Instructions for Completing the

UTCVM Permission to Apply for External Funding Form

All proposals must be submitted to the Office of Research, along with the Permission to Apply for External Funding Form, at least five (5) business days in advance.

GENERAL: The **Permission to Apply for External Funding Form** is available as a PDF interactive form on the CVM Office of Research Web site {LINK}.

This form is to be completed for all new, competing continuation, non-competing continuation, supplemental, renewal, revision or resubmission proposals and for agreements without prior proposals. All information on this form is essential – any information not provided may cause a regrettable delay in the processing of your proposal/agreement. Because the data from this proposal/agreement will be entered into a computer database, we ask that all instructions be followed explicitly. Please contact the Office of Research if you need assistance (4-5572). We appreciate your cooperation.

DEFINITIONS FOR PROPOSAL TYPE CHECK BOXES:

Proposal – A document in which you, as principal investigator (PI), have set forth a proposed statement of work and an associated budget for funding by an external sponsor.

New – Should be marked if this proposal/agreement is the initial transaction for the proposed activity.

Revision – Should be marked only if this proposal is revising a pending proposal, i.e. the proposal has not yet been funded, or was withdrawn or rejected by the sponsor.

Agreement – A legal document that (1) did not result from a formal proposal and (2) sets forth terms and conditions to which the University and the sponsor may agree to be bound contractually in order to carry out a sponsored activity.

Competing Continuation – Should be marked if this proposal/agreement is for the continuation of an existing sponsored activity that has to compete with other proposals at the sponsor. Please provide the previous WBS element (restricted expenditure account number) or proposal identification number.

Non-Competing Continuation – Should be marked if this proposal/agreement is for the continuation of an existing sponsored activity that does not have to compete with other proposals at the sponsor. Please provide the previous WBS element (restricted expenditure account number).

Supplemental – Should be marked if this proposal is for supplemental funds on an existing project and in the same project year. Please provide the previous WBS element (restricted expenditure account number).

Renewal – Should be marked if this proposal/agreement is for the renewal of an existing sponsored activity that has to compete with other proposals at the sponsor. In most cases, continuation and renewal are interchangeable terms; however, they are appropriate for certain federal agencies, e.g., National Institutes of Health, certain Department of Defense agencies, etc. Please provide the previous WBS element (restricted expenditure account number).

Resubmission − Should be marked only if this proposal is a submission of a proposal previously submitted to the same sponsor and that was either withdrawn or rejected by that sponsor, and it is now being resubmitted for new evaluation.

NUMBERED ITEMS:

1. Provide the title of the project as it appears on the proposal cover page or in the agreement. If the proposal or agreement is other than a new request, either (a) provide the identical title as in previous submission(s), or (b) indicate that a title change has been made.

2. Provide the name of the PI and names of all other <u>UT</u> researchers who play a significant role in the research as co-investigators (co-PIs). While there are only five lines provided on this form, you may attach an additional page that provides the identical information requested in this section for each additional person.

Furnish the department name, telephone number, and the E-mail address of each PI.

Under **Account Setup**, indicate each PI who will receive his/her own WBS element by marking the check-box next to his/her name. If there is one PI on the project, you will check only that PI's Account Setup box. If there are 3 investigators but only one investigator responsible for all the funds, check only the Account Setup box next to his/her name. If you have three PIs, each receiving his/her own WBS element, check the Account Setup box next to each name. If multiple WBS elements are to be established, you must submit an internal-purposes-only budget for each PI along with your proposal.

In the **% Effort** column, indicate the percent effort of the project to which each investigator is entitled. The percentages in this column are irrespective of how funds may be split among various WBS elements.

3. Enter on the first line the UT department name and cost center that will receive all or partial credit for this project. The second line should be used to list a second department and cost center, and the third line should be used to list a third department and cost center.

4. **Agency/Sponsor** - Please do not use abbreviations or acronyms – spell out the sponsor's name, ensuring that the information for complete sponsor address* and contact person is provided. Complete the request for country only if the sponsor's location is outside the United States. If the sponsor noted above is receiving its funds for this proposed project

from another source, enter the name of that source in the field "Prime Sponsor". Otherwise, leave the "Prime Sponsor" space blank. For example, if the proposal is being submitted to another university which in turn will submit the combined proposal to NIH, then the sponsor will be the other university, and the prime sponsor will be NIH. But, if the proposal is being submitted directly to NIH for funding included in NIH's budget allocation from the federal government, there is no higher tier sponsor, so the prime sponsor field should be left blank.

5. Show the **Initial Performance Period** for the first year of this proposal for which new funds are being requested/awarded by this proposal/agreement. Indicate the total funds requested/awarded for the first year of this proposal/agreement.

Show the **Total Performance Period** for which new funds are being requested/awarded by this proposal/agreement. Indicate the funds being requested/awarded for the total performance period for this proposal/agreement. Do not indicate performance periods from previous awards or funds awarded in prior years.

6. Indicate the number of graduate research assistants (GRA's) who will be working on this project – not FTE's, but actual headcount.

7. Indicate the percentage of effort that will be performed on campus and provide the on-campus location (building name and room number[s]).

8. Indicate the percentage of effort that will be performed off campus and provide the off-campus location (name and address).

Note: The percentages of effort on-campus and off-campus must total 100%.

9. If this proposal must be submitted electronically, indicate whether it is to be submitted via Grants.gov or some other electronic means, e.g. NSF's Fastlane, E-Mail, Proposal Central, etc.

10. Indicate the date by which this proposal must be received by the sponsor, if applicable, and whether its due date is the date the proposal is postmarked or the date the proposal is received by the sponsor.

11. Indicate the university's applicable facilities and administration (**F&A**) **audited rate** according to its rate agreement with the US Department of Health and Human Services. The full contracted rate for the university is 45%.

12. Indicate the **allowable rate** for F&A if different from the audited rate, i.e. the rate mandated by the sponsor.

13. Check the applicable Yes/No box, and provide the total all years cost sharing amount in the space provided. If sharing of direct costs is being committed from an account other than the Office of Research, include in the separate request the account number(s), amount(s) to be charged, and the signature(s) of someone authorized to commit funds from the account(s). If sharing of direct costs is being requested from, and is approved by, the Office of Research, this office will furnish the appropriate account number.

14-26. **Compliance and Miscellaneous Proposal Information (check all that apply):**

NOTE: If you check any item(s) 14-26 requiring review and approval, you must submit any requisite paperwork to the appropriate review committee **PRIOR TO** conducting the relevant project activities.

27-32. **Export Control Information:** Check the appropriate Yes or No box as applicable for this proposal; and if item 32 is applicable, list the country(ies) you plan to visit in the performance of this project.

33. **EACH PI SHOULD CAREFULLY READ THE PRINCIPAL INVESTIGATOR(S) CERTIFICATIONS**.

34. Each PI must sign the Document Review/Approval area indicating his/her agreement with the entire proposal and with all certifications set forth in item 33. **"Per" signatures are <u>strongly</u> <u>discouraged</u>; but if used, they are considered to be with the consent of the PI. "Per" signatures do not relieve the PI of his/her obligations for the proposed project.** This form must be signed by each department head and dean/director whose resources will be involved in the proposed project. If faculty/staff from another UT campus is involved, that campus' PI(s), department head(s), and dean(s)/director(s) must sign either this Permission to Apply for External Funding sheet or its own version of an internal routing/approval sheet. If a separate routing/approval sheet is signed, a copy must accompany this Permission to Apply for External Funding form to the Office of Research.

    While only five lines are provided for signatures, additional signatures may be penned on the reverse side of the form or on an attached sheet.

NOTE TO DEPARTMENT HEAD(S)/DEAN(S)/DIRECTOR(S): Your signature hereon indicates you have reviewed this proposal/agreement to whatever extent you deem appropriate, and that you concur with its entire contents and the obligations associated therewith, including any cost sharing indicated in an attached written request for cost sharing.