Budget Information Any matching/cost sharing (M/CS) requires completion of the [M/CS Form](#)

(a) F&A Rate Percentage:	_____ %
(b) Indirect Cost Rate Code:	_____
(c) Distribution Code:	_____
(d) Modified TDC (MTDC)	\$ _____
(e) Total Direct Costs (TDC)	\$ _____
(f) F&A Cost Recovery	\$ _____
(g) Total Sponsor Request	\$ _____
(h) M/CS UAF	\$ _____
(i) M/CS Third Party	\$ _____
(j) M/CS Total	\$ _____

(6) Project Space Requirements A "Yes" answer on either of these items requires completion of the [Space Request Form](#) and consultation with Facilities Services or Campus and Space Planning for budgeting and approval as necessary. Attach any relevant documentation received from Facilities Services or Campus and Space Planning to the proposal.

(a) Project requires new space/construction? Yes No (b) Project requires renovation(s) of existing space? Yes No

(7) Investigator Certification (If additional signature space is needed, attach another form) Read, Sign, and Date: By signing this form, (1) I agree to accept responsibility for the scientific & ethical conduct of this project and to provide the required progress reports if a grant is awarded as a result of the application; (2) I certify that I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department or agency; (3) I agree to be bound by the terms & conditions of the sponsored award agreement which supports this activity; (4) I certify that this proposed project is my original work; (5) I understand & will abide by all UA policies and procedures; (6) I certify that all information provided on this form & on any attached documents related to this application is true, accurate & complete to the best of my knowledge; and (7) that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

PI: _____ Date: _____ Co-I: _____ Date: _____
 Co-I: _____ Date: _____ Co-I: _____ Date: _____

(8) Unit Approvals Read, Sign, and Date: By signing this form, I certify to the best of my knowledge that: (1) The PI listed is eligible to be a PI per [UAF's PI Policy](#) or an exemption has been requested; (2) PI and Co-I workloads are within 100% of effort; (3) Unit resources in this application are available and allocated; (4) All space considerations in the project have been accounted for; and (5) The proposal application and budget are in compliance with sponsor/agency, state, federal, and university policies & regulations.

Lead Unit Dean/Director: _____ Date: _____ Fiscal Review: _____ Date: _____
 Coll. Unit Dean/Director: _____ Date: _____ Fiscal Review: _____ Date: _____
 Coll. Unit Dean/Director: _____ Date: _____ Fiscal Review: _____ Date: _____

(9) UAF Final Approvals Read, Sign, and Date: By signing this form, I certify that this proposal has been reviewed according to the [UAF Uniform Proposal Review Policy](#), has passed review and to the best of my knowledge meets all applicable sponsor/agency, state, federal, and university policies, regulations, and standards.

OSP Pre-Award Admin.: _____ Date: _____ AOR Approval: _____ Date: _____

UAF Proposal Routing Form Instructions (Form OSP-001)

Note: A minimum of 5 business days is required for proposal document review.

Printing Directions – Make sure you have selected a print setting of “Shrink oversized pages to paper size”, “Page Scaling: Fit to Paper” or “Fit to Margins” depending on your version of Adobe Acrobat. If not, details will be cut off around the margins and OSP will request a new copy.

(1) The Basics

- (a) Proposal S0000 ____: Enter the 4-digit Banner Proposal Module Number generated for this proposal.
- (b) Sponsor Due Date: Enter the due date or postmark deadline set by the sponsor.
- (c) Unit Due Date: Enter the date the unit needs the proposal back from OSP for processing, mailing to the sponsor, copies, etc. to ensure submission/postmark by the deadline.
- (d) Unit Proposal Number: Enter the internal unit number (if applicable) for the proposal.
- (e) Program Guidelines Attached or URL: Be sure to include relevant program guidelines when applicable (RFP, program announcement, etc.) or a URL for the OSP to download them from. Check the “Attached” box if you include a copy of the guidelines.

(2) Project Background Information

- (a) Title: Enter the full proposal title as it will be submitted to the sponsor.
- (b) Sponsor: Enter the name of the sponsor that will grant UAF the award. If UAF is a subrecipient in another institution’s proposal, enter that entity’s name, not the prime sponsor’s name.
- (c) Div./Prog.: Enter the Division or Program under the sponsor that the proposal is being submitted to (i.e., OPP, ROSES, CSREES, etc.)
- (d) Start Date: Enter the project start date.
- (e) End Date: Enter the project end date.
- (f) Sponsor Type:
 1. Choose “Federal” for a federal sponsor, e.g., NSF, NASA, DoD, etc.
 2. Choose “State” for a State of Alaska sponsor, e.g., AK EED, AK DOT&PF, etc.
 3. Choose “University/Inst.” if the sponsor is a university or other educational institution.
 4. Choose “Private/Found.” for a private sponsor or foundation, e.g., Murdock Charitable Trust.
 5. Choose “Industry/Corporate” for an industry or corporate sponsor, e.g., Microsoft, BP.
- (g) Activity Type:
 1. Choose “Organized Research” if the proposed project is going to be research oriented.
 2. Choose “Training/Instruction” if the proposed project is focused on training or instruction.
 3. Choose “Other Spons. Activity” if the proposed project is not organized research or sponsored training/instruction. Examples include health service projects, community service programs, and outreach.
 4. Choose “Off-Campus” only if the project or specified project segments (1). Have estimated direct costs in excess of \$100,000 –and– (2). Which require off-site research activities for a period of 180 consecutive days or the equivalent of 80% of the project term. Both of these criteria must be met to classify the activity as off-campus and use the off-campus F&A rate.

Note: Multiple Activities: Check all that apply if the proposed project is comprised of segments/tasks that are fundamentally different (e.g., one task is to conduct research, one task is to perform outreach) and if the proposal will have different F&A rates for each task/segment. Each task/segment must comprise a significant portion (greater than 10%) of the entire project to use a different F&A rate, unless program guidelines prohibit multiple rates.
- (h) Project Type:

These categories match the Banner FRAPROP Project Type Categories

 1. Choose “NC” for a New Competitive proposal. This includes supplemental requests.
 2. Choose “NN” for a New Non-Competitive proposal. This includes supplemental requests.
 3. Choose “PP” for a Pre-Proposal.
 4. Choose “RC” for a Renewal Competitive proposal. This includes continuations of previous projects.
 5. Choose “RN” for a Renewal Non-Competitive proposal. This includes continuations of previous projects.
 6. Choose “RV” for a Revision to a previously submitted proposal.
 7. Choose “XN” for a Non-Negotiable or Administrative proposal. These are really rare.
- (i) Mechanism:

1. Choose "Grant" if the award mechanism will be a grant.
 2. Choose "Contract" if the award mechanism will be a contract.
 3. Choose "CA" if the award mechanism will be a cooperative agreement.
 4. Choose "RSA" if the award mechanism will be a reimbursable services agreement.
- (j) Format:
1. Choose "Electronic" if the sponsor requires submission via an electronic system or e-mail.
 2. Choose "Paper" if the sponsor requires submission of hard copies via regular mail or courier.
- (k) Is UAF a Subaward Recipient? Check "Yes" and enter the prime sponsor's name if UAF will receive any award as a subrecipient (not directly awarded from the prime sponsor) and check "No" if UAF will receive any award directly from the prime sponsor.
- (l) Does the Project Contain Subawards? Check "Yes" if the budget contains any subawards to other entities and enter their name(s). Don't confuse this with service contracts, such as sample analysis, consultants, etc. Check "No" if there will be no subawards made by UAF to other entities. Each subawardee must complete and submit a Subrecipient Commitment Form (Form OSP-007): <http://www.uaf.edu/files/osp/osp-007-Subrecipient-Commitment-Form.pdf>
- (m) Is Any Equipment Budgeted? Check "Yes" or "No".
- (n) Is Tuition Budgeted for Grad. Students? Check "Yes" or "No".
- (o) Peer Review
1. Choose "Internal" if there is an internal peer review of this proposal.
 2. Choose "External" if there is an external peer review of this proposal.
- (p) Is Project EPSCoR Related? Check "Yes" or "No". The proposal is EPSCoR related if you can answer yes to at least one of the following conditions:
1. The research topic is directly related to an EPSCoR research theme: High Latitude Contaminants, Infrastructure and Systems for Cold Regions, Alaska Genomic Diversity, Integrative Approaches to Environmental Physiology, Bioinformatics
 2. The research utilizes an EPSCoR funded lab facility or instrument(s): ASET Lab (UAA), DNA Core Facility (UAF), SEM Lab (UAF), Stable Isotope Lab (UAF), MODIS ground station (UAF).
 3. The proposal continues or builds on previous research activities which were supported by an internal EPSCoR award (New Initiative Grant, graduate fellowship, equipment grant, small college research or partnership grant)
 4. The proposed research involves UA faculty, post-docs, or students who have received, or are currently receiving, EPSCoR support (including salary, fellowships, equipment, travel).
 5. The proposal is submitted to an EPSCoR-related program of any federal agency, or to EPSCoR earmarked funds of the Alaska Science and Technology Foundation.
- If you have any questions contact the Alaska EPSCoR office at UAF - <http://www.alaska.edu/epscor/>
- (q) Is Project Alaska Specific? Check "Yes" or "No". Specifically, is the project for a common or joint objective that can be directly identified to promote, enrich, exhibit, develop or benefit the resources and people of the State of Alaska?
- (r) Banner Research Theme Code(s): Enter the appropriate Banner Theme Code for the proposed project (e.g., Agriculture, Education, Engineering, etc.). A complete list of theme codes can be found at: <http://www.uaf.edu/osp/proposal-preparation/banner/>
- (s) D-Level Org. Code: Enter the D-Level Org. Code for the main unit submitting the proposal (e.g., D6PROV).
- (t) Related Proposal in Banner S0000____: Enter the Banner S number that this project is related to, if applicable.

(3) Personnel

If you have more than three Co-Is, use an additional Routing Form for their information and signatures.

- (a) PI: Enter the PI's Name (Last Name, First Name), phone extension, unit, UAF ID#, FTE on the project, and Banner E-Class (e.g., F9, XR, etc.) in the respective boxes.
- (b) Co-I #1: Same as (3)(a)
- (c) Co-I #2: Same as (3)(a)
- (d) Co-I #3: Same as (3)(a)
- (e) Unit Contact: Enter the Unit Contact's (Proposal coordinator, etc.) Name (Last Name, First Name) and phone extension.
- (f) Fiscal Officer: Same as (3)(e)

(4) Ethics and Regulatory Compliance

The Office of Research Integrity (ORI) offers a Blackboard course, "Responsible Conduct in Research", that provides a brief introduction to each of these topics/issues. Contact ORI (fyori@uaf.edu or x7832) if you would like to be enrolled in this course. The course information is also available from the ORI website training page (<http://www.uaf.edu/ori/training-programs/>).

- (a) Use of Vertebrates? Check the box if the proposed project uses live vertebrates or dead dogs – use of dead dogs is specifically covered under the Animal Welfare Regulations (9 CFR). You do not need Institutional Animal Care and Use Committee (IACUC) approval at the time of proposal submission unless specifically required by the sponsor.

IACUC#: If the proposed research is covered under an existing IACUC assurance, indicate the number in the space provided. If the proposed research is not covered by a current IACUC protocol, you should submit an IACUC protocol for review once you have received an award letter or sooner if you are confident that an award will be made ("just in time" review). If you plan to use "just in time" review, put "JIT" on the line provided for the protocol number. **Note:** Your award will not be released by Grant & Contract Services until you have an approved IACUC assurance.

- (b) Research on Human Subjects? Check the box if you are proposing to engage in research involving human subjects. Examples include: subjects participating in physical activities (e.g., physical exertion, ingestion of any substance, any medical procedure), psychological and opinion studies (e.g., survey, questionnaire, interviews, focus groups, test of any kind), behavioral observations, and studies in which the researcher is the subject of the research. You do not need Institutional Review Board (IRB) approval at the time of proposal submission unless specifically required by the sponsor.

IRB#: If the proposed research is covered under an existing IRB protocol, indicate the number in the space provided. If the proposed research is not covered by a current IRB protocol, you should submit an IRB protocol for review once you have received an award letter or sooner if you are confident that an award will be made ("just in time" review). If you plan to use "just in time" review, put "JIT" on the line provided for the protocol number. An award will not be released by Grant & Contract Services until you have an approved IRB protocol. **Note:** The IRB does not meet during the summer months (June-August), which may delay review of protocols requiring full board review.

- (c) Use of Radiation, Lasers, or Significant Chemical Hazards? Check the box if you are proposing any use of radiation (radiation producing equipment or radioisotopes), lasers (class III or IV only), and/or significant chemical hazards (known carcinogens, mutagens, and/or highly toxic substances). These activities require approval or pre-certification by UA Environmental Health & Safety and Risk Management (EHS&RM) and/or the Radiation Safety Officer. **Note:** Field releases of radiation also require approval by the Radiation Safety Committee.

- (d) Use of Biohazards? Check the box if proposed activities involve the use of any biohazards. This includes but is not limited to any agent on the select agent list (<http://www.cdc.gov/od/sap/>) regardless of quantity or strain; recombinant DNA; bioengineering of animal and plant life; human, animal and/or plant pathogens; release of laboratory modified living organisms into the environment; the use of living organisms (any size or type) as control agents for growth, pest control or environmental change; and the disposal of potentially infectious materials). These activities require approval or pre-certification by EHS&RM and/or the Laboratory and Biosafety Committee (LBC). You do not need LBC approval at the time of proposal submission unless specifically required by the sponsor.

LBC#: If the proposed research is covered under an existing LBC registration, indicate the number in the space provided. If you intend to use "just-in-time" review, put "JIT" in the space provided. You should submit an LBC registration for review once you have received an award letter or sooner if you are confident that an award will be made. An award will not be released by Grant & Contract Services until you have an approved LBC protocol.

- (e) Potential for Tech. Transfer, Patent, Copyright, Trademark, or Licensing? Check the box if the proposed project contains any potential for tech transfer, patent, copyright, trademark, or licensing or other intellectual property issue involving data or creation of a product. Some examples of intellectual property are: an invention, expression or literary creation, unique name, business method, industrial process, chemical formula, computer program process, or presentation.
- (f) Material Transfer Agreements? Check the box if the proposed project involves the transfer of material to or from collaborating institutions. Some suppliers may also require signing of material transfer agreements. **Note:** Material Transfer Agreements can only be signed by the Director of the Office of Intellectual Property & Licensing.

- (g) Potential for Program Income? Check the box if the proposed project will generate program income such as: fees for services performed, the use or rental of real or personal property acquired under the grant, or the sale of commodities or items developed or fabricated under the grant.
- (h) Conflict of Interest? Check the box if you, your spouse, and/or any of your dependent children have a financial conflict of interest (COI) with the proposed project. UAF's Significant Financial Conflict of Interest Policy(<http://www.uaf.edu/osp/policies-and-procedures/conflicts-of-interestmult/>) requires each investigator to disclose, prior to submission of a proposal for sponsored research or programmatic activities, any significant financial interest that would reasonably appear to be affected by the activities funded or proposed for funding. This includes royalties, equity, or intellectual property. If yes, you must complete and file with the Director of the Office of Sponsored Programs a UAF disclosure form. The Director of the Office of Sponsored Programs will work with you to establish a COI management plan. If you already have a COI management plan then you will need to provide OSP with the identifying number so OSP can link this proposal to the correct COI plan. **Note:** This is different from the blue ethics form which may also need to be filed.
- (i) Research Restrictions? Check the box if the sponsor or any third party is likely to impose any type of research restrictions. These include but are not limited to: prior review and approval of publications related to the proposed project, time limitations on publication, and/or any restrictions on hiring practices.
- (j) Import or Export of Data, Goods, or Services? Check the box if there will be any import or export of data, goods, or services during or resulting from the proposed project. This includes any potential "deemed exports" (the release to a foreign national, regardless of the means of release, of technology or source code subject to export controls). These may be subject to federal import/export regulations. These activities require approval Information Transfer & Security Committee (ITSC). You do not need ITSC approval at the time of proposal submission unless specifically required by the sponsor.
ITSC#: If the proposed activity is covered under an existing ITSC Information Security Plan, indicate the number in the space provided. If you intend to use "just-in-time" review, put "JIT" in the space provided. You should submit an ITSC Information Security Plan for review once you have received an award letter or sooner if you are confident that an award will be made. An award will not be released by Grant & Contract Services until you have an approved ITSC Information Security Plan.
- (k) Confidential or Classified Information? Check the box if the proposed project contains any activity or information that is proprietary or sensitive in nature and/or will be designated a government security classification of Top Secret, Secret, or Confidential. Such information or material requires specific security precautions as specified in the National Industrial Security Program (NISP) and NISP Operating Manual(www.fas.org/sgp/library/nispom/nispom2006.pdf) in the case of government classification, or as specified in the program's ITSC Information Security Plan in the case of confidential information.
ITSC#: If the information/material is government classified, put "NISP" in the space provided. If the information/material is covered under an existing ITSC Information Security Plan, indicate the number in the space provided. If you intend to use "just-in-time" review put "JIT" in the space provided. You should submit an ITSC Information Security Plan for review once you have received an award letter or sooner if you are confident that an award will be made. An award will not be released by Grant & Contract Services until you have an approved ITSC Information Security Plan.

(5) Budget Information

- (a) F&A Rate Percentage: _____%: Enter the applicable F&A rate on the line (e.g., 47.5%).
- (b) Indirect Cost Rate Code: Enter the corresponding Banner code for the F&A rate (e.g., FRN475).
- (c) Distribution Code: Enter the Banner indirect distribution code (e.g., FDPP01). A complete list of indirect distribution codes can be found at: <http://www.alaska.edu/financial-systems/banner/research-accounting/>
- (d) Modified TDC (MTDC): Enter the MTDC amount. (= TDC minus equipment, tuition, subaward amounts over \$25,000, scholarships/fellowships, and long-term space rental costs).
- (e) Total Direct Costs (TDC): Enter the amount of total direct costs for the project.
- (f) F&A Cost Recovery: Enter the amount of F&A recovery (= MTDC x F&A rate %). This will auto calculate based on (5)(a) & (5)(d) if you use the fillable PDF form.
- (g) Total Sponsor Request: Enter the total funds requested from the sponsor (= TDC + F&A Cost Recovery). This will auto calculate based on (5)(e) & (5)(f) if you use the fillable PDF form.
- (h) Match UAF: Enter the total amount of any matching/cost sharing commitments from UAF sources.
- (i) Match Third Party: Enter the total amount of any matching/cost sharing commitments from third party sources.

- (j) Match Total: Enter the total of all matching/cost sharing commitments. This will auto calculate based on (5)(h) & (5)(j) if you use the fillable PDF form.

Note: Any matching/cost sharing (M/CS) requires completion of the M/CS Form (Form OSP-002), which can be downloaded at: <http://www.uaf.edu/files/osp/osp-002-Match-Form.pdf>

(6) Project Space Requirements

- (a) Project requires new space/construction? Check “Yes” if there is any construction activity included in the proposed project or needed to perform the proposed project. Check “No” if there are no planned construction activities.
- (b) Project requires renovation(s) of existing space? Check “Yes” if there is any renovation to existing facilities/space included in the proposed project or needed to perform the proposed project. Check “No” if there are no planned renovation activities.

Note: Checking “Yes” to either question requires completion of the Space Request Form (Form OSP-006), which can be downloaded at <http://www.uaf.edu/files/osp/osp-006--Space-Request-Form.pdf> Include this form with the original proposal package to OSP. Checking “Yes” also requires budgeting and approval by UAF Facilities Services, Division Design and Construction, and/or Space Planning and Management, depending on the activity. Attach any relevant documentation received from Facilities Services or Campus and Space Planning to the proposal.

(7) Investigator Certifications

By signing the Proposal Routing Form, each investigator: (1) Agrees to accept responsibility for the scientific and ethical conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application; (2) Certifies that he/she is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department or agency; (3) Agrees to be bound by the terms and conditions of the sponsored award agreement which supports the activity; (4) Certifies that the proposed project is his/her original work; (5) Understands and will abide by all UA policies and procedures; (6) Certifies that all information provided on the Proposal Routing Form and on any attached documents related to the application is true, accurate and complete to the best of his/her knowledge; and (7) that any false, fictitious, or fraudulent statements or claims may subject him/her to criminal, civil, or administrative penalties.

(8) Unit Approvals

By signing the Proposal Routing Form, each unit dean/director and fiscal reviewer certifies that: (1) The PI listed is eligible to be a PI per UAF’s PI Policy or an exemption has been requested <http://www.uaf.edu/osp/policies-and-procedures/principal-investigator-el-1/>, (2) PI and Co-I workloads are within 100% of effort; (2) Unit resources are available and allocated; (3) All space considerations in the project have been accounted for; and (4) The proposal application and budget are in compliance with sponsor/agency, state, federal, and university policies & regulations.

Note: The dean/director for the lead unit and any collaborative units on campus must sign. On the Fiscal Review line, whoever is the authorized person that reviewed and approved the proposal budget should sign, whether it is the unit fiscal officer, proposal coordinator, or other authorized person.

(9) UAF Final Approvals

OSP Pre-Award Admin.: The OSP Pre-Award Administrator that reviews the proposal will sign here once the technical review has been completed. This certifies that the proposal has been reviewed according to the UAF Uniform Proposal Review Policy <http://www.uaf.edu/osp/policies-and-procedures/> and to the best of his/her knowledge meets sponsor/agency, state, federal, and university policies, regulations, and standards.

AOR Approval: This space is reserved for the Authorized Organizational Representative (OSP Director or designee) to sign and give final institutional approval on the proposal. A proposal is not approved for submission and is not legally binding without this signature. This certifies that the proposal has been reviewed according to the UAF Uniform Proposal Review Policy <http://www.uaf.edu/osp/policies-and-procedures/> and to the best of his/her knowledge meets all applicable sponsor/agency, state, federal, and university policies, regulations, and standards.