Sponsor and Project Information

Proposal Type

○ New

○ Resubmission

○ Competitive Renewal

○ Supplement

○ Pre-proposal

○ Incoming Transfer

New – A new proposal being submitted for the first time to this sponsor

Resubmission – A revised version of a previously submitted proposal that was not funded by this sponsor

Competitive Renewal – A proposal to continue a funded project beyond its approved project period that will compete with all new applications in the same funding cycle (sometimes called a competitive continuation)

Supplement – A request for additional funding for an existing award to expand its scope, add new components, or address unexpected circumstances

Pre-proposal – A condensed preliminary proposal (sometimes called a letter of intent, concept paper, or white paper)

Incoming transfer – An award transferring to Syracuse University from another institution accompanying a new faculty appointment

Proposal Submission Deadline

[   ]

Sponsor

[   ]

Sponsor – The entity providing funding to Syracuse University directly

Prime Sponsor – The originating source of funds, which may or may not be Syracuse University's Sponsor

Prime Sponsor

[   ]

Solicitation Identifier or Program Name
If there is no formal identifier or program name, enter a name that best describes the program.

[   ]

Solicitation URL

[   ]

Project Title

[   ]

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Research Team

For all Senior/Key Personnel named in the proposal, select from the following role options:

- Principal Investigator (PI)
- Co-Principal Investigator (Co-PI)
- Co-Investigator (Co-I)
- Other Sr/Key Person

See next page for definitions.

Assigned by the PI, Intellectual Credit represents the percentage of intellectual contribution to the proposal for each investigator and must equal 100%. Intellectual Credit % is required for ECS proposal and optional all other proposals.

	Role	Name	Email	Department	Intellectual Credit (%)
1	Select one				
2	Select one				
3	Select one				
4	Select one				
5	Select one				
6	Select one				
7	Select one				
8	Select one				
9	Select one				
10	Select one				

Center or Institute to Receive Credit for the Project

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Principal Investigator (PI) – Identifies the individual responsible for activities on a research project or activity, particularly those funded by a grant, a cooperative agreement, a training or public service project, a contract, or other sponsored mechanism. Responsibilities include the intellectual conduct of the project, fiscal accountability, administration, and compliance, including the submission of all required reports. For the purposes of this definition, when used throughout, the term Principal Investigator also includes Project Director (PD), and the term co-PI also includes co-PD. Note: The National Institutes of Health (NIH) allows two or more individuals to share responsibility for the conduct of the project. These individuals are referred to by NIH as Multiple Principal Investigators (MPI). For MPI proposals, select PI for each MPI. The first PI listed will serve as the Contact PI and must be affiliated with the submitting institution.

Co-Principal Investigator (Co-PI) – A senior member of the key personnel team whose role is similar to that of the PI in determining the intellectual content, direction, and conduct of the research or program activities. A Co-PI may share equal responsibility with the PI for project oversight, budget management, and reporting as part of a multi-investigator team or may direct a particular portion of the project and retain limited administrative oversight over the award. NIH does not recognize Co-PI as a role.

Co-Investigator (Co-I) – An individual the PI relies on to assume responsibilities above those of other personnel who make significant contributions to the sponsored project or program. A Co-I does not have overall responsibility and authority for the sponsored project or program which lies with the PI (or PIs on a NIH MPI project). Co-Is can be named in the proposal provided the sponsor accepts the role.

Other Senior/Key Personnel – Identifies a senior/key member of the project team who is named in the proposal and shares administrative, fiscal, and scientific conduct with the PI on research projects, but does not have a specific sponsor defined role designation as referenced above.

Project Type and Location

What is the primary activity of the proposed project? In this instance, "primary" means that over 50% of the project's proposed effort and associated expenditures are related to one of the three activities described below.

◯ Research & Development (R&D)

◯ Instruction

◯ Other Sponsored Activity

Research & Development (R&D) (also known as "Sponsored Research" or "Organized Research")
- All separately budgeted and accounted for R&D activities that are sponsored by Federal and non-Federal agencies and organizations (2 CFR 200 Appdx III).
- R&D is creative and systematic work undertaken in order to increase the stock of knowledge—including knowledge of humankind, culture, and society—and to devise new applications of available knowledge (see NSF NCSES – IV. US Higher Education R&D).
  - ○ "Research" is the systematic study directed toward fuller scientific knowledge or understanding of the subject studied (2 CFR 200.1).
  - ○ "Development" is the systematic use of knowledge and understanding gained from research to produce useful materials, devices, systems, or methods, including designing and developing prototypes and processes (2 CFR 200.1).
- Research Training: The term "research" also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function (2 CFR 200 Appdx III).

Instruction (also known as "Training")
- Specific instructional or training activity established by a grant, contract, or cooperative agreement (2 CFR 200 Appdx III).
- Includes the teaching and training activities of an institution. Except for research training (as defined in "Sponsored Research"), this term includes all teaching and training activities [...] (2 CFR 200 Appdx III).
- Examples of sponsored instruction projects include those for teaching, curriculum development, and non-research training.

Other Sponsored Activity (also known as "Other")
- Programs and projects financed by Federal and non-Federal agencies and organizations which involve the performance of work other than instruction and organized research (2 CFR 200 Appdx III).
- Examples of such programs and projects are health service projects and community service programs (2 CFR 200 Appdx III).

If "Research & Development (R&D)":

📱 **Display this question**

Given that the primary activity of the proposed sponsored project is "R&D," what is the project's primary type of research as defined below? In this instance, "primary" means that over 50% of the project's proposed effort and associated expenditures are related to one of the three types of research.

○ Basic Research

○ Applied Research

○ Experimental Development

Basic Research – Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. Creative and scholarly activities are included in the definition of "Basic Research."

Applied Research – Original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.

Experimental Development – Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

Based on planned expenditures, does the project involve primarily on-campus activity or off-campus activity?
Use of the off-campus F&A rate requires approval of the Vice President for Research.

○ On campus

○ Off campus

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Sponsor Budget

Proposed Project Start Date

mm/dd/yyyy

Proposed Project End Date

mm/dd/yyyy

Estimated Total Direct Costs

Does the sponsor limit or disallow indirect costs?

◯ Yes

◯ No

◯ Unsure

If "Yes":

↳ Display this question

Sponsor's indirect cost rate (%)

Is the project an Arts, Humanities, or Creative project with direct costs of $50,000 or less?

○ Yes

○ No

○ Unsure

Does the project involve transfer of funds to other institutions via subcontracts?

○ Yes

○ No

○ Unsure

If "Yes":

🔗 **Display this question**

Subcontract Institution(s)

Will any project personnel receive funds directly from the sponsor?
The majority of project-personnel payments come via awards issued to the University; however, in some circumstances, a sponsor requires payments to be issued directly to project personnel, which the individual must then report as miscellaneous income to the Internal Revenue Service. If you are unsure, discuss with your ADR.

○ Yes

○ No

○ Unsure

If "Yes":

🔗 **Display this question**

Name(s) of Project Personnel to Receive Funds Directly

Will the project generate program income?

○ Yes

○ No

○ Unsure

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Cost Sharing

Does the proposal include cost sharing?
Unless cost sharing is an eligibility requirement or review criterion (i.e., mandatory cost sharing), cost sharing as a means of conveying institutional commitment ordinarily should be offered only in exceptional circumstances.

○ Yes

○ No

○ Unsure

If "Yes":

Display this question

You must submit documented approvals to OSP prior to proposal submission from all sources of cost sharing (e.g., Associate Dean(s) for Research, Vice President for Research, third-party partners).

Estimated Total Cost Share (All Years)

What type of cost sharing does the proposal include? Select all that apply.

☐ Sponsor Mandated

☐ Voluntary Committed

☐ Voluntary Uncommitted

Sponsor Mandated – Cost sharing that a funding agency requires as a condition of the award. It must be documented, tracked, and reported to the sponsor.

Voluntary Committed – Cost sharing that is not required by the sponsor but is explicitly pledged in the proposal (e.g., offering faculty effort at no charge). Once committed, it becomes a binding obligation and must be tracked and reported.

Voluntary Uncommitted – Additional effort or resources provided beyond what was proposed but not explicitly pledged in the proposal or award. It does not need to be tracked or reported to the sponsor.

What is the source of the cost sharing?

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Effort Commitment Outside Regular Duties

For any project personnel, select all that apply.

☐ The proposal includes academic year course release that is not funded by the sponsor (including research leave).

☐ The proposal budget includes funds from the sponsor for a teaching buyout.

☐ The proposal budget includes extra service, i.e., compensation other than faculty summer salary paid to a faculty or staff member for work performed outside their regular duties and beyond their institutional base salary.

The PI and/or other project personnel, as applicable, must secure approvals from their department chair for effort commitments outside regular duties. Documented approvals must be submitted to the ADR and OSP prior to proposal submission.

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Commitment of University Resources

PIs should discuss with their ADR the impacts of the proposed project on institutional resources and any long-term needs that may extend beyond the life of the award.

If "Yes" to any question in this section:

Please route documented prior approvals with the Proposal Approval Form.

Does the project require use or purchase of equipment, machine-shop time, software, furniture, or other resources not budgeted for in the proposal?

◯ Yes

◯ No

Does the project require renovation or upgrades of space or facilities (e.g., hoods, air conditioning, biological safety, electrical, networking)?

◯ Yes

◯ No

Does the project require use of space not currently allocated to the PI and/or construction of new space or facilities?

◯ Yes

◯ No

Does the project require commitment of financial or in-kind support of any effort not budgeted for in the proposal?

◯ Yes

◯ No

Does the project require commitment of financial or in-kind support due to project personnel salaries exceeding the sponsor's salary cap?

○ Yes

○ No

Does the project include commitment of remitted tuition for graduate students that exceeds school/college policy for sponsored projects?

○ Yes

○ No

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Compliance Certifications

Does the project involve any information, software, or technology related to anything on the Commerce Control List or U.S. Munitions List?

○ Yes

○ No

Will the project involve the international shipment of any tangible commodities (including software and information on physical media)?

○ Yes

○ No

If "Yes":

🔁 Display this question

To which countries?

[text box]

List the research technology, equipment, or materials (including laptops) you will ship, travel with, or share with foreign nationals.

[text box]

Does the project involve (1) international travel of University personnel and/or students, (2) project activities conducted in a foreign country, and/or (3) collaboration with foreign consultants or subcontractors?

○ Yes

○ No

If "Yes":

 Display this question

Involving which countries?

[text box]

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Environmental Health and Safety Certifications

Will the project involve the use of any recombinant or synthetic nucleic acid molecules (e.g., CRISPR/Cas9, gene editing, gene silencing, gene transfer, gene drives, viral vectors, sequencing)?

○ Yes

○ No

Will the project involve the use of microorganisms, plants, animal materials, human materials, cells (established, primary, embryonic, pluripotent), or CDC/USDA Select Agents or Select Agent Toxins?

○ Yes

○ No

Will the project involve the use of radioactive materials (open sources, sealed sources), ionizing radiation devices (e.g., x-ray machines, electronic microscope, electron capture), Class 3B or Class 4 lasers, or the use of radiofrequency (RF) or other electromagnetic fields that may present a hazard to human health?

○ Yes

○ No

Will the project involve the use of chemicals, compressed gases, cryogens, or other hazardous materials or the use of processes, protocols, or procedures that may present a potential risk of fire, explosion, injury, or other harm to persons or property?

○ Yes

○ No

Is there planned or potential work on any body of water, including work performed on a dock, barge, or watercraft?

◯ Yes

◯ No

If "Yes":

🔗 **Display this question**

List all bodies of water (e.g., Lake Ontario, Atlantic Ocean) and all circumstances of the work (e.g., boat, dock).

[text area]

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Research Integrity and Protections

Will the project activities, including those performed by subcontractors, collaborators, or consultants, involve human participants?
Unsure whether your project constitutes constitutes "human research" requiring IRB review? Contact the Office of Research Integrity and Protections for guidance.

○ Yes

○ No

Will the project activities, including those performed by subcontractors, collaborators, or consultants, involve the use of vertebrate animals (live or animal products or parts)?

○ Yes

○ No

For NSF Proposals Only: Does the project propose to perform NSF-sponsored research off-campus or off-site, defined as "data, information, or samples being collected off-campus or off-site, such as fieldwork on research vessels and aircraft"?

○ Yes

○ No

○ Not applicable

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Enter your email address to receive your Proposal Approval Form (PAF).

[   ]

Next Steps

1. If you are not the Principal Investigator (PI), forward the PAF to the PI for review and approval.
2. Email the PAF and all prior approvals, as applicable, to the Associate Dean for Research (ADR) for final approval.
3. Submit the PAF, all approvals, and the proposal documents to your OSP RA for compliance review and submission to the sponsor.