Funding Proposal Creation Guide

Overview

This Training Guide is designed to walk users through the process of creating and developing a sponsored programs funding proposal in the Research UVA (RUVA) System.

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Introduction

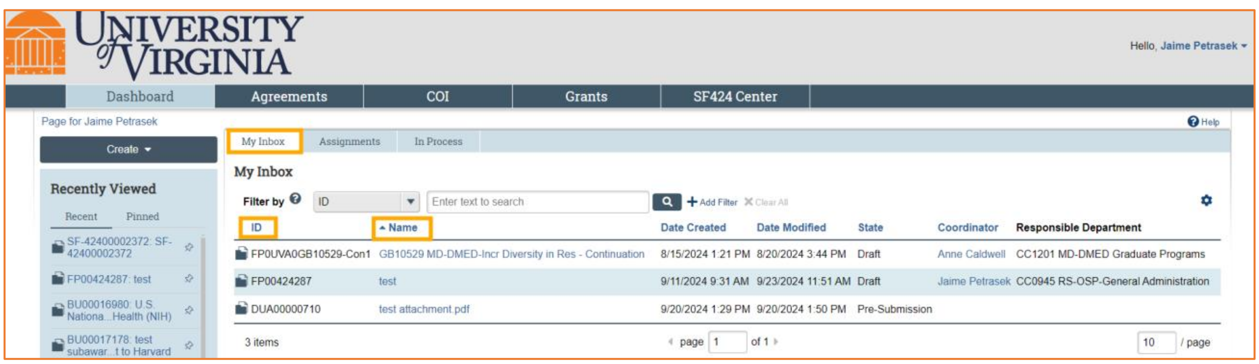
The Research UVA (RUVA) System is UVA's Electronic Research Administration (ERA) system used for creating, submitting, and tracking external sponsored program funding proposals. RUVA allows for full electronic proposal routing, in-system budget development, and supports system-to-system (S2S) submission to Grants.gov (including Grants.gov validation). In most cases, the S2S functionality eliminates the need for separate electronic sponsor portal submissions (such as Workspace or ASSIST). Additionally, RUVA allows for the management of awards, award modifications, contracts/agreements, and serves as the University COI management system. The data in RUVA can be pulled for use in institutional reporting, data dashboards, and more.

System Access

RUVA can be launched from the [RUVA home page](). Users will log on using SSO (single sign on), with their UVA computing ID and password.

System Navigation for Funding Proposals

Within RUVA, users can view and access the Grants module records they have permission to see and can locate or search for records on the *Dashboard* or *Grants Module* pages as shown below.



***Dashboard, My Inbox* page:** This page contains records from any of the RUVA modules (Grants and Agreements) that users are currently working on, or that may require an action. To access a record, click on the record **ID** or **Name.**

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

Proposal Creation Introduction

This guide will assist users in creating a funding proposal record in RUVA. At minimum, the RUVA record will consist of a completed Proposal Smart Form, a budget (to include additional budgets as necessary [cost share, subawards, collaborating departmental budgets, etc.]), appropriate and required proposal documents and attachments, a **completed and validated** SF424 submission package (if applicable, for eligible federal proposals submitted via Grants.gov), PI certification/departmental sign-off of the proposal, and any additionally required reviews or approvals. Authorized Officials in Central OSP and Signing/Submitting Schools will approve proposals for submission once their review is complete and any noted corrections have been made. SF424 submission packages will be submitted directly to sponsors via RUVA by the appropriate and assigned Authorized Officials.

Before creating the proposal record in RUVA, it's important to review the proposal guidelines in full and to gather any preliminary information that will inform the proposal submission process. Below are some common questions to consider. **If questions remain after review, contact either your assigned OSP Pre-Award Senior Administrator or your Signing/Submitting School Official(s).**

- Is UVA eligible to apply for and accept the funding should an award be made?
- Is the PI eligible to serve as a PI at UVA, and if not, have you sought an exception to the policy prior to beginning the proposal creation in RUVA?
    - Please review RES-011: Investigator Eligibility Requirements and Responsibilities Related to Sponsored Programs
- Should the funding proposal be created and routed through RUVA, or will the proposal be routed through Corporate and Foundation Relations?
- Does the submission require a pre-proposal or letter of intent? If so, the submission process may require additional steps or differ from the typical proposal submission process. Be sure to mark the record appropriately with this information and if applicable, work with your assigned AOR to define the multi-step submission process.
- Is the proposal a limited submission funding opportunity? Limited submission opportunities (LSOs) are those in which the sponsor has placed a restriction on the number of proposals, applications, or nominations that may be submitted from an institution. The UVA Office of the Vice President for Research (VPR) LSO webpage details the coordination of UVA's selection process for LSOs. Please review the website and contact the VPR Research Development Team for further details.
- Are you creating and submitting a brand-new proposal, or is the proposal considered a renewal (continuation), revision (supplement), or resubmission? This information is important as it will guide you where to start the proposal creation process within RUVA.
- Is the proposal being submitted via system-to-system (S2S)? UVA can submit many federal (NIH, DOD, DOE, etc.) opportunities directly from RUVA to the sponsor, via a process called system-to-system (S2S). **Whenever possible, the use of S2S is highly encouraged and is the most efficient and recommended practice.** For S2S submissions, users will create a funding proposal in RUVA and will also create a SF424 for submission in RUVA, instead of in the sponsor's standalone submission system. If not using S2S, users must create a proposal in RUVA AND in the sponsor's system. Detailed instructions on using RUVA to create a S2S SF424 package are located later in this guide. **Questions regarding this process should be directed to your assigned Signing Official in Central OSP or your submitting school.**
- If the proposal is not being submitted via S2S, how is the proposal being submitted to the sponsor once it is approved for submission and signed off by the appropriate AOR? For example, is the

proposal being submitted via email, directly to the sponsor contact by the PI? Is the proposal being submitted via a standalone sponsor submission system? Adding this information in the comments section can help the submission process go smoothly and efficiently.

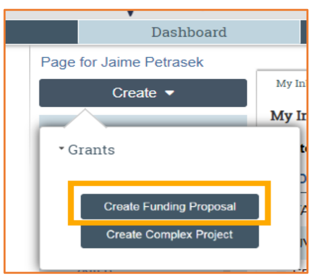
Once you've gathered the necessary preliminary proposal information, it's time to begin the proposal create process in RUVA.

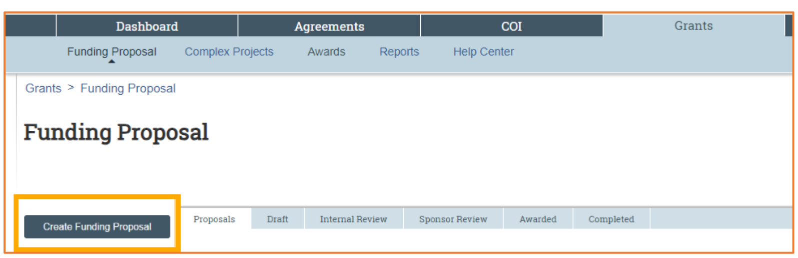
Creating a Funding Proposal

Follow the below step-by-step instructions to create a **new proposal.** These instructions outline the process of creating a funding proposal, completing the funding proposal SmartForm, budget pages, and SF424 form pages if applicable.

	If the proposal is not considered a NEW funding proposal, do not create a NEW funding proposal. **If you need to start a revision (supplement), renewal (continuation), or resubmission** for proposals that were already created, please first refer to the Revisions, Renewals and Resubmissions section of this manual.

On the *Dashboard* or *Grants Module* page, click the Create Funding Proposal button. **Currently, UVA is not using the "Create Complex Project" feature.**



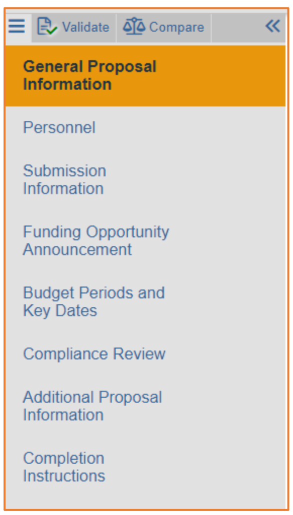


	Once you create a funding proposal, you will have a Funding Proposal Number (FP Number) associated with the record in RUVA. This FP Number will be used and referenced throughout the proposal, post-proposal, and eventual award process. Please make sure to use FP numbers when reaching out to OSP/submitting schools regarding questions about your Funding Proposal.

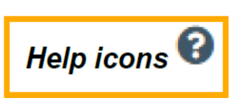
Completing the Funding Proposal SmartForm

Once the funding proposal has been created, the Proposal SmartForm must be completed. The Proposal SmartForm consists of several tabs (pages) that include questions and requests for information from the PI, study team, and administrators. It's important to note that the data put into the SmartForm is considered part of the system of record and that the data may be used to create institutional reports. By the time a proposal is complete and ready for submission, the data in the SmartForm should be considered final. If at any point in the process of creating the proposal you have questions about how to answer a question or fill in a data field, reach out to your **OSP Pre-Award Senior Administrator or your Signing/Submitting School Official(s).**

	When finished with each section of the smart form, click CONTINUE to navigate through the rest of the SmartForm. You can also click SAVE and return to the proposal later. **Clicking EXIT without saving may cause data to be lost.**



Once all the required (mandatory) information has been added to each Huron field in a tab, users can switch back and forth between sections of the SmartForm page by clicking the separated "tabs":

	The SmartForm in RUVA includes help text intended to aid the user answering the questions. Click on the Help icons throughout the SmartForm for additional background information, terms, and detailed instructions. 

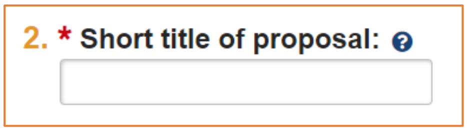
General Proposal Information Tab

The first tab of the Proposal SmartForm collects general proposal information.


General Proposal Information

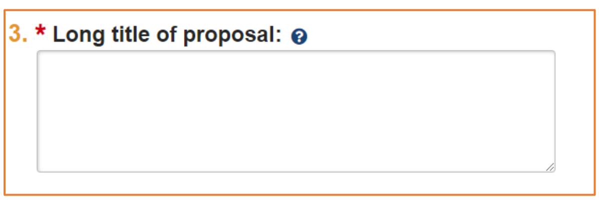
1. Type of application:
New
a. Is this award being transferred from another institution?
Yes No Clear

1. **Type of application:** Defaults to "new" for new proposals. **This cannot be changed.**
   1a. Defaults to NO, change to Yes if the award is being transferred from another institution.


2. * Short title of proposal:

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 the RUVA system, such as in the RUVA *Dashboard*, *Grants Module* page, and in reports. Example: *AS-CHEM-Studying Lasers*

It is possible that there are additional, specific rules regarding the Short Title if your proposal is being routed through one of UVA's approved Submitting Schools. Please make sure to check with your Submitting School leadership for additional requirements, and/or if you have any questions.


3. * Long title of proposal:

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

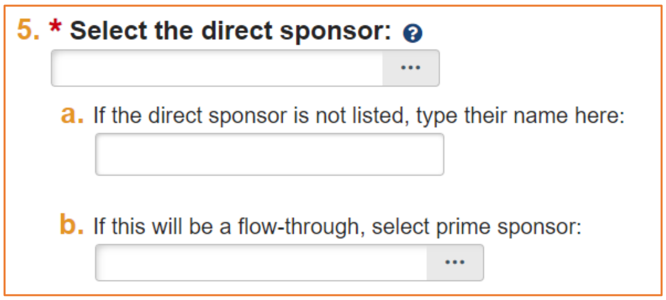

4. * Program director / Principal investigator / Project lead / Fellow:

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

For proposals with Multiple PIs, the PI listed here should be the Contact PI. Any Multiple PIs can be listed on the **Personnel** *tab. Keep in mind that personnel designated as a multiple PI will need to approve/certify the proposal via Ancillary Review.*

If the proposal is specifically for mentored research, enter the Fellow's name in

	Question 4. The mentor will be listed on the next proposal SmartForm page (Personnel). *If the PI is not found in the system, work with your HR business partner and Submitting School/OSP to have them added to the PI list. Keep in mind that per University Policy, PIs, investigators and key personnel participating in extramurally funded research must disclose certain "Significant Financial Interests" prior to submission of a proposal. More information can be found here: https://compliance.research.virginia.edu/about/conflict-interest-coi*



5. **Select the direct sponsor and if applicable, the prime sponsor:**
    a. Select the Direct Sponsor. The Direct Sponsor is the organization that is directly funding the project. Search thoroughly for the direct sponsor's name by using the wild card ("%") before part of the sponsor's name in the search box. **If the National Institutes of Health (NIH) is listed, be sure to update the Direct Sponsor name to specify exactly which NIH Institute or Center will fund the project if awarded.**
    b. If applicable, select the Prime Sponsor. Search thoroughly for the prime sponsor's name by using the wild card ("%") before part of the sponsor's name in the search box.

	The Direct sponsor is the legal entity from which UVA directly receives project funding. All sponsored projects have a Direct Sponsor. ***In some cases, a sponsored project may have a Direct Sponsor and a Prime Sponsor.*** If UVA is a subrecipient on a funding proposal for the organization listed in Question 5, the prime sponsor must be listed as a response to Question 5b. For example, this field should be entered for a proposal when NSF grants funding to Stanford and Stanford subcontracts to UVA. In this case, Stanford would be the direct sponsor (5a) and NSF would be the Prime Sponsor (5b). Remember that for National Institutes of Health (NIH) proposals, UVA must be able to run reports based on the specific NIH Institutes and/or Centers from which we are proposing funds. **Be sure to update the Direct Sponsor name to specify which NIH Institute or Center will fund the project if awarded.**

Adding New Sponsors to RUVA

It is possible that the sponsor you are working with has not yet been added to the RUVA database. The OVPR Info Team, in conjunction with the Office of Research Security (ORS), must vet and add new sponsors to RUVA before the funding proposal may be finalized. The vetting process includes a research security review and assessment for potential risks involving sensitive technology transfer, export controls, malign foreign talent programs, sanctions, violation of the CHIPS Act, etc.

If during the review it is determined that additional information is needed, the Info Team/ORS will reach out to proposal creators and/or study teams directly. After the vetting process is complete, the Info Team will add the sponsor to RUVA and inform proposal creators via the ticket that the sponsor has been created and is available for selection in RUVA.

Note: After adding the new entity to RUVA, you may see the Research Security warning on the Workspace. Since the new sponsor was vetted just prior to being created in RUVA, no further action is needed; the warning can be disregarded.

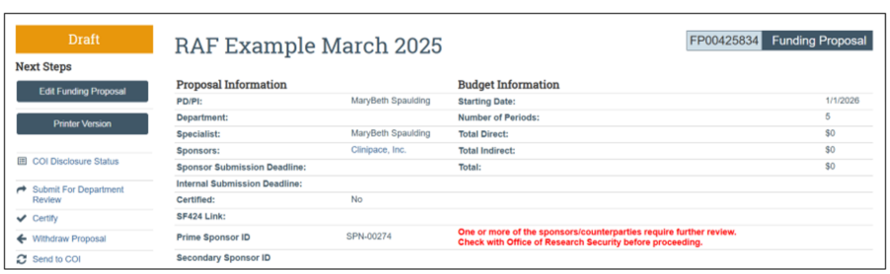
If the sponsor's name is missing from the RUVA database, follow the additional steps below:

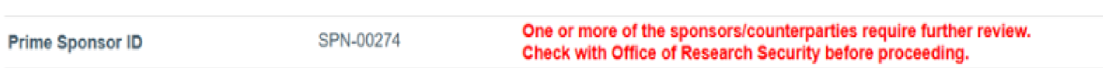
1. Email the Info Team at osp-infoteam@virginia.edu to set up a new sponsor in RUVA, including all pertinent contact information, names, and links as applicable. Include the FP number and proposal due date in the email.
2. Continue filling out the SmartForm by entering “TBD” in Question 5 and typing the sponsor's name in Question 5a. If applicable, select the Prime Sponsor in Question 5b. If the prime sponsor is ALSO missing from the RUVA database, be sure to repeat these steps to add the prime sponsor’s name to RUVA.
3. After the Info Team informs you that the new sponsor has been vetted and added to RUVA, return to this page, change “TBD” in box 5 to the name of the sponsor, and remove the name of the sponsor from box 5a. **This should be updated prior to submitting the proposal for review.**

Huron Patch Update

Research Security Warning Message:

After adding an *existing* entity into the counterparty, direct, or prime sponsor fields in RUVA, a Research Security warning may appear on the record’s Workspace.



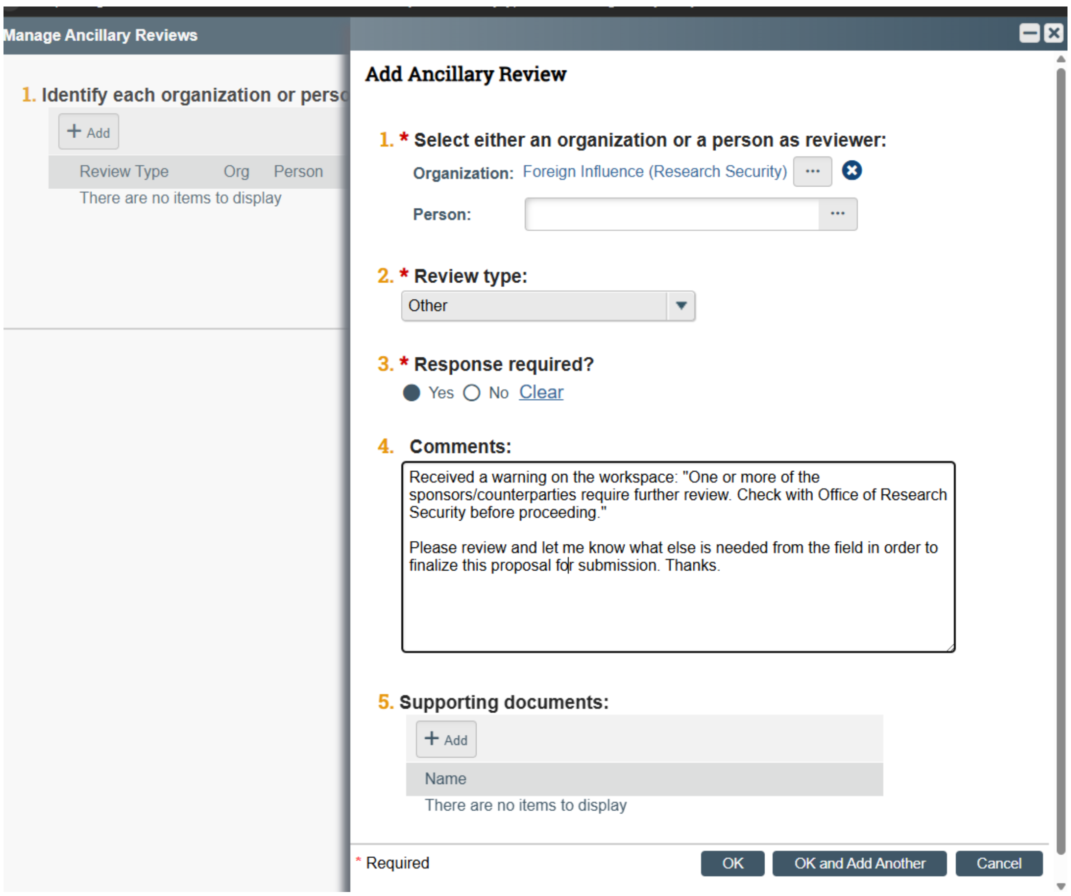


The warning will appear when the entity has been flagged during the research security review process. **This warning will show on all RUVA records (agreement, agreement amendment, proposal, award, award modification, etc.).**

In cases where the warning appears, additional review and guidance needs to be provided by the Office of Research Security **PRIOR to proposal finalization and submission.** The additional review process must be initiated by **creating an Ancillary Review that will notify ORS.**

The ancillary review must include the following details:

1. Select Foreign Influence (Research Security) as the organization
2. Choose “Other” as the Review Type
3. Mark “Yes” for Response Required
4. Include a comment about the warning message



<u>The proposal may not be submitted or finalized until ORS has reviewed and completed the Ancillary Review.</u>

Questions about adding a new sponsor or the Research Security Warning shuld be directed to the OVPR Info Team at osp-infoteam@virginia.edu.

6. Instrument type:
- ◯ Grant
- ◯ Contract
- ◯ Cooperative Agreement
- ◯ Other Transaction Authority (OTA)

Clear

6. **Instrument type:** Select the appropriate instrument for the proposal (Grant, Contract, Cooperative Agreement, or Other Transaction Authority (OTA).

   - **Grant:** A grant is unilateral financial assistance award that provides funding to a recipient to serve the public good through support of basic science research, public services, and stimulation of the economy.
   - **Contract:** A contract is a negotiated, bilateral agreement between two or more parties that outlines the terms and conditions for conducting a sponsored project, detailing the obligations, deliverables, timelines, and rights of each party to the contract. In the federal context, a federal contract refers to the procurement of goods and services for the benefit of the federal government.
   - **Cooperative Agreement:** A cooperative agreement is a type of federal financial assistance that closely mirrors a grant, except that the federal sponsor is substantially involved in the performance of the project.
   - **Other Transaction Authority (OTA):** An OTA is a bilateral agreement between the federal government and a non-federal entity that facilitates a streamlined negotiation process between the private sector and the government. It's a unique type of award that's not a grant, contract, or cooperative agreement. OTAs are used for research and development, prototype development, and other projects.

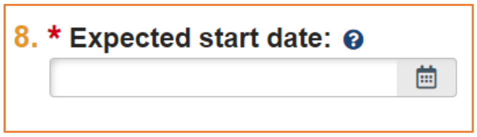
7. * Primary purpose of this project:
- ◯ Research On-Grounds
- ◯ Research Off-Grounds
- ◯ Instruction On-Grounds
- ◯ Instruction Off-Grounds
- ◯ Other Sponsored Activity On-Grounds
- ◯ Other Sponsored Activity Off-Grounds
- ◯ Industry-Funded Clinical Trial
- ◯ DHHS Institutional Training Grants

Clear

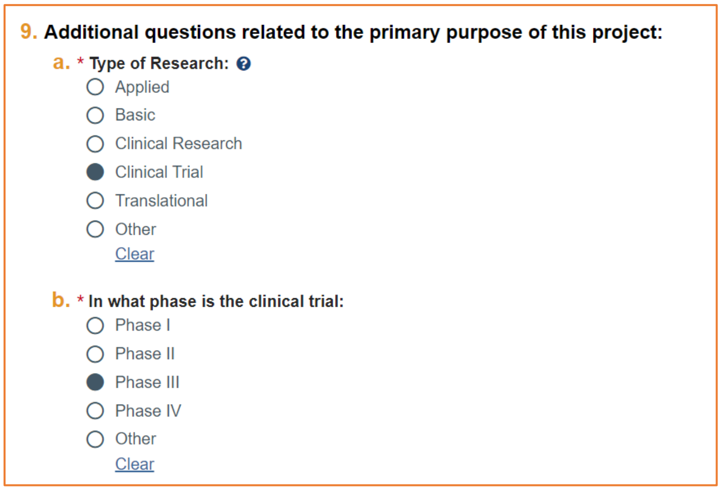
7. **Primary Purpose of this project:** Select the primary purpose of the project. Based on the answer to this question, a new Question 9 may appear on the form. **The various purpose types are defined in the help icon section of the SmartForm.**

	Reminder that the SmartForm in RUVA includes help text intended to aid the user answering the SmartForm questions. Click on the Help icons throughout the SmartForm for additional background information, terms, and detailed instructions.

	Help icons


8. * Expected start date:

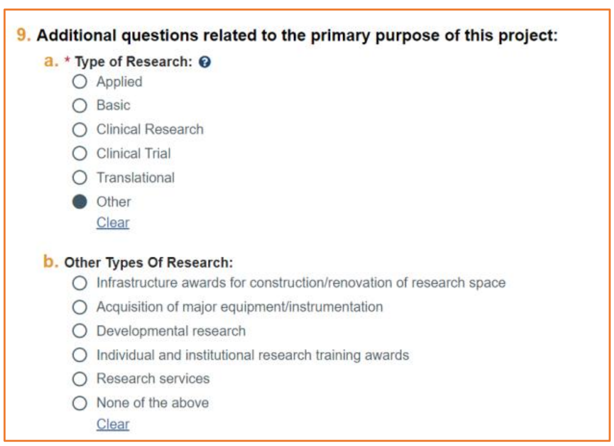
8. **Expected start date:** Enter the actual expected start date of the project.


9. Additional questions related to the primary purpose of this project:
a. * Type of Research:
- Applied
- Basic
- Clinical Research
- Clinical Trial
- Translational
- Other

Clear

b. * In what phase is the clinical trial:
- Phase I
- Phase II
- Phase III
- Phase IV
- Other

Clear


9. Additional questions related to the primary purpose of this project:
a. * Type of Research:
- Applied
- Basic
- Clinical Research
- Clinical Trial
- Translational
- Other

Clear

b. Other Types Of Research:
- Infrastructure awards for construction/renovation of research space
- Acquisition of major equipment/instrumentation
- Developmental research
- Individual and institutional research training awards
- Research services
- None of the above

Clear

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.

	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 (Major Goals) will instead appear as Question 9.

10. Major Goals (For Use with Current and Pending Support):

10. **Major Goals (For Use with Current and Pending Support):** Provide a brief statement of the overall objectives of the project, subproject, or consortium/contractual arrangement or a description of the activity, otherwise known as the Major Goals. *The goals listed here will populate the entry for this project on the Current and Pending Support report.*

The Major Goals section is not currently a mandatory field within Huron; however, it is required to be populated by some of UVA's assigned submitting schools. Please check in with your Signing/Submitting School Official(s) should you have questions about this field. Further information about Current and Pending Support can be found here.

11. Is the proposal either of the following:

- ○ Pre-proposal
- ○ Letter of Intent

Clear

11. **Is the proposal either a Pre-proposal or a Letter of Intent:** If yes to either option, the submission finalization may differ from the standard process. Be sure to mark the record appropriately with this information, and if applicable, work with your assigned AOR to define the multi-step submission process.

Reminder*: This question may appear as Question 10 depending on the answer to Question 7. See the above note for more details.*

Information: Pre-Proposal/Letter of Intent (LOI)

A Pre-Proposal, sometimes called a Letter of Intent (LOI), is a condensed version of a proposal which sponsors will use to determine if a PI should submit a full proposal. Pre-Proposals/LOIs should be entered into RUVA, particularly if they require approval from central OSP or your assigned Signing/Submitting School Official(s). If a Pre-Proposal/LOI does not require a budget, then the budget may be left at $0.

Pre-Proposals/LOIs will be assigned an FP number and will be treated just like a typical proposal. However, if the sponsor invites the PI to submit a full proposal, a brand-new FP with its own FP number should be created and the proposal creator should use the Manage Relationships activity to relate the pre-proposal to the full proposal.

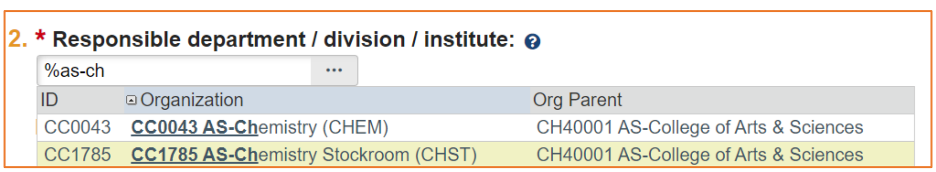
	Further questions regarding the practices around submitting a Pre-Proposal/LOI should be directed to your Signing/Submitting School Administrator or the OSP Pre-Award Senior Administrator assigned to your department/school/center.

Personnel Tab

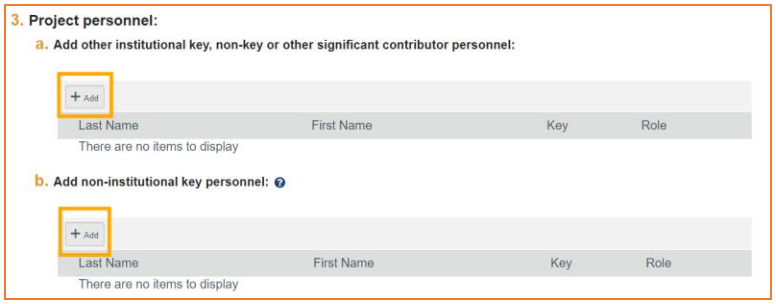
1. **Program director/Principal Investigator/Project lead/Fellow:** This field defaults to the name selected previously on the ***General Proposal Information Tab.*** For NIH fellowships that will be submitted, this person is the student (fellow).

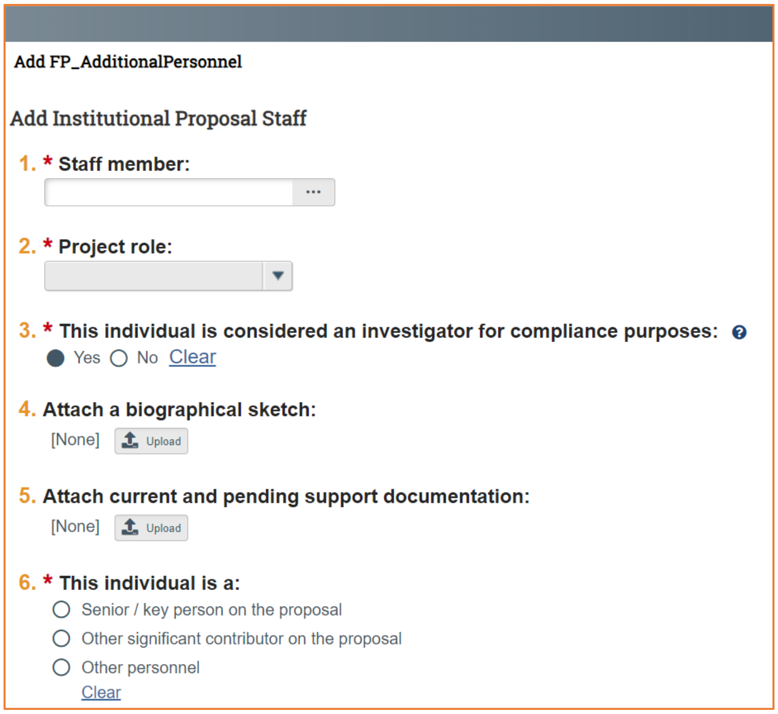
   In field 1a., enter the mentor (faculty member). Note that the mentor will be considered the PI on the award.

   For questions 1b and 1c, upload a Biosketch and an Other Support document as required by the funding opportunity announcement. Note that for S2S submissions, this information should map to the SF424.



2. **Responsible department/division/institute:** This field will default to the PI's department and may be updated, if needed. As applicable, search for (using the wildcard %) the responsible/submitting department and enter the department or program that will manage the proposal or award.





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. Project personnel entered in this section, **including TBD personnel**, will map to the Budget SmartForm.

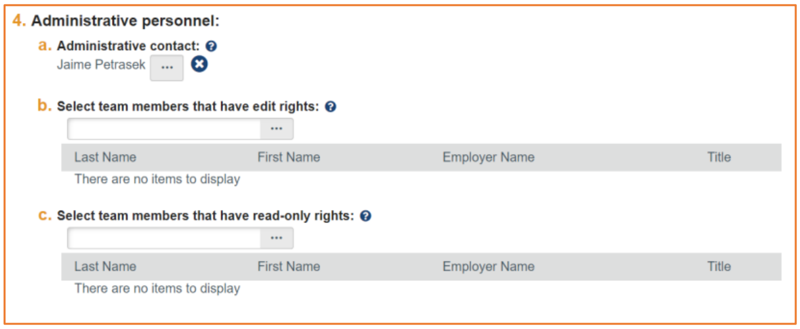
UVA Key Personnel and UVA personnel considered investigators for compliance purposes **are required** to have an up-do-date annual UVA FCOI disclosure on file via RUVA before a funding proposal can be approved for submission.

Per University Policy, PIs, investigators and key personnel participating in extramurally funded research must disclose certain “Significant Financial Interests” prior to submission of a proposal. More information can be found here: https://compliance.research.virginia.edu/about/conflict-interest-coi

Specific instructions for completing a Disclosure Profile in RUVA are located here.

Policy information can be found here: UVA RES-005: Financial Conflicts of Interest for Research Investigators

	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:
a. Administrative contact:
Jaime Petrasek ...
b. Select team members that have edit rights:
...

Last Name	First Name	Employer Name	Title
There are no items to display			

c. Select team members that have read-only rights:
...

Last Name	First Name	Employer Name	Title
There are no items to display			

4. Administrative Personnel –
    a. **This field should not be blank.** The proposal creator defaults as the administrative contact. You may correct the administrative contact in Question 4a if needed. 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.
    b. Proposal Editors: Editors are institutional personnel who can view and edit the proposal. Enter any individuals who may need edit access to the proposal.
    c. Proposal Readers: Enter any individuals who may need read only access to the proposal.

	If you are collaborating with other units, schools, and departments across grounds, it is best practice to grant edit access to those administrators.

Submission Information Tab

The information requested on this tab will differ based on the type of sponsor: federal, flow-through, or other non-federal. The sponsor type information is auto populated based on the answer to question 5 on the General Proposal Information tab.

For a Non-Federal Proposal:


Submission Information

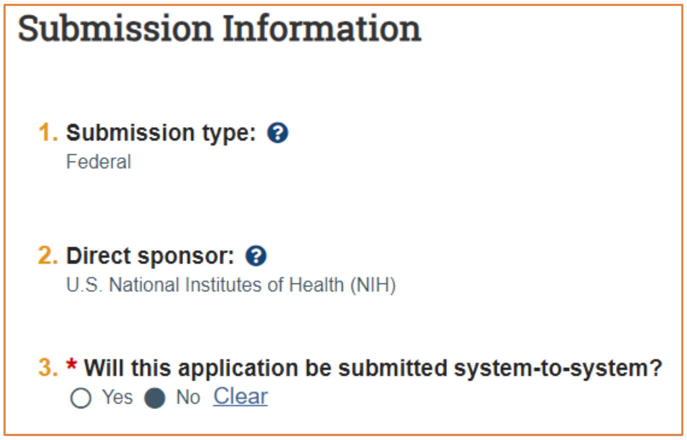
1. Submission type:
State

2. Direct sponsor:
Virginia Department of Health (VDH)

1. **Submission Type:** Defaults based on sponsor information
2. **Direct Sponsor:** Defaults based on sponsor entered in General Proposal Information.

For a Federal Proposal:

For federal proposals, the Submission Information page is where you will determine whether the proposal application is being submitted S2S. S2S applications are supported for many Grants.gov proposal submission opportunities.


Submission Information

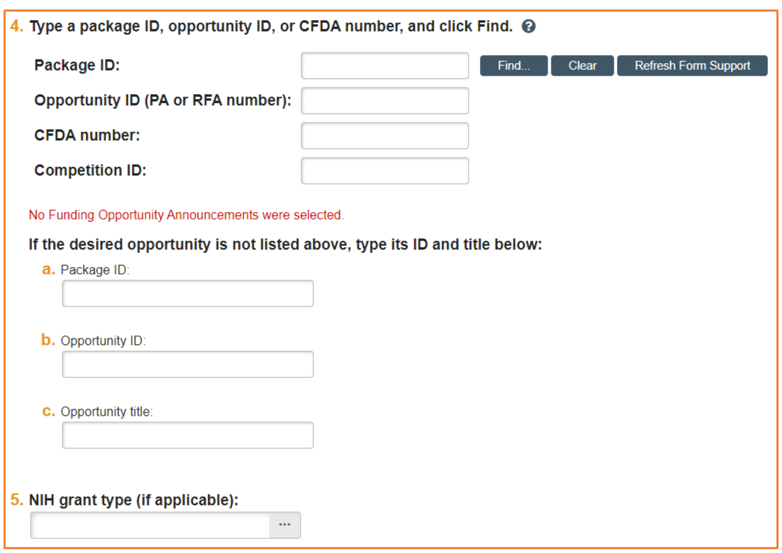
1. Submission type:
Federal

2. Direct sponsor:
U.S. National Institutes of Health (NIH)

3. * Will this application be submitted system-to-system?
Yes No Clear

1. **Submission Type:** Defaults based on sponsor information
2. **Direct Sponsor:** Defaults based on sponsor entered in General Proposal Information.
3. **Will this application be submitted system-to-system?** Defaults to NO. Select yes or no.

If the answer to question 3 is NO and the federal application is NOT being submitted S2S:


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:

No Funding Opportunity Announcements were selected.

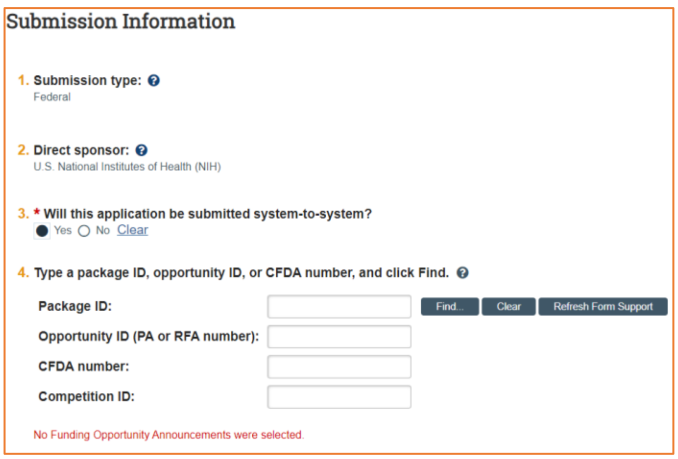
If the desired opportunity is not listed above, type its ID and title below:
a. Package ID:
b. Opportunity ID:
c. Opportunity title:

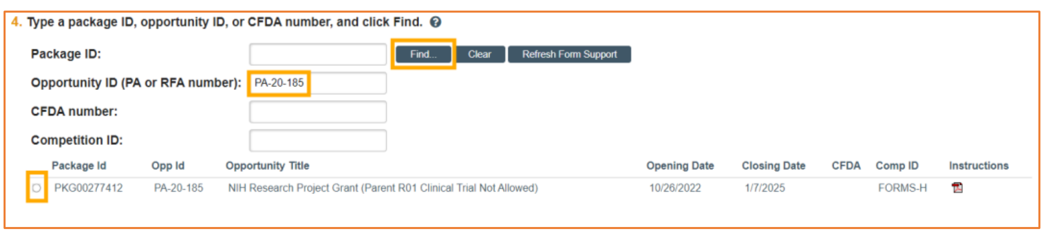
5. NIH grant type (if applicable):

4. **Package ID, Opportunity ID, or CFDA:** Search for the funding opportunity in 4 using the Opportunity ID or go directly to **4b.** Enter **Opportunity ID (4b) and opportunity Title (4c)** if available.
5. **NIH grant type:** Select type using the ellipsis if this proposal is funded by NIH.

6. **Add any general submission documents:** While Huron users can use this section to attach proposal documents and attachments, it is not recommended. The preferred section to add attachments is via the "Add Attachments" activity. Instructions can be found later in this guide under "Additional Proposal Activities – Adding Attachments".

	If the answer to question 3 is NO and the federal application is NOT being submitted S2S, please proceed to the next section of this guide titled "Budget Periods and Key Dates tab". If the answer to question 3 is YES and the federal application IS to be submitted via S2S, proceed as instructed directly below this callout box.





After answering YES to question 3, 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 tab of the SmartForm.

	<u>NIH Proposal Note:</u> When substantial changes are made in NIH applications, NIH updates the form version and requires all applicants to use the updated forms and instructions (referred to as an application package) to ensure a fair review. NIH indicates the form version (e.g., FORMS-H, FORMS-I) in the Competition ID field of the application package. The Competition Title, which often accompanies the

	Competition ID, provides guidance to help users choose the appropriate application package (e.g., Use for due dates on or after January 25, 2025). To learn more about identifying the form version of an application package see Do I Have the Right Form Version For My Application?

Funding Opportunity Announcement Tab

The Funding Opportunity Announcement SmartForm tab will only appear for S2S submissions where the opportunity has been selected on the previous Submission Information SmartForm tab. 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 and can be submitted to Grants.gov.

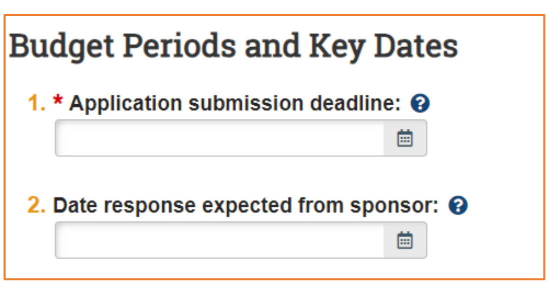
If an optional form is not supported and you were not planning to include that form in your proposal, you may still proceed with S2S submission. However, if a mandatory form is not supported, or if an optional form you need to submit is not supported, then the application may not be submitted S2S.

	If this page displays a message that the forms are not supported and therefore the application cannot be submitted via S2S, but all required forms and any optional forms you want to include display as “yes” in the “supported” column, return to the Submission Information SmartForm tab and click on the “Refresh Forms Support” button. Then, navigate back to this SmartForm page and the error message should be cleared. If the error message is not cleared, contact your Submitting School’s PreAward staff or OSP Pre-Award Senior Administrator for help navigating to the RUVA SF424 Center to see if the funding opportunity can be manually downloaded and used for SF424 creation and submission.

Click the link under Question 8 for the specific funding opportunity instructions you will need to manually create and edit the SF424 package.

	Proposal guidelines vary between sponsors and even within funding agencies, depending on each specific Funding Opportunity Announcement (FOA). Reviewing the specific sponsor guidelines and using the sponsor’s grants.gov and SF424 guides to create and build your proposal is key for a successful submission.

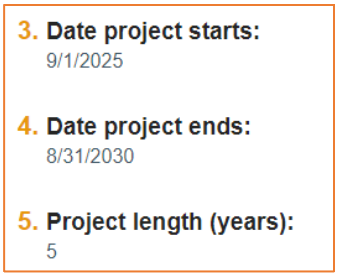
Budget Periods and Key Dates Tab



1. **Application submission deadline:** Enter the date the proposal is due to the sponsor. For incoming subaward/consortium proposals, enter the date the application submission is due to the direct sponsor (Pass-Through Entity). If there is no deadline, enter the date you would like to have the

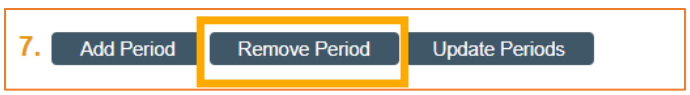
proposal review and approval completed by, keeping in mind that the deadline type should be considered a **TARGET deadline.**

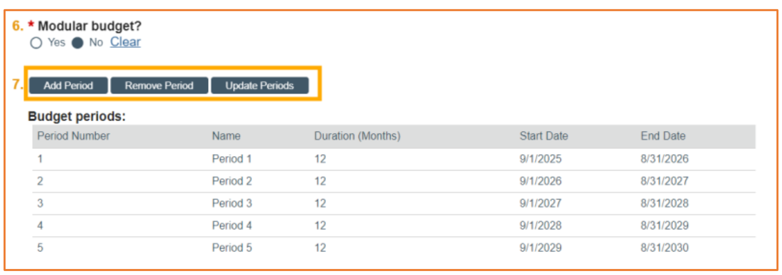
2. **Date response expected from sponsor:** Enter the date a sponsor response is expected. If unknown, leave the field blank.



3. **Date projects starts:** Displays the start date entered on the General Proposal Information tab.
4. **Date project ends:** End date displayed is based off the End Date of the last budget period; RUVA defaults to a 5-year project/budget period and can be changed; see below for instructions.
5. **Project Length (years):** Number of years displayed based on the budget periods. RUVA auto defaults to a 5-year project/budget period. You can edit the budget periods to update the duration.

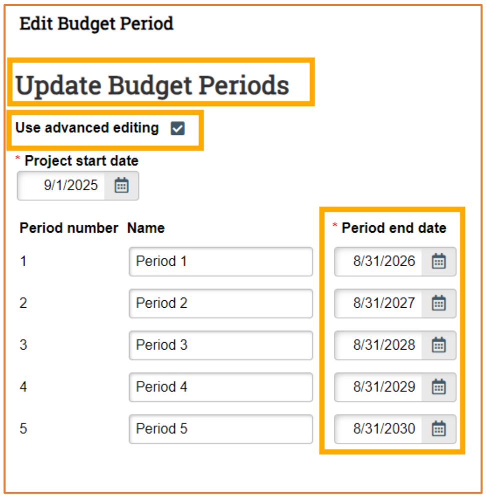
RUVA auto defaults to a 5-year project/budget period. You can edit the project end date by removing budget periods in question 7.





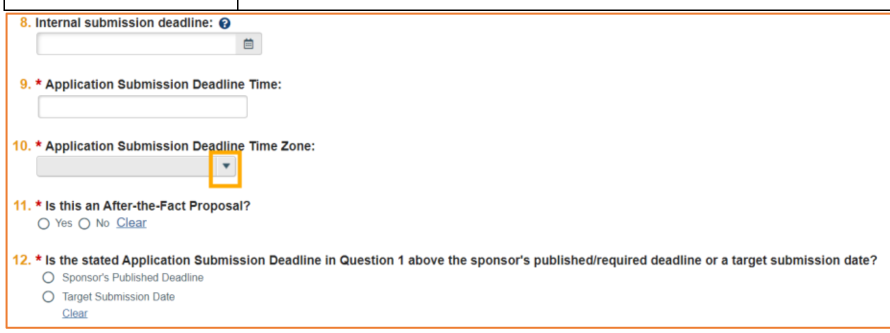
Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12	9/1/2025	8/31/2026
2	Period 2	12	9/1/2026	8/31/2027
3	Period 3	12	9/1/2027	8/31/2028
4	Period 4	12	9/1/2028	8/31/2029
5	Period 5	12	9/1/2029	8/31/2030

6. **Modular budget:** Select Yes or No as appropriate based on the sponsor guidelines. [Modular budgets are available for specific NIH application types](#).
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.**



Within the Update Periods window, click the Use advanced editing checkbox to enter specific period end dates (as opposed to a specific number of months). Click OK once complete or Cancel to abandon this optional section.

Keep in mind that Huron budgeting works best when using standard, 12-month budget periods. If you are creating non-standard budget periods make sure to double-check your figures once budgeted to ensure the dollar amounts are correct.



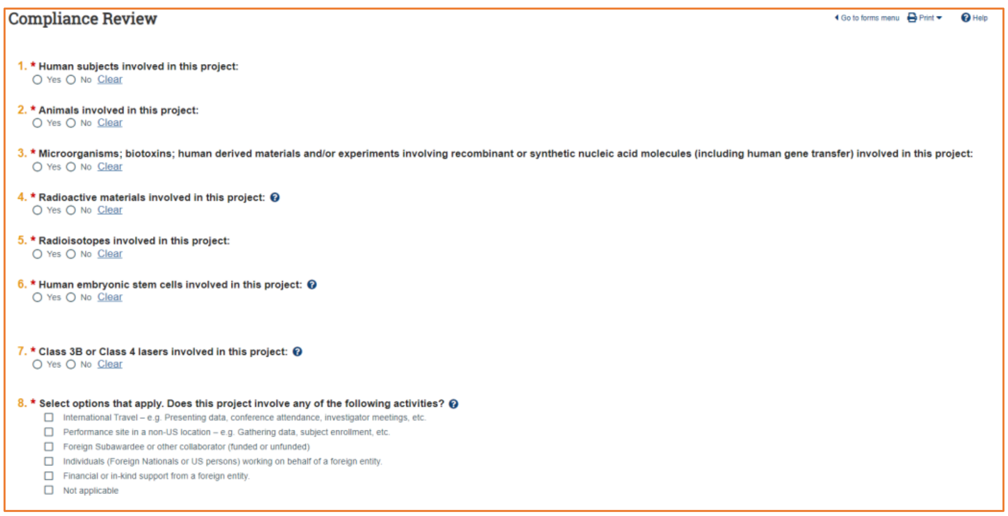
8. **Internal submission deadline:** Enter the appropriate internal submission deadline based on your Departmental or Submitting School's policy. The date entered here is used to calculate the "Internal Submission Deadline" date displayed on the Proposal Workspace.
9. **Application Submission Deadline Time:** Enter the exact time the proposal is due, including an indication of AM or PM. Because some sponsors have proposal timelines that differ from the standard deadline time of 5:00PM EST, it is vital that this question is answered correctly by the person creating the record in RUVA. If the proposal is due in the evening after typical business hours, please mark 5:00PM EST as the proposal deadline time.
10. **Application Submission Deadline Time Zone:** Use the dropdown to select the correct Time Zone.
11. **Is this an After-the-Fact Proposal?** Choose Yes or No. Questions regarding the practices around submitting an After-the-Fact Proposal should be directed to your Signing/Submitting School Administrator or the OSP Pre-Award Senior Administrator assigned to your department/school/center.
12. **Is the stated Application Submission Deadline in Question 1 above the sponsor's published/required deadline or a target submission date?** Choose Sponsor's Published Deadline or Target Submission Date.

	If the sponsor does not have a formal deadline date, or if the PI wishes for the proposal to be submitted before the sponsor's published deadline, a target submission date may be entered in Question 1. If a Target (preferred) Submission date was entered in Question 1, please mark this section as Target Submission date.

Compliance Review Tab

	Answering the compliance questions correctly is an important part of proposal creation and eventual submission. **PIs, Investigators, and the Study Team should be able to assist in answering the compliance questions, and its best practice to involve them in this process.** Reading the science and budget documents to get a feel for the scope of work may help inform these conversations.

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.



9. * Select options that apply. Does the sponsor's documentation contain the following terms?

- ☐ Participation of foreign persons/non-US citizens on this project is prohibited or restricted
- ☐ 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
- ☐ Not applicable

Describe:

10. * Select options that apply. Does the sponsor's scope of work or other documentation define the project as export controlled, or refer to:

- ☐ Export Administration Regulations (EAR)
- ☐ International Traffic in Arms Regulations (ITAR)
- ☐ Controlled Unclassified Information (CUI), Controlled Technical Information (CTI) or Covered Defense Information (CDI)
- ☐ U.S. Government Classified Information (any level)
- ☐ Other U.S. Government export regulation or limited access framework
- ☐ Not applicable

Describe:

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

- ☐ International Shipping – e.g. Sending equipment, materials, samples, supplies, etc. to a foreign location
- ☐ Providing access to or transferring "technology" or "technical data" to a foreign national or entity, in the U.S. or abroad
- ☐ Providing a "defense service" or "nuclear assistance" to a foreign entity
- ☐ Interacting with an individual or entity in a "comprehensively sanctioned country/region"
- ☐ Not applicable

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

○ Yes ○ No Clear

13. Type any additional compliance information that might be useful for this review:

Exit Save Continue

Additional Proposal Information Tab

Additional Proposal Information

1. * Applicant institution:

The Rector & Visitors of the University of Virginia ...

a. Select additional project or performance locations (other than subaward performance locations):

Name
There are no items to display

2. Will there be program income?

○ Yes ○ No Clear

3. Select resources required for this proposal:

- ☐ Use of Research Computing (e.g. Rivanna, Ivy, Ivy-CUI)
- ☐ Construction, renovation or space not under the control of the responsible department

4. * Abstract:

a. * If this proposal is awarded, I give permission for this abstract to be searchable by UVA faculty and staff:

○ Yes ○ No Clear

5. * Is this a limited submission opportunity?

○ Yes ○ No Clear

1. **Applicant Institution:** The Rector & Visitors of the University of Virginia is selected by default. This should be edited to reflect a submission by UVA Wise if UVA Wise is the submitting school. **Disregard Question 1a.: Do not complete.**
2. **Will there be program income?** Please choose Yes or No after reviewing the help text.

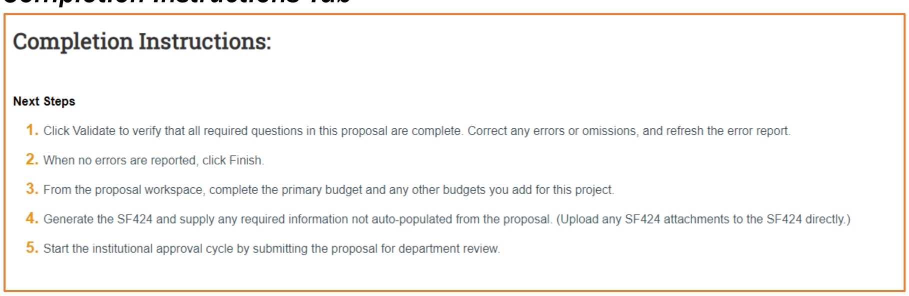
Program income is gross income generated directly by a grant-supported activity, or earned in consequence of the award, whether by a grantee, a consortium participant, or a contractor hired under the grant. If Program income is expected, please upload an attachment that provides OSP with the details.

More information on the OSP Procedure around Program Income can be found here: https://osp.research.virginia.edu/resources/osp-procedures/program-income-sponsored-programs

3. **Select the 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.
5. **Is this a limited submission opportunity?** Choose Yes or No. If yes, upload required documentation of approval to submit.

Prior Approval to submit a proposal that is a Limited Submission Opportunity is <u>REQUIRED</u>. Funding Opportunity Announcements should be carefully reviewed to ensure approval is sought and granted before creating a proposal in RUVA. Approval(s) should be uploaded to the RUVA proposal prior to finalizing and submitting for review.

Completion Instructions Tab


Completion Instructions:

Next Steps

1. Click Validate to verify that all required questions in this proposal are complete. Correct any errors or omissions, and refresh the error report.
2. When no errors are reported, click Finish.
3. From the proposal workspace, complete the primary budget and any other budgets you add for this project.
4. Generate the SF424 and supply any required information not auto-populated from the proposal. (Upload any SF424 attachments to the SF424 directly.)
5. Start the institutional approval cycle by submitting the proposal for department review.

The Completion Instructions provide guidance on what to do after you have completed the SmartForm, including how to validate that all required questions are completed. Review the instructions and click Finish when complete. You are now returned to the Proposal Workspace.

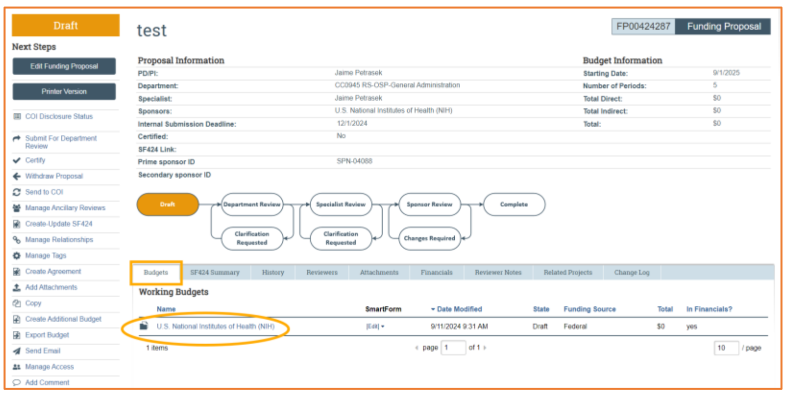
Clicking Finish does not submit your proposal to your School's Pre-Award office or OSP. This allows for additional edits and/or actions to occur prior to the proposal submission (e.g., completing the budget, creating/updating the SF424, etc.).

Completing the Funding Proposal Budget

After the proposal has been created and the FP SmartForm has been completed, it's time to build the FP proposal budget SmartForm.

It is possible that there are additional, specific rules regarding budget building if your proposal is being routed through one of UVA's approved Submitting Schools. Please make sure to check with your Submitting School leadership for additional requirements around budgeting, such as: the use of internal budget forms, inflation, required personnel effort, salary escalation, etc.

Within the main budget, you'll be able to create additional budgets as necessary (subaward budgets, cost share budgets, collaborating unit budgets, etc.). Follow the steps below to complete a budget:



Navigate to the Proposal Workspace. ***You will automatically be brought to the Workspace when you click Finish on the Proposal SmartForm.***

On the Proposal Workspace, under the Budgets tab, click the budget name to display the Budget Workspace.

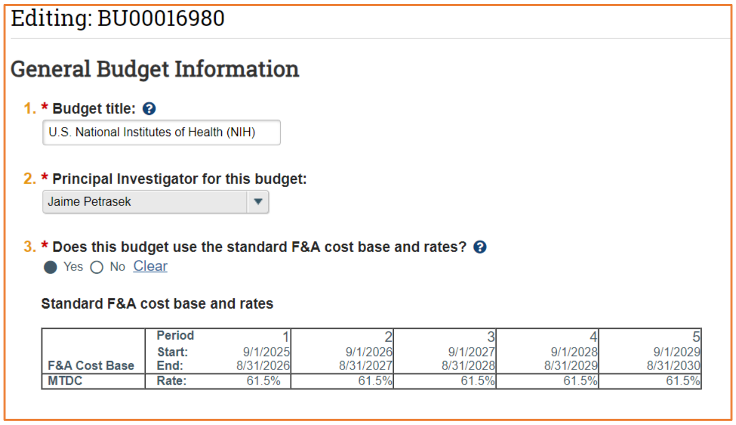
On the Budget Workspace, click the Edit Budget button.

Complete the Budget SmartForm tabs. When finished with each section, click Continue to navigate through the rest of the SmartForm pages. Click Save if you'd like to return to the budget at another time.

The Budget SmartForm in RUVA includes help text intended to aid the user answering the questions. Click on the Help icons throughout the Budget SmartForm for additional background information, terms, and detailed instructions.

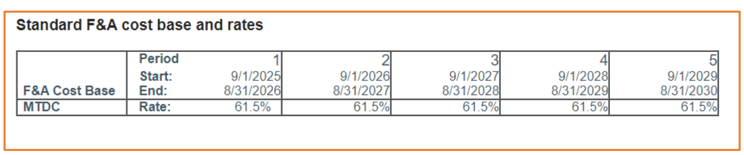
	Help icons

General Budget Information Tab

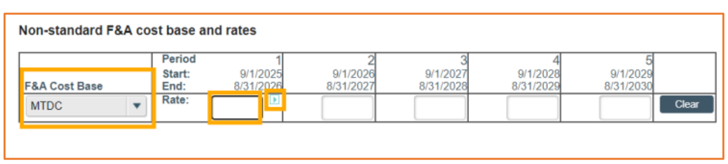


1. **Budget title:** Edit the display name of the budget to better identify the sponsor or the budget's content if necessary. (Example: an internal subproject title should be edited to reflect the receiving department name.)
2. **Principal Investigator for this budget:** This drop-down list contains 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, instrument type, purpose of the project, and budget period dates.

If the answer to question 3 is YES, the Standard F&A cost base and rate displays in the table; see below:



If the answer to question 3 is NO, a second Non-standard F&A cost base and rates table will appear so users can specify a different cost rate (if appropriate and allowable):



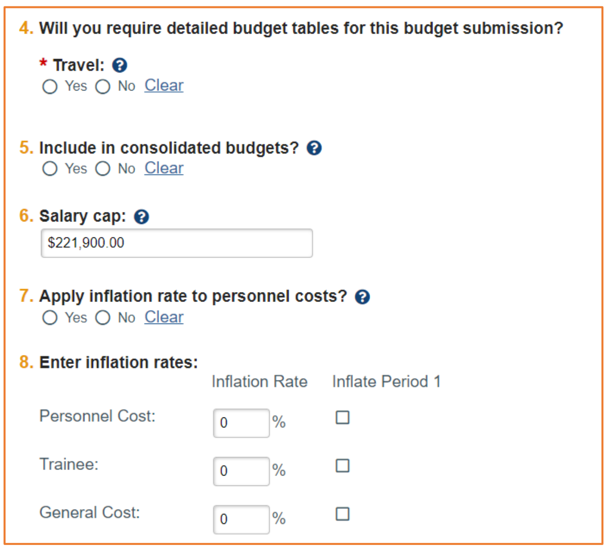
When entering rates, enter the value in the first field and use the small blue arrow to duplicate the value across all budget periods. Select TDC or MTDC as the F&A cost base.

- **TDC – Total Direct Cost:** The base to which F&A (indirect cost) rates are applied without any exclusions. [applicable to any non-federal project for which the sponsor has no published F&A rate policy]

- **MTDC – Modified Total Direct Cost:** The federally-mandated base to which F&A (indirect cost) rates are applied that excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of $25,000. [applicable only to federal or federal flow-through projects]

While additional F&A cost base options appear in the system for selection, only TDC and MTDC should be selected for a proposal budget.

RUVA 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?

* Travel:
Yes No Clear

5. Include in consolidated budgets?
Yes No Clear

6. Salary cap:
$221,900.00

7. Apply inflation rate to personnel costs?
Yes No Clear

8. Enter inflation rates:

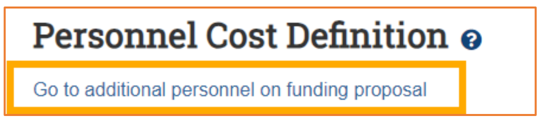
	Inflation Rate	Inflate Period 1
Personnel Cost:	0 %	☐
Trainee:	0 %	☐
General Cost:	0 %	☐

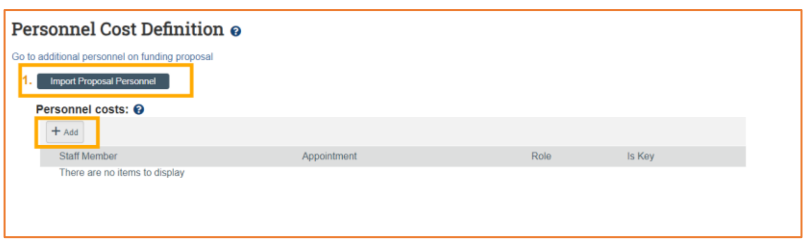
4. **Will you require detailed budget tables for this budget submission?** Click Yes if you need a detailed Travel budget (type of trip, # of trips, # of people). Click No if you will enter Travel costs as a line item on the General Costs page.
5. **Include in consolidated budgets?** This question is asked because some projects contain multiple separate budgets that make up one total project budget. These separate budgets may be created to account for cost share, a subaward to an outside institution, a budget to a collaborating center/department/school at UVA, etc. The totals of all budgets (except cost share budgets) get rolled up into one total per cost type on the SF424 budget.
   - 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**.
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 and appropriate based on the sponsor guidelines and your Submitting School’s internal policies. Click the Inflate Period 1 box to apply the inflation rate to Period 1; otherwise, inflation will start with Period 2.

Personnel Cost Definition Tab

On this tab, you will be able to add personnel to the budget. The personnel cost tables tab consists of two pages. The first page, Personnel Cost Definition, is for adding personnel that will add cost to the budget. The second page, Add Personnel Costs, is for entering/updating dollar amounts, fringe benefit types, roles (if needed), appointment types (if needed), and inflation rate information (yes or no).

	Named personnel can easily be imported and/or added via the dropdown menu if they were added to the Proposal SmartForm on the Personnel Tab. If you need to add additional personnel, click the link to be brought back to the Proposal SmartForm Personnel Tab: 



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

1. Click the Import Proposal Personnel button to import the PI and all other institutional personnel listed on the Proposal SmartForm Personnel Tab. **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.**
    1. Click Update by each of the imported staff member names to complete the additionally required details. Remember to double check the loaded base salary (#4) and to choose the correct appointment type (#3) and fringe benefit budget category (#6). If you are adding TBD personnel, you are required to specify their Role on the project (#2), their correct appointment type (#3), and the appropriate fringe benefit/Workday Personnel Budget Category (#6).
    2. Click OK to return to the Personnel Cost Definition Tab.

OR…

2. Click + Add button under Personnel costs. If the named personnel were correctly added to the Proposal SmartForm on the Personnel Tab, their names will be available to select in the dropdown menu (#1). You will also be able to add TBD personnel via the dropdown. **If you did not**

add named personnel to the Proposal SmartForm on the Personnel Tab, you will not be able to add them here, and you should exit and return to the Proposal SmartForm on the Personnel Tab to add the named personnel you need to budget for on the proposal. Once they are added there, you will be able to add them to the budget.

1. Remember to double check the loaded base salary (#4) and to choose the correct appointment type (#3) and fringe benefit budget category (#6). If you are adding TBD personnel, you are required to specify their Role on the project (#2), their correct appointment type (#3), and the appropriate fringe benefit/Workday Personnel Budget Category (#6).
2. Click OK to return to the Personnel Cost Definition Tab.

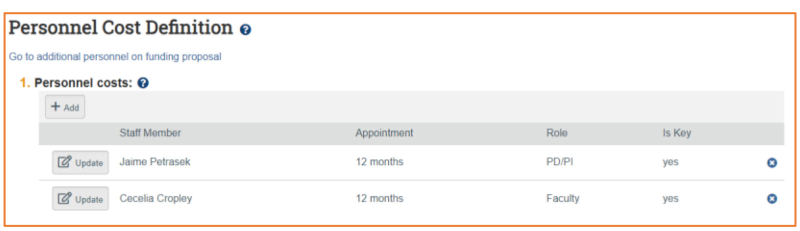
General Notes on Fringe Benefit Rates:

The University has published Fringe Benefit Rates that should be used for all budgeting purposes. The current and past rates can be found here.

If there are still questions about which Fringe Benefit Rate to use, please reach out to either your assigned OSP Pre-Award Senior Administrator or your Signing/Submitting School Official(s).

Project personnel 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, **<u>2 lines will need to be created in the Budget Workspace</u>**: 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.).

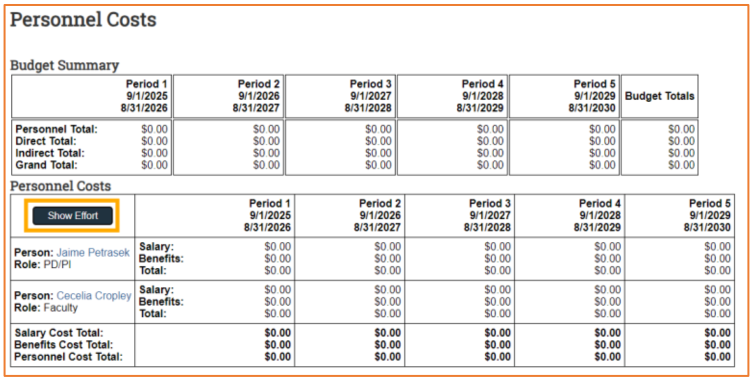
If needed, click the **Go to additional personnel on funding proposal** link to jump to the Personnel page of the Proposal SmartForm to add personnel; repeat the above steps as necessary to complete the Personnel Costs section.



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

Personnel Costs Tab

This page consists of a Budget Summary table and a Personnel Costs table that contains a row for everyone listed on the prior page. The budget summary table will show $0 in each row until edits are made via the Show Effort button.


Personnel Costs

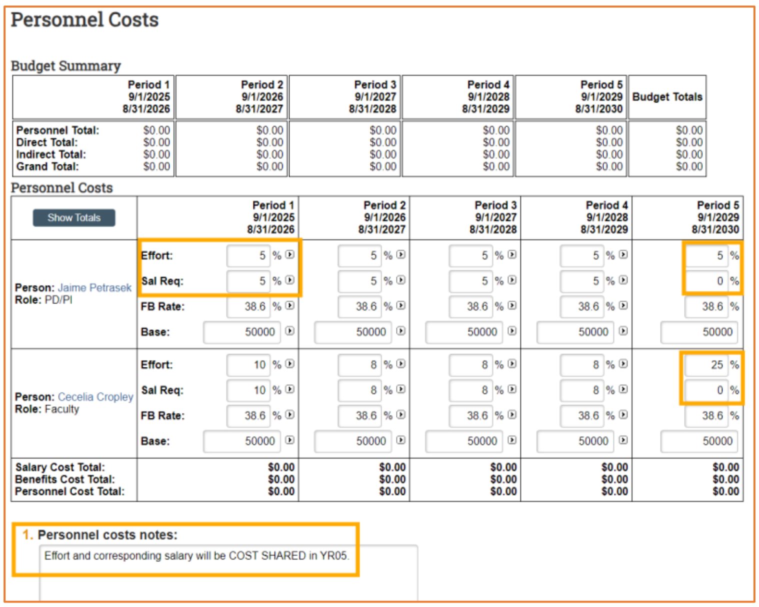
Budget Summary

	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	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

Show Effort		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Person: Jaime Petrasek Role: PD/PI	Salary: Benefits: Total:	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00
Person: Cecelia Cropley Role: Faculty	Salary: Benefits: Total:	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00
Salary Cost Total: Benefits Cost Total: Personnel Cost Total:		$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00

Click the Show Effort button to display additional fields used to indicate the percentage of effort each person will contribute to the project and the percentage of the base salary required.


Personnel Costs

Budget Summary

	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	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

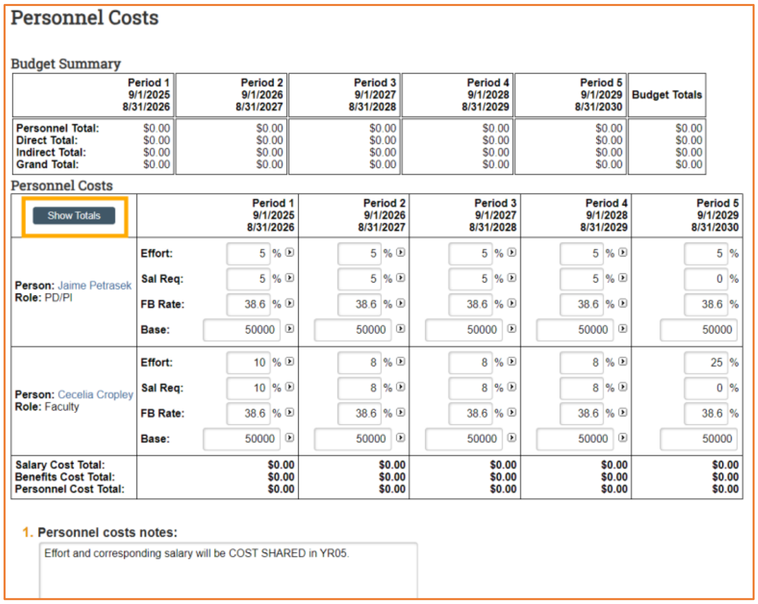
Show Totals		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Person: Jaime Petrasek Role: PD/PI	Effort:	5 %	5 %	5 %	5 %	5 %
	Sal Req:	5 %	5 %	5 %	5 %	0 %
	FB Rate:	38.6 %	38.6 %	38.6 %	38.6 %	38.6 %
	Base:	50000	50000	50000	50000	50000
Person: Cecelia Cropley Role: Faculty	Effort:	10 %	8 %	8 %	8 %	25 %
	Sal Req:	10 %	8 %	8 %	8 %	0 %
	FB Rate:	38.6 %	38.6 %	38.6 %	38.6 %	38.6 %
	Base:	50000	50000	50000	50000	50000
Salary Cost Total: Benefits Cost Total: Personnel Cost Total:		$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00

1. Personnel costs notes:

Effort and corresponding salary will be COST SHARED in YR05.

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. It's good practice to double check the fringe benefit rate on this page to ensure the correct rate is being applied. If you expect these values to remain consistent across all periods, click the small arrows to copy the values to the subsequent periods.

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



Personnel Costs

Budget Summary

	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	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

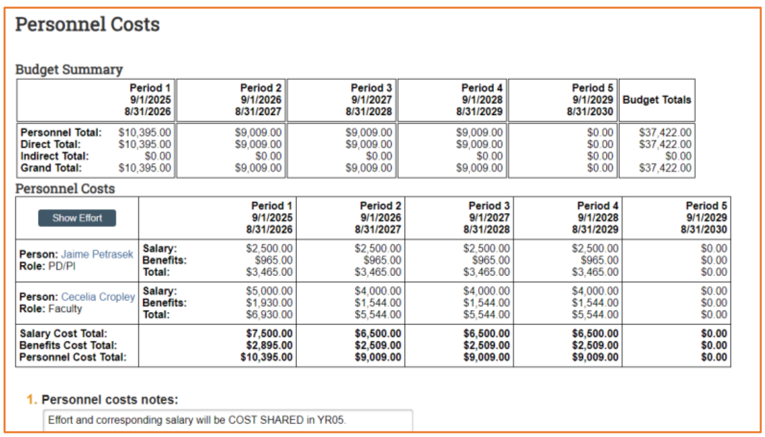
Personnel Costs

Show Totals		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Person: Jaime Petrasek Role: PD/PI	Effort:	5 %	5 %	5 %	5 %	5 %
	Sal Req:	5 %	5 %	5 %	5 %	0 %
	FB Rate:	38.6 %	38.6 %	38.6 %	38.6 %	38.6 %
	Base:	50000	50000	50000	50000	50000
Person: Cecelia Cropley Role: Faculty	Effort:	10 %	8 %	8 %	8 %	25 %
	Sal Req:	10 %	8 %	8 %	8 %	0 %
	FB Rate:	38.6 %	38.6 %	38.6 %	38.6 %	38.6 %
	Base:	50000	50000	50000	50000	50000
Salary Cost Total:		$0.00	$0.00	$0.00	$0.00	$0.00
Benefits Cost Total:		$0.00	$0.00	$0.00	$0.00	$0.00
Personnel Cost Total:		$0.00	$0.00	$0.00	$0.00	$0.00

1. Personnel costs notes:

Effort and corresponding salary will be COST SHARED in YR05.

Click Show Totals to toggle back and forth between viewing effort and dollar amounts:



Personnel Costs

Budget Summary

	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	Budget Totals
Personnel Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00
Direct Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00
Indirect Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Grand Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00

Personnel Costs

Show Effort		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Person: Jaime Petrasek Role: PD/PI	Salary:	$2,500.00	$2,500.00	$2,500.00	$2,500.00	$0.00
	Benefits:	$965.00	$965.00	$965.00	$965.00	$0.00
	Total:	$3,465.00	$3,465.00	$3,465.00	$3,465.00	$0.00
Person: Cecelia Cropley Role: Faculty	Salary:	$5,000.00	$4,000.00	$4,000.00	$4,000.00	$0.00
	Benefits:	$1,930.00	$1,544.00	$1,544.00	$1,544.00	$0.00
	Total:	$6,930.00	$5,544.00	$5,544.00	$5,544.00	$0.00
Salary Cost Total:		$7,500.00	$6,500.00	$6,500.00	$6,500.00	$0.00
Benefits Cost Total:		$2,895.00	$2,509.00	$2,509.00	$2,509.00	$0.00
Personnel Cost Total:		$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00

1. Personnel costs notes:

Effort and corresponding salary will be COST SHARED in YR05.

The amounts shown in the Show Totals table have been calculated using the following formulas:

- Base salary: defined for each person on the Personnel Cost Definition page
  - Salary = Base * Sal Req %
  - Benefits = Base * Sal Req % * FB Rate %

General Notes on Salary/Effort COST SHARE:

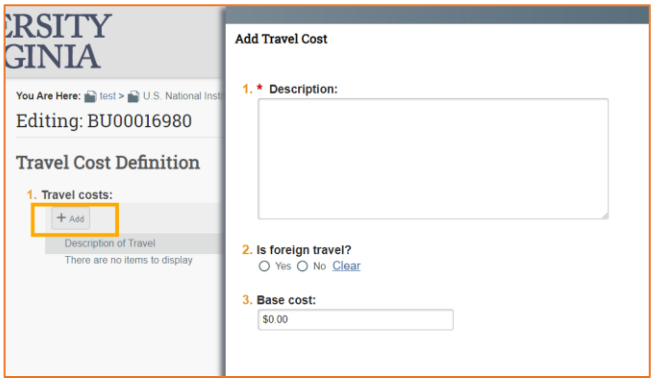
The Effort percentage reflects the effort for each person in the period and does not impact the calculations on the table. However, if your effort % is greater than the salary % on the Show Totals table, you will be prompted and required to create a cost share budget on the Budget Workspace.

If the base salary is greater than the salary cap amount, calculations will be based off the salary cap amount listed on the General Budget Information tab (#6). You will be prompted to create a cost share budget on the Budget Workspace, however, 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 be required to execute the additional cost share budget activity from the Funding Proposal Workspace.

Travel Cost Definition Tab

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. Like the Personnel Costs section, the Travel Cost tables consist of two pages. The first page, Travel Cost Definition, is for adding and entering costs. The second page, Travel Costs, is for entering amounts.



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

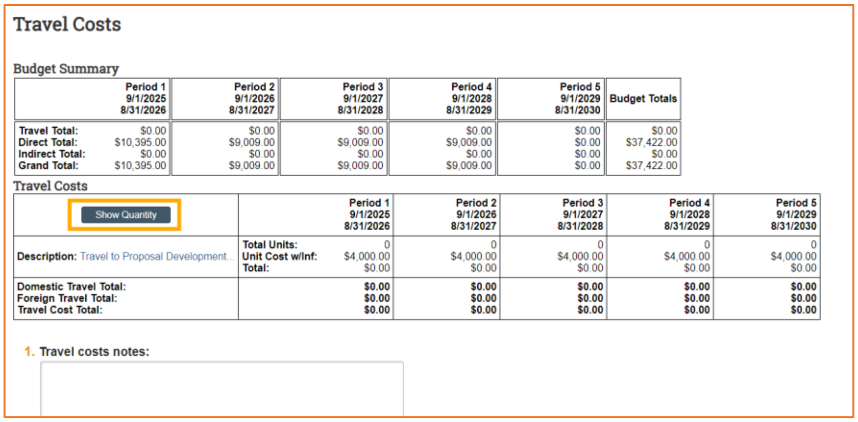
In the Add Travel Cost window, answer the following questions:

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

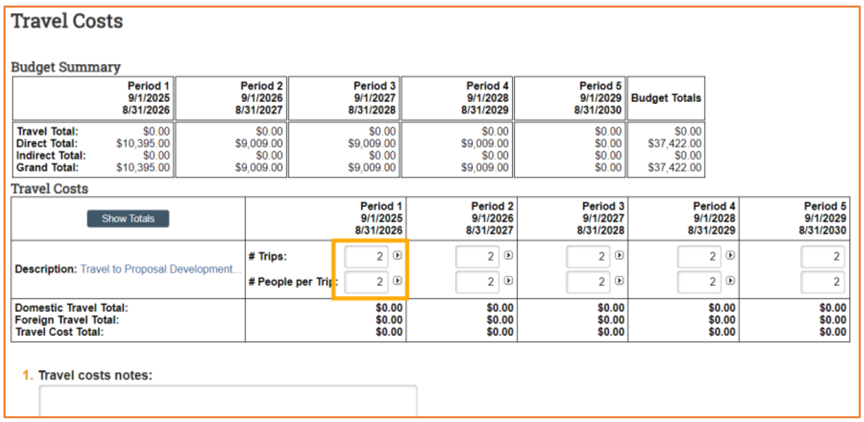
When complete, click OK or OK and Add Another

Travel Costs Tab

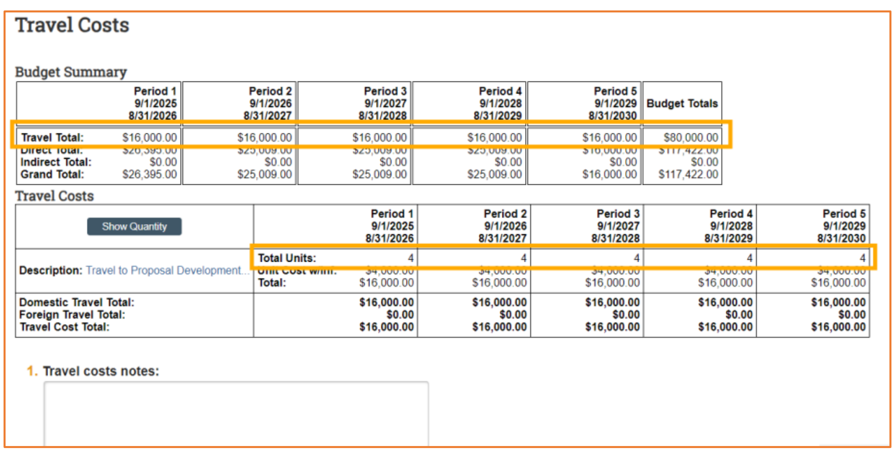
This page consists of a Budget Summary table and a Travel Costs table that contains a row for each travel line item listed on the prior page.



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



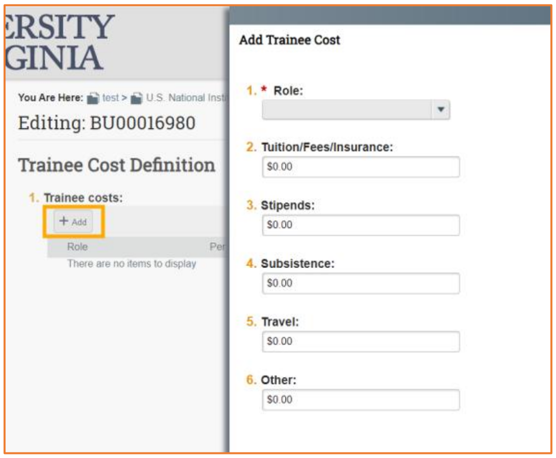
Enter the applicable # Trips and # People per Trip as necessary. If you expect these values to remain consistent across all periods, click the small arrows to copy the values to the subsequent periods. Repeat this process for all travel costs. When complete, click the Save to update the totals fields in both the Budget Summary and Travel Costs tables:



Trainee Cost Definitions Tab

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 tab should not be used for graduate students/post docs or human subject participants on a standard proposal.**

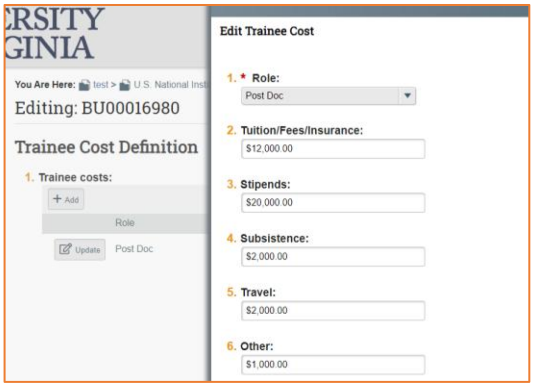
Like the previous sections in the Budget, the Trainee Cost tables consist of two pages. The first page, Trainee Cost Definition, is for adding and entering costs. The second page, Trainee Costs, is for entering amounts.



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:

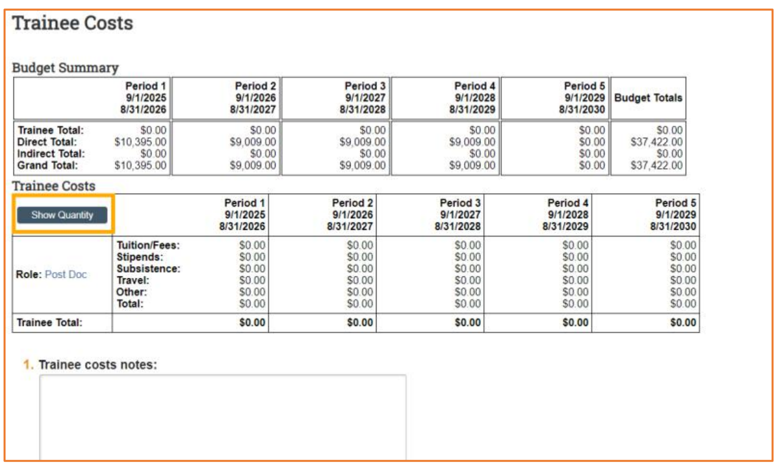
1. Enter the role using the drop-down
2. Tuition/Fees/Insurance
3. Stipends
4. Subsistence (Subsistence costs are general living expenses such as housing [rent or mortgage payment], food, and local transportation)
5. Travel
6. Other (Fees - such as registration fees, laboratory fees, and passport or visa fees, materials and supplies, other – check the sponsor guidelines for more information)



When complete, click OK or OK and Add Another.

Trainee Costs Tab

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



Trainee Costs

Budget Summary

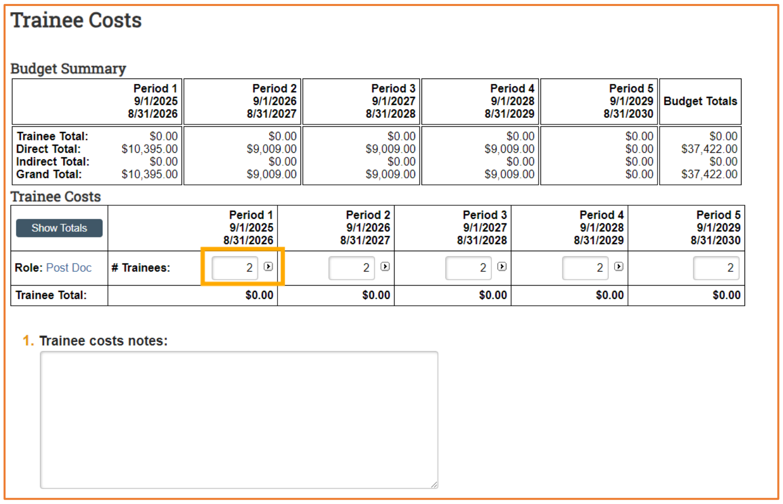
	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	Budget Totals
Trainee Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Direct Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00
Indirect Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Grand Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00

Trainee Costs

Show Quantity		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Role: Post Doc	Tuition/Fees:	$0.00	$0.00	$0.00	$0.00	$0.00
	Stipends:	$0.00	$0.00	$0.00	$0.00	$0.00
	Subsistence:	$0.00	$0.00	$0.00	$0.00	$0.00
	Travel:	$0.00	$0.00	$0.00	$0.00	$0.00
	Other:	$0.00	$0.00	$0.00	$0.00	$0.00
	Total:	$0.00	$0.00	$0.00	$0.00	$0.00
Trainee Total:		$0.00	$0.00	$0.00	$0.00	$0.00

1. Trainee costs notes:

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



Trainee Costs

Budget Summary

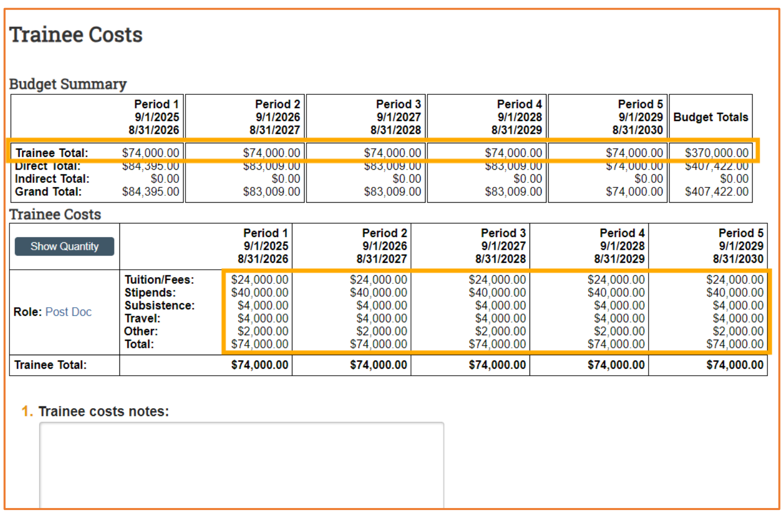
	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	Budget Totals
Trainee Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Direct Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00
Indirect Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Grand Total:	$10,395.00	$9,009.00	$9,009.00	$9,009.00	$0.00	$37,422.00

Trainee Costs

Show Totals		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Role: Post Doc	# Trainees:	2	2	2	2	2
Trainee Total:		$0.00	$0.00	$0.00	$0.00	$0.00

1. Trainee costs notes:

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



Trainee Costs

Budget Summary

	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	Budget Totals
Trainee Total:	$74,000.00	$74,000.00	$74,000.00	$74,000.00	$74,000.00	$370,000.00
Direct Total:	$84,395.00	$83,009.00	$83,009.00	$83,009.00	$74,000.00	$407,422.00
Indirect Total:	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Grand Total:	$84,395.00	$83,009.00	$83,009.00	$83,009.00	$74,000.00	$407,422.00

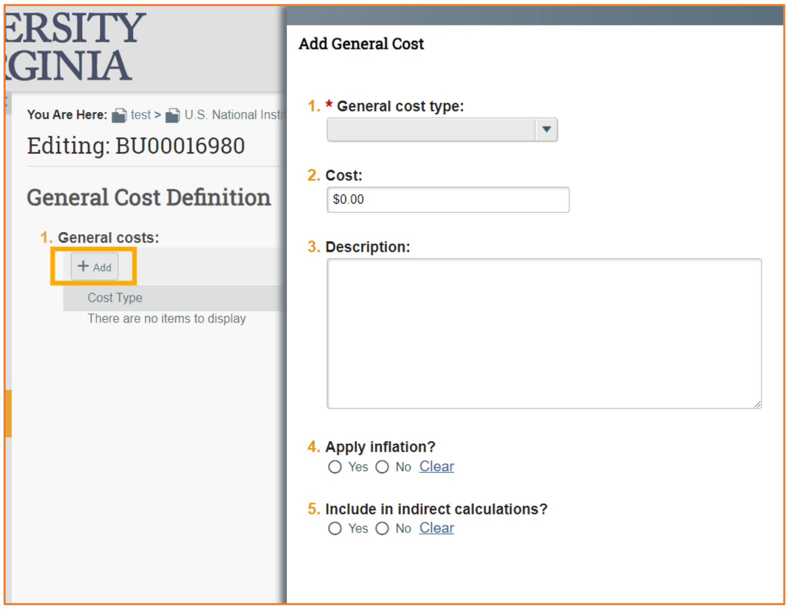
Trainee Costs

Show Quantity		Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Role: Post Doc	Tuition/Fees:	$24,000.00	$24,000.00	$24,000.00	$24,000.00	$24,000.00
	Stipends:	$40,000.00	$40,000.00	$40,000.00	$40,000.00	$40,000.00
	Subsistence:	$4,000.00	$4,000.00	$4,000.00	$4,000.00	$4,000.00
	Travel:	$4,000.00	$4,000.00	$4,000.00	$4,000.00	$4,000.00
	Other:	$2,000.00	$2,000.00	$2,000.00	$2,000.00	$2,000.00
	Total:	$74,000.00	$74,000.00	$74,000.00	$74,000.00	$74,000.00
Trainee Total:		$74,000.00	$74,000.00	$74,000.00	$74,000.00	$74,000.00

1. Trainee costs notes:

General Cost Definition Tab

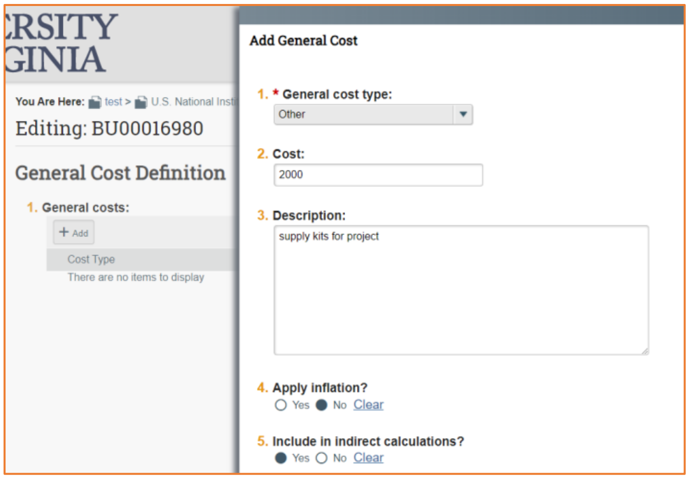
On this page you'll enter line items for cost categories not entered on the preceding budget tables Similar to the previous sections in the Budget, the General Cost tables consist of two pages. The first page, General Cost Definition, is for adding and entering costs. The second page, General Costs,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



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

1. General cost type – Select from the drop-down list (Note that the same Cost Type can be selected multiple times)
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 certain cost types. **Do not change default answer unless sponsor solicitation/guidelines specifically require change.** Default answers are driven by indirect cost base.

	If you entered Yes to Question 4 (Will you require detailed budget tables for this budget submission?) on the General Budget Information page, you will not see the option to choose travel from the dropdown in the General Cost window.



When complete, click OK or OK and Add Another.

General Cost Definition

1. General costs:

Add

	Cost Type	Description	Cost
Update	Other	supply kits for project	$2,000.00

General Costs Tab

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.

General Costs

Budget Summary

	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030	Budget Totals
General Total:	$3,800.00	$3,854.00	$3,910.00	$3,967.00	$4,026.00	$19,557.00
Direct Total:	$88,195.00	$86,863.00	$86,919.00	$86,976.00	$78,026.00	$426,979.00
Indirect Total:	$39,480.00	$38,661.00	$38,695.00	$38,730.00	$33,226.00	$188,792.00
Grand Total:	$127,675.00	$125,524.00	$125,614.00	$125,706.00	$111,252.00	$615,771.00

General Costs

Save	Period 1 9/1/2025 8/31/2026	Period 2 9/1/2026 8/31/2027	Period 3 9/1/2027 8/31/2028	Period 4 9/1/2028 8/31/2029	Period 5 9/1/2029 8/31/2030
Cost Type: Materials and Supplies **Description:** laptop	$1,000.00	$1,030.00	$1,061.00	$1,093.00	$1,126.00
Cost Type: Other **Description:** supply kits for project	$2,000.00	$2,000.00	$2,000.00	$2,000.00	$2,000.00
Cost Type: Publication Costs **Description:**	$800.00	$824.00	$849.00	$874.00	$900.00
General Cost Total:	**$3,800.00**	**$3,854.00**	**$3,910.00**	**$3,967.00**	**$4,026.00**

1. General costs other notes:

Notice that the costs with inflation factored in are automatically promoted across all budget periods.

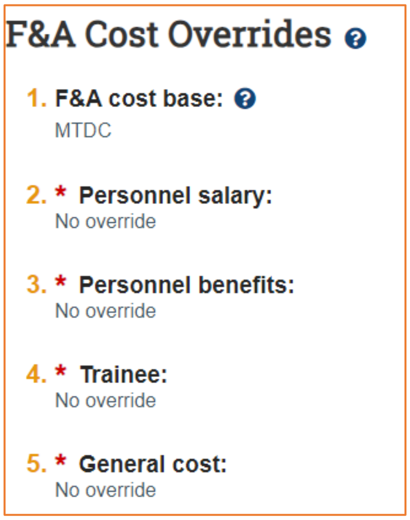
Click the hyperlink associated with each Cost Type to edit the Cost Type and the associated details listed for each Cost Type.

Click the Save button within the General Costs table after you have completed your edits.

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

	The general cost dollar amounts shown below (Cost Type "Other") are editable because the "Apply inflation?" question in the Add General Cost window was answered as "no."

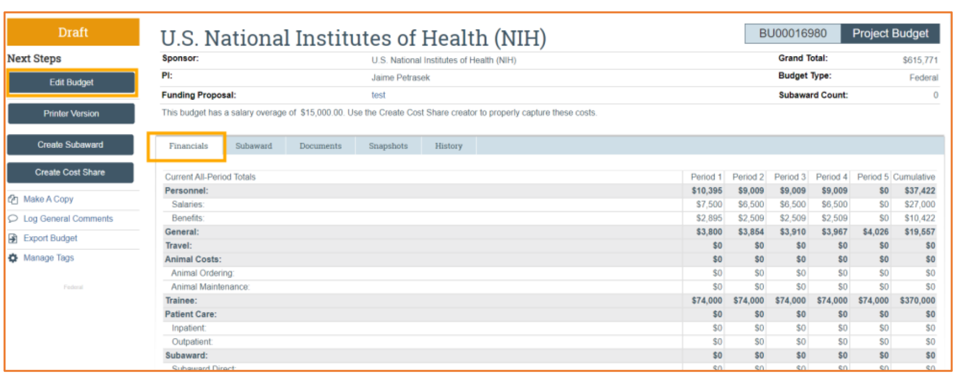
F&A Costs Override Tab



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.** Use the Send Email function described later in this guide to request an appropriate and allowable FA override.

Attachments Tab

Do not attach any documents to 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.



Current All-Period Totals	Period 1	Period 2	Period 3	Period 4	Period 5	Cumulative
Personnel:	**$10,395**	**$9,009**	**$9,009**	**$9,009**	**$0**	**$37,422**
Salaries:	$7,500	$6,500	$6,500	$6,500	$0	$27,000
Benefits:	$2,895	$2,509	$2,509	$2,509	$0	$10,422
General:	**$3,800**	**$3,854**	**$3,910**	**$3,967**	**$4,026**	**$19,557**
Travel:	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Animal Costs:	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Animal Ordering:	$0	$0	$0	$0	$0	$0
Animal Maintenance:	$0	$0	$0	$0	$0	$0
Trainee:	**$74,000**	**$74,000**	**$74,000**	**$74,000**	**$74,000**	**$370,000**
Patient Care:	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Inpatient:	$0	$0	$0	$0	$0	$0
Outpatient:	$0	$0	$0	$0	$0	$0
Subaward:	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

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.

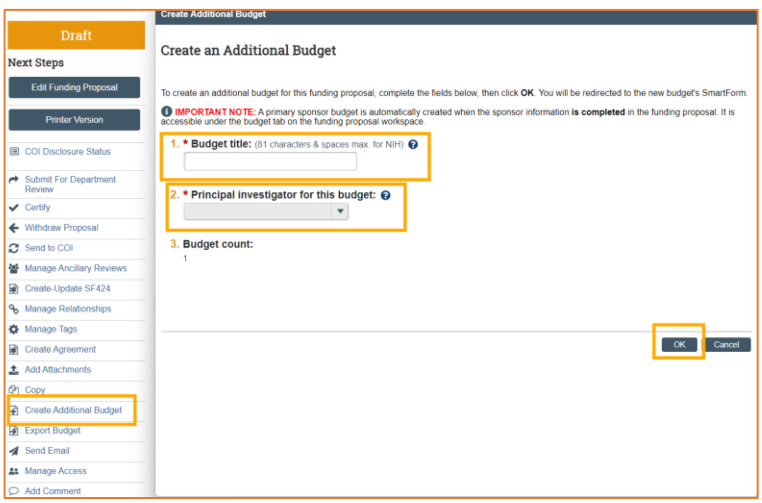
	There is a note about salary overage in the screenshot above because for this example exercise, we chose to cost share salary/effort in the final year of the project. If you do not cost share, you will not see this note on your Budget Workspace.

Creating ADDITIONAL Budgets

Additional budgets may need to be created for the proposal submission. 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, and remember to clearly mark a draft budget as a DRAFT)
- Additional sponsor budget requirements (i.e., by fiscal year)

Follow the steps below to create an additional budget:



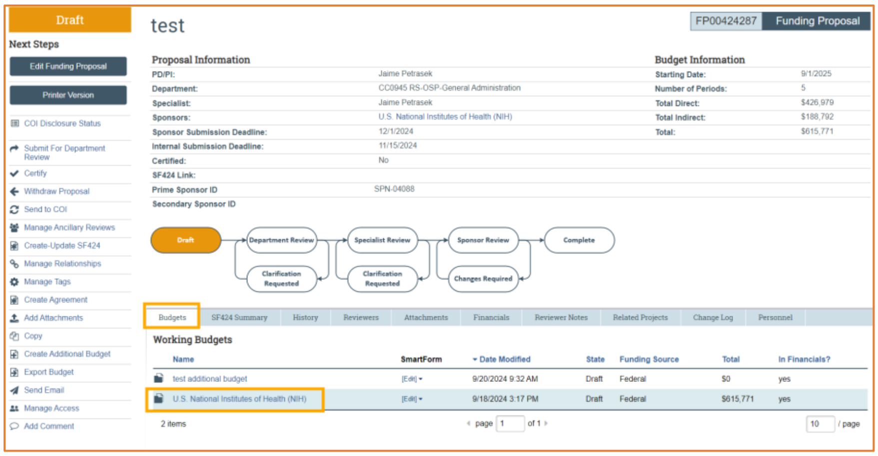
1. Navigate to the Proposal Workspace
2. On the Proposal Workspace, click the Create Additional Budget activity
3. In the Create Additional Budget window, enter the Budget title and the associated PI Name and click OK - clicking OK will open the new additional Budget Workspace
4. Complete the pages as necessary, using the same steps outlined above (Completing the Funding Proposal Budget).

Creating a Cost Share Budget

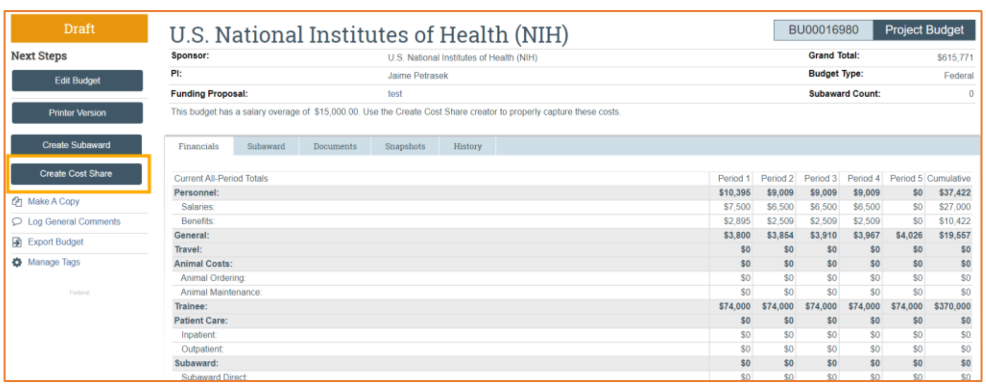
Cost share budgets are necessary to account for project funds that will be covered by UVA instead of the sponsor. Cost share may be required by the sponsor depending on the funding opportunity, and UVA's policy on proposing and managing cost sharing on sponsored programs (FIN-051) should be reviewed and followed. **Cost share budgets can only be created after the primary budget associated with the proposal has been created.**

	In addition to creating a cost share budget, Ancillary Reviews are REQUIRED to capture approval for cost share. Questions regarding who should be assigned to the Ancillary Reviews should be directed to either your assigned OSP Pre-Award Senior Administrator or your Signing/Submitting School Official(s).

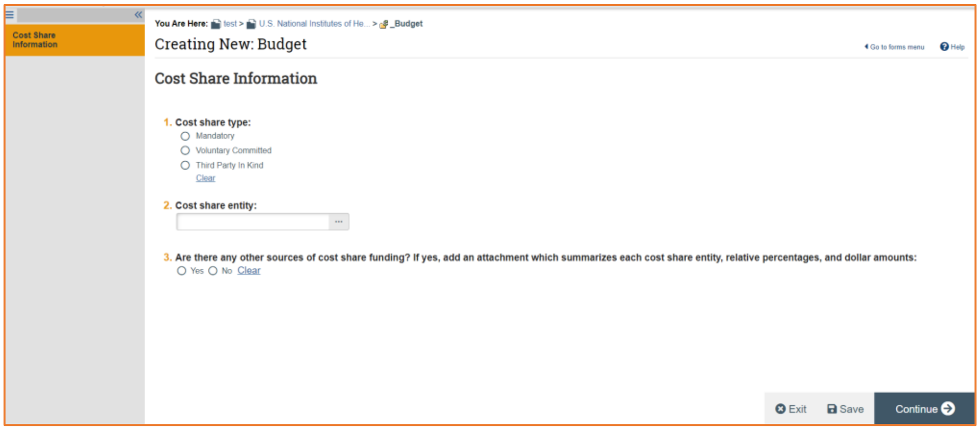
Follow the steps below to create a cost share budget:



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

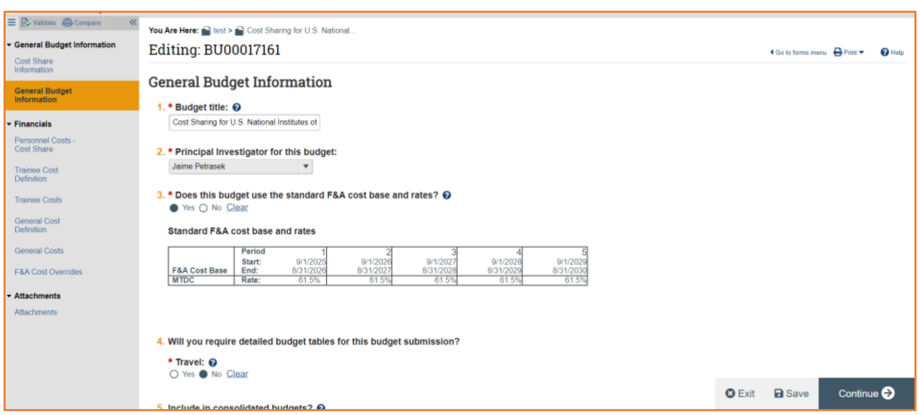


On the Budget Workspace, click the Create Cost Share button; this will automatically open a new cost share budget for editing and completion.



Cost Share Information Page:

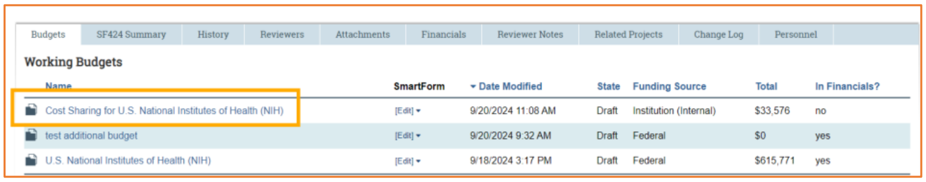
1. **Cost share type:** Select the appropriate type. Cost share types are covered in UVA's policy on proposing and managing cost sharing on sponsored programs (FIN-051).
2. **Cost Share Entity:** Select the entity that will share the cost.
   a. If the cost share funding source is EXTERNAL to UVA, make sure to choose third-party in-kind for question 1 and in the correct external entity in this question (#2).
   b. If the cost share funding source is INTERNAL to UVA, select the UVA department responsible for the cost share. If more than one UVA department is splitting the cost share, click YES below in question #3 and upload an excel file detailing the cost share split between UVA departments.
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.



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.

	The Budget title for the cost share budget needs to include the worktag for the cost share. Questions regarding worktags should be directed to either your assigned OSP Pre-Award Senior Administrator or your Signing/Submitting School Official(s).

Cost share budgets are displayed under the Budgets tab of the Proposal Workspace:



Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
Cost Sharing for U.S. National Institutes of Health (NIH)	[Edit]	9/20/2024 11:08 AM	Draft	Institution (Internal)	$33,576	no
test additional budget	[Edit]	9/20/2024 9:32 AM	Draft	Federal	$0	yes
U.S. National Institutes of Health (NIH)	[Edit]	9/18/2024 3:17 PM	Draft	Federal	$615,771	yes

Additional Information and Guidance on Cost Share

Remember that cost share for effort (not over the cap salary) is pulled from the Primary Budget based on the effort input.

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 RUVA 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.

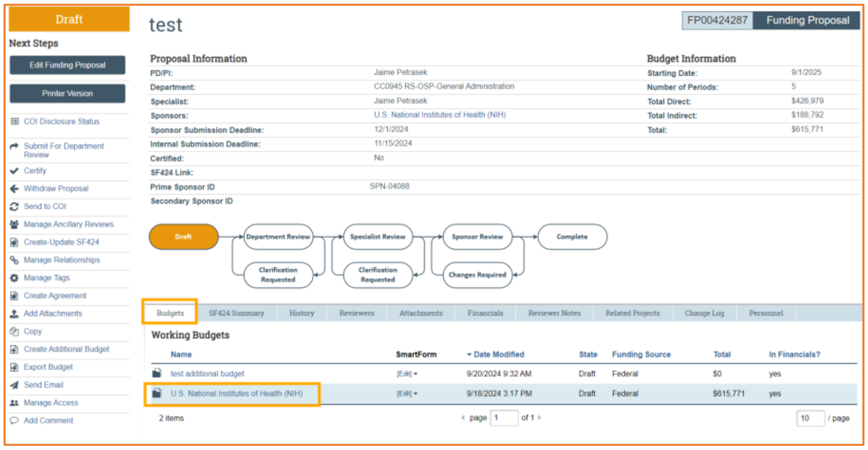
1. Navigate to the Funding Proposal Workspace. Using the Create Additional Budget activity, create an additional budget for $0. a. On the General Budget Information page, select NO to exclude this budget in consolidated budgets.
2. Navigate to the Budget Workspace for the $0 budget just created. Using 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.
4. 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.

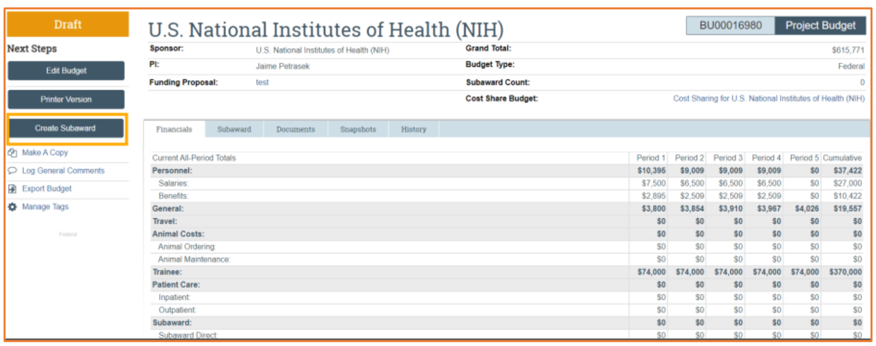
Creating an External Subaward Budget

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 must be added to this section of the proposal budget and not included as “other direct costs” in the main FP budget. Please review the Outgoing Subawards information located here.

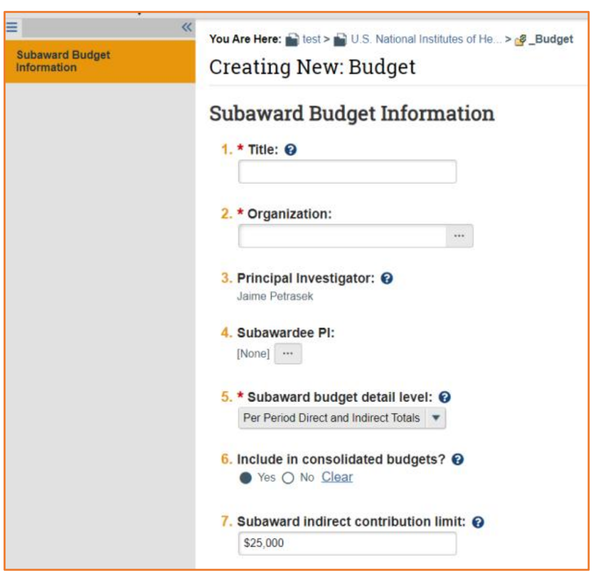
Subaward budgets can only be created after the primary budget associated with the proposal has been created. Follow the steps below to create a subaward budget:



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



On the Budget Workspace, click the Create Subaward button; this will automatically open a new subaward budget for editing and completion.

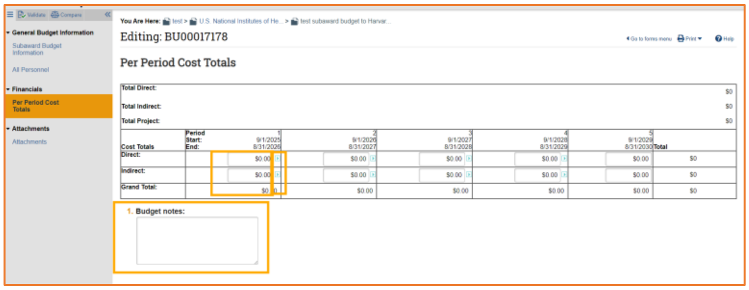


Complete the Subaward SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue to navigate through the rest of the SmartForm pages.

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, and follow the process to have the organization added by the Info Team.
3. Principal Investigator – This field automatically populates with the primary budget's PI.
4. Subawardee PI –Enter the Subawardee PI's information - this is a required field. **The Subawardee PI should have been added to the FP smartform on the Personnel page under "Non-institutional key personnel", and the information added here should match the entry made on the FP smartform.*
5. Subaward budget detail level – Select how to capture budget data for this subaward.
    1. 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.
    2. 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.
        a. Select this option when submitting your proposal system-to-system (ResearchUVA PBH to Grants.gov).
        b. 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.
        c. 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 (this question appears only if the cost base type selected in the parent budget is "MTDC"). However, you can change this value.

All Personnel Page: Do not use this section.



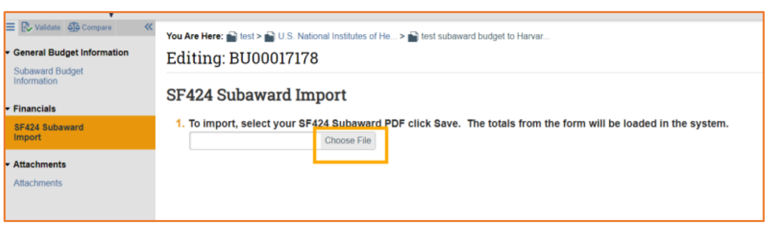
Per Period Cost Totals page (displayed only if this option was selected on the first page).

1. Enter the Direct and Indirect costs as necessary and use the arrows to promote the same values to the subsequent periods.
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.

SF424 Subaward Import Page

This page is only displayed if SF424 Subaward Import is selected on the Subaward Budget Information page. This option should be selected when submitting the proposal system-to-system. The editable PDF is available on the SF424 Workspace within the system. The R&R Subaward Budget PDF must be completed and returned by the subawardee (or completed by the person at UVA creating the proposal) for uploading.

	Important: The budget periods entered on this PDF form must match the budget periods on the primary budget. If the subawardee is providing the editable PDF, it is recommended to get this file from the subawardee as soon as possible to ensure the file is valid and allow time for the subawardee to correct any invalid files or budget errors.



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

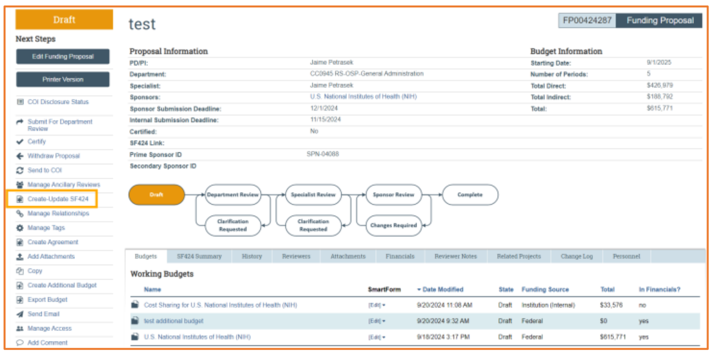
Attachments Page

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.

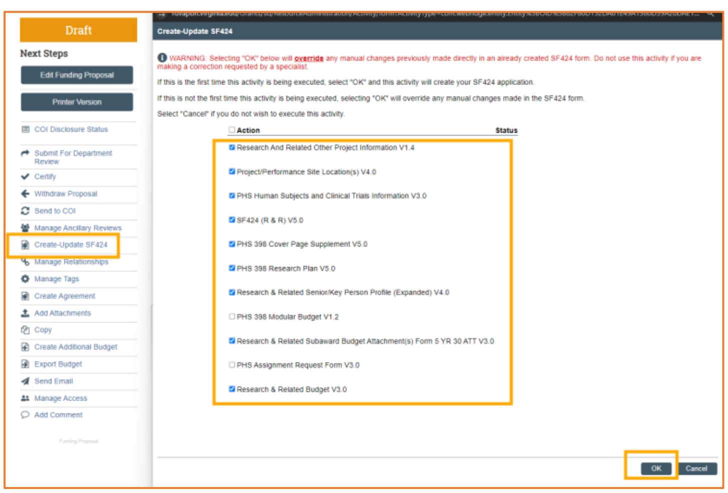
How to Manage a SF424 Submission for Federal Proposals

If you select 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.



How to Create the SF424

On the Proposal Workspace, click the Create-Update SF424 activity. This activity is used to create the SF424 application for the first time and for any subsequent updates.



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.

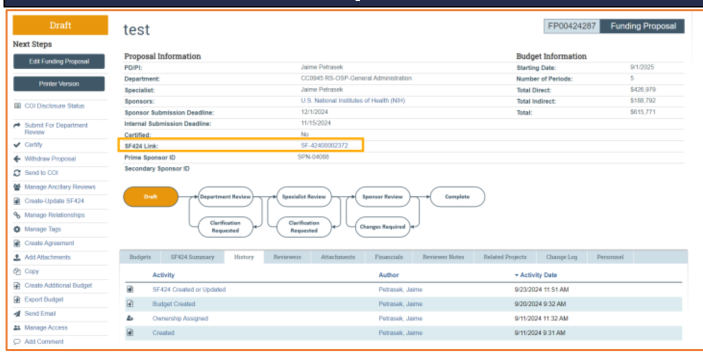
Important:

The applicable optional forms must be selected, and one of the budget forms MUST BE SELECTED for all applications that include a budget.

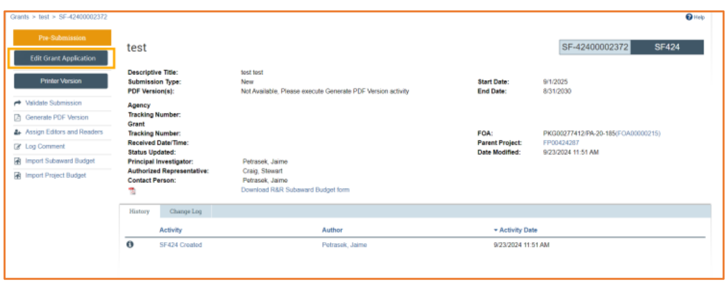
If this is the first time this activity is being executed, click OK to create the SF424 application. **If this is not the first time this activity is being executed, be aware that selecting OK will override any manual changes made in the SF424 form to previously mapped data.**

You also have the option to select only the form that needs to be updated.

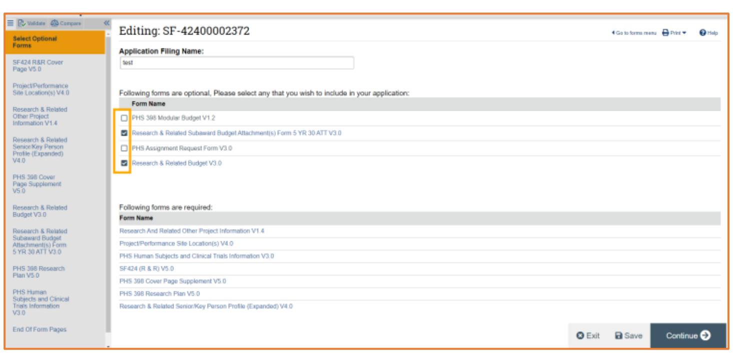
How to Edit and Complete the SF424



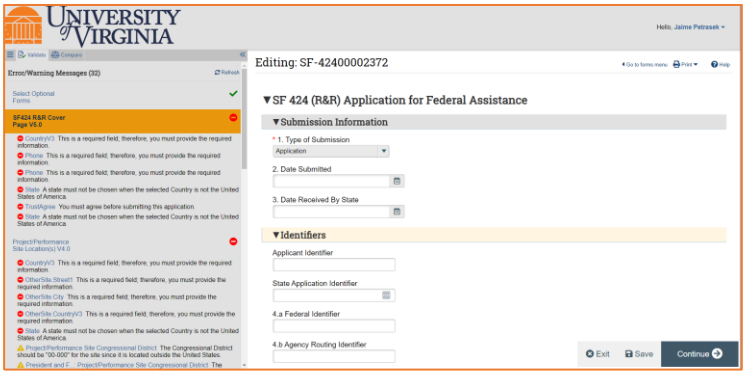
Once the system has generated the SF424 forms, click the SF424 Link on the Proposal Workspace.



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



On the first page of the SF424, select any additional optional forms to include in the SF424 application and click save or continue.



You have successfully created the SF424-application package! Click through each tab/page and fill out the required information, adding attachments where applicable and as guided by the sponsor's specific grants.gov/SF424 instructions.

Click Continue and add or modify data in EACH of 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.

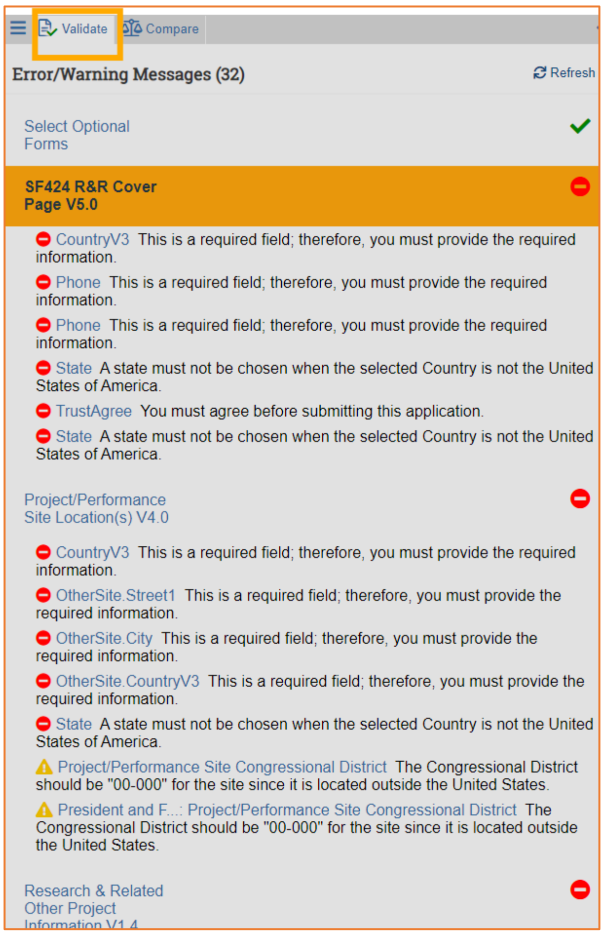
For graduate students on multiple lines in your ResearchUVA PBH budget, when you create-update the SF424 it will double count the number of graduate students. Manually update this figure.

How to Validate a SF424 Application

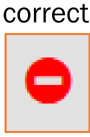
Ater the SF424 application is completed it must be validated for errors and warnings. ALL errors must be corrected prior to sending forth the proposal for signature.

	IMPORTANT: If your proposal is to be reviewed and submitted by central OSP, the proposal review will not begin until SF424 validation is clear and no errors are present. Please contact your submitting school AORs for how their validation and submission process rules may differ.

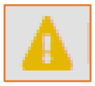
Check for errors using the Validate function:



1. On the SF424 Workspace click the Validate button in the left navigation pane of the SmartForm.
    a) Errors will cause rejection at Grants.gov or the funding agency. Errors MUST be corrected and will be highlighted with a red circle:

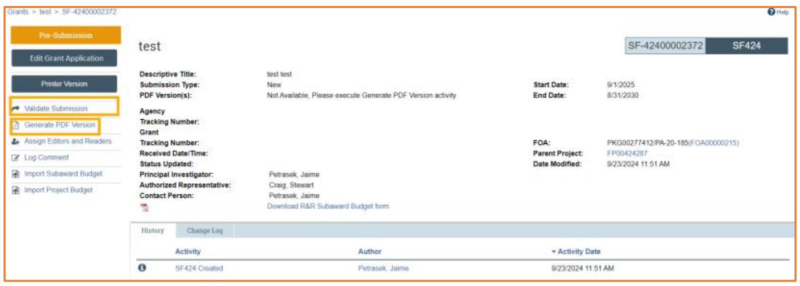
    b) Warnings are recommendations that will not stop proposal submission but remind you about potentially important items to include or issues to resolve. Warnings highlight situations that may cause issues when your proposal arrives at the agency. Note that certain warnings are required to be addressed to ensure compliance with sponsor guidelines. Warnings will be noted with a yellow triangle:



Click on the field name or page to navigate to that location within the SF424 forms.

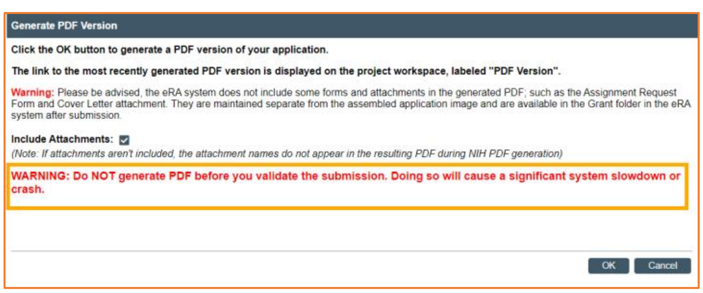
Proposal creators and editors will need to re-run the validation from within the SmartForm as many times as necessary to clear all errors prior to sending for signature.

2. When the SF424 validation is complete and all red errors have cleared, 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 via RUVA to Grants.gov. The SF424 forms are now locked for editing. If the validation does not pass, all errors and warnings must be reviewed and corrected (warnings MUST be corrected if the guidelines indicate the warning will pose an error upon transmission).
4. Once all errors are cleared and the proposal creator has verified the warnings are simply warnings and will not cause an error upon submission, the Generate PDF Version activity must be completed. **The generated PDF should be reviewed prior to submitting for signatures, paying careful attention to all attachments and ensuring that figures, tables, images, etc. look as expected.**

DO NOT generate a pdf until all errors have been cleared:



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.

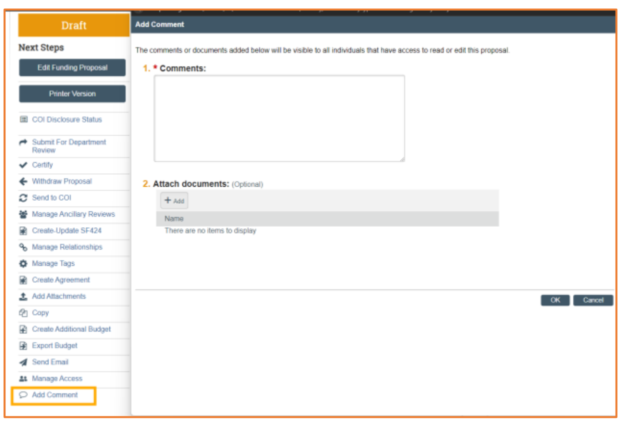
Once there are no errors upon validation and the pdf has been built, the SF424 package is complete.

Additional Proposal Activities

Adding Comments: Comments can be added to a proposal and are visible to all individuals that have access to read or edit the proposal.

Adding comments can be a helpful way to communicate with faculty, central office reviewers, collaborators, etc. Central office reviewers often use the comments section to log proposal review notes and to keep a record of information that may be helpful at the time of award setup/agreement/contract review and negotiation.

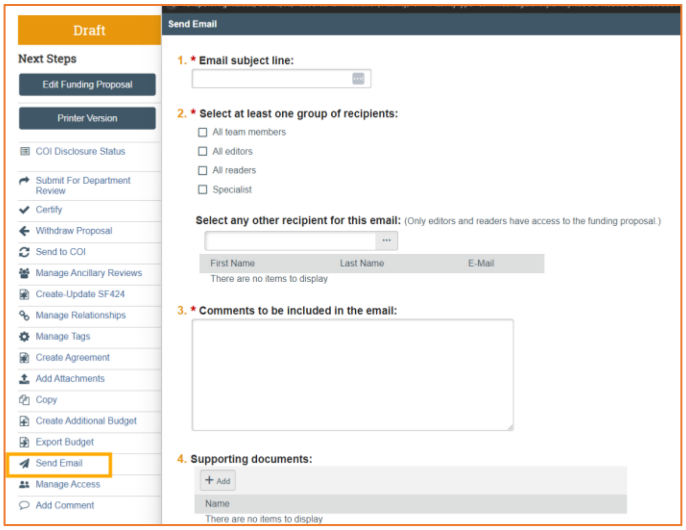
ONCE LOGGED, COMMENTS CANNOT BE DELETED.



To add a comment, click the **Add Comment** activity. Once the *Add Comment* window appears, enter your comments and any attachments. When complete, click **OK** to return to the *Workspace*. It is important to remember that once logged, comments cannot be deleted.

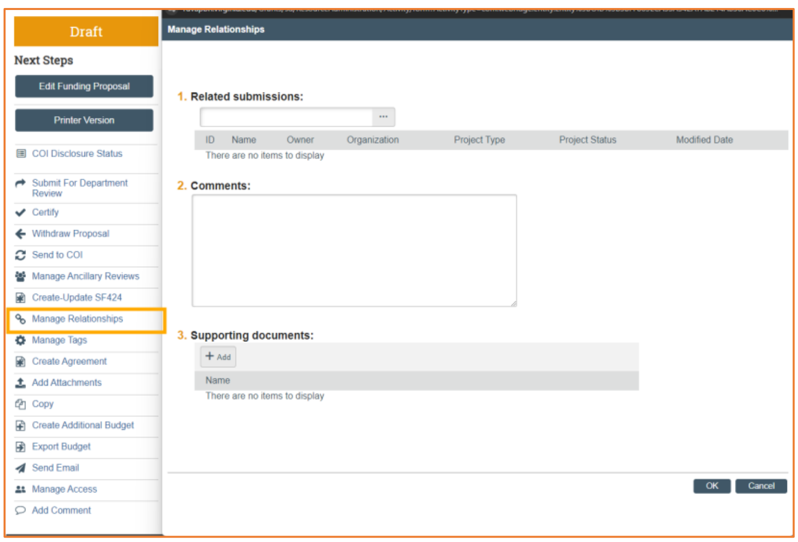
Click on the **History** tab to review the comments.

Sending Emails: Emails can be sent directly from the proposal. The emails are tracked within the History tab of the proposal and are and are visible to all individuals that have access to read or edit the proposal. If you use the Send Email feature within RUVA, note that it will be specific to the record. Do not include information about other proposals, awards or agreements within the email if they are unrelated.



To send an email, click the Send Email activity and complete the fields. When complete, click OK to return to the funding proposal workspace. You can review the email correspondence in the History tab. Please keep in mind that emails like comments, cannot be deleted from the History tab.

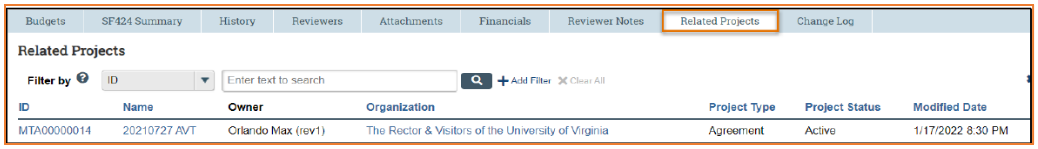
Managing Relationships: Funding proposals can be linked to related Huron records from the funding proposal workspace by using the "Manage Relationships" activity. This may be necessary if the funding proposal should be attached to a previous award record, an MTA or DUA, or another agreement.



To link a funding proposal to a related Huron record, click the Manage Relationships activity on the Proposal Workspace.

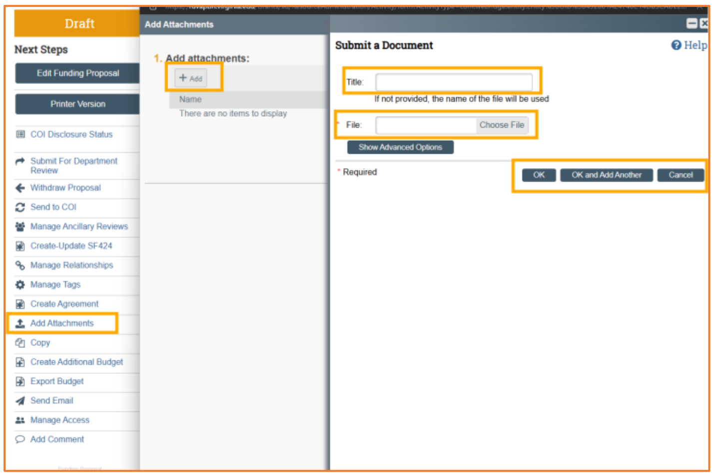
In the *Manage Relationships* window, search for the related submission you would like to link. Select the appropriate project and click **OK.** When complete, click **OK.**

Linked records are displayed on the Related Projects tab of the Workspace.



Adding Attachments

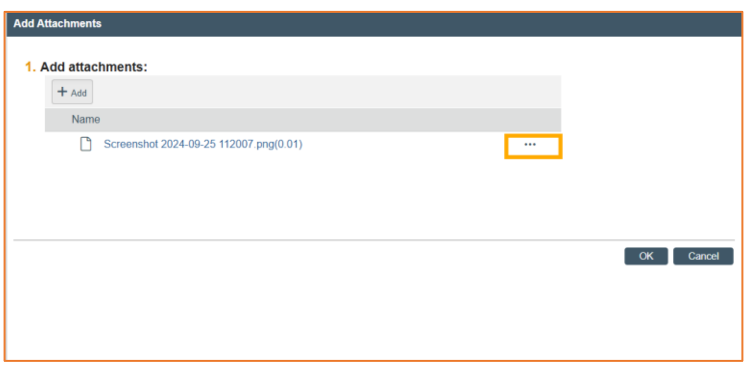
The “Add Attachments” activity can be used to upload new or revised documents to the Proposal.



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. You can also click “OK and Add Another” if you are uploading additional attachments.

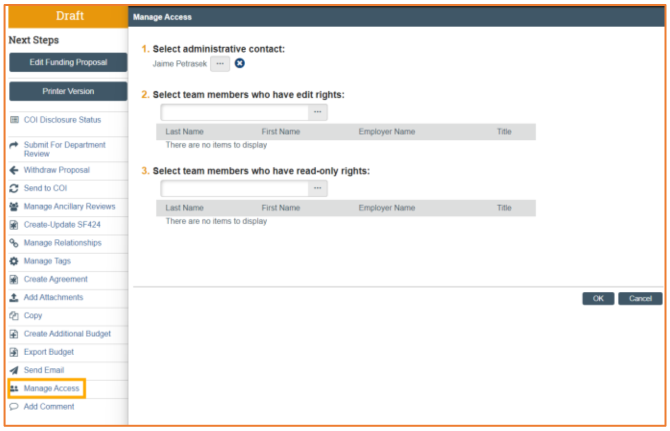
Attachments may be revised once attached and saved.



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

Managing Access

The “Manage Access” activity is used to manage the list of individuals who have either edit or read-only access to the proposal submission. **Anyone who was added as editors and/or readers on the Personnel page of the Proposal SmartForm will also be listed here.**



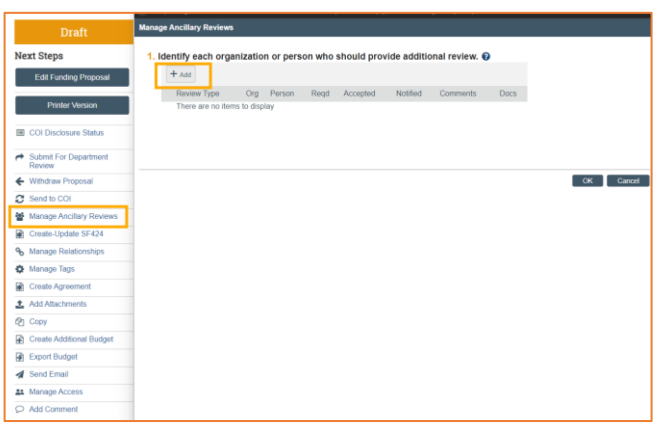
Follow the steps below to add an individual to either list:

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.

Managing and Adding Ancillary Reviews

The Ancillary Review function allows users to add and track approvals to projects in RUVA. This section of the guide will detail how to add an Ancillary Review.

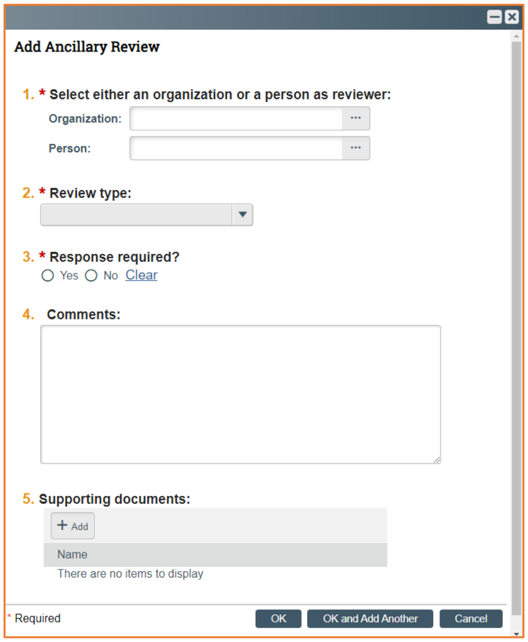
	IMPORTANT: Some ancillary reviews are considered required and mandatory for Funding proposals, such as multi-PI Certification, Collaborating Unit Verification, Cost Share, and PI Eligibility. Proposal creators should check with their Central OSP or their Submitting School AOR for specifics and details on required/mandatory ancillary reviews.



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.



4. On the Add Ancillary Review form, select an organization or person to do the review.
5. 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.
6. 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.

Routing a Proposal for Review

Depending on which team is assigned the task of submitting a proposal – either OSP Central or an Assigned Submitting School - it is possible that there are additional, specific rules regarding the proposal routing process. Please make sure to check with your OSP Central or Submitting School leadership for additional requirements, and/or if you have any questions.

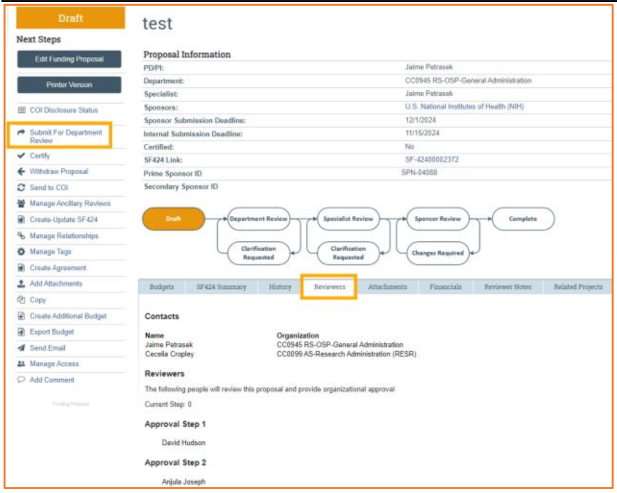
Once a proposal is complete, it must be routed for review and signoff and eventual submission/approval for submission by central OSP/submitting school AOR.

The first reviews must be completed by both the Department and PI.

Department Reviewers should work directly with proposal creators to make corrections as needed PRIOR to sending the proposal for Specialist Review by either central OSP or the submitting school AOR.

PIs must review AND certify the proposal, indicating that they have reviewed each section of the RUVA proposal record for accuracy, and confirming that the proposal is compliant.

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.

Department Review and sign-off consists of reviewing the Funding Proposal, proposal attachments, budget(s), and if applicable, SF424. Central OSP has put together some best practice suggestions for department reviewers, and they are listed below:

1. Review the History tab prior to beginning a full proposal review. This can aid in gathering information necessary for a complete and compliant Departmental Review of the Funding Proposal.
2. Review the COI Disclosure Status section against the list of personnel to ensure all UVA Key Personnel and UVA personnel considered investigators for compliance purposes have an up-do-date annual UVA FCOI disclosure on file in RUVA. Instructions for completing a Disclosure Profile in RUVA are located here. Lack of an up-do-date annual UVA FCOI disclosure on file in RUVA can delay proposal submission.
3. Ensure the PI is eligible to serve and that the required approval documentation has been uploaded as an attachment or within an ancillary review to Stewart Craig.
4. Ensure that any Limited Submission Requirements have been satisfied.
5. Review the budgets and budget documents; if an FA waiver or exemption request is required, make sure the approval is uploaded in the Attachments section. If a subaward is included, ensure the subaward budget is appropriate and that all required subaward documents are included in the Attachments section.
6. Review all proposal attachments for compliance and completion; reminder that attachments should be added to a funding proposal record via the Add Attachments activity for ease of reviewing all attachments in one place.
7. If applicable, ensure the SF424 proposal passes validation and that no errors are found. If errors are found, the proposal creator/editor should make corrections until validation returns no errors. Proposals with SF424 validation errors should not be submitted for Specialist review until the errors are cleared.

8. Confirm the PI has certified and that all required Ancillary Reviews are complete before submitting the proposal for Specialist Review. If the Department Reviewer finds a missing Ancillary Review, they will need to Request Changes to have the proposal creator/Admin Contact add the Ancillary Review.

After the review is complete, the Department Reviewer can either approve the proposal or request changes to the proposal. Department Reviewers should provide feedback to the proposal creator/preparer when changes/corrections/clarifications are needed. Internal RUVA feedback can be left in three ways:

a. Through the comment bubble within the SmartForm (comments marked "required" need to be resolved prior to submitting back to the Department or Specialist)
b. On the Workspace by using the Add Comment Activity
c. Request Changes

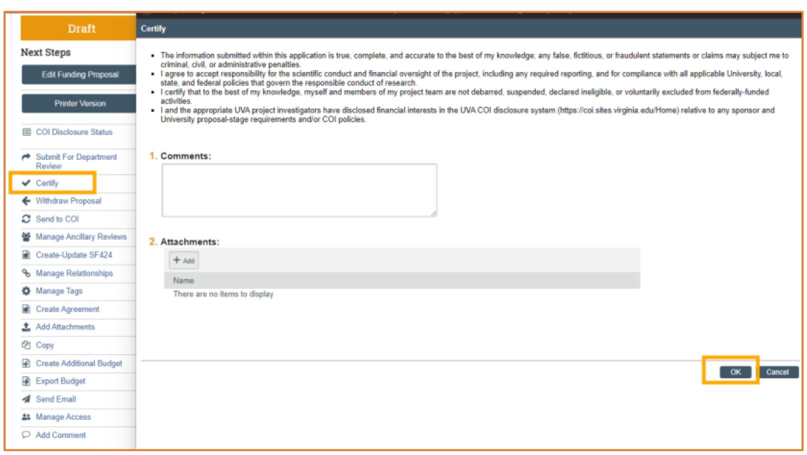
Replying to Requested Changes:

1. Comments marked "Must Reply" require a response to move forward. Changing the field will not allow the proposal to move forward, the comment bubble requires a response.
2. Submit Changes to Department Reviewer activity; leave a comment if you make 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.

PI Certification

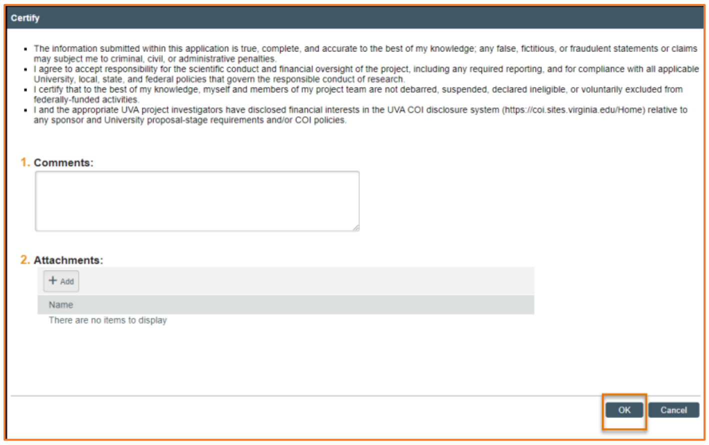
The PI Certify allows the PI to certify that the proposal meets institutional and sponsor requirements and is ready for submission. PI certification is a required step for all proposals and should be completed by the PI after they review the entire FP record in full.

PIs should follow the steps below to perform the PI certification:

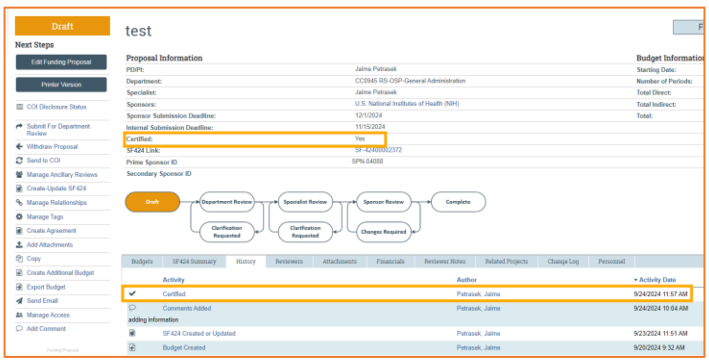


Navigate to the Proposal Workspace.

On the Proposal Workspace, click the Certify activity to start the certification process.



PIs should review the certification language, add any relevant certification comments and attachments, and click OK to complete the PI proposal certification.



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

Specialist Review

The Specialist assigned in either OSP or a Submitting School completes the final review of the proposal prior to submission. Once a proposal is complete and approved by both the Department and PI, it is ready to be moved to Specialist Review for final review and eventual submission/approval for submission. Specialists will review proposals and reach out with questions as needed prior to final sign-off of the proposal. **Proposal creators should remain available for questions and corrections throughout this final step in the process.**

How to Create Follow-On (NOT NEW) Proposals

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

- Renewal – A competitive application for a new project with a scope based on or related to a current awarded project which is expiring
- Revision (Supplement) – An application requesting additional funding for an active award that has already been set up in Huron and Workday

- Resubmission – An application that a sponsor has reviewed and declined to fund, which the investigator has now modified and is resubmitting for consideration. ** NIH generally allows one resubmission.**

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

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.

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.
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."
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.

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. **Only a Proposal Specialist can mark the Proposal as Not Funded or withdraw the proposal.**

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.”
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.

	**If the sponsor requests a 2nd resubmission, please follow the process below:** Work with your assigned Specialist in either OSP Central or Assigned Submitting School to withdraw the 1st resubmission by reinstating the resubmission proposal, being sure to select "withdrawn from sponsor". Include a note indicating it wasn't funded and that you're creating a 2nd resubmission. Following these steps should allow users to create a 2nd resubmission.

Copying Proposals

A previously created 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.

	When a proposal is copied, the entire file and all attachments are included in the new record. Often, this results in the need to spend time deleting files and outdated information from the record. Please keep this in mind and make sure to completely update the new record if copied.

If you wish to Copy a proposal, 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.