UNC Pembroke's Principal Investigators must obtain institutional approval for proposals. This is done using the Cayuse SP system, which electronically routes the proposal to the Investigator's Chair and Dean. For technical assistance with the application itself, (i.e., login difficulties, error messages, etc.) please contact the Office of Sponsored Research and Programs at 910-775-4249 or by email at osrp@uncp.edu

IMPORTANT:

A red asterisk (*) indicates a question that must be answered before the page can be saved.

Click the following links to jump to desired section:

- General Info
- Personnel (Investigators/Research Team)
- Financial Conflicts of Interest in Research
- Research Subjects
- Subcontractors
- Research Materials
- Budget
- Export Control
- Intellectual Property
- Community Engagement
- Location & Budget Expenditures
- Application Abstract
- Attachments and Submission Notes
General Info

Sponsor Information

*Funding Agency*: Select by typing the first letters of the Agency/Sponsor that will directly fund the research/project at UNC Pembroke. Generally speaking, this is the Agency/Sponsor whose name will be on the check to UNC Pembroke or to whom the Office of Sponsored Programs will send invoices. If the Sponsor is not listed, select “Organization Not Listed” and you may type in the name of the Sponsor.

Prime Funding Agency: The Prime Funding Agency applies when UNC Pembroke receives a subgrant or subcontract from an intermediate funding source. (e.g., NIH awards a grant to Duke and Duke awards a subgrant to UNC Pembroke. NIH is the Prime Funding Agency, and Duke is the Funding Agency.)

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

Sponsor Program Name: If applicable, enter the name of the program. Some examples include FIPSE, CAREER, REU Supplement or NIH AREA grants.

Proposal Guidelines URL: If applicable, enter the web address of the guidelines/instructions associated with the Sponsor's application. Please attach proposal guidelines (if available).

Funding Agency Contact Information: Enter the information for the agency contact.

General Proposal Information

*Short Title*: This may be different than the "Full Title of Project" and is used for tracking purposes.

*Full Title of Project*: Include the full title of the proposal which UNC Pembroke 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.

*Project 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.

*Proposal Type (Please select one):
  - **New**: Select if you are requesting new dollars NOT associated with an existing contract or grant.
  - **Resubmission**: Select if you are resubmitting an unfunded application for reconsideration.
  - **Renewal**: Select if requesting new dollars for continuation of an existing award to establish a new budget period.
  - **Continuation**: Select if submitting a competitive continuation application to a previously funded award.
  - **Revision**: Select if submitting a request for an increase in support in a current budget period for expansion of the project’s approved scope or research protocol.
  - **Supplement**: Select if requesting additional dollars, extending period of performance, or requesting a change in the scope of work on an existing award.
  - **Preproposals**: Select if the sponsor requires an official letter of intent.
  - **Non-Competing Continuation/Progress Report**: Select if requesting release of dollars previously committed by a sponsor/agency for an existing contract or grant.

*Activity Code (CHESS)*: Please select the most appropriate activity type from the drop-down list (e.g., Research, Student Support).

If this proposal does not meet one of these proposal types, please contact OSRP to discuss the specific circumstances.

*How will this proposal be submitted*: Select the method of submission to the sponsor. If “Other” is selected, indicate the method in the field provided.

Sponsor Deadline: Select date and time.
Miscellaneous Proposal Information

Will the proposed project involve activities primarily conducted outside the United States?: Select “Yes” or “No.”

*Is >50% of the project being conducted at the North Carolina Research Campus at Kannapolis, NC?: Select “Yes” or “No.”

*Confidential Proposal: If applicable, check box.

Is RCR Training required?: If applicable, check box.

*Is this project related to Covid-19?: Select “Yes” or “No.”

Other Miscellaneous: If any of the following are applicable, select from the drop-down list: Late Proposal (deadline in less than 7 days), Incomplete Proposal, Proposal After-the-Fact, Industry Funding Model

Administrative Information

*Award Admin Department: Select the UNC Pembroke department that has the responsibility to manage the contract or grant.

*Name primary award contact (who will manage this project if awarded): Select by typing the first letters of the person’s name.

*Award Type: Select the appropriate agreement.

Affiliated Unit(s) (if applicable): Select UNC Pembroke units that are affiliated with the proposal, if different from the Award Admin Department.

Personnel (Investigators/Research Team)

UNCP Personnel

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). (See definitions below.)

*Name: Select by typing the first letters of the person’s name. Click “Add Team Member” to add additional personnel.

*Role: Select the role from the drop-down list (see definitions below).

*Internal Association (Department): Select by typing the first few letters of the department. If a person has a split appointment, click “Add Internal Association” to add additional departments.

*Credit: The allocation of credit among investigators for proposals involving more than one department. The total allocation of credit must equal 100%, but it may be divided among several PIs.

% Effort: This is the budgeted percentage of effort for the project period. If the percentage of effort is different in the academic year than what is included in the summer, put a ballpark percentage of effort and include an explanation in the Submission Notes section. Enter in the appropriate column for Cost Share Effort of Sponsored Effort.

*Please select the PI’s and any Co-PI’s School or College: Select from the drop-down list.

Definitions

Principal Investigator: Every proposal must have one (1) Principal Investigator. This individual is responsible for the technical, regulatory and financial aspects of the project. Please verify that the person listed as the PI is eligible to serve as PI in the project. For additional guidance on this policy, please contact OSRP at OSRP@uncp.edu or 910-775-4249.
Co-Principal Investigator: This individual should be selected if the Sponsor allows for multiple PIs or if this individual is a Co-PI. This individual must meet all criteria for a PI and will require PI certification and departmental/college approval on the e-IPF.

Investigator: This individual is considered to be a primary contributor to the successful conduct of a research project but is not the PI or a Co-PI.

Co-Investigator: This individual is considered to be a primary contributor to the successful conduct of a research project but is not the PI or a Co-PI.

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.

Post-Doctoral Research Assistant: This individual has received a doctoral degree and serves on the research project.

Graduate Research Assistant: This individual is a graduate student and serves on the research project.

Undergraduate Research Assistant: This individual is an undergraduate student and serves on the research project.

Coordinator: This individual, if applicable, is responsible for coordinating the project under the direction of the Principal Investigator.

Other Participant: This individual does not meet any of the above definitions.

UNCP Time & Effort

*For the personnel named on the Research Team above, please indicate those who will be devoting Summer Month(s) effort: This link will take you to the "Percent of Time & Effort to Person Months (PM) Interactive Conversion Table" on the web. Enter the percent effort under column A-11 and the person months will be automatically calculated for several appointment period options. Enter the number of months in the Calendar Months field.

*Will any investigators be provided a reduction in course load as a result of this project being funded?: Select “Yes” or “No.”

*If yes, please specify which investigator(s) will be provided with a reduction in course load. Enter the information in the box provided.

*If yes, are funds requested from the sponsor to accommodate that reduction? Select “Yes” or “No.”

Non-UNCP Personnel

*Are there non-UNCP individuals that will be working on this project?: Select “Yes” or “No.” If yes, enter the following information: Full Name, Phone Number, Email, and Role.

Financial Conflicts of Interest in Research

It is important that members of the research team are not involved in activities that may create an actual or perceived conflict of interest as it would relate to the conduct of the research and/or a member’s relationship with the sponsor. Any member involved with the design, conduct, or reporting of research will be required to submit a project-specific COI disclosure. This disclosure is separate and in addition to the Annual COI Disclosure, which is required for all UNC Pembroke Covered Employees (EHRA faculty, EHRA non-faculty, and designated SHRA employees who are paid with sponsored research funds who is employed by UNC Pembroke; or any individual, regardless of employment type or status, involved in federally funded research including the design, conduct, or reporting of such research). All COI disclosures are submitted through the Cayuse Outside Interests Module.

COI Training is also required for anyone conducting sponsored research. COI training must be completed once every 4 years.
References: POL 05.45.01- Conflicts of Interest and Commitment

Proposal Stage: Before a proposal can be submitted to the sponsor, all required COI disclosures must be submitted via AIR. Once a proposal receives Award Admin Department authorization, each individual listed on the proposal and who is required to complete a disclosure, will receive an email reminder and a link. Using this link, the investigator will login to AIR with their UNCP and password and complete their COI disclosure.

Once the disclosure has been submitted, it will be automatically reviewed if the investigator answered “No” to all of the questions. If the investigator answered “Yes” to any of the questions, the disclosure will be reviewed by the COI Manager. COI disclosures do not need to be reviewed prior to submitting the proposal to the sponsor, but they must be submitted prior to proposal submission.

The COI status for all project personnel can be viewed on the “Compliance” tab for that proposal in Cayuse. The Compliance tab indicates whether or not each person has submitted their disclosure, its review status, and if COI training has been completed.

Award Stage: Before funds can be released, any positive disclosures must be reviewed and, if needed, a management plan put in place. The COI manager is responsible for the initial review and will work with the investigator and their department chair if a potential conflict of interest is identified. It is the discloser’s responsibility to submit an updated COI disclosure within 30 days of a change in their disclosed interests. COI training, if not already taken, must also be completed prior to expenditure of funds.

If there are outstanding COI requirements once an award is received, the COI manager will assist with any COI issues and facilitate the timely release of funding.

PHS Specific (Travel): Prior to the expenditure of Public Health Service (PHS) funds, Investigators are required to disclose reimbursed or sponsored travel for the previous 12 months to OSRP. This applies to any reimbursed or sponsored travel whose aggregate value paid or reimbursed by any single entity meets or exceeds $5,000 in the prior twelve months, except travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

After the initial disclosure, any new reimbursed or sponsored travel, meeting the $5,000 threshold per 12 months per entity, must be disclosed within 30 days during the period of the award.

PHS Specific (Authorship): Paid authorships received from any entity over the preceding 12 months, and related to an investigator’s institutional responsibilities, must be disclosed to OSRP prior to expenditure of PHS funds. Additional disclosure(s) must be made within 30 days of receipt of a new significant financial interest for the duration of the award.

Members of the research team must complete an Outside Interest (COI) research-based disclosure form if ANY of the following criteria apply for that member:

- The research team member substantially contributes to the design of the study
- The research team member is conducting any experiments or activities
- The research team member is directly involved in or have control over the collection of data
- The research team member is involved in the analysis of the data

The research team members who are required to disclose will receive an email to complete their disclosure form.

The PI must check the box for each of the following statements:

- I certify that I agree with the terms and conditions herein and that I have completed, and I am current on my COI training.
UNCP Cayuse Help

- I Certify That All Research Team Members Required to Submit a Research Based Disclosure Also Have Completed and are Current on Their COI Training

Research Subjects

Human Subjects (Human Participants)

Answer each question as it relates to this project. These questions are necessary for the IRB to accurately link research proposals with approved protocol(s). If the proposal involves human subjects indicate the number of the associated IRB protocol, or if the proposal involves human subjects and no submission to the IRB has been made, indicate one of the following:

JIT: (Just in Time processing) the review package will be submitted for IRB review once UNC Pembroke is notified that funding/award is imminent.

Submission is pending

Animal Subjects (Animal Subjects)

Answer each question as it relates to this project. These questions are necessary for the IACUC to accurately link research proposals with approved protocol(s). If the proposal involves animal subjects and indicate the number of the associated IACUC protocol, or if the proposal involves animal subjects and no submission to the IACUC has been made, indicate one of the following:

JIT: (Just in Time processing) the review package will be submitted for IACUC review once UNC Pembroke is notified that funding/award is imminent.

Submission is pending

Subcontractors

If subcontractors are included as part of the proposal, select the subcontractor (institution) by typing the first few letters of the name. If the subcontractor is not in the list, indicate in the name in the box provided. Then, provide the following attachments:

- Statement of Work
- Budget
- Budget Justification
- Letter of Intent from subcontractor signed by an authorized official of the proposed subcontractor.

Answer each question as it relates to this project regarding IRB and IACUC.

Research Materials

Special clearances may be required if research materials are used in the sponsored research. Please contact the OSRP at osrp@uncp.edu for guidance. For any questions regarding research materials please contact the environmental health and safety office, Mr. Michael Bullard at 910.521.6792 (michael.bullard@uncp.edu).

Budget

Summary Budget Details

*Project Period Start Date: The start date for the project. Select the date using the calendar feature or enter using the following format MM/DD/YYYY.
**UNCP Cayuse Help**

**Project Period End Date:** The completion date of the project. Select the date using the calendar feature or enter using the following format MM/DD/YYYY.

**Total Direct Costs:** The estimated direct costs for all years of the project.

**Total Indirect Costs:** The estimated indirect costs all years of the project.

**Total Project Costs:** The estimated project costs for all years of the project.

**F&A base (Salaries & Wages [S&W]):** The F&A base consists of all salaries and wages. UNCP’s F&A rate is 65% S&W.

**On/Off Campus:** Select On-Campus or Off-Campus.

**F&A Rate:** Select the appropriate rate from the drop-down list.

**Cost Sharing**

Cost Sharing: When the University bears a portion of the costs of a sponsored program or project (for example, by purchasing equipment or supplies for the project from University resources, or by committing faculty or staff effort to the project at no cost to the sponsor) it is considered “cost sharing.” Cost sharing can be either cash or in-kind. Cash cost sharing must come from a University source and be approved by the responsible party at the time of proposal submission. All third-party cost sharing is considered in-kind and must also be approved at the time of proposal submission.

All contributions, including cash and third party in-kind, shall be accepted as part of the recipient's cost sharing, or matching when such contributions meet all of the following criteria:

- Are verifiable from the recipient's records.
- Not included as contributions for any other federally-assisted project or program.
- Necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- Allowable under the applicable cost principles.
- Not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.
- Provided for in the approved budget when required by the Federal awarding agency.
- Conform to other provisions of 2 CFR 200, as applicable.

Unrecovered indirect costs may be included as part of cost sharing or matching only with the prior approval of the Federal awarding agency.

**Does the proposal include funds or contributions in the form of required cost sharing or required cash matching?**

Select “Yes” or “No.”

If yes:

- **Select the unit that is providing the funds.** Select by typing the first letters of the unit/department name.
- **Type of Cost-Sharing.** Select from the drop-down list.
- **Amount or Percent of Cost Share.** Enter the amount or percent.
- **What is being cost shared?** Select from the drop-down list.

If Third Party Cost Sharing is included, please provide a notation to that effect under the Submission Notes section of the e-IPF and attach a letter signed by an authorized organizational representative of the organization committing the cost sharing.

**Indicate whether the cost sharing is Agency Mandated:** Cost sharing that 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.
Indicate whether the cost sharing is Voluntary (Mandatory if Awarded): Cost sharing that is not required by Federal statute or sponsor policy, or that is in excess of any such stated requirements and is volunteered to substantively demonstrate the collective University commitment to a project.

NOTE: All cost sharing must be documented in accordance with established criteria. The Lead Principal Investigator/Principal Investigators and respective department chair(s) and/or dean(s) must concur with and commit to any cost shared resources.

Check the types of cost sharing included in the budget.

F&A: The Lead PI elects to provide cost sharing by charging less than the full indirect cost rate applicable to the project. This type of cost sharing requires F&A rate reduction approval by the Chair, Dean and Provost. Attach a copy of the approval in the Attachments section of the proposal.

In-Kind: Normally encountered in public service-oriented projects involving the contribution of services from outside the University. Such services might be donated by student tutors, volunteers, etc., or consist of property donated by non-Federal third parties. 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 COSTS 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 project costs is 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.

Required Submission Note regarding matching: If you said YES to cost sharing, you need to provide a submission note that lets all IPF Approvers know if this is required or voluntary. If mandatory, please provide information on where to find that information in the proposal guidelines for IPF Approvers.

Personnel/Space/Equipment/Software: 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.

Export Control

If you have specific questions about export control regulations, please contact Patricia Cornette at osrp@uncp.edu.

* Does the project involve conducting proprietary research with a potential military application?

* Do you anticipate sending/transporting anything or receiving anything from outside of the United States?

  This applies to both actually exporting or importing equipment or other items or hand-carrying items such as laptop computers into or outside of the country.

* Do you anticipate any travel outside the United States associated with this project?

  This applies to any member of the research team.

* Will you send your research results in either paper or electronic format to a foreign country or foreign national?

  This applies to unpublished documentation. 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 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.

*Does this proposal involve carrying out classified research, not to include work with “select agents”, on campus or require a security clearance for UNC Pembroke personnel?

**Intellectual Property**

Management of intellectual property has significant overlap with 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 the Office of Sponsored Research and Programs at 910-775-4249 or by email at osrp@uncp.edu

**Disclosure:** Disclosure refers to the submission of an Invention Report (IR) to OSRP. A disclosure may lead to the filing of a patent application and may further lead to the commercialization of the invention, regardless of whether a patent application was filed. A disclosure form should be requested from OSRP by sending an email to osrp@uncp.edu.

**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.

OSRP may contemplate further development of UNC Pembroke 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 OSRP take care to address these issues appropriately in the sponsored research agreement.

**Transfer Agreement:** A transfer agreement can be a Material Transfer Agreement (MTA), academic or research use license, or any other written agreement under which the UNC Pembroke researcher has obtained the limited right to use something owned by another entity. UNC Pembroke researchers also share materials with outside parties under an MTA or other forms of research use licenses.

Should the sponsored research proposal contemplate using materials, data, or software obtained under such an agreement, OSRP must take care to avoid conflicting obligations between the transfer agreement and the sponsor of the proposed research.

**License:** 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 Pembroke invention is licensed to a commercial entity and is also to be used or further developed in the proposed research, OSRP must take care to avoid granting rights in that invention to the sponsor.

**SBIR Program:** SBIR is a highly competitive program for small businesses to explore their technological potential and provides the incentive to profit from its commercialization. By including qualified small businesses in the nation's R&D arena, high-tech innovation is stimulated, and the United States gains entrepreneurial spirit as it meets its specific research and development needs.

TOP
Is this proposal an SBIR (Small Business Innovative Research Program)?

**STTR Program:** STTR is an important small business program that expands funding opportunities in the federal innovation research and development arena. Central to the program is expansion of the public/private sector partnership to include the joint venture opportunities for small business and the nation's premier nonprofit research institutions. STTR's most important role is to foster the innovation necessary to meet the nation's scientific and technological challenges in the 21st century.

Is this proposal an STTR (Small Business Technology Transfer Program)?

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**Community Engagement**

Community Engagement describes the collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity.

The purpose of community engagement is the partnership of college and university knowledge and resources with those of the public and private sectors to enrich scholarship, research, and creative activity; enhance curriculum, teaching and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good. (Carnegie Foundation for the Advancement of Teaching)

Can some or all of the proposed project activity be considered community engagement?

What percentage of the overall project activity meets the definition of community engagement?

Please distribute the percentage of community engaged activity by location. **Total must equal 100%**.

Will some or all of the proposed project budget be considered community engagement?

What percentage of the overall project budget meets the definition of community engagement?

Please distribute the percentage of community engaged budget by location. **Total must equal 100%**.

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**Location & Budget Expenditure Relevant to the Project**

**On-Campus Locations:** In the drop down-box, select the specific campus location(s) where research will be conducted.

**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-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.

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

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**Application Abstract**

- If so indicated abstract will be made available to the public--the public being defined as university personnel who have access to this proposal record.
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.

It was developed to facilitate the National Center for Education Statistics’ collection and reporting of postsecondary degree completions by major field of study using standard classifications that capture the majority of reportable program activity. For additional information on science codes, please visit the NCES website.

Attachments and Submission Notes

You may add as many attachments as necessary and if not already uploaded in previous sections. These attachments will be viewable to all the e-IPF approvers across campus that are listed on the "Approving Departments" tab. You may edit and/or remove an attachment before it is submitted for approvals. Once submitted, however, attachments may only be viewed. Within the Cayuse system, these documents will be labeled 'IPF' indicating that they were uploaded during the submission of the e-IPF.

Additional proposal documents may be uploaded after the e-IPF has been submitted and assigned for viewing by the following roles: IPF Creator, Lead PI Only, Admin Award Dept IPF Approver, Lead PI Dept IPF Approver, Certifying Investigator(s), Research Team, or All IPF Parties.

Any document uploaded after the IPF is submitted will be automatically viewable by the Admin Office as well as OSRP. Such documents may include JIT copies of the IRB or IACUC approval documents. Within the Cayuse, these documents will be labeled 'Post Approval' indicating that they were uploaded after the e-IPF was submitted and approved.

This section of the e-IPF allows the e-IPF creator, Lead PI or any IPF approver to include any notes or comments that need to be brought to the attention of all IPF approvers. For example, if the sponsor requires a reduced F&A cost rate to be used, a notation could be included indicating where to find this requirement in the guidelines. Another example would be an indication of third-party cost sharing with a notation of the name of the third party, as well as the total cost sharing to be provided by the third party.