Proposal/Award Processing Form (PAP) Prompt List

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PLEASE NOTE:

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BASIC INFORMATION

1. **Title**

   Enter the title of the sponsored project.

2. **Primary Awardee Department**

   This field will be populated with the PIs home department by default. If the award will be established in a different department, use the pull-down arrow to select the correct department.

3. **Type**

   Select the button corresponding to the type of proposal you are creating. The options are:
   - **New** (proposing a project that has not yet been funded)
   - **Competing Renewal** (proposing an additional period of funding for an ongoing project; must compete for funding)
   - **Noncompeting Renewal/Continuation of USC Account** (proposal to fund the next budget period of a current award; do not need to compete for funding). Use this proposal type for National Institutes of Health (NIH) Research Performance Progress Reports (RPPR).
   - **Supplemental** (proposal is requesting additional funds for a current award to cover increased costs or expanded scope of work)
   - **Revision** (proposal has been changed based on reviewer comments and is being resubmitted to the same agency)

   USC account number is required for Noncompeting Renewal/Continuation of USC Account or Supplemental: If your proposal is a continuation or supplement to an ongoing sponsored project, enter the current project account number here.

4. **Grants.gov Workspace ID - Optional**

   If you are submitting your grant application through Workspace in Grants.gov, then you will need to add the Workspace ID into this field. This will allow your SAM Administrator to locate your application for final review and submission quickly (e.g., Workspace ID: WS00086478).

Project Dates

5. **Start Date**

   Click the calendar icons to select the proposed project start date.

6. **End Date**

   Click the calendar icons to select the proposed project end date.

7. **Agency Deadline Type**

   Select the radio button corresponding to the type of deadline occurring on the selected date. Options are:
   - **Postmark** (proposal package must be postmarked by the deadline date)
     If USC is a subrecipient, list the date the prime institution needs your materials. Please do not list the date the application is due to the sponsor.

- **Receipt** (the funding agency must receive the proposal package by the deadline date)
- **No Specific Deadline** (proposal may be submitted at any time throughout the year; the date selected is a self-imposed due date)

a. For proposals that must be postmarked or have a receipt deadline date, click on the calendar icon to select the date the proposal is due to the funding agency.

You must click the "Continue" button to save the information and proceed to the next screen.

SOURCE OF PROJECT AND SPONSOR

Internal Requests

1. **Is this an internal request?**

   Answer "Yes" if you are seeking funding from a department within the University of South Carolina (the Office of the VP for Research or the Provost's Office). Selecting "Yes" to this question will generate two new fields. Choose the appropriate program from one of these two fields:
   - Vice President for Research
   - Office of the Provost

   Answer "No" if you are seeking funding from a source external to the university.

Sponsor

2. **Project Source**

   Use the radio buttons to select the type of agency/entity from which the funds are being requested. Options are:
   - **Federal – (FED)**
   - **State – (STA)**
   - **Local Government – (LOC)**
   - **Private, Foundations, Non-Profit – (PHI)**
   - **Commercial – (COM)**
   - **Other – (OTH)**

   If the sponsor is marked Federal, the Federal Approval form will generate on the Summary Page in the Forms section. This form should be completed by the Principal Investigator.

   Note: If the agency/entity has been awarded federal funds, then choose Federal. If the agency/entity received funds from the State of SC, then choose State.

3. **Project Purpose**

   Use the radio buttons to select the purpose of the project being proposed. Options are:
   - **Research**
   - **Service**
   - **Training**
       - **a. Research Purpose**
         Use the radio buttons to select the type of research you are conducting. Options are:
           - **Applied**
           - **Basic**
           - **Development**
           - **Research Training**

4. **Sponsoring Agency**

   Enter the name of the sponsoring agency for the proposed project. If the Sponsoring Agency (another institution) received funds for the project from another party (i.e., state, federal or industry sponsor), list the name of the Sponsoring Agency first followed by a slash (/) and the name of the prime awarding agency. Example: Clemson University received funds from NSF for the project. The entry would be written as follows: Clemson University/NSF.

5. **Sponsor Address**

   If you are proposing a project to a non-federal agency, enter the name of the contact and the address as well as a phone number and email address.

Solicitation

6. **Program Type**

   Use the dropdown menu to select the type of project being proposed. Options are:
   - **N/A Not applicable** (none of the Program Types below fit the proposed project)
   - **Appropriated Funding (SC General Assembly)**
   - **Artistic Pursuit** (proposing funds to present an artistic work)
   - **CAREER/Faculty Developmen**t (proposing to a program offered by NSF or other entity for the support of early career-development activities)
   - **CESU** (proposal submitted in conjunction with the Cooperative Ecosystem Studies Unit Network)
   - **COEE** (proposals submitted to the Centers of Economic Excellence program)
   - **EPSCoR** (proposal submitted to Experimental Program to Stimulate Competitive Research program)
   - **Equipment or Materials** (funding targeted toward the purchase or use of equipment or materials required to conduct research)
   - **FIPSE** (proposal submitted to the Department of Education's Fund for Improving Postsecondary Education program)
   - **Facility or Construction** (funding targeted toward the purchase or construction of special facilities required to conduct research)
   - **Fellowship/Graduate Research** (funding for specialized training for graduate student(s))
   - **Fellowship/Undergraduate Research** (funding for specialized training for undergraduate research)
   - **Meeting or Conference** (funding to either attend or organize a meeting, conference or seminar)
   - **Publishing or Editorial** (subvention for publication costs of journals, manuscripts, texts, documents, and translations of works) Note: Selecting this type automatically adds the Dean of the College of Information and Communications to the approver list for the proposal.
   - **SBIR** (proposal submitted to a business who is submitting to the Small Business Innovative Research program)
   - **STTR** (proposal submitted to a business who is submitting to the Small Business Technology Transfer program)
   - **TRIO** (program offered by Department of Education)

7. **URL of Sponsor Guidelines**

   The PI **must** provide a URL of the guidelines or funding announcement. Enter the web address of the guidelines or funding announcement.

8. **Is this proposal in response to RFA/RFQ/RFP?**

   Select the appropriate button to indicate whether your proposal is in response to a RFA (Request for Application), RFQ (Request for Quote) or RFP (Request for Proposal).

9. **Is this project a collaboration with Clemson University?**

   If personnel from Clemson University will be collaborating on your proposed project then answer "Yes", otherwise click "No".

10. **Is this project a collaboration with MUSC?**

    If personnel from the Medical University of South Carolina will be collaborating on your proposed project then answer "Yes", otherwise click "No".

11. **Is this project a collaboration with any other institutions?**

    If personnel from another institution will be collaborating on your proposed project, then answer "Yes", otherwise click "No".

Name of the Institution(s)

   If you select "Yes" to indicate collaboration with any other institution(s), enter the name of the institution(s) in the text box provided. Separate multiple institutions by a comma (,). If additional space is needed, use the Comments box on the "Questions" tab to list the institution(s).

You must click the "Continue" button to save the information and proceed to the next screen.

PERSONNEL
Personnel and Effort Expended on the Project
Principal Investigator

This section will populate automatically with the name of the PI, department, and role on the project. The PI should review this section to ensure all the information is correct. Click the "Edit" button next to your name.
- Effort Commitment
  Input the amount of effort that will be expended in the first year of the project (calendar year, academic year, or summer months). If you are in a calendar year position, you cannot also list academic/summer months. You can enter either the months or the percentage. The empty field will populate automatically.
- Salary
  Input the amount of salary support being requested from the sponsor for the first year of the project (Do not enter your total institutional salary). This section should reflect only salary support and not include fringe benefits.

Click the "Add Personnel" button to generate a pop-up window where you can search for and add additional personnel from the University of South Carolina to the proposal. You can search by first name, last name or by department. Once their name appears on the right side, click on their name. If the person you are searching for is not in the directory, then he/she will need to create an USCeRA account.

Once they are added choose the radio button which fits their role best: The choices are:

- **PI**
- **Co-PI**
- **Key Personnel/Co-Investigator**
- **Other**

Note: USCeRA only allows for the addition of four Co-PIs. If additional Co-PIs are needed, they must be listed as Key Personnel. Similar to the PI area enter the effort commitment and salary information.

- Input the amount of effort that will be expended in the first year of the project (calendar year, academic year or summer months).
- Input the amount of salary support being requested from the sponsor for the first year of the project (Do not put the total institutional salary). This section should reflect only salary support and not include fringe benefits.

If awarded, will this project require more than one account to be set up?

If more than one account will be needed when the grant is award, click "Yes, otherwise choose "No". If you are unsure about whether a separate account needs to be set up, then choose "Contact PI". When the award is issued, your SAM administrator will contact the PI or departmental administrator to confirm if separate accounts are needed.

If the answer to this question is "Yes", a separate Excel budget spreadsheet should be attached to the Proposal Summary page for each account that must be created. The naming convention for each Excel budget spreadsheet should include the department number, PI name and the word "budget" (ex. 21000Smith_Budget.xls). Use the "Comments for Setup of Additional Accounts" box to provide additional instructions on account set-up.

Click the "Continue" button to save the information and proceed to the next screen.

COSTS

Project Costs

1. **Amount Requested for the First or Current Year**

   Enter the total amount being requested for the first year of the project including indirect costs. If the proposal is for a continuation, rather than a new sponsored project, enter the amount requested for the current project year.

2. **Project Years**

   Enter the total number of project years.

3. **Total Amount Requested for All Project Years**

   Enter the total amount requested for all years of the project including indirect costs.

Indirect Costs

4. **Campus**
   This field will automatically identify the home campus of the PI.

5. **Indirect Cost % for the First Year**

   Enter the indirect cost rate (a percentage also known as the facilities and administration rate) that is included in the budget. The maximum rate allowed by the sponsor should be included in your budget.
   The federally negotiated USC rates are displayed in the grid next to this question.

6. **Indirect Cost Amount for the First Year**

   Enter the total dollar amount of indirect costs for the first year only.

7. **Are you proposing to use an indirect cost rate lower than USCs negotiated rate?**

   If an indirect rate other than one of the USC federally negotiated rates is applied to the budget then check "Yes".
   The federally negotiated USC rates are displayed in the grid next to this question.

a. **Reason for Lower Rate**

   You will be prompted to choose **one** of the following two answers:

   - *The sponsoring agency has a formal policy limiting indirect costs*

     Choose this answer when the sponsor has clearly indicated in the solicitation or guidelines that they do not allow indirect costs or limit the indirect cost recovery rate.

     b. *Please provide a document detailing the sponsor's policy via one of the following methods:*

- Provide a link to the sponsor's policy document that states the limitation on the indirect cost rate.
- Alternatively, you may upload a copy of the document that states the limitation on the indirect cost rate which will automatically populate on Proposal Summary page.

- *Voluntary reduction in rate or waiver of indirect costs*
  Choose this answer when a request is being made to perform the project without applying the full indirect cost rate..

  b. *Please explain the benefit to USC in waiving indirect costs for this project*
     Justify the benefit to USC and the State of South Carolina in waiving the indirect costs for this project.

NOTE: Under SC State Law, USC cannot waive indirect costs on any **federally funded non-research** (i.e. service or training) project with an annual budget of over $200,000.

You must click the "Continue" button to save the information and proceed to the next screen.

QUESTIONS

This portion of the PAP form includes a series of "Yes" or "No" questions. Some of these are multi-part questions, and some, when answered in the affirmative, will generate conditional follow-up questions or forms. The PI should be completing this section, especially questions 8, 9, 10, 13, 14 and 16-21.

General Questions

1. *Does this proposal involve cost sharing?*
   Answer "Yes" if cost share is required or included in your proposal. Answering "Yes" generates the Cost Share form on the Proposal Summary page that must be completed. In addition, upload documentation that confirms the cost share commitment to the project. Any such documents are to be uploaded to the Proposal Summary page.
2. *Faculty release time?*
   Answer "Yes" if you are a faculty member whose participation in this project would require you to be released from your teaching load.
3. *Human subjects?*
   Answer "Yes" if your project involves human subjects.
   - Answering "yes" to question 12 below will generate a follow up statement: *If "Yes", the proposal must be reviewed by the Institutional Review Board. If you have already received IRB approval, enter the HSA number in the text box, otherwise type "pending".* The HSA number is your Human Subjects Authorization number.
4. *Vertebrate Lab animals?*
   Answer "Yes" if your proposal involves vertebrate animals.
   - Answering "Yes" to this question will generate additional questions. *If* you have already received IACUC approval, provide the *Animal Use Approval Number and Approval Date.*   If you do not have approval yet, type "pending" in the Approval # text box.
5. *Sole source considerations: subcontracts, outside consultants, equipment?*
   Answer "Yes", if there are any of the following: a subcontract, consultant, contractor, or equipment in your proposal budget. This generates one Procurement Certification form on the Proposal Summary page that must be completed:
   - In the first box in the certification form, provide the name(s) of the consultant, contractor, sub-award entity, and/or equipment.
   - In the second box, provide justification to include the area of expertise and the reason why the consultant, contractor, or sub-award entity has been selected to complete a portion of the project. For equipment, a justification is needed for the purchase of the equipment and why it is essential to the project.
   - You must have a separate Procurement Certification form for each sole source consideration in your budget. To generate a new Certification form go to the "Tools" section in the upper right hand corner of the Proposal Summary page and click "Add Certification". Complete the steps above for each form.

6. *Is this project part of a USC intra-university Center or Institute?*
   Answer "Yes" if you are using resources from any USC intra-university Center or Institute. This generates the Centers/Institutes Association form on the Proposal Summary page under "My Forms". Select the Center/Institute from the drop-down list and add any comments in the Comments box. If the Center/Institute is not currently listed in the drop-down list, please email uscera@mailbox.sc.edu.

7. *Will this project require additional space and/or facilities?*
   Answer "Yes" if this project will require the acquisition or construction of additional space or facilities.

8. *Inst. faculty/employees extra compensation, consulting? (Does not apply to summer salary)*
   Answer "Yes", if you are requesting extra compensation for any personnel in this project.

9. *Restrictions on publications in a sponsored project or involvement of proprietary information?*
   Answer "Yes", if the sponsor guidelines include any restrictions on publications. Answering "Yes" generates the Acknowledgement of Publication Restrictions in a Sponsored Project form on the Proposal Summary page under "My Forms". Fill in any restrictions to publishing that appear in the guidelines.

10. *Restrictions/limitations of USC normal intellectual property rights?*
    Answer "Yes", if the sponsor guidelines include any restrictions on proprietary information. This generates the Restrictions on Intellectual Property form on the Proposal Summary page under "My Forms". Completing the form indicates that you are aware that the University will not retain or will only retain partial intellectual property rights on this project. This also adds an approval requirement from the Economic Engagement/Technology Commercialization Office.

11. *Does the Lead PI hold Joint Appointment?*
    Answer "Yes" if the principal investigator holds a joint appointment.

12. *Is this proposal being submitted to the NSF, NIH, or to a Public Health Service Agency (PHS agencies include the CDC, SAMHSA, AHRQ, and ATSDR)?*
    Answering "Yes" generates the status of the Financial Disclosure Forms for key personnel on the Proposal Summary page. Financial disclosures must be completed for all personnel on the project.

13. *Do you, your spouse/dependent children, or other individuals included on this proposal have any financial interest (e.g. ownership, equity, consulting, or management position) related to the work to be conducted under this sponsored project?*
    Answer "Yes" if any of these situations are true.

14. *Is the project being conducted at MUSC VA Facilities?*
    Answer "Yes" if the project will be conducted at MUSC VA facilities. Otherwise, answer "No".

Research Categories

15. *Project involves research in*: Select as many of the below subject areas as apply to your proposal (one or more). If none applies, select "None of the Above."
    - Energy Research
    - Behavioral Sciences
    - Clinical/Translational Research
    - Community Health
    - Economic Development
    - Marine Science
    - Environmental Research
    - Material Science/Nanotechnology
    - Biomedical Sciences

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- SC Community Impact
- None of the Above

Does the project involve any hazardous materials of the following types:

Answer "Yes" if any of these situations are true for your proposed sponsored project and provide the requested information, otherwise answer "No".

16. *Biological materials such as Recombinant DNA or synthetic nucleic acid molecules, Infectious agent(s), Human-derived material, Biological toxin(s) or Select Agents and/or Biosafety Level 3 (BSL-3) research*

       b. Recombinant DNA or synthetic nucleic acid molecules. If 'Yes', provide the IBC approval # and date of approval.

       c. Infectious agent(s)

       d. Human-derived material (e.g. blood, unfixed tissue)

       e. Biological toxin (i.e. toxin of biological origin)

       f. Select Agents and/or Biosafety Level 3 (BSL-3) research

17. *Hazardous chemicals*

       b. Hazardous gas (e.g. toxic, corrosive, pyrophoric)

       c. Hydrofluoric Acid

       d. Organic or inorganice mercury

       e. Other hazardous chemicals

18. *Radioactive materials/substances, x-ray equipment, lasers, or other radiation emitting devices in USC facilities*

       b. Radioactive materials/substances use at USC

       c. USC medical or research X-ray equipment

       d. USC research lasers

       e. Other radiation emitting devices (i.e. strong UV source, magnetic fields)

Foreign Involvement

Answer "Yes" if any of these situations are true for your proposed sponsored project.

19. *Part of project takes place outside the USA or involves shipment of materials or equipment to a foreign country.*: Answer "Yes" if any part of the project will take place outside of the USA or if you will be exporting materials/information to a foreign country, otherwise answer "No".

20. *Project involves foreign entities, collaborators, consultants?*: Answer "Yes" if the project is sponsored by an agency from outside the USA or if any collaborators, consultants or suppliers are from outside the USA, otherwise answer "No".

21. *Country or Countries Involved*. Enter in the text box the country or countries involved in the project.

ASPIRE

Answer "Yes" if any of these situations are true for your proposed sponsored project.

22. Have you received funding from an ASPIRE seed grant?

    Answer "Yes" if you have ever received an ASPIRE grant from the Office of the Vice President for Research.

23. Is this submission the result of an ASPIRE seed grant?

    Answer "Yes" if your proposed project is based on previous research you conducted using an ASPIRE grant, or if it involves equipment or facilities purchased with ASPIRE grant funds.

24. Comments

In the text box provided, enter any remarks or special instructions that need to be noted about the proposal. Be sure to include any necessary reference information for electronic proposals here. It is helpful for your SAM administrator to know which online system you are using for submission. Please include that information in this box (Grants.gov, Cayuse, Research.gov, ASSIST, etc.). If USC is a subrecipient, please list the name and contact information of the prime awardee so your administrator knows where to email your proposal documentation.

Below the "Comments" box is a brief disclaimer. Review the disclaimer before clicking the "Continue" button to save the PAP form.

Notes

Once the PAP form is saved, you can re-open it and make changes as needed.

Once you have saved your PAP form, you will be taken to the Proposal Summary page to complete and/or upload the remaining components of your proposal. Your proposal, at a minimum, should include the following documents: Excel budget spreadsheet, budget justification, and proposal summary. If you have any subrecipients, you will need to include their budget spreadsheet, budget justification, scope of work, letter of institutional commitment from their sponsored programs office and a signed subrecipient commitment form. If there are any consultants on your project, upload their letter of commitment which includes their rate of pay, dates of service and hours committed to the project. If equipment is included in your budget a quote for the equipment should be uploaded. If 3rd party cost share is included, please upload their letter of commitment to provide the matching funds.

My Forms
Based on information you saved in your PAP form, you may be asked to complete supplemental forms in USCeRA. Like the PAP form, these are simple questionnaire-style forms that captures details needed to fully document your proposal. The forms you may need to complete include:

- Cost Share Form
    - o Complete this form if your proposal requires a cost share commitment. If cost share is included with a proposal and the proposal is awarded by the sponsor, then cost share becomes part of the award and is subject to audit. Keep the following in mind when submitting a proposal with cost share:

        - Cost share can only be used one time for one project.
        - Cost share must only include costs that can be documented and are allowable.
        - Cost share can be supplied from outside sources. A binding letter signed by an authorized official or legal documentation from that source must be part of the proposal package.
        - Cost share for a federal award cannot, under most circumstances, be met with other federal funds.
        - If cost sharing is mentioned in a quantifiable manner in the proposal, even if it is not specifically identified in the budget, USC must account for cost share if the proposal is awarded.
    - o On the Cost Share Form, complete the appropriate sections. If only the department is contributing cost share, complete Section I. If only the College or Other Entity is contributing cost share, complete Section II. If both are contributing cost share, complete both sections.
        - After you click "Add Cost Share Line" a new form opens.
            - Click "Lookup" to search for the Principal Investigators name. It should automatically populate in the pop-up box. Click 'select' to choose the PI.

- The department number should automatically populate. Make sure it is correct. If it is not, click "lookup" to choose the correct department.
- If faculty release time is included in the cost share, change the pull down to 'Yes'. By default this is set to 'No'
- In the 'Year' box, place a single digit, not a date, to indicate which year in the budget the cost share is associated.
- Fill in the total amount of funds for cost share in the corresponding areas. This information should match what is in your budget.
- Click 'Add' to populate the Cost Share Form.
- If you need to make changes to the form, click the pencil on the right under 'Actions'. To copy the form for the next year, click the copy icon under 'Actions'. To delete a year, click the 'X' under 'Actions'.
- Add a line for each year of the budget which contains cost share.

- Centers/Institutes Association Form
- Restrictions on Intellectual Property Form
- Restrictions on Publications Form
- Federal Approval Form
- Certification Form(s) (Consultant, Subrecipient, Equipment)
  - Complete a Certification Form if your proposal contains any of the following:

    - Equipment over $5,000 and a useful life of more than one year
    - Subrecipients(s)
    - Consultant(s)
    - Other Goods or Services

  - Include a separate Certification Form for each item on the list above. For example, if your proposal contains Equipment and two Subrecipients, you should complete three forms. On the Proposal Summary page, under 'Tools' click 'Add Certification' to add a new form.
  - Click the check box that corresponds to the item you are certifying. Only one of the main categories should be checked per Certification Form.
  - In the large text box, list the item or vendor you are certifying and include a justification that explains how this vendor/subcontract/equipment is relevant to your project.
  - You must check the boxes "Essential and critical…" and "No conflict or favoritism…" for the Certification Form to save.
  - If you need to make any edits once you have saved the form, you can re-open the Certification form by clicking on the Certification # in the Certification area on the Proposal Summary page.
  - Include quotes from any vendors or consultants in the uploaded documents. If your proposal contains subrecipient(s) you must include their budget, justification, scope of work, letter of commitment from their Sponsored Programs Office and a signed subrecipient commitment form in the uploaded documents.

Submit for Routing and Approval

Once all the documents have been uploaded and completed, click on the "Start Approval Process" button to route the proposal for USC approval.

You will not be able to make changes to the PAP Form or the Uploaded Documents area in USCeRA once the proposal has been routed for approval. If the proposal needs to be returned for revisions please contact the next approver shown in the Pending Signatures area.