SUBMITTING AN INTERNAL PROCESSING FORM (IPF) IN RAMSES

Funding Agency: Select in the pop-up window the Agency/Sponsor that will directly fund the research/project at UNC-CH. If the Sponsor is not listed, select "Organization Not Listed" and you may type in the name of the Sponsor.

Funding Opportunity/Sponsor Application Number: enter the alphanumeric number provided by the Sponsor for this proposal.

Proposal Guideline URL: enter the web address of the guidelines/instructions associated with the Sponsor's application.

Prime Funding Agency: (If Applicable) the Prime Funding Agency applies when the University receives a subagreement from a pass-through entity. (NIH awards a grant to Duke and Duke awards a subaward to UNC-CH. NIH is the Prime Funding Agency, and Duke is the Funding Agency.)

Project Name: This may be different from the "Project Title" and is used for tracking purposes.

Initial Start Date: Please use the calendar to select an initial start date.

Project End Date: Please use the calendar to select a project end date.

Activity Type or Chess Code: Please select the most appropriate activity type from the drop-down list, please reach out to your department's SPS for assistance.

Proposal Type (Please select one):
- Supplement: Select if requesting additional new funding, extending the period of performance or requesting a change in the scope of work on an existing award.
- New: Select if you are requesting new funding **NOT** associated with an existing contract or grant.
- Non-Competing Continuation/Progress Report: Select if requesting the release of funding previously committed by sponsor/agency for an existing contract or grant.
- Renewal (competitive): Select if requesting new funding for the continuation of an existing award to establish a new budget period.
- Resubmission or Amendment: Select if a previously submitted proposal is being reviewed for funding by the sponsor. The submission of a revised request would occur for the following reasons:
    o Revised Personnel
    o Revised Cost Share
    o Revised Budget

If this proposal does not meet one of these proposal types, please contact your department's Sponsored Projects Specialist (SPS) for assistance. Click here to find your SPS.

Award Type: Select the appropriate agreement type, please contact your department's Sponsored Projects Specialist (SPS) for assistance. Click here to find your SPS.

Will this proposal be submitted electronically to the Sponsor? Indicate if this proposal is being submitted by some electronic method to the sponsor.

- <u>Select electronic method:</u> Choose one of the following: Grants.gov, website, email, other.

- <u>Does the sponsor require a paper copy of this proposal or any part there of?</u> Please indicate if any hard copy documentation is required to be submitted to the sponsor. If so, it will be necessary to send the appropriate documentation to the administrative office (OSR, SPO, or OCT). (The PI and eIPF creator will receive an email directing them to provide the cover sheet and any hard-copy documents once the eIPF has been approved by all departments.)

Is this a SNAP? Please indicate if this proposal is being completed for a SNAP.

Award Admin Department (Lead Unit): Select the UNC-CH Department that has the responsibility to manage the contract or grant.

Affiliated Center/Institute: Select other UNC-CH Centers/Institutes that will contribute space, personnel, or equipment to this project.

Sponsor Deadline: Enter the date by which the proposal must be received by the Agency/Sponsor. IPF's must be submitted 5 days prior to this to the appropriate administrative office for review.

Previous Account Number (xxx-xxxx): If this proposal amends, supplements, renews or continues an existing project, provide the most recent UNC-CH account number. This information will assist in proposal review.

Title of Project: Include the full title of the proposal which UNC-CH is submitting to the Funding Agency. This title should match the title on the cover letter and face page to the sponsor and the abstract.

Provide the requested information about all individuals involved with this proposal.

Note: The research team must include individuals named on the budget, as well as administrative contacts and investigators whose research protocols (human and animal) may be used on the project (if applicable).

PERSONNEL

Add Investigator Information: click the look-up icon, and a pop-up window will appear to allow you to search the UNC database by last name. Lead Principal Investigator **MUST BE** entered first. If the individual cannot be found, select "Person Not Listed" at the bottom of the screen, and a window will appear to allow you to add the individual manually. Please provide the person's PID (if known), first name, last name, and click "Submit." Lead investigators must meet the [University's PI Eligibility Requirements](#).

For each research team member, enter the corresponding phone, email address, department, role (see below), and expected percentage of effort (see below). In addition, if an individual holds dual appointments, please confirm the department on the IPF is correct.

Roles:
- <u>Lead Principal Investigator</u>: Every proposal must have one Lead Principal Investigator (PI). This individual is responsible for the technical, regulatory and financial aspects of the project. For additional guidance on this policy, please contact your department's Sponsored Projects Specialist (SPS) for assistance. Click [here](#) to find your SPS.

- **Principal Investigator**: This individual should only be selected if the Sponsor allows for multiple PIs, and must meet all of the criteria for a PI. Other roles that may fall under this designation include: Research Scientist, Research Specialist, Research Associate, or Scholar.
- **Investigator**: This individual is considered to be a primary contributor to the successful conduct of a research project; any person who is responsible for the design, conduct, or reporting of research.
- **Postdoctoral Research Associate**: This individual has received a doctoral degree and serves on the research project.
- **Fellow**: This individual is a student, pre or postdoc applying for a fellowship or support for dissertation research whose mentor is the Lead Principal Investigator on this proposal.
- **Undergraduate Student**: This role defines an undergraduate student who does not meet the definition of "Fellow."
- **Graduate Research Assistant**: A post-baccalaureate student who serves on the project.
- **Clinical Research Coordinator**: This individual has significant responsibility for the conduct of a human subjects study.
- **Project Manager**: An individual involved on a limited basis such as on program project grants or on a clinical trial.
- **Technical Staff**: This individual performs standardized or routine measurements, analyses or procedures in support of the research project.
- **Administrative Contact**: This individual has proposal edit rights, but is not named on the budget (e.g., department contract and grant manager).
- **Administrative Assistant**: This role is used on a limited basis on eligible funding opportunities, for example, program project or state contracts.
- **Other Key Participant**: A person contributing effort to the research that does not fit the roles defined by the existing roles.

Sponsored Effort %: The individual's total effort on the project.

Cost Shared Effort %: The portion of the individual's total effort that will be cost-shared.

Total Calendar Months: here are three basic salary (wage) bases: Calendar Year, Academic Year and Summer Term. Here is a breakout for each:
- Academic Year (AY) 9 months 39 weeks 273 days
- Summer Term (SM) 3 months 13 weeks 90 days
- Calendar Year (CY) 12 months 52 weeks 365 days

REGULATORY COMPLIANCE

Conflict of Interest
The University of North Carolina at Chapel Hill recognizes that conflicts of interest will arise from the research enterprise, from technology transfer activities, and from the many facets of our Principal Investigator's professional activities. We seek to identify and manage these conflicting relationships, restricting activities where necessary, to preserve transparency, independent decision-making, protection of research subjects, and integrity of the educational experience.

For more information, please see:
- UNC Conflict of Interest Program (COI)
- Individual Conflict of Interest and Commitment Policy

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- [Institutional Conflict of Interest Policy](#)
- [External Professional Activities for Pay (EPAP) Policy](#)
- [Conflict of Interest Disclosure Tree](#)
- [Training](#)

Human Subjects

Use the magnifying glass to allow you to identify all human subject protocols for every member of the research team listed on the Investigator/Research Team section. Select the relevant protocol(s) that are associated with this proposal. The remaining yes/no questions are necessary for IRBs to accurately link research proposals with the approved protocol(s).

If the proposal involves human subjects and no submission to the IRB has been made, indicate:
- JIT: (Just in Time processing) the review package will be submitted for IRB review once UNC-CH is notified that funding/award is imminent.
- Not Submitted

Note: no funding may be used for human subjects research until an approved protocol is in place.

Animal Subjects

Use the magnifying glass to allow you to identify all animal protocols for every member of the research team listed on the Investigator/Research Team section. Select the relevant protocol(s) that are associated with this proposal. The remaining yes/no questions are necessary for the IACUC to accurately link research proposals with the approved protocol(s).

If the proposal involves animal subjects and no submission to the IACUC has been made, indicate:
- JIT: (Just in Time processing) the review package will be submitted for IACUC review once UNC-CH is notified that funding/award is imminent.
- Not Submitted

Note: no funding may be used for animal subjects research until an approved protocol is in place.

Research Materials

Specific types of research materials may require additional approvals and/or protocols in place prior to their use for research. Please click here for more information on research materials.

SUBCONTRACTORS

If subcontractors are included as part of the proposal, list the following for each subcontractor:
- Name of Subcontractor
- Statement of Work
- Budget
- Budget Justification
- If NIH, 398 and 2590 face page, budget pages for initial and out-years, budget justification, checklist, and UNC Subcontract Commitment Letter
- If NIH is not the Sponsor Agency, a UNC Subcontract Commitment Letter
- the negotiated Indirect Cost Rate Agreement, as applicable
- Representations and Certifications, as applicable

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Begin Date: The start date for the initial period/first year of the project. Click the graphic next to the field to select the date.

End Date: The completion date of the initial period/first year of the project.

Direct (no commas): The estimated Direct costs for the first budget year of the project.

F&A base: This defaults to Modified Total Direct Costs, but not all awards use that base type, determine if this is a Modified Total Direct Costs, Total Direct Costs or Sponsor Specific base per published guidelines. Please contact your department's Sponsored Projects Specialist (SPS) for assistance. Click here to find your SPS.

F&A Rate: The F&A rate defaults to the current University Organized Research rate, but may be changed by simply clicking "Change Rate" to the appropriate sponsor listed rate or another rate as required.

F&A Amount: Click "Calculate Amt" to obtain the product of the F&A base and the F&A rate. If necessary, this field may now be edited manually if the F&A Base in not MTDC.

Initial Funds Req: This field may either be calculated by clicking "Calculate Total" or changed manually.

Total Period (Total Request): Enter the corresponding information for the Total Period.

COST SHARING OR CASH MATCHING (INITIAL/CURRENT BUDGET PERIOD)

Does the proposal include funds or contributions in the form of cost sharing or cash matching? Please indicate whether this proposal commits the University, the Department/Institute, and/or a subcontractor to provide cost sharing or cash matching in support of this project.

NOTE: All cost sharing must be documented in accordance with established criteria. The Lead Principal Investigator and his/her Department Chair must concur with and commit to any cost shared resources.
If yes, answer the following question: Please enter the expected cost share amount and the expected cost share account code.

If yes, check the appropriate type(s): Please check all that apply.

- Agency Mandated: Cost sharing which is required either by Federal statute or established by Sponsor policy. The costs are documented and are necessary and reasonable for proper and efficient accomplishment of project objectives.
- Voluntary (Mandatory if Awarded): Cost sharing which is not required by Federal statute or sponsor policy, or which is in excess of any such stated requirements and is volunteered to substantively demonstrate the collective university commitment to a project. Strongly discouraged by the University.
- F&A Reduction: The PI elects to provide cost sharing by reducing the full indirect cost rate applicable to the project. This type of cost sharing requires approval by OSR using the forms located on OSR's website. Please see OSR Operating Standard 300.9 for more information on F&A Costs. T:
- In-Kind: Normally encountered in public service-oriented projects involving the contribution of services from outside the University. Although the University does not pay for such services, these must be

documented and should, at a minimum, entail a record of dates and time donated by the individual. IMPORTANT: FAILURE TO MEET OR ADEQUATELY DOCUMENT IN-KIND CONTRIBUTIONS COULD RESULT IN A PRO-RATA PORTION OF UNIVERSITY-INCURRED COST BEING DISALLOWED AND THE CREATION OF A SERIOUS FINANCIAL PROBLEM.

- Matching: Involves a University contribution of funds specifically appropriated for and allocated to the project. The allocation and billing of the project costs are processed in accordance with the agreement such as 75% Federal and 25% non-Federal.
- Salary Cap: A mandatory form of cost sharing whereby a sponsor (typically the NIH) limits the salary payable to a PI.
- Other: Use this field to describe other types of Cost Sharing or Cash Matching.

Are you requesting the Vice Chancellor for Research provide funds to support this proposal? Please indicate whether this proposal commits the University (not the Department/Institute) or a subcontractor to provide cost sharing or cash matching in support of this project.

F&A SHARING

Do you need additional resources to do this project over and above what is requested in the proposal budget: If yes, check any that apply, and provide justification for each in the space provided. Also, indicate if approvals from your (or other) department(s) have been obtained.

F&A Sharing
This tab allows the IPF creator to designate how F&A will be distributed between collaborating departments when the Lead Principal Investigator's and a Co-Principal Investigator(s)' home departments are not the same.

The shared F&A percentages will be pre-populated in accordance with the standard formula for the distribution of F&A recoveries outlined in the policy on Sharing of Facilities and Administrative (F&A) Cost Reimbursements in Collaborations. This standard formula is not fixed (except for the 3.9% for the Dean or Vice Chancellor) and may be revised based on negotiations and agreement between departments; however, any accepted redistribution of the percentages must always total 19.5%.

- 3.9 % Dean or Vice Chancellor
- 5.2% Home Department(s) of Principal Investigator(s) and any Qualifying Co-Investigators
- 5.2% Unit where the award is administered
- 5.2% Units(s) where work is actually performed (note: if the unit and F&A percentage is already listed above, enter the unit again and indicate zero F&A percent)

Note: At this time, the "F&A Sharing" tab on the IPF is strictly for documentation of departmental F&A recovery. All departments are strongly encouraged to revisit and review their internal processes for routing and approving IPFs when the project involves a Lead PI and collaborating Co-PI(s) from different home departments. The OSR, SPO, and OCT will accept the distribution of F&A as submitted in the eIPF and not attempt to verify or change this information.

EXPORT CONTROL

Federal laws and regulations control the transport and distribution of sensitive items and information with foreign entities whether in the United States (U.S.) or abroad. OSR in conjunction with Office of University Counsel and Environmental, Health and Safety Office will assist PIs in assessing the application of such

regulations, but primary compliance responsibility will rest with the Lead Principal Investigator of the research. Below is a list of external sites to assist with export control regulations:

- Commerce Control List
- U.S. Munitions List
- Sanctions Lists

Do you anticipate sending/transporting anything or receiving anything from outside of the US?
This applies to both actually exporting or importing equipment or other items or hand-carrying items into or outside of the country.

Do you anticipate any travel outside the US associated with this project?
This applies to any member of the research team.

Will you send your research results to a foreign country or foreign national?
This applies to unpublished documentation as well as published work. The term "foreign national" is defined as a person (natural person as well as a corporation, business, association, partnership, society, trust, or any other entity, organization, or group, including government entities) who is not a lawful permanent resident of the United States (i.e. an individual who has not been lawfully accorded the privilege of residing permanently in the United States as an immigrant in accordance with the immigration laws or who is not a protected individual. (A "foreign national" is a person that has not been issued a "green card" by the U.S. government, or who possesses only a student visa)

Is any member of the research team a foreign national? See above for definition.

INTELLECTUAL PROPERTY

Management of intellectual property has significant overlap with the management of sponsored research. Contractual terms in sponsored research agreements and licensing or material transfer agreements can sometimes conflict. Your answers to these questions will help us speed communication and avoid problems that may delay your project.

For additional information regarding any of the Intellectual Property questions, please contact your Sponsored Project Specialist and the Office of Commercialization and Economic Development.

- Disclosure: Disclosure refers to the submission of a Report of Invention (ROI) to the Office of Commercialization and Economic Development. An ROI may lead to the filing of a patent application and may further lead to commercial licensing of the invention, regardless of whether a patent application was filed. An ROI may be submitted electronically at Please see UNC's Patent and Invention Policy for more information.

- Patent: A patent is a Federal grant based on an invention, which gives the holder the right to exclude others from making, using, or selling the invention. A patent application gives notice that such rights may arise in the future. However, the right to exclude others begins only when the patent is issued. Sponsored research projects may contemplate further development of UNC inventions claimed in a patent or patent application, or patented inventions owned by outside parties may be relevant to the project. Such situations require that OSR take care to address these issues appropriately in the sponsored research agreement. Please see UNC's Patent and Invention Policy for more information.

- <u>Transfer Agreement</u>: A transfer agreement can be a Material Transfer Agreement (MTA), academic or research use license, or any other written agreement under which the UNC researcher has obtained the limited right to use something owned by another entity. UNC researchers also share materials with outside parties under an MTA or other forms of research use licenses. These types of agreements must be reviewed and signed by a University Authorized Official in either OSR, Office of Clinical Trials or Office of University Counsel.

- <u>License</u>: A license is a written agreement whereby the owner of property grants limited rights in that property to another. A commercial license for tangible property (material) or intellectual property typically grants the right to make, use or sell the property.

If a UNC invention is licensed to a commercial entity and is also to be used or further developed in the proposed research, OSR must take care to avoid granting rights in that invention to the sponsor.

Is this proposal an SBIR (Small Business Innovative Research Program)?
SBIR is a program is a highly competitive program that encourages domestic small businesses to engage in Federal Research/Research and Development (R/R&D) that has the potential for commercialization. Please see the Office of Commercialization and Economic Development for more information.

Is this proposal an STTR (Small Business Technology Transfer Program)?
STTR is another program that expands funding opportunities in the federal innovation research and development (R&D) arena. Central to the program is an expansion of the public/private sector partnership to include the joint venture opportunities for small business and the nation's premier nonprofit research institutions. Please see the Office of Commercialization and Economic Development for more information.

COMMUNITY ENGAGEMENT

All sponsored programs provide benefits in the sense of institutional support, employment, training of students, and the economic multiplier effect (e.g., university, employee, student, and visitor spending). However, this question addresses projects that emphasize benefits to North Carolina citizens beyond the immediate university community. Please check all that apply to this project.

Will this project:
- Affect Economic Development in North Carolina?
- Provide Community Service in North Carolina?
- Address the General Education, Health, or Welfare of North Carolina Citizens?
- Involve research with an Institute or Center within UNC-CH?

Click here for a listing of Centers and Institutes at UNC-CH.

LOCATION OF SPONSORED ACTIVITIES

On-Campus Locations:
This is a free text field. Enter specific campus location(s) where research will be conducted. Please be as precise as possible.

Out-of-State Locations:

In the drop-down box, select the state(s) in which sponsored activities will occur. More than one state can be selected, or all states can be selected.

NC County Locations:
In the drop-down box, select the county(ies) in which sponsored activities will occur. More than one county can be selected, or all counties can be selected.

Out-of-Country Locations:
Please select the name(s) of the country(ies) where sponsored activities will occur.

APPLICATION ABSTRACT

Please select a CIP code (Science Code) that describes the type of research contained in this proposal: The CIP is a taxonomic coding scheme that contains titles and descriptions of primarily postsecondary instructional programs.

For additional information on Science Codes, please visit the National Center for Education Statistics website.

ATTACHMENTS

You may add as many attachments as necessary. These attachments will be viewable to all the IPF approvers across campus that are listed on the "Approving Departments" tab. You may edit and/or remove an attachment before it is submitted. Once submitted. However, attachments may only be viewed.

Within the RAMSeS system, these documents will be labeled 'IPF' indicating that they were uploaded during the submission of the IPF. Please label what these documents are clear and with dates (i.e., Budget, F&A Waiver, Sponsor Guidelines).

Additional proposal documents may be uploaded after the IPF has been submitted and assigned for viewing. Any document uploaded after the IPF is submitted will be automatically viewable by the Admin Office as well as OSR, OCT, and SPO. Such documents may include JIT a copy of the IRB or IACUC approval documents. Within the RAMSeS system, these documents will be labeled 'Post Approval' indicating that they were uploaded after the IPF was submitted.

APPROVING DEPARTMENTS

Please review the "List of Approving Departments" at the bottom of this screen.

Note: the Award Department is always listed first and cannot be changed or removed. The additional departments listed are those that must approve the IPF. The routing order for these departments can be made sequential or concurrent by changing the number in the drop-down box. You may add other departments by clicking the magnifying glass icon and choosing from the alphabetical list. You can only remove a department with a "Remove" field next to the role.