

INSTRUCTIONS FOR COMPLETING THE PROPOSAL TRANSMITTAL FORM (PTF)

Purpose: The PTF summarizes information about a proposal and it is the primary source of data for TRACS (URA's data system). It also records required Principal Investigator (PI), departmental and divisional signatures which authorize URA to submit proposals on behalf of University investigators. Use the form when submitting a new, revised, renewal, supplementary or continuation (excluding NIH eSNAPs) application. Do NOT use the form for revised budgets. *Every section of the PTF must be addressed for each application.*

Upper, right-hand corner of PTF:

URA ID # is for the unique TRACS system-generated number assigned to the proposal (and subsequent award) by URA.

I. Investigator Information. Indicate the PI's name, department, division and email address. Faculty and a restricted set of academic non-faculty may serve as a PI. Consult <http://researchadmin.uchicago.edu/guidelines/200/201.shtml> for the policy on PI eligibility.* All PI-eligible investigators should be listed in section VI (Investigator Effort and Salary Summary). In general, these are faculty and academic non-faculty who are committing effort to the project. If the project has more than four investigators, use additional copies of section VI. If the proposal is for a fellowship, list the name of the fellow in the designated field. A faculty sponsor must be listed as the PI for fellowship applications.

- *In situations where PI eligibility must be requested, submit the PI eligibility request early, as multiple endorsements may be required (Department Chair, Dean, Office of the Provost).

II. Proposal and Agency Information. Provide the title of the proposal, and check one item from each column/section. Indicate type of funding request from each of the three boxes. Indicate application type:

- **NEW**— proposal is a request for support of a project that has not yet been funded and does not meet the definition of Revision/Resubmission below.
- **REVISION/RESUBMISSION**— a revised or amended application (identify original application number as assigned by agency (e.g., 1 R01 HL075800-01 for NIH).
- **RENEWAL**— (sometimes called a Competing Continuation or could be contained in a progress report) requests funds for a new project period based on a funded previous project. A Renewal proposal is typically subjected to external peer review and competes for available funds.
- **CONTINUATION**— (sometimes called a Noncompeting Continuation) requests funds for a defined budget period within an existing approved project period; such requests are typically administratively reviewed and approved by agency program and administrative staff and do not compete for available funds.
- **SUPPLEMENT**— requests additional funds for a current award to cover increased costs (noncompeting) or to expand the scope of work (competing). [In new NIH 424 parlance, competing supplement = revision, but **for purposes of the PTF**, competing supplement = supplement.]

Give the name of the sponsor (and if applicable, the name of the division or program within the sponsor organization). If the project is an *incoming* subaward, identify the name of the original sponsor here, and the prime awardee below. For example, if The University of Chicago is receiving a subaward from The University of Iowa under funding provided by the National Institutes of Health, the PTF should note that the sponsor is NIH and the prime awardee is the University of Iowa (it should also note the sponsor's award number, if available).

Provide the delivery name and address (the address to which the application should be sent; **note:** this may be different from the mailing address; check the program guidelines and delivery instructions carefully). Provide the name and phone number of the agency contact (or prime awardee contact for an incoming subaward). If the proposal is for a continuation, provide the agency's award number, and the UC FAS (**F**inancial **A**ccounting **S**ystem) number for the existing award.

III. Project Information.

- Indicate if the proposal is for a group project, such as a Center, a PHS program project, a Dept. of Education Title VI area studies center, etc.
- Check the Argonne National Lab box for any project that has involvement from their lab- whether this is via effort on a University of Chicago project; via a subaward on a grant awarded to the U of C, i.e., through a Work for Others Agreement (WFO); through NIH awards to Argonne National Lab, which come through the U of C;

or through conduct of a portion of the scope of work at Argonne National Lab (such as using the APS [or joint appointment]).

- Check the Fermilab box for any project that has involvement from their lab- whether this is via effort on a University of Chicago project; via a subaward on a grant awarded to the U of C, i.e., through a Work for Others Agreement (WFO); through awards to Fermi National Lab, which come through the U of C; or through conduct of a portion of the scope of work at Fermi National Lab.
- Indicate whether a foreign sponsor, subrecipient, or paid participant is involved with the project.
- Indicate the number of outgoing subawards, if any, and enter subawardee names.
- Transfer of technology and/or materials overseas—this question helps URA to identify projects for which export control or trade sanction regulations may apply.
- Enter the number of pre- and/or post-docs supported by the project (enables a search to determine how many graduate students and post-docs are being supported by sponsored research projects).
- Check **ONE (1)** item as the project's main purpose.

IV. Deadlines.

- Indicate the date the proposal is due at the sponsor. Enter “none” if there is no deadline imposed by the sponsor. Please do NOT enter a time you would *like* to have it back or “ASAP.” This deadline is reserved for the proposal due date.
- Please be reminded that proposal deadlines take priority over other paperwork in URA. URA *REVIEW* deadline is 3 full business days prior to agency or sponsor deadline and 4.5 days prior in the case of electronic submission by URA. The final (reviewed and ready-to-submit) electronic proposal is due in URA by noon of the business day prior to sponsor deadline. See [Proposal Submission Policy](#) for details.

V. Financial Information.

Box A. Budget Period Information. Indicate the budget period begin and end dates, the on-campus and off-campus (if applicable) indirect cost rate (%) and base (e.g. MTDC—Modified Total Direct Cost or TDC – Total Direct Cost). For current indirect cost rates and regulations regarding the use of off-campus rates consult University policies (found in sections [303](#) and [304](#) of the Guidelines for Grant and Contract Management). Contact URA if you have any questions regarding University indirect cost policies. Indicate the amount of direct and indirect costs, the total amount requested, and the budget period number (e.g. 1, for the first year of a new project).

Box B. Multi-Year Project Information. Complete this section for new or competing renewal proposals. Indicate the begin and end dates of the entire project period. Give the total direct and indirect amounts requested, the total project period request, and the number of years requested. Do NOT complete this section if there is only one budget period (i.e., budget period = project period).

Box C. Cost Sharing and Matching Funds (See [UC Cost Share Policy](#)):

Mandatory: Cost sharing required as a condition of receiving an award. [Note: required “matching” is a form of mandatory cost sharing]. The requisite amount is stated in the terms and conditions award (or guidelines). All matching and mandatory cost share requirements are the responsibility of the unit, with approval by the Dean’s Office, Provost’s Office (if the department is not part of a division or school), or appropriate Vice President. URA must receive written confirmation of approval. If there is an explicit request for central funds (including capital dollars) the Budget Office must review the proposal (at least 2 weeks before the due date) and provide written approval to URA.

Voluntary Committed: Cost sharing voluntarily committed by the University in a proposal budget or elsewhere in the proposal document. Voluntary commitment of effort should be avoided or minimized. If it is cost-shared, however, the University suggests no more than ½ month (approximately 5% FTE) voluntary commitment of effort unless there are exceptional circumstances. Please check divisional cost share policies which vary across campus.

VI. Faculty/Senior Investigator Effort and Salary Summary (Confidential). Indicate the name and department of each investigator (all PI-eligible individuals with committed effort on the project, whether or not considered to be Key or Senior Personnel), the total % effort committed to the project (i.e. the sum of cost-shared effort, if any, plus sponsor-paid effort) and pertinent salary information. Please note the % of committed effort might not equal the salary recovery. This can arise either because the committed effort is a combination of sponsor-paid effort and institutional cost-shared effort or, for NIH budgets, because the institutional base salary (on either the BSD 12- month base or the non-BSD AY base) is

greater than the [NIH salary cap](#). In either case, the percentage of effort committed will be less than the % of salary recovered. Please note with AY appointments, that the NIH salary cap is a *rate-of-pay* cap (for example, if the NIH salary cap is \$180,000, then for academic year faculty, the maximum rate of pay is \$20,000 per month; and for calendar year appointments, the maximum is \$15,000 per month).

- *Calendar year appointments* — indicate the total % effort committed to the project, the percentage of cost share (if any), then note the % of sponsor-paid effort, and the salary offset.
- *Academic year appointments* — indicate the total % effort committed to the project during the academic year and the cost share effort (if any). Please specify if sponsor-paid effort is requested for all or any portion of academic year effort (note: sponsor-paid effort may be affected by the NIH salary cap). For *academic year appointments*, also indicate the summer effort committed (if any) and summer salary requested. Remember that no summer effort can be *contributed* (that is, cost-shared).
- *Emeritus appointments* — any required research effort must be sponsor paid – emeritus faculty are not receiving salary from the University, therefore no effort can be *contributed* (that is, cost-shared).

Only BSD faculty have 12-month (calendar year) appointments. All other faculty have Academic Year appointments and up to three summer months (or one off-quarter) available for *additional* compensated effort. For assistance in computing percentage of effort for academic and calendar year appointments see [Faculty Effort](#).

VII. Space/Technology Needs. Please address any space needs this project will require above and beyond currently allotted space.

VIII. Oversight Committee Information (Protocols). Use one line for each protocol. Indicate status (in preparation, pending, or approved), species (If IACUC), date of approval (if applicable), and protocol number. Attach spreadsheet with additional protocol information if necessary.

SUGGESTED TEXT FOR ABOVE:

IX. Responsible Administrative Department. [THIS SECTION IS TO BE COMPLETED BY THE ADMINISTRATOR COMPILING AND SUBMITTING THE PROPOSAL] Identify the Academic Department/Unit and, if applicable, the formal subunit or section. The Academic Department should reflect the academic unit to be credited for the proposal/award for reporting purposes, which may not necessarily be the department of the Administrator. List the administrator's name, phone number and email address. The department administrator signs and dates where indicated, certifying the accuracy of information provided, to the best of her/his knowledge. Comments on this proposal will be sent to the administrator via email. TRACS will identify the person shown in this section as the responsible administrator for the proposal unless otherwise indicated.

X. Declarations. [THIS SECTION MUST BE COMPLETED AND SIGNED BY THE PI. NO "PER" SIGNATURES OR STAMPS CAN BE ACCEPTED.] Please read this section carefully.

*****Please note the COI questions have changed with this PTF revision. PIs are now required to positively identify an outstanding financial COI as relevant to this proposal, even if the relationship has been previously disclosed.***

- All faculty/principal investigators or key personnel on research and other sponsored projects at the University are required to comply with the University's Conflict of Interest (COI) Policy. Submission of a completed Conflict of Interest Assurance Form (and Disclosure, if required) documents this compliance. Consult [Regulations, Policies, and Procedures \(http://researchadmin.uchicago.edu/regulations/coi.shtml\)](http://researchadmin.uchicago.edu/regulations/coi.shtml) for the COI submission process and policy. Note that any person with the role of PI is responsible for identifying any persons who meet the definition of "Investigator" or "Key Personnel" described in the COI policy (any persons responsible for the design, conduct, or reporting of research activities pertinent to this application). This may also **include non-University of Chicago investigators conducting work under a subaward agreement**.
- Question 1: The PI should answer this question for all University of Chicago Investigators listed in Section VI as well as other UC personnel who are considered Key Personnel on the project.

- Question 2: The PI should answer this question for all University of Chicago investigators listed in Section VI as well as other UC personnel who are considered Key Personnel on the project. If the answer is “yes”, list the name(s) (handwrite on form) of the individual(s) with the related outside financial interest on the PTF.
- Question 3: The PI should answer this question for all non-University of Chicago investigators participating in the specific proposal. The PI is responsible for reporting significant financial interests of non-University of Chicago investigators to URA.
- Question 4 refers to University Financial Policy number 2101, [PI Responsibilities for Financial Oversight of Grants and Contracts](#)

The PI's signature in this section confirms that he/she **A**) is in compliance with the COI policy, and **B**) acknowledges responsibility for financial oversight of the proposed project as well as University and sponsor conditions of award.

XI. Endorsements. Signatures of the department chair (if applicable), unit/section head (if applicable), and the Dean (or Provost, if applicable). Please refer to your unit and/or divisional guidelines for signature authority.

URA-only portion of PTF is completed following review for export controls for new and competing applications.