


Proposal Routing Sheet (PRS) Instructions

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|  | PROPOSAL ROUTING SHEET VICE PRESIDENT FOR RESEARCH | <div style="background-color: #e0e0e0; padding: 2px; font-size: small;">For Sponsored Projects Services Use Only</div> PROPOSAL # _____ SPS LOG # _____ REFERENCE # _____ |
| TODAY'S DATE _____ DEADLINE DATE _____ DEPT/COLLEGE PROPOSAL NUMBER _____ | FRS ACCOUNT _____ | |

Today's Date: Date that the Proposal Routing Sheet was started or the date that the Proposal Routing Sheet was sent to Sponsored Projects

Deadline Date: The Deadline for the Proposal to be submitted to the sponsoring agency.

Dept/College Proposal Number: If the college or department assigns an internal tracking number to the proposal, the number should be entered in this field. The number will be entered into SPINS (Sponsored Projects Information System).

For Sponsored Projects Services (SPS) Use Only:

- **Proposal #:** After the PRS is signed, the PRS is data entered into SPINS and a number is given to the proposal.
- **Log #:** When the award or agreement is received, the document is entered into the SPINS contract log and a number is assigned.
- **Reference #:** The number that the sponsoring agency would use to reference the proposal or award. This number may not be known until the award or agreement is received.

FRS Account Number: If the proposal is a continuation of an existing award with a FRS (Financial Records System) number, write the account number in the field.

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| PRINCIPAL INVESTIGATOR (Last name, first name) | UA PHONE # | E-MAIL ADDRESS |
| ADMINISTERING DEPT NAME | ADMINISTERING DEPT # | ADMINISTERING FAX # |
| DEPARTMENTAL CONTACT | UA PHONE # | E-MAIL ADDRESS |
| TITLE OF PROPOSAL | | |
| SPONSOR (Funding Agency) | | |
| PROG. ANN. # / WEB LINK | Will this proposal be submitted electronically? <input type="checkbox"/> Yes <input type="checkbox"/> No Electronic System: | |

Principal Investigator (PI): The person that bears the responsibility for completion of the project, compliance to internal and external rules and regulation and fiscal stewardship. The Principal Investigator must have a formal relationship with the University. Please read the PI Handbook for more information: <http://www.sps.arizona.edu/handbook/intro.htm>

Enter the PI name as it appears in PSOS (Personnel Services System). The applications should be made in the formal or given name of the PI.

The phone number and email address should be those used for the PI. We may need to contact the PI during the review of the proposal or award processing.

Administering Department: Enter the name of the department administering the award. This department head will have oversight of the award compliance and be responsible for managing the FRS account.

Department #: Enter the department number that corresponds with the administering department. To find the number for a department, please see: http://www.fso.arizona.edu/fso/deptman/appendix/app_cd.asp?attr=10

Departmental Contact: The person in the department or college that has knowledge of this proposal. Generally, this is someone in the administering department such as the Business Manager or Administrative person. We will contact this person with questions in regard to the proposal.

Title: This is the full and complete title of the project. This title should match title on the proposal. If an award is made, we will match the award or agreement to the title of the proposal. This field is limited to 100 characters.

Sponsor: The name of the agency that is issuing the funds. If the UA is a subawardee, the primary sponsor should be listed in parenthesis after the name of the funding agency. For example, if ASU was submitting a proposal to NIH and wanted to subcontract to our institution the sponsor should be listed on the PRS as ASU (Sub-NIH).

Program Announcement #/Web Link: Please provide the Program Announcement Number or the Funding Opportunity Announcement. As a general rule, we do not review the program announcement. We will only review the program announcement when there is a question about the submission or the general terms.

Will this proposal be submitted electronically? If the proposal is to be submitted through a electronic system, please answer “Yes” and name the electronic system. Even if Sponsored Projects Services will not be doing the physical submission, we would like to know how the application will be submitted. For a few electronic systems, we will require the PI username and password. If there is a question as to who will be submitting the application, please call Sponsored Projects Services.

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| TOTAL AMOUNT REQUESTED: \$ _____ | PROPOSED START DATE: _____ | PROPOSED END DATE: _____ | | |
| (Direct plus F & A costs.) | (mm/dd/yy) | (mm/dd/yy) | | |
| PROPOSAL TYPE (Select one): | <input type="checkbox"/> New | <input type="checkbox"/> Competing Renewal (NIH) | <input type="checkbox"/> Revision | |
| | <input type="checkbox"/> Continuation/Supplement to Account _____ | | | |
| PROJECT TYPE (Select one): | <input type="checkbox"/> Research | <input type="checkbox"/> Instruction | <input type="checkbox"/> Other Sponsored Activity | |
| | <input type="checkbox"/> Clinical Trial | <input type="checkbox"/> Research Training | | |
| F&A RATE % _____ | F&A BASE | <input type="checkbox"/> MTDC | <input type="checkbox"/> TDC | <input type="checkbox"/> OTHER _____ |
| | | | | (Please describe) |

Total Amount Requested: The total amount of funds that are requested from the sponsor will be entered in this field. The amount will include both the direct costs and the indirect costs of the proposed project.

Proposed Start Date: The start date is the anticipated start date of the project. This will represent the beginning date that the proposed budget is based upon.

Proposed End Date: The anticipated date the project will conclude. The duration of the proposed project can not exceed the allowable time period expressed in the program announcement or the request for quotation.

Proposal Type:

- **New:** A proposal that has not been previously submitted to the sponsor
- **Competing Renewal:** An application requesting additional funding for a period subsequent to that provided by a current award. These proposals compete with all other applications and must be developed as fully as though the applicant is applying for the first time. Usually associated with NIH proposal.
- **Revision:** A change to an approved Proposal Routing Sheet. The existing routing sheet on file will be completely replaced with the revised Proposal Routing Sheet.
- **Continuation or Supplement:** Additional funding with or without a time extension for a existing project. If applying for a supplement, like a diversity supplement or an REU, this box will be checked.
- For a continuation or supplement, the FRS number of the account number of the existing project must be supplied.

Project Type: Project type is the basis for the Facilities and Administrative Costs applied to a project. The project type is used by Financial Services to determine the overhead and space commitments of Sponsored Research at the University. Even though a project may contain parts of each category, the overall goal of the project must be determined. Sponsored Projects reviews the project abstract to determine the overall goal of the project. Financial Services Office reviews the FRS account and the abstract to determine the project category selected is correct.

- **Research** is an activity intended to produce the creation of knowledge, organization of knowledge, and/or application of knowledge.
- **Instruction** is intended to elicit educational change in a learner or group of learners.
- **Other Sponsored Activities** are activities that respond to a community need or solving a public problem.
- **Clinical Trials** are testing a drug or device. The drug or device is often supplied by an industry sponsor.

- **Research Training** involves the training of individuals in research techniques and conducted in the same facility as other research projects. Fellowships and Doctoral Dissertation Improvement would belong to the Research Training category.

Facilities and Administrative Costs: The Facilities and Administrative costs are also known as the indirect costs. These costs are the expenses associated with the operations of the University and can not be easily allocated to a single project. The Facility portion includes costs for building operation and maintenance, building depreciation, interest, equipment and the library. The administrative costs are related to the expenses needed to manage/operate department, college and the institution as a whole. The method of allocating this cost is a percentage rate that is negotiated with the federal government. The federal agency that the rate is negotiated with is known as the cognizant agency. (See the OMB circular A-21 for more on F&A costs: <http://whitehouse.gov/omb/circulars/a021/a21.html>)

The F&A Rate agreement is a series of rates that are approved by the Department of Health and Human Services. The appropriate rate is determined by the project category and whether or not the project is deemed on or off campus (a subject that is covered under project location). See the rate agreement on SPS web site.

F&A Base: The base is the amount that is used to calculate the F&A costs. The base is multiplied by the F&A Rate to determine the Total F&A Costs. The Total F&A Cost is added to the total of the Direct Costs to find the total cost of the project.

- **MTDC (Modified Total Direct Costs):** For projects using the full F&A rate certain items are not included in the F&A cost calculation. Therefore, these items are excluded from the base. To calculate the base of the project, the following items need to be subtracted from the total direct costs:
 - Capital Items (Equipment greater than \$5,000)
 - Student Stipends (Not Wages or Salaries)
 - Tuition Registration and Fees
 - Graduate Tuition Remission
 - Facilities Rental
 - Subcontract (The portion over the first \$25,000 for each subcontract)
 - Patient Care Cost
- **TDC (Total Direct Costs):** The F&A Rate is multiplied by the Total Direct Cost with no exclusion. Use of this base would be for projects where the indirect rate is reduced by either the program announcement, by waiver from the Vice President for Research (VPR) or the Non-Federal F&A Waiver List.
- **Other:** When the base is not calculated with a MTDC base or TDC base, please check other and explain the exclusion from the base. Some program announcements or programs exclude specific items that are not consistent with either base. An explanation of the exclusion should be provided on the line provided.

VPR approval for waiver of F&A costs is required before the proposal is submitted to the sponsor.

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| When a waiver of F&A costs is required, secure VPR signature prior to routing the original PRS to Sponsored Projects. | |
| FOR VPR/SPS USE: | <input type="checkbox"/> On Pre-Approved Waiver List <input type="checkbox"/> Waiver Approval _____ (VPR/SPS Approval) |
| PROJECT LOCATION (Select one): | <input type="checkbox"/> On Campus <input type="checkbox"/> Off Campus (Facilities not owned/under central lease by UA, including UMC and UPI Clinics) |
| Where will the project be conducted? Bldg _____ Room _____ Other _____ | |

http://www.sps.arizona.edu/non_federal/IDCWaivers.htm

When the F&A rate is anything less than the federally approved rate a waiver from the Vice President for Research (VPR) will be required. SPS Preaward does have authority to approve the reduced rate in the following circumstances:

1. The Sponsor is on the Non-Federal F&A Waiver List.
2. The Sponsor is a Non-profit Agency with a stipulation in the program announcement and/or the terms and conditions of the agency. Include a copy of the stipulation for approval
3. The sponsor is a Federal sponsor with a stipulation in the Funding Opportunity Announcement. Under Federal flow down provisions, this also includes sub-federal sponsors; include a copy of the stipulation from the prime Funding Opportunity Announcement.
4. For continuation/supplemental proposals where it is clear that the VPR waived the F&A for the life of the project.

If the sponsor is for-profit, or non-profit and you do not have a stipulation: submit your PRS, budget, and justification for the reduced rate to Sponsored Projects by fax at 626-4130. SPS will coordinate your request with the OVPR. The VPR office will not consider F&A waiver requests unless your Department Head and Dean (not designees) have signed the PRS, or have otherwise approved the waiver in writing. Indirect cost waivers are not handled on a same-day basis, so send the requests as soon as you can.

SPS Preaward will not sign a proposal with a reduced F&A if it does not have a signed waiver from the VPR or a waiver as discussed above.

Project Location: The On or Off Campus designation is determined by the location of the research and the wages incurred by the project. Separate On and Off Campus rates will not be used for a single project. The Off Campus Rate should be used for projects that are not conducted at university owned or leased facilities. Off Campus projects will have more than 50% of the wages incurred at an Off Campus facility. If lease costs are direct charged to the project budget, the project will be classified as Off-Campus.

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| Will additional space requirements or space renovation be required? <i>If yes, please route the Space Request Form through your College.</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Will this project generate program income ? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Will there be fabrication of equipment on this project? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Will this proposal be submitted electronically ? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Will additional Space Requirements or space renovation be required? If additional space is needed to conduct the project, the Principal Investigator must make arrangements for the additional space prior to routing the proposal.

If the answer is yes to this question, the PI will need to route the Space Request Form through their college. Real Estate Administration oversees that an equitable amount of space is available through a measure of faculty involvement, grant funding and the needs of the discipline. The space policies are on the Real Estate Administration web site (<http://space.arizona.edu/policies/policies.shtm>).

Will this program generate Program Income? Program income refers to income generated by activities of a project. Examples of program income are collection of fees for services performed during the grant, proceeds from the sale of property (T-shirts, instruction materials), usage or rental fees, and conference fees. Program income will either be a part of the direct cost of the program or as a part of a cost share or match to the program. Program income should be justified in the budget justification.

Will there be fabrication of equipment? The activity of a project may consist partially or entirely of the fabrication of equipment. Even though the end product may be classified as capital equipment, the components comprising the fabricated equipment will be charged to the appropriate cost category and will be charged the F&A rate of the project. Parts meeting the capital definition of \$5,000 or more, whether purchased from an off campus vendor or from an on campus shop, are charged to the equipment category and are not charged F&A. Refer to the FRS Department Manual, Section 15.36.

A project that is partially fabrication should include a separate budget showing the cost of the fabricated equipment. The supplementary budget will provide a basis of the fabrication costs. When awarded, the costs associated with the fabrication should be accumulated in a separate account. This will make it easier to determine the value of the finished equipment.

Will this proposal be submitted electronically? If this proposal is to be submitted via any electronic system, then the answer should be yes. If we are to submit the proposal, this box along with the deadline date will help SPS determine the work flow of the day to ensure a timely submission of all electronic proposals. If the electronic system is new to SPS, we may ask for the PI log in and password to determine the proper person to submit the application. The PI must work with SPS to determine the proper course of action in an electronic submission.

It is important with any electronic system to not wait until the last moment to submit the application. SPS will not guarantee an on-time submission on the day the proposal is due. For

most electronic submissions, we require that the proposal be routed and ready for submission no less than 3 days prior to the due date.

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| Does the Proposal include COST-SHARING OR MATCHING Funds? <input type="checkbox"/> Yes <input type="checkbox"/> No | PROPOSAL REMARKS/COMMENTS (non cost-sharing): |
| SOURCE: | |
| FRS Number for USDA/USFS unallowed Grad Tuition Remission: | |

Does this proposal include cost sharing or matching? Cost sharing or matching is the amount or the extent to which the University is expected to contribute to a project. Cost sharing is generally expressed as a ratio. The program announcement will normally explain the amount of the match that is required by a particular program.

Proposals should only include cost sharing only to the extent required by the program announcement. Some Investigators believe that they will improve the competitive advantage of their proposal if they promise generous amounts of cost sharing, but this is not true. If an award is made to a proposal with excessive cost sharing, the proposed amount becomes a legal obligation. After an award is made, the sponsor could demand a refund of the unmet cost sharing. In the case of a federal sponsor, this means suspension or debarment as a violation of the terms of the award.

If the answer is yes to cost sharing, a source of the must be identified. The source must be identified with an FRS account number or the name of the outside source. A letter of commitment will be required from the outside source with a dollar amount specified. Cost sharing from a Federal source is not allowed.

FRS Number for USDA/USFS un-allowed Grad Tuition Remission: Some US Department of Agriculture(USDA) and US Forest Service (USFS) programs do not allow the Grad Tuition Remission of the ERE rate to be charged to the grant account. The Grad Tuition Remission can not be waived by stipulation of the federal program. If this is the case, a discretionary account number must be given to cover the cost of the Grad Tuition Remission.

Proposal Remarks or Comments: Please note anything that may be helpful in the proposal review or award process.

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| DOES THE PROPOSED WORK INCLUDE ANY OF THE FOLLOWING? | |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Animal Subjects [†] | Yes <input type="checkbox"/> No <input type="checkbox"/> Native American Affairs _____ (signature required) |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Cancer Related Research | |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Foreign Nation: | |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Hazardous Chemicals [†] | Yes <input type="checkbox"/> No <input type="checkbox"/> Cancer Center Facilities _____ (signature required) |
| Yes <input type="checkbox"/> No <input type="checkbox"/> FDA/EPA GLP Compliance [†] | |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Human Subjects [†] | Yes <input type="checkbox"/> No <input type="checkbox"/> Recombinant DNA/Microbial Pathogens [†] _____ (signature required) |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Radiation [†] | |
| Yes <input type="checkbox"/> No <input type="checkbox"/> Bloodborne Pathogens [†] | |
| † no project activity allowed without approval of protocol and/or registration and training Rev 08/09 | |

Does the proposed work include any of the following? (Click the blue link on the PRS to access more information about any of the following.)

Animal Subjects: Check the box if vertebrate animals are involved in the project. The protocol will need to be submitted for approval to Institutional Animal Care and Use Committee (IACUC) before an award is made but not at the time of proposal.

IACUC oversees the university's animal care and use programs. This unit ensures the humane and ethical treatment of the animals used in research, testing and education. IACUC reviews all request to use vertebrate animals to ensure compliance with federal regulations.

Principal Investigators who plan to use animals subjects as a part of their research should contact a member of the IACUC early in project design stage to determine the appropriateness of specific species as models for research and appropriate procedures to be used in the course of research (from UHAP)

Cancer Related Research: Any research that is cancer related must check this box. This information is compiled for the Arizona Cancer Center annual report.

Foreign Nation: If all or a portion of the project is to be completed in a foreign nation, check the box, and enter the county name(s) in the space provided. The foreign nation's name should be in parenthesis in the title section of the PRS. This data is collected for the Vice President for Research.

Hazardous Chemicals: If the project is using chemicals that could be considered a physical hazard or a health hazard. Physical hazard means a chemical for which there is evidence that it is a combustible liquid, a compressed gas, explosive, flammable, an organic peroxide, an oxidizer, pyrophoric, unstable (reactive) or water-reactive. Health hazard means a chemical for which there is evidence that acute (immediate) or chronic (delayed) health effects may occur in over-exposed people. Principal Investigators proposing to conduct research involving hazardous chemicals must either enroll in the on-line Laboratory Chemical Safety Management System (for the laboratory use of hazardous chemicals) or comply with the [Hazard Communication](#) Program requirements (for all other hazardous chemical use).

FDA/EPA GLP Compliance: Research conducted under **GLP** [Good Laboratory Practices] regulations fully comply with [21 CFR 58](#) [FDA] and [40 CFR 160](#) [EPA]:

21 CFR 58 [FDA] Good laboratory practices for conducting non-clinical laboratory studies that support applications for research or marketing permits for products regulated by the FDA, including food, and color additives, animal food additives, human and animal drugs, medical devices for human use, biological products, and electronic products.

40 CFR 160 [EPA] Good laboratory practices for conducting studies relating to health effects, environmental effects, and chemical fate testing.

The Quality Assurance Officer in the Vice President for Research office will assure that the facilities, equipment, personnel, methods, practices, records, and controls are in conformance with the GLP regulations.

For more information: <http://www.vpr.arizona.edu/quality-assurance>

Human Subjects: Check the box if human subjects are involved in the project. The University is required to safeguard human subjects that are involved in research projects. Any project at the University of Arizona must submit the protocol for review and approval to the University's Human Subject Protection Program (HSPP) and the Institutional Review Board (IRB).

The HSPP and IRB ensure that Human Subjects rights and welfare are protected, the risk and potential benefits are weighed accurately, subject selection is fair and that the participants have an informed consent. Approval is required before any work with Human Subjects is initiated.

Human Subject Protection program is notified when this box is check. See the Human Subject Protection Program (<http://www.irb.arizona.edu/index.html>)

Radiation: The Radiation Control Office (RCO) is responsible for maintaining the radiation health and safety of the University, University Medical Center and University Physicians Healthcare community and for ensuring compliance with all relevant ionizing and nonionizing radiation regulations. Radiation Control is an evolving process around the needs of our customers and requirements of the regulatory agencies.

The RCO is responsible for providing radiation safety services for ionizing and nonionizing radiation for the University of Arizona on the Main Campus, at the Arizona Health Sciences Center, including University Medical Center (except Lasers), University Physicians Healthcare, and at various research locations around the state.

- **Regulatory/Operational Oversight:** Radiation usage is authorized by licenses and registrations issued by the Arizona Radiation Regulatory Agency (ARRA) and the U.S. Nuclear Regulatory Commission (NRC). The RCO operates under the guidance of the four Radiation Safety Committees regarding all regulated uses of radiation. ARRA conducts unannounced inspections, usually on an annual basis. Areas of concern or items of noncompliance are noted, and all problem areas must be addressed and rectified to the satisfaction of the ARRA. The NRC also inspects the TRIGA Reactor operations annually. Penalties for noncompliance involving flagrant and repeat violations can include suspension of license, equipment impoundment, or civil penalties up to \$4000 for each violation.
- **Mandated Program:** The RCO has the task of ensuring that radiation is in compliance with relevant statutory requirements. These requirements originate at the Federal level, but are administered primarily at the State level by the ARRA, as set forth in Title 12, Chapter 1, Arizona Administrative Code (AAC). The primary exceptions are the NRCs regulation of the TRIGA Reactor and various other agencies regulating the transportation and disposal of radioactive materials and mixed waste (hazardous) materials.

For more information see: <http://www.radcon.arizona.edu>

Bloodborne Pathogens: Any work involving human blood, blood products, and body fluids must follow the procedures outlined in The University of Arizona's Blood-borne Pathogen Exposure Control Plan. Any laboratory personnel working with human blood, blood products, body fluids or human bloodborne pathogens must complete the OSHA mandated Blood-borne Pathogen Exposure Control Training offered by Risk Management and Safety. Training at other institutions does not exclude laboratory personnel from this requirement.

Native American Affairs: Native Peoples Technical Assistance Office (NPTAO) serves as a clearinghouse and information center for all UA sponsored research activities conducted in Indian Country. On review of the research summary and budget, NPTAO looks for an indication that the appropriate foundation has been developed for working with a particular tribe.

The PI should ensure that the tribe has given written approval to conduct research on any reservation. Each tribe will have different protocols to conduct research. Call Claudia Nelson at 626-9181 to discuss the approval process.

After approval by the NPTAO the information is entered into a database. This database is a user friendly, searchable index accessible through the ArizonaNativeNet web-portal (www.arizonanativenet.com). This information will be useful both internally and as a resource for those seeking expertise in a diverse range of disciplines across campus.

NPTAO requires both pages of the Proposal Routing Sheet, the abstract, budget and budget justification. A full copy of the proposal is preferred. This should be faxed to Claudia Nelson at the NPTAO at 626-1819. SPS will not sign a proposal until NPTAO has completed the review or the proposal and signed the PRS.

For more information see: <http://www.nptao.arizona.edu/research/index.cfm>

Cancer Center Facilities: As a National Cancer Institute Designated Comprehensive Cancer Center Facility any and all use of the facilities of the Cancer Center must be reported to the NIH on an annual basis. Any use of the Cancer Center Facilities including use of the Common Equipment Rooms and/or the 20 Shared Services of the Cancer Center. If any labs, offices common equipment or shared services or any part of the Cancer Center Facility is to be used then a signature is required.

Fax the Proposal Routing Sheet, the face page (if applicable), budget, budget justification and abstract should be faxed to the Cancer Center Director of Finance at 626-6898. This signature must be obtained prior to the approval from SPS.

Recombinant DNA/Microbial Pathogens: The Institutional Biosafety Committee (IBC) provides the expert review of research projects to ensure the compliance with all relevant biosafety guidelines. Examples include work which involves PCR, recombinant DNA, microbial pathogens transgenic plants or human gene therapy projects. SPS will review the abstract, budget and budget justification for work that may fall into this category.

Prior to initiating a newly funded or unfunded research involving recombinant DNA or microbial pathogens, Principal Investigators must complete a Memorandum of Understanding and Agreement (MUA) form and receive IBC approval. This form is available from the Institutional Biosafety Committee, department offices and the Office of the Vice President for Research.

Each MUA must contain the following information:

1. assurance that the PI is familiar with the current NIH Guidelines and with other federal guidelines appropriate to the proposed research.
2. a short description of the experiments which involve recombinant DNA or microbial pathogens
3. indication of whether or not human tissue or fluids will be used and a description of the Biosafety Level 2 or higher practices that will be employed.
4. a description of the nature of the recombinant organisms and microbial pathogens used in the research to ensure that the IBC and the PI are aware of the risks and the necessary safety precautions
5. description of the cell lines used, including the source and special safety precautions
6. description of the physical and biological containment practices required by current NIH Guidelines and/or CDC?NIH publication, "Biosafety in Microbial and Biomedical Laboratories," to prevent accidental exposure or environmental releases
7. the signature of the Principal Investigator

Principal Investigators submitting proposals involving any recombinant DNA research and microbial pathogens must check "yes" whether or not the research falls within the NIH Guidelines. The PRS must be signed by a member of the Institutional Biosafety Committee or its staff. If the PI is a member of the IBC, another committee member should sign the Recombinant DNA/Microbial Pathogens approval line on the PRS. No work with plant, animal, or human pathogens may be initiated without prior approval of the IBC.

For more information see: <http://ibc.arizona.edu>

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Certifications and Approvals

CERTIFICATION/APPROVALS

By signing this Proposal Routing Sheet, the Principal Investigator, Co-Investigators, Department Heads, and Deans certify that:

1. The information presented on the Proposal Routing Sheet and in the application is true, complete, and accurate to the best of your knowledge. Any false, fictitious, or fraudulent statements or claims may subject you to criminal, civil, or administrative penalties.
2. This project is in conformance with The University of Arizona Conflict of Interest Policy. If a real or apparent conflict of interest exists, a Conflict of Interest Disclosure Form has been submitted to the Office of the Vice President for Research.
3. The principal investigator, co-investigators, or anyone involved in the sponsored activity is not presently debarred, proposed for debarment, suspended, declared ineligible, or voluntarily excluded from transactions by the federal department or agency.
4. If awarded, the principal investigator and co-investigators agree to accept responsibility for the fiscal and scientific conduct of the project and provide required progress reports in accordance with Federal law, State law, sponsor regulations, terms of the award, and University policy.
5. The principal investigator agrees to maintain a copy of the complete, original proposal, which may be accessed by the Vice President for Research.
6. F&A Revenue Distribution will be calculated by the method listed in the "F&A Allocation Box." Changes to the calculation method will require a fully-signed, original revised Proposal Routing Sheet.

The PI Signature: The PI has a great deal of responsibility for the project on behalf of the University of Arizona. The PI is charged with the primary responsibility of the project. The PI

is certifying that the application is accurate and factual. The PI is to be certain that all personnel working on the project are free of suspension and/or debarment. All human subjects, animal subjects, DNA, and radiation protocols must be approved before work is started on the project. The PI and all other investigators listed must file a declaration of financial interests with the Vice President for Research. The PI will operate the project in accordance with Federal law, State law, University policy and the terms and conditions of the sponsoring agency. The PI must keep a complete copy of the proposal that may be accessed by the Vice President for Research. The PI signature and CO-PI signature may not be designated. The signatures must be the actual signature of the PI and Co-PI. Stamped and clipped digital signatures are not allowed on the Proposal Routing Sheet.

The Department Head Signature: The Department Head certifies by signing the proposal that the PI is competent and capable of completing the proposed project. Also, the Department Head certifies that the space and resources are available to carry out the project and if the project is consistent with the mission of the department. The signature of the department head also approves any cost sharing or matching involved in the project, and the distribution of F&A listed on the Proposal Routing Sheet. The Department Head also certifies that the budget accurately reflects the Principal Investigators effort and institutional salary.

The Department Head may designate signature on the PRS. On proposals with reduced F&A, the Department Head must sign the proposal.

The Dean Signature: The Dean or Director of the college certifies the space and resources are available for the project, and that the department is capable of completing the aims of the project. The Dean is also approving any cost sharing or matching involved in the project, and the distribution of F&A listed on the Proposal Routing Sheet.

The Dean or Director of the college may delegate signature authority to the department head or to a designee. On proposals with reduced F&A, the dean must sign the proposal.

F&A Allocation Box

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| <p>F&A Allocation Box: Revenue Distribution Calculation Method:</p> <p><input type="checkbox"/> PRS % distribution (% distribution listed on the PRS will be used to calculate all F&A Allocation associated with the award, even if subaccounts are assigned) If you select PRS % distribution, F&A % distribution should add to 100%. If the column is left blank, 100% will be credited to the lead PI.</p> <p><input type="checkbox"/> Subaccounts (% distribution listed on the PRS will not be used to calculate F&A Allocation) If you select Subaccounts, the F&A distribution % will be "info only". The quarterly F&A Allocation will be based on actual subaccount activity/distribution</p> <p>F&A Revenue is distributed to colleges based on the scale at: http://www.sps.arizona.edu/forms/FA_SlidingScale.pdf</p> |
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PRS % Distribution: The percent on the PRS determines who receives what portion of the F&A Revenue. The column for F&A Revenue Distribution should add to 100%.

Subaccount: Expenditures on each of the subaccounts determine the amount of F&A revenue earned by each unit.

Principal Investigator Summary

| Principal Investigator Summary | | | | | | | |
|--------------------------------|--|--|----------|-------------------------------------|-----------------|--|------------------|
| EIN | (Last Name, First Name) Use the Tab key to move to the next | Have you filed a Report of Financial Interests* with the OVPR? | % Effort | Distribution of Credit for Award | | Distribution of F&A Revenue (See Above) | |
| | PI Name | | | Award Dept # | % Awd Credit | F&A Dept # | % F&A Distrib |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | | |
| | | | Total | | 100% | | 100% |

If Award Credit and/or F&A Cost columns are left blank, the PI and department listed on the first line will be credited at 100%.

*COI Policy, Report of Financial Interests, and other Forms: <http://www.vpr.arizona.edu/COI-forms>

| APPROVALS | | | |
|-----------|--------------|---------------------|----------------|
| PI Name | PI Signature | Dept Head Signature | Dean Signature |
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EIN: The PI and Co-PIs will use their University Employee Identification Number as it appears in PSOS.

PI Name: The PI and Co-PI must use the name that appears in PSOS. If the PI/Co-PI uses a shortened name or nickname, this should appear in parenthesis.

% Effort: Effort should not be confused with the percent of F&A allocation or percent of credit. Effort is expressed as a percentage that represents the PI and Co-PI time commitment to this project in relationship to the other commitments to the university. Other commitments to the university could be instruction, administration, public service or any other role. Effort column does not need to add to 100%. The PI and Co-PI must show a reasonable amount of time consistent with the scope of work and with the proposal submitted to the sponsoring agency.

Have you filed a Report of Financial Interests with the OVPR? Conflicts of Interest exist when an individual's personal financial relationships could influence the execution of his/her University responsibilities. Conflicts of Commitment exist when an individual's outside activities could interfere with the execution of his/her University responsibilities. Conflicts are not unethical or evidence of misconduct; rather, conflicts are situations that must be identified and managed to prevent damage to the individual, the research, and the institution.

When should an Employee report interests to the University?

- Submission of a new grant, contract or protocol;
- Addition of a new investigator on an existing grant, contract or protocol;
- Changes to an existing financial interest or commitment;
- Annually, no later than March 1st, to department or unit;
- Submission of any new subcontract or purchase order;
- Prior to entering into a new consulting relationship.

For more information see: **COI Policy, Report of Financial Interests, and other Forms:**
<http://www.vpr.arizona.edu/COI-forms>

Distribution of Credit for Award: The Vice President for Research uses this data for publications and other reports of awards. If the project has more than 1 investigator and/or department, credit for the award will be divided as recorded on the PRS. This column must add to 100%. If nothing is entered into this column, the percent award credit will go to the PI and department listed on the first line of the PRS.

Distribution of F&A Revenue: If the PRS % Distribution is selected, this will be the division of the F&A revenue. If the Subaccount Allocation method was selected, this column will be for information purposes only. Also, if this column is left blank, the person and department will receive 100% distribution. Changes to the percentages in this column with the PRS % Distribution selected, will require a fully signed original PRS. This column must add to 100%.

Approvals: The PI and Co-PI's must sign the PRS. The PI and Co-PI signature must be original signatures and not delegated. Stamped or digital clipped signatures will not be accepted. All signatures must be obtained on the same form. If there is not enough space for all PIs and Co-PIs then a second page 2 of the PRS must be used.

The Dean and Department Head may not delegate their signature on a reduced F&A proposal when a waiver is requested. Otherwise, a designated person may sign the PRS with approval from the Department Head and Dean.

| | |
|---|-------|
| Sponsored Projects Services Approval | Date: |
| Additional signature pages will only be accepted when the number of Investigators exceeds the signature space on this page. Each single signature page must include signatures for all Investigators, Department Heads, and Colleges. | |

Sponsored Projects Services Approval: By signing the Proposal Routing Sheet, Sponsored Projects Services certifies that the proposal budget has been reviewed, that the fringe benefit and indirect cost rates are correct, and that the budget cost categories are correctly presented. Sponsored Projects' signature on behalf of the Vice President for Research indicates that, pending successful completion of negotiations between the University and the sponsor, the University will assume institutional responsibility for the project.

Sponsored Projects does not review the technical aspects of a proposal.