Requirements Specification Document

PRF Update Project

Version 2.0

DRAFT

Prepared by:
Emily Talley

In collaboration with:
Rodney Chaffee

June 8, 2009
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<td>42</td>
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Introduction

The purpose of this project is to update the PRF to be more in line with the Enterprise Financial System (EFS); to reflect various policy and procedural updates; to reflect changes in the array of data needed by the institution to effectively manage sponsored projects, and to respond to user requests for enhancements and improvements.

In November and December 2008, SPA and GMUN will be gathering user input, prioritizing requested changes, and agreeing on a scope of changes to be made. These requested changes will subsequently be assessed by OIT for feasibility, with the final scope of the changes to be agreed upon by January 2009. The changes will then be programmed. A proposed release and training schedule for release of the updated PRF will be announced when available.

PRF Update Working Group

- Pamela Webb, Associate Vice President, SPA (Chair)
- Karen Hawkinson, Grants Coordinator, Genetics, Cell Biology and Development
- Sallie Quammen, Grant Coordinator, College of Education and Human Development
- Bridget Foss, Senior Grants Administrator, SPA
- Frances Spalding, Coordinator, Information Technology and Research Support Systems
- Rodney Chaffee, InfoTech Professional, Information Technology and Research Support Systems
- Brittany Lloyd, InfoTech Manager, OIT

Web site:  http://www.ospa.umn.edu/announcements/prfproject.htm

The requirements in this document only apply to the PRF. In other words, new checkboxes and text fields, specified in this document, will only be added to the PRF, not to Proposal Prep or other EGMS applications.

The requirements in this document originated from the spreadsheet found in Appendix D of this document. For ease of cross-reference, the numbering was kept the same; for example, item #1 in the spreadsheet corresponds to requirement #1 in this document, and so on.
# Record of Changes

<table>
<thead>
<tr>
<th>Version Number</th>
<th>Date of Change</th>
<th>Made By</th>
<th>Description of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>2/27/2009</td>
<td>Emily Talley</td>
<td>Transferred “PRF Suggested Changes, Fall 2008” into this document, added questions, and added appendices.</td>
</tr>
<tr>
<td>1.1</td>
<td>3/16/2009</td>
<td>Emily Talley</td>
<td>Revised wording in all of the requirements based on 3/5/2009 meeting with Rodney.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Deleted req #28 because it was included in Q3 FY09 build.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Deleted req #36 because it was combined with req #32.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Changed the titles of Appendices ‘A’, ‘B’, and ‘C’.</td>
</tr>
<tr>
<td>1.2</td>
<td>3/17/2009</td>
<td>Emily Talley</td>
<td>Added req #44 (to resolve PFM 54603).                                                                                                                                --------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Added a note at end of the Introduction.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Added req #45.</td>
</tr>
<tr>
<td>1.3</td>
<td>3/27/2009</td>
<td>Emily Talley</td>
<td>Made the following revisions based on 3/19/2009 meeting with Rodney:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Shaded req #26 to mean that it’s not feasible to do at this time since we need input from CRAD.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Shaded req #27 to mean that we’re waiting for the group to respond to an e-mail that Rodney sent out (requesting clarification).</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Deleted req #38 (see note within the requirement for explanation).</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Edited the following reqs:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- 5, 32, 34, 35, 37, 40, 41, 42, 43, 44, and 45.</td>
</tr>
<tr>
<td>1.4</td>
<td>4/6/2009</td>
<td>Emily Talley</td>
<td>Added workgroup member’s feedback (that was given in response to an e-mail sent by Rodney on 3/30/2009). The workgroup members who responded by 4/6/2009 are: Sallie Quammen, Karen Hawkinson, Frances Spalding, and Bridget Foss.</td>
</tr>
<tr>
<td>1.5</td>
<td>4/8/2009</td>
<td>Emily Talley</td>
<td>Updated the reqs by incorporating the workgroup’s feedback that was added to this document on 4/6. Also, corrected a configuration issue (some changes made in version 1.2 had accidentally not gotten brought forward into later versions of this requirements document).</td>
</tr>
<tr>
<td>1.6</td>
<td>4/14/2009</td>
<td>Emily Talley</td>
<td>Revised the following requirements based on today’s meeting with the work group (Pamela Webb, Brittany Lloyd, Sally Quammen, Karen Hawkinson, Bridget Foss, and Emily Talley).</td>
</tr>
</tbody>
</table>
|   | 4/16/2009 | Emily Talley | Added “Work Category” information (as specified by Julie Pingue in OIT) to the spreadsheet in Appendix D of this document.
 |
 |   | 5/26/2009 | Emily Talley | Made the following updates based on 5/21/2009 PRF Updates meeting:
 |   |   |   | - Edited reqs #3 and #39.
 |   |   |   | - Added new reqs: #3.1, #30.1, #32.1, and #34.1
 |
 |   | 5/28/2009 | Emily Talley | Made the following updates based on the 5/28/2009 PRF Updates team meeting:
 |   |   |   | - Edited req #3, item ‘b’.
 |   |   |   | - Edited req #39, item ‘a’, and deleted item ‘b’.
 |
 |   | 6/8/2009 | Emily Talley | Made the following updates based on 6/4/2009 PRF Updates team meeting:
 |   |   |   | - Revised:
 |   |   |   |   - req #4, item 2
 |   |   |   |   - req #7, item 2
 |   |   |   |   - req #12
 |   |   |   |   - req #14
 |   |   |   |   - req #27, item 1
 |   |   |   |   - req #42 (by specifying incoming subawards)
 |   |   |   |   - req #45
 |   |   |   | - Added:
 |   |   |   |   - req #9, items 2 and 3
 |   |   |   |   - req #27, items 2 and 3
 |   |   |   |   - New requirement: #42.1 (outgoing subawards)
 |   |   |   | - Deleted:
 |   |   |   |   - req #7, items 2a and 3

Rodney Chaffee, and Emily Talley): #5, #7, #12, #13, #19, #21, #25, #26, #27, #30, and #31.

Deleted the following requirements: #36, #38.
Priority Descriptions

Priority 1 = High
Priority 2 = Medium
Priority 3 = Low
Priority 4 = Undecided. Additional input needed.
## 1. General

<table>
<thead>
<tr>
<th>ID#</th>
<th>Section</th>
<th>Requested Change</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>02 - Proposal Title</td>
<td>In both the “Electronic” and the “PDF” versions of the PRF, display the full proposal title, but only pull the first 254 characters of it into PeopleSoft.</td>
<td>Low</td>
</tr>
<tr>
<td>2</td>
<td>05 - Submission Medium</td>
<td>[Linked to req #3.] In the “Electronic” version of the PRF, if the user selects “Paper” or “Paper/Electronic”, the “Instructions” field and the “Address” fields (Country, Address 1, City, State/Province, and ZIP/Postal Code) should be required. Otherwise, those fields should be optional.</td>
<td>High</td>
</tr>
<tr>
<td>3</td>
<td>05 - Submission Medium</td>
<td>[Linked to req #2, and req #4] (a) In the both the “Electronic” version and “PDF” version of the PRF, the existing third radio button labeled “Paper or Paper/Electronic (combination)” should be replaced by the following two radio buttons, each on its own separate line: - “Paper” - “Paper/Electronic (combination)” (b) The data fields under each of the two new radio buttons (listed in ‘a’) should be the same. Those data fields are shown in requirement #4, item 2 of this document.</td>
<td>Medium</td>
</tr>
<tr>
<td>3.1</td>
<td>05 – Submission Medium</td>
<td>Change the labels of the first two radio buttons as follows: (a) For the first radio button, replace the existing “Grants.gov” label with “Electronic (Grants.gov)”. (b) For the second radio button, replace the existing “Electronic” label with “Electronic (other than Grants.gov)”.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>05 - Submission Medium</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>4</td>
<td>[Item #1 in this requirement was deleted.]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>[This is linked to req #3]. In both the “Electronic” and “PDF” versions of the PRF, change the display below the “Paper” and “Paper/Electronic (combination)” radio buttons by replacing the existing nine text fields with three text boxes. Contents of the text boxes should be:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Instructions text box:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Instructions</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Address text box:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Country, Address 1, Address 2, City, State/Province, and Zip/Postal Code</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Email/Phone text box:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Email Address, and Phone</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>The instructions that the user enters into the “Instructions” text box (of the “Electronic” version of the PRF) should display exactly the same as they do in the “PDF” version of the PRF.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>For example, if the user types the following lines into the Instructions text box of the “Electronic” version of the PRF:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>In the past, deliveries have been delayed for the following reasons, so please try to avoid these</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) barking dog off its leash</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) broken lock or missing key to open the gate</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) recipient on vacation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>then, the lines should display with that exact same formatting in the “PDF” version of the PRF; to illustrate, the following display would be incorrect:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>In the past, deliveries. . .(a) barking dog off its leash (b) broken lock. . . (c) recipient on vacation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rationale for #2: it’s easier for GAs to copy and paste if the data is grouped in a box, rather than separated out in line by line text fields.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td><strong>5</strong></td>
<td><strong>06 - University Contact Name</strong></td>
<td><strong>Low</strong></td>
<td></td>
</tr>
<tr>
<td><strong>1.</strong></td>
<td>In the “PDF” version of the PRF, add a text field labeled “x.500 Username” for the email address of the Department Contact. Preferably, put this on the same line as “University Contact Name”; otherwise, put it on the next line.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong></td>
<td>In the “Electronic” version of the PRF, the system should automatically populate the initiator’s name, phone, and e-mail when the page loads.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong></td>
<td>In the “Electronic” version of the PRF, the User* should be able to edit/overwrite the initiator’s name; and that should cause the system to populate the corresponding phone number into the phone field, and the corresponding e-mail address into the e-mail field. This edit/overwrite functionality should be able to occur before the PRF is routed, and also once the PRF is submitted.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Note:</strong></td>
<td>“User” here means the creator of the PRF, and all of the GAs in SPA.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>6</strong></td>
<td><strong>New section – “Administering Department”</strong></td>
<td><strong>High</strong></td>
<td></td>
</tr>
<tr>
<td><strong>In both the “Electronic” version and the “PDF” version of the PRF:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1.</strong></td>
<td>Add a new section in between what is currently 6-- University Contact Name, and 7--Principal Investigator. Title the new section: &quot;Administering Department&quot;.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong></td>
<td>This new section should contain three text fields labeled: - Administering Department - DeptID (of Administering Department) - Owner of Primary Project</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong></td>
<td>Re-number the remaining sections (of the PRF) accordingly.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Rationale:</strong></td>
<td>This will help clarify which unit is responsible, especially for interdisciplinary projects.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 7 | 07 - Principal Investigator | ![Image with text](https://example.com) [This is like requirement #12, except that it applies to PIs instead of Co-Investigators.] In both the “Electronic” version and the “PDF” version of the PRF:  
1. Change the label “% Effort Unpaid” to “% Cost-Shared Effort”.  
2. Add two checkboxes: one labeled “Department will provide cost share information in section 18” (with a hyperlink to section 18); and the other checkbox labeled “Department will furnish cost sharing information at time of award” (*note: if this option is checked, SPA cannot auto-set up the award budget).* | High |
| 9 | 07 - Principal Investigator | ![Image with text](https://example.com) 1. In the “Electronic” version of the PRF, PI % Effort Total* should be a required field unless one or more of the following checkboxes in section 9 are checked: “Equipment Only”, or “Student Support Only”, or “$0 Master Agreement”. If any of those checkboxes are checked, then “% Effort Paid” should be an optional field.  
2. In the “Electronic” version of the PRF, the validation that currently exists in the system (for the “% Effort Total” field) should be left intact – it should continue to exist.  
3. In the “PDF” version of the PRF, the label/statement associated with the checkbox that the user selected (re: cost sharing information) should be displayed.  
* % Effort Total is the sum of % Effort Paid and % Effort Unpaid.  
*Note: This requirement is dependent upon the completion of requirement #17.* | Medium |
<table>
<thead>
<tr>
<th>Req</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| 10  | 07 - Principal Investigator | [Req #14 is identical to this req except that it applies to section 8 – Investigators.]

1. In both the “Electronic” version and the “PDF” version of the PRF, add a new text field labeled “PI's EMPLID” and make this a required field. Put this field right below the existing “X.500 Username” field.

2. In the “Electronic” version of the PRF, the system should automatically populate this field (PI’s EMPLID) when the user clicks the “Lookup X.500 ID” button and selects an X.500 ID.

<table>
<thead>
<tr>
<th>Req</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| 12  | 08 - Investigators | [This is like requirement #7, except that it applies to Co-Investigators instead of PIs.]

See requirement #7 for details.

<table>
<thead>
<tr>
<th>Req</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| 13  | 08 - Investigators | In both the “Electronic” version and the “PDF” version of the PRF:

1. Add a checkbox labeled "Key Personnel" (Y/N).

1a. Add help text explaining what is meant by “Key Personnel” (above).

1b. The “Key Personnel” checkbox value should flow into PeopleSoft.

2. The system should automatically select/check this checkbox (Key Personnel) if the user selects/checks the “PI” checkbox, or if the Investigator is listed as a key personnel in EGMS (Proposal Prep).

3. If a person in this section is listed as “Key Personnel” (i.e., the checkbox is checked) but he/she is not the PI, then that person should not have to sign the PRF.
<table>
<thead>
<tr>
<th>ID</th>
<th>Group</th>
<th>Requirement Description</th>
<th>Severity</th>
</tr>
</thead>
</table>
| 14 | 08 - Investigators    | [Req #10 is identical to this req except that it applies to section 7 – Principal Investigator.]  
1. In both the “Electronic” version and the “PDF” version of the PRF, add a new text field labeled “EMPLID” and make this a required field. Put this field right below the existing “X.500 Username” field.  
2. In the “Electronic” version of the PRF, the system should automatically populate this field (EMPLID) when the user clicks the “Lookup X.500 ID” button and selects an X.500 ID. | High     |
| 16 | 08 - Investigators    | In the “PDF” version of the PRF, get rid of the comma (”,”) that appears as the first character in the “Name” text field.                                                                                                                                                                                                                                                                                                                                                                              | Low      |
| 17 | 09 - Proposal is for  | 1. In both the “Electronic” version and the “PDF” version of the PRF, add two new (Y/N) checkboxes labeled:  
- "Student Support Only"  
- "$0 Master Agreement"  
2. In the “PDF” version of the PRF, put these new checkboxes directly under the existing “Research” checkbox row.  
3. In the “Electronic” version of the PRF, put these checkboxes directly under “Equipment Only”.  
Note: Requirement #9 is dependent on this.                                                                                                                                                                                                                                                                                                                                         | Medium   |
| 19 | 10 - Proposal Type    | 1. In both the “Electronic” version and the “PDF” version of the PRF, replace the "Fund", “Area", and “Org” text fields with the following text fields:  
- Award Number  
- Primary Project  
2. In the “PDF” version of the PRF, replace the sentence “If other than new or revision, provide University account number:" with this sentence: “Complete one of these two fields for non-new transactions:"  
3. In the “Electronic” version of the PRF, replace the sentence “For historical reference:" with the sentence: “If not new, complete at least one of these two fields:"                                                                                                                                                                                                                                      | High     |
### 11 - Duration and Amount Requested

In both the “Electronic” version and the “PDF” version of the PRF:

1. Immediately below the existing sentence that reads “If using an F&A rate other than the negotiated F&A rate or sponsor mandated rate, provide justification below”, add this sentence: “Justification for F&A rate is used for small project waivers only and even then only if the dept requires it.”

2. Immediately above the existing sentence “Please enter the Request Number and . . .”, add a sentence that reads, “Please indicate the type of waiver:”

3. Immediately below the new sentence (“Please indicate the type of waiver:”), add three Y/N checkboxes (all on one line) labeled:
   - Strategic
   - Regular
   - Small Project

3a. The data captured in item #3 (above) will not be flowed into PeopleSoft.

### 11 - Duration and Amount Requested

In both the “Electronic” version and the “PDF” version of the PRF, change the PRF audit functionality so that it allows both the direct and the indirect, as well as the total dollar amount, to be a minimum of $0 dollars. (This applies to both rows: “Budget” / “Project” and “Initial/Current Budget” / Entire Budget.)

### 14 - Tech Transfer Qs

In both the “Electronic” version and the “PDF” version of the PRF, add the following new Y/N question (immediately below the existing question ‘c’):

   d. Does the PI or any Co-I have any active patent disclosures with the Office of Technology Commercialization relating to the work contemplated in this proposal?
   
   __ No
   __ Yes
<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
</table>
| 26 | 17 - Indirect Cost Recovery (ICR) Sharing | Improve mechanism for defining F&A split on an individual project.  

**Comment:** Need CRAD involvement for wording.  

**Question:** What does “improve mechanism for defining F&A split” mean? What specifically is being asked for in this requirement? | High |
| 27 | 18 - Matching and Cost Sharing | [This is linked to requirements #7 and #12.]  

1. In the “Electronic” version of the PRF, users should be able to (dynamically) add more lines and enter data into the fields in each line. There should be seven fields in each line, ordered as follows: FundID, Program, Acct, CF1, CF2, Emplid, Amt.  

The field lengths should be set as follows:  

<table>
<thead>
<tr>
<th>Field</th>
<th>Length</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>FundID</td>
<td>4 (required)</td>
<td></td>
</tr>
<tr>
<td>Program</td>
<td>5 (required)</td>
<td></td>
</tr>
<tr>
<td>Acct</td>
<td>6 (required)</td>
<td></td>
</tr>
<tr>
<td>CF1</td>
<td>10 (optional)</td>
<td></td>
</tr>
<tr>
<td>CF2</td>
<td>10 (optional)</td>
<td></td>
</tr>
<tr>
<td>Emplid</td>
<td>8 (optional)</td>
<td></td>
</tr>
<tr>
<td>Amt</td>
<td>10 (required)</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** the system should pre-populate the first two characters of the appropriate field with “CS” – Pamela is checking on exactly which field.  

2. The fields in item #1 (above) should display in the “PDF” version of the PRF.  

3. If the cost sharing is matching, or in-kind proposed and **required** by the sponsor, then the user should be able to either enter information into a single text field, or alternatively, fill in the chart string fields listed above in item #1.  

**Rationale:** this will allow users to enter cost share data that is not tied to salary. | High |
| 29 | Approvals and Certifications | In the “PDF” version of the PRF, display the x.500 of the proposal’s creator immediately above the Investigator’s signature line, ONLY IF the creator is the PI. | Low |
30 11 - Duration and Amount Requested

1. In both the “Electronic” version and the “PDF” version of the PRF, immediately under the budget table, add the following three checkboxes:
   __ Budget prepared in EGMS / SPA will pro-rate as needed at time of award.
   __ PeopleSoft-friendly budget forwarded to SPA / and SPA will pro-rate as needed at time of award.
   __ Please request PeopleSoft-friendly budget from department at time of award.

2. Put the heading “Award Setup Instructions” immediately above the checkboxes listed in item #1 (above).

   *Note: if EGMS has budget info, it will transfer properly to EFS.*

30.1 11 - Duration and Amount Requested

(a) In both the “Electronic” version and the “PDF” version of the PRF, eliminate the “Request Number” text field and its label.

(b) In both the “Electronic” version and the “PDF” version of the PRF, change the existing sentence (“Please enter the Request Number and date approved”) to “Please enter the date approved”.

31 New section - International Component

In both the “Electronic” version and the “PDF” version of the PRF

1. Add the following questions to this new section (International Component):

   a. Do you contemplate foreign travel (including conferences)? ___Yes ___No

   b. Do you contemplate a foreign component (collaboration or field work)? ___Yes ___No

   c. Will any part of this project take place outside the US? ___Yes ___No

2. Put this new section (called “International Component”) between what is currently section 16 – Does this project involve University resources, and section 17 – Indirect Cost Recovery (ICR) sharing.
| 32 | Reformatting  
“PDF” version of PRF  
(Current Sections 16, 17, 18, 19) | 1. In the “PDF” version of the PRF, if a question was answered “no”, the system should not display any of the text related to a “yes” answer. This applies to sections 16, 17, 18, and 19. **Rationale:** this will cut down on wasted space and paper, and it’s easier/quicker to find what you’re looking for.  
2. Reformat the “PDF” version of the PRF so that sections 9, 10, and 11 fit onto the first page. | High |
| 32.1 | 17 – Indirect Cost Recovery (ICR) Sharing | (a) In the “Electronic” version of the PRF, if the user clicks the “no” to the question “Is this proposal over $100,000 per year. . .”, then a Y/N question should appear that reads: “Will the academic units involved share ICR revenue?”  
(b) In the “PDF” version of the PRF, the question “Will the academic units involved share ICR revenue?” and its answer should be displayed if applicable (i.e., if the user clicked “no” to the question “Is this proposal over $100,000 per year. . .”).  
(c) In both the “Electronic” version and the “PDF” version of the PRF, replace the text “Intercollegiate Center” with “Department Name & Dept ID”. | High |
| 33 | Reformatting  
“PDF” version of PRF  
(Current Section 11) | In the “PDF” version of the PRF, if the question “Have you requested a reduced F&A rate (IDC)?” was answered “no”, then do not display the “yes” or “pending” checkboxes or any of the text associated with “yes” or “pending” answers. | High |
| 34 | Reformatting  
“PDF” version of PRF  
(Current Section 12) | In the “PDF” version of the PRF, section 12, display the letters a), b), c), d), e), f), g) in bold. Only bold the letters, not the associated question. | Low |
| 34.1 | 12 – Does this project involve any of the following  
(This requirement satisfies PFM #58223 in ITG.) | In both the “Electronic” version and the “PDF” version of the PRF, the “Approval Date” (listed under ‘a. Human Subjects’, ‘b. Animal Subjects’, and ‘e. Recombinant DNA. . .’), should be changed so that its system-calculated value is five years from the current date (rather than three years from the current date). | High |
| 35 | Reformatting “PDF” version of PRF *(Current Sections 14, and 18)* | In both the “Electronic” version and the “PDF” version of the PRF:

1. In section 14, assign and display a letter – a), b), c) – to each question, like section 12. The letters should be bolded (but not the associated question).

2. In section 18, assign and display a letter – a), b) – to each question, like section 12. The letters should be bolded (but not the associated question). | Low |
|---|---|---|
| 37 | (Several sections) | 1. For the “Electronic” version of the PRF, make the following fields editable by the GA, the PRF creator, and the PRF’s Approvers:

a. **DeptID** (because oftentimes it is incorrect) in section “Administering Department”—new section, see req #6; also in section 07-Principal Investigator, and section 08-Investigators.

b. **Proposal Title** in section 02

c. **Project Dates (start date and end date).**

Note: in the “Electronic” version of the PRF, these start/end dates are for the “Project”; whereas in the “PDF” version, these dates are for “Entire Budget”. In other words the labels are different.

d. **Sponsor Due Date** in section 03.

2. In the “Electronic” version of the PRF, the system should capture the x.500 UserID of any person who edits the above fields, and display this in the currently existing “Request History”. | High |
<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
<th>Action</th>
<th>Notes</th>
</tr>
</thead>
</table>
| 39   | Section 05 - Submission Medium | (a) In both the “PDF” and “Electronic” versions of the PRF, delete the existing text, “Number of copies: (include sponsor copies and a copy for SPA)”. In its place add the following three lines **Note:** the underscore represents a small text field.  
   
   Number of copies for sponsor including original: ___  
   Copy for SPA: ___  
   Total Copies: ___  
   
   (a.1) The system should pre-fill the “Copy for SPA” text box with the value “1”, and the user should not be able to edit it.  
   (a.2) The user should be able to enter a “0” into the first text box (“Number of copies for sponsor . . .”).  
   (a.3) The system should sum the first numbers in the first two text boxes and display that sum in the “Total Copies” text box. | High |
| 40   | “The PRF’s Approval Chain” section | For the “Electronic” version of the PRF, the system should allow users* to add additional approvers while the PRF has “pending” status.  
   
   *Note: “Users” here refers to: (a) the creator of the PRF, (b) the PI, (c) Level 2 approvers, and (d) Level 2 approvers’ alternates. | High |
| 41   | Section 09 - Proposal is for | For both the “PDF” and “Electronic” versions of the PRF, immediately below the line beginning with “If for Clinical Trial:”, add the following question and checkboxes:  
   
   “For a Clinical Trial, is the PI also the Sponsor-Investigator of this trial?” __ Yes __ No  
   
   **Note:** the underscores represent checkboxes. | High |
| 42   | Section 01 – Sponsor Name | In both the “Electronic” and “PDF” versions of the PRF, add the following two questions below the “Yes” answer to the question “Subcontract?”:  
   
   *Does this proposal include any incoming subawards? __ Yes __ No. If yes, how many? __ (enter # here)*  
   
   Notes: The underscore in the 1st question (above) represents a Y/N checkbox. The underscore in the 2nd question (above) represents a small text field. | High |
<table>
<thead>
<tr>
<th>42.1</th>
<th>New section – to be placed between current sections 12 and 13</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>In both the “Electronic” and “PDF” versions of the PRF, create a new section called “Outgoing Subawards”. In this section, have the following questions:</td>
</tr>
<tr>
<td></td>
<td><em>Does this proposal include any outgoing subawards?</em> <strong>Yes</strong> <strong>No. <em>If yes, how many?</em> __ (enter # here)</strong></td>
</tr>
<tr>
<td>2.</td>
<td>In the “Electronic” version of the PRF, the user should be provided with text fields (labeled “Subrecipient Name”) to enter the subrecipient name associated with each of the outgoing subawards. Display this information in the “PDF” version of the PRF.</td>
</tr>
<tr>
<td></td>
<td><strong>QUESTION:</strong> should item #2 also apply to req #42?</td>
</tr>
<tr>
<td>43</td>
<td>Section 13 – Conflict of Interest</td>
</tr>
<tr>
<td></td>
<td>For both the “Electronic” and “PDF” versions of the PRF, add the following statement:</td>
</tr>
<tr>
<td></td>
<td>The PI is responsible for verifying the accuracy of information for all PIs, Co-Is, and others responsible for design, conduct or reporting of the research. If any individual has reported a potential disclosure, this question should be answered “Yes”.</td>
</tr>
<tr>
<td></td>
<td><strong>Details about the location of this text:</strong></td>
</tr>
<tr>
<td></td>
<td>In the “Electronic” version of the PRF, it goes immediately below the heading “Financial and Business Conflict of Interest”.</td>
</tr>
<tr>
<td></td>
<td>In the “PDF” version of the PRF, it goes immediately below the Y/N question “Does a potential conflict of interest exist?”</td>
</tr>
<tr>
<td></td>
<td>Request History section</td>
</tr>
<tr>
<td>---</td>
<td>------------------------</td>
</tr>
<tr>
<td>1.</td>
<td>In the “Electronic” version of the PRF, there is a sentence that reads, “Needs to be approved by the following Level 2 approvers: . . .”. Change this sentence to read, “Needs to be approved by the following Level 2 approvers (or alternate approvers listed in parentheses): . . .”.</td>
</tr>
<tr>
<td>2.</td>
<td>In the above sentence, immediately after each Level 2 approver’s x.500, put the x.500 of his/her alternate approver(s). For example: “Needs to be approved by the following Level 2 approvers (or alternate approvers listed in parentheses): buske005 (schen017), jcomazzi (meyer179, mdelong).”</td>
</tr>
<tr>
<td>3.</td>
<td>In the “Electronic” version of the PRF, the PI should not be able to sign the PRF as an alternate.</td>
</tr>
<tr>
<td>4.</td>
<td>In both the “Electronic” version and the “PDF” version of the PRF, the PI should not be listed as an alternate for any Level 2 approver.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
</tbody>
</table>
|45 | N/A | 01 – Sponsor Name  
02 – Proposal Title  
03 – Sponsor Due Date  
04 – Funding Opportunity  
05 – Submission Medium  
06 – University Contact Name  
07 – Administering Department [new section]  
08 – Principal Investigator  
09 – Investigator(s)  
10 – Proposal is for  
11 – Proposal is  
12 – Proposed duration and amount requested  
13 – Does this project involve any of the following  
14 – Outgoing Subawards  
15 – Financial and Business Conflict of Interest  
16 – Inventions  
17 – Is sufficient and suitable space to house this project presently assigned to the principal investigator’s department or college?  
18 – Does this project involve University resources, space or staff from more than one department or college?  
19 – International Component [new section]  
20 – Indirect Cost Recovery (ICR) sharing  
21 – Matching and Cost Sharing  
22 – Program Income  
23 – Fairview/University Hospital (A) – Proposal Abstract or Executive Summary  
The PRF’s Approval Chain  
Approvals and Certifications  
Request History  
Actions Needed for Approval | High |
Appendix A

Current “PDF” version of the PRF (sample)
Proposal Routing Form for External Research, Training or Public Service Support

(1) Sponsor Name: Hebrew University - Jerusalem
   a) Is this a subcontract? X Yes □ No
      If yes, indicate the Prime Funding Source: Binational Science Foundation

(2) Proposal Title: Experimental and Theoretical Study of Actively Deforming Sheets

Short Title: Experimental and Theoretical Study

11-14-2008 11:04:49

(3) Sponsor Due Date: 11-14-2008 X Receipt □ Postmark □ Target

(4) Funding Opportunity #:

(5) Submission Medium:
   □ Grants.gov
   □ Electronic X
   Email Address:
   www.bsf.org.il
   Instructions:
   Submit online through sponsor website

   □ Paper or Paper/Electronic (combination)
   Number of Copies for sponsor plus one copy for SPA: Original + copies.
   Mailing Information: (street address required for courier delivery)
   Instructions:

Country:
Address 1:
Address 2:
City:
State/Province:
Zip/Postal Code:
Email Address:
Phone:

(6) University Contact Name: Gregg A. Piotice Phone: 63651

(7) Principal Investigator Name: Siegel, Ronald A
   Title: HEAD V/WITH FACULTY RANK()93611
   Phone: (612) 624-6164
   Dept.: COP PHARMACEUTICS
   X500 Username: siegel017
   % Paid: □ Unpaid: $ Total: $
   Depnt: 11409

(8) Co-Investigator □ is also PI Name
   Title:
   Phone:
   Dept.:
Proposal Routing Form for External Research, Training or Public Service Support

Proposal is for:

- [X] Research
- [ ] Instruction
- [ ] Other sponsored activity
- [ ] Equipment only
- [ ] Clinical Trial

If for Research:

- [ ] Basic
- [X] Applied
- [ ] Development

If for Clinical Trial:

- [ ] Initiated
- [X] Not Initiated

Proposal is:

- [X] New
- [ ] Renewal
- [ ] Revision to previous Proposal
- [ ] Supplement
- [ ] Continuation

If other than new or revision, provide University account number:

- [ ] Fund
- [ ] Area
- [ ] Org

Proposed duration and amount requested:

<table>
<thead>
<tr>
<th>Start</th>
<th>End</th>
<th>Direct$</th>
<th>Indirect$</th>
<th>Total$</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/01/2009</td>
<td>09/30/2010</td>
<td>15542</td>
<td>2331</td>
<td>17873</td>
</tr>
<tr>
<td>01/01/2009</td>
<td>09/30/2015</td>
<td>62341</td>
<td>10249</td>
<td>72590</td>
</tr>
</tbody>
</table>

Have you requested a reduced F&A rate (IDC)?

- [ ] No
- [X] Yes

Please enter the Request Number and date approved:

- Request Number:
- Date Approved:

Pending

Please enter the date the reduced F&A rate was requested:

- Date Requested:

If using an F&A other than the negotiated F&A rate or sponsor mandated rate, provide justification below.

Sponsor guidelines only allow for 15% F&A

If you will be requesting a waiver or reduction of F&A, contact the Office of Sponsored Projects Administration at 612-624-1648.

Does this project involve:

- [X] Yes
- [ ] No
  a) Human Subjects (Research Subjects' Protection Program 612-626-5654)

If yes, what is the status of the Human Subjects Application?

- [ ] Approved
- [ ] Exempt
- [X] Pending

If Approved or Exempt: Study Code Number:

If Approved: Approval Date:

- [X] Yes
- [ ] No
  b) Animal Subjects (Research Subjects' Protection Program 612-626-5654)

If yes, Approved Approval Date:

- Study Code Number:

- [X] Yes
- [ ] No
  c) Purchase/use of custom antibodies that have been or will be produced in animals housed outside the University?

(Research Subjects' Protection Programs 612-626-5654)

- [X] Yes
- [ ] No
  d) Human Blood, Body Fluids, or Other Potentially Infectious Materials

If yes, do you have Bloodborne Pathogen training and immunization?

- [ ] Yes
- [X] No

(Dept. of Environmental Health and Safety - 626-5892)

- [X] Yes
- [ ] No
  e) Recombinant DNA, Infectious Agents or Biological Toxins

If yes, have you filed a registration form concerning this project with the Institutional Biosafety Committee?

(Research Subjects' Protection Programs 612-626-5654)

- [X] Yes
- [ ] No

Study Code Number:

- Approval Date:

- [ ] Yes
- [ ] No

[ ] Pending

- [X] Yes
- [ ] No
  f) Radioactive Materials and/or Ionizing or Nonionizing Radiation Producing Equipment

If yes, do you have the appropriate permits and adequate radiation safety information?

(Dept. of Environmental Health and Safety - 626-6764)

Page 2

Emily Talley
PRF Update Project Requirements Specification Document_v2.0__06082009.doc
Proposal Routing Form for External Research, Training or Public Service Support

☐ Yes ☐ No  g) Chemicals
If yes do you have the appropriate chemical safety training (626-2330) and hazardous waste training (Dept. of Environmental Health and Safety - 626-7744) records? ☑ Yes ☐ No

(13) ☑ Yes ☐ No Does a potential conflict of interest exist?
If yes, please indicate REPA (Report of External Professional Activities), Part III and Part IV Number:
Comments:
Approval Date:

(14) ☑ Yes ☐ No Is it likely that anything patentable (i.e. new, useful, or improved) will result from this research?
If this is a renewal or continuing project, have any inventions been conceived or reduced to practice under prior research on this project?
If yes, ☑ not previously reported ☐ previously reported

(15) ☑ Yes ☐ No Is sufficient and suitable space to house this project presently assigned to the principal investigator’s department or college? If yes, this space is located in:
Room Number(s) and Building Name(s)
9-125, WDH
If no, this problem must be reviewed with the department head. A tentative solution must be identified and documented prior to submission of this proposal. If alterations are necessary, funds must be requested from the sponsor, or a University source.

(16) ☑ Yes ☐ No Does this project involve University resources, space or staff from more than one department or college?
If yes, this form must be approved by all department heads and deans involved.
1.
2.
3.
4.
5.

(17) ☑ Yes ☐ No Is this proposal over $100,000 per year with indirect of at least $1000, AND does it involve an intercollegiate center or more than one college?
If yes, proposals involving an intercollegiate center or more than one college require sharing of Indirect Costs Recovery (ICR) unless waived by the dean. http://www.fpld.fnop.umn.edu/groups/ppd/documents/procedure/cost proc4.cfm
How will ICR be shared?
☐ By separate budgets
☐ Budgets are attached to proposal
☐ Budgets will be provided prior to grant award
☐ Based on contribution
☐ Will be shared but percentages have not been negotiated
☐ Separate agreement has been negotiated and is attached to the proposal
☐ Enter the tentative percentage, contingent upon receipt of grant and final negotiations, for each college or intercollegiate center

1. OR Intercollegiate Center (please, type in field):
   %

2. OR Intercollegiate Center (please, type in field):
   %

3. OR Intercollegiate Center (please, type in field):
   %

Page 3
Proposal Routing Form for External Research, Training or Public Service Support

OR Intercollegiate Center (please, type in field):

\[
\% \\
\%
\]

4.

OR Intercollegiate Center (please, type in field):

\[
\% \\
\%
\]

5.

OR Intercollegiate Center (please, type in field):

\[
\% \\
\%
\]

(18) \(\surd\) Yes \(\square\) No Is cost sharing, matching, or in-kind proposed and required by the sponsor for this submission?

\(\surd\) Yes \(\square\) No Is cost sharing, matching, or in-kind proposed but not required by the sponsor?

If yes to either question, indicate the funding source(s) and amount(s).

Sponsor does not allow salary for PI. PI salary in the amount of $70,644 and fringe $21,476 from 1000-11392-20038.

(19) Program Income

\(\square\) Yes \(\surd\) No Is program income anticipated on this project?

If yes, indicate specific type(s) of program income by selecting one or more items from questions a through d below.

\(\square\) a) From fees for services performed?

\(\square\) b) From the use or rental of real or personal property acquired under this project?

\(\square\) c) From the sale of commodities or items fabricated under the award?

\(\square\) d) From license fees and royalties on patents and copyrights that may develop from this project?

If yes to any of the above, agency rules, regulations, and University procedures regarding accounting for and reporting program income must be followed.
Does this proposal make use of Fairview/University Hospital Resources?


If yes, E-Form Request #:

(A) Executive Summary:

APPROVALS and CERTIFICATIONS

Principal Investigator:
(1) I certify the information submitted within the application is true, complete and accurate to the best of the PI's knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil or administrative penalties; and (3) that the PI agrees to accept the responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

Investigator:
The information provided on this form and in the accompanying proposal is correct to the best of my knowledge. Equipment budgeted in this application is not otherwise available for use on this project from existing departmental or college inventories. In the event this application is awarded, I (we) agree to abide by all applicable institutional and sponsoring agency policies and procedures including the Intellectual Property Policy of the University of Minnesota and to follow commonly accepted scientific practices in recording and maintaining records of research. I (we) certify that I (we) have read the University of Minnesota Code of Conduct policy and agree to abide by the rights and responsibilities as identified therein.

Signature: ___________________________ Date: __________

Investigator(s)

Department Head(s) and/or Division Head(s); Academic Dean(s); Chancellor or Provost;

We certify that the above statements are correct to the best of our knowledge. The commitment of departmental and college resources, if any, has been noted and approved. We agree that the scientific objectives of this application are in keeping with departmental and college goals. When question 13 regarding conflict of interest is marked yes, we acknowledge that the INTEREST has been reviewed with the principal investigator and will not comprise a conflict.

Signature: ___________________________ Date: __________

Department Head(s); Division Head(s); Academic Dean(s); Chancellor or Provost

Signature: ___________________________ Date: __________

Department Head(s); Division Head(s); Academic Dean(s); Chancellor or Provost

The University of Minnesota is an equal opportunity educator and employer

Date: 11/14/08 10:37
Appendix B

Previous “PDF” version of the PRF (sample)
Proposal Routing Form for External Research, Training or Public Service Support

(13) Does this project involve:

☐ Yes ☒ No a) Human Subjects (Research Subjects' Protection Program 626-5654)

If yes:

☐ Yes ☐ No What is the status of the Human Subjects Application? ☐ Approved ☐ Exempt ☐ Pending

If approved or exempt:

Study Code Number:

☐ Yes ☐ No Approval Date:

Approval:

Approval Date:

☐ Yes ☐ No b) Animal Subjects (Research Subjects' Protection Program 626-5654)

If yes:

☒ Yes ☐ No ☐ Pending Approval Date: 02/21/2006 Study Code Number: 0402556681

☐ Yes ☐ No c) Purchase/use of custom antibodies that have been or will be produced in animals housed outside the University? (Research Subjects' Protection Program 626-5654)

☒ Yes ☐ No d) Human Blood, Body Fluids or Other Potentially Infectious Material

If yes, do you have Bloodborne Pathogen training and immunization? ☐ Yes ☒ No

(Health and Safety: 626-5842)

☐ Yes ☒ No e) Recombinant DNA, Infectious Agents or Biological Toxins

If yes, have you filed a registration form concerning this project with the Institutional Biosafety Committee? (Institutional Biosafety Committee: 626-2161) ☐ Yes ☒ No ☐ Pending Approval Date: 03/03/2004

☐ Yes ☒ No f) Radioactive Materials and/or Ionizing or Nonionizing Radiation Producing Equipment

If yes, do you have the appropriate permits and adequate radiation safety information? (Dept. of Environmental Health and Safety: 626-6765) ☒ Yes ☐ No

☒ Yes ☐ No g) Chemicals

If yes, do you have the appropriate chemical safety training (626-2330) and hazardous waste training (626-7744) program? ☒ Yes ☐ No

(14) ☒ Yes ☐ No Does a potential conflict of interest exist? Yes, indicate the AREPA (A Report of External Professional Activities), Part III or Part IV Approval Date:

Comments:

(15) ☒ Yes ☐ No a) Is it likely that anything patentable (i.e., new, useful, or improved) will result from this research?

☒ Yes ☐ No b) If this is a renewal or continuing project, have any inventions been conceived or reduced to practice under prior research on this project?

☐ Yes ☒ No c) Does this proposal contain private commercial or trade secret information? If yes, clearly identify the private commercial information in the text of the proposal.

(16) ☒ Yes ☐ No Is sufficient and suitable space to house this project presently assigned to the principal investigator's department or college? If yes, this space is located in:

Room Number and Building Name

5-226, 5-228 and 5-230 Molecular and Cellular Biology Building

If no, this problem must be reviewed with the department head. A tentative solution must be identified and documented prior to submission of this proposal. If alllocations are necessary, funds must be requested from the sponsor, or a University source.

(17) ☒ Yes ☐ No Is cost sharing, matching, or in-kind proposed and required by the sponsor for this submission?

☒ Yes ☒ No Is cost sharing, matching, or in-kind proposed but not required by the sponsor?

If yes to either question, indicate funding source(s) and amount(s):
Proposal Routing Form for External Research, Training or Public Service Support

(18) ☐ Yes ☒ No Is program income anticipated on this project? If yes, indicate specific type(s) of program income in item(s) a through d below.
   ☐ a) From fees for services performed?
   ☐ b) From the use or rental of real or personal property acquired under this project?
   ☐ c) From the sale of commodities or items fabricated under the award?
   ☐ d) From license fees and royalties on patents and copyrights that may develop from this project?
If yes to any of the above, agency rules and regulations regarding reporting program income must be followed.

(19) ☐ Yes ☒ No Does this proposal make use of Fairview/University Hospital Resources? If yes, this project must be reviewed by the AHC Office of Research prior to submission. See http://www.ahc.umn.edu/researchpolicy/vf.html for further information.

APPROVALS and CERTIFICATIONS

Principal Investigator:
I certify that the information submitted within the application is true, complete and accurate to the best of the PI’s knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil or administrative penalties; and (3) that the PI agrees to accept the responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

Investigators:
The information provided on this form and in the accompanying proposal is correct to the best of my knowledge. Equipment budgeted in this application is not otherwise available for use on this project from existing departmental or collegiate inventories. In the event this application is awarded, I (we) agree to abide by all applicable institutional and monitoring agency policies and procedures including the Intellectual Property Policy of the University of Minnesota and to follow commonly accepted scientific practices in recording and maintaining records of research.

I (we) certify that I (we) have read the University of Minnesota Code of Conduct policy and agree to abide by the rights and responsibilities as identified therein.

Signature mcivo001 smashia001 quentch001
Date

Department Head(s) and/or Division Head(s):
Academic Dean(s), Chancellor or Provost:
We certify that the above statements are correct to the best of our knowledge. The commitment of departmental and collegiate resources, if any, has been noted and approved. We agree that the scientific objectives of this application are in keeping with departmental and collegiate goals. When question 14 regarding conflict of interest is marked yes, we acknowledge that the INTEREST has been reviewed with the principal investigator and will not comprise a conflict.

Signature gille002 palle001 hawki039(for tritz)
Date

Signature vanne001 janne001(for treedean) richa016(for mold0002)
Date

Date Printed: 12/22/06 14:19

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PRF Update Project Requirements Specification Document_v2.0_06082009.doc Page 31 of 48
Proposal Routing Form for External Research, Training or Public Service Support

(8) Co-investigators... (continued)

Name: Gunther, Roland
Title: CLINICAL SPECIALIST [9732]
Phone: (612) 624-9100
Dept.: RESEARCH ANIMAL RESOURCES
X.500 Username: gunth001

% Paid: [ ] Unpaid: [ ] Total: [5]
Area: [845]

Name: 
Title: 
Phone: 
Dept.: 

X.500 Username: 

% Paid: [ ] Unpaid: [ ] Total: [ ]
Area: 

Name: 
Title: 
Phone: 
Dept.: 

X.500 Username: 

% Paid: [ ] Unpaid: [ ] Total: [ ]
Area: 

Name: 
Title: 
Phone: 
Dept.: 

X.500 Username: 

% Paid: [ ] Unpaid: [ ] Total: [ ]
Area: 

Name: 
Title: 
Phone: 
Dept.: 

X.500 Username: 

% Paid: [ ] Unpaid: [ ] Total: [ ]
Area: 

Draft
Appendix C

Screen shots of the current “Electronic” version of the PRF (sample)
New stand-alone EGMS PRF

status

Created | Returned | Pending | Approved

NOTE: For security reasons, EGMS has a 2 hour session inactivity timeout. This means if you do not click on the "submit request" button within 2 hours of starting a document, the information you have entered will be lost.

To avoid losing data you have entered, always click on the submit request button before quitting work on a document. This button is located just below the comments box near the bottom of the screen. To resume work on a form, select "status of request" from the main menu and your document(s) will be listed.

Statement of Purpose

This is a stand-alone PRF and should only be used with a paper proposal. Proposals created electronically with the EGMS Proposal Prep system generate their own PRF upon final audit.

NOTE: When you select fields labeled with a 'V' icon, additional fields/information will display.

1) Sponsor Name:
   Proposal ID: Not Set

   Subcontract? □
   No □
   Yes □

   If yes, indicate the Prime Funding Source:

2) Proposal Title:

3) Sponsor Due Date:
   mmdyyyy

4) RFA/RFP/CFDA/FO #:

5) Submission Medium:

   Grants.gov □
   Electronic □
   Paper or Paper/Electronic (combination) □

Number of copies:

https://egms.umn.edu/cgi-bin/nirvana/Showform.pl

11/18/2008
New 'PRF - Proposal Routing Form' Request

Instructions:

Mailing Information:
Current address required for courier delivery

Country: <- Select a country ->
Address 1: ________________________________
Address 2: ________________________________
City: ________________________________
State/Province: ________________________________
ZIP/Postal Code: ________________________________
Phone: ________________________________
Email Address: ________________________________

(6) University Contact Name:

Last Name, First Name M:
Phone: ________________________________

(7) Principal Investigator:

X.500 Username: ________________________________
Last Name: ________________________________
First Name: ________________________________
Middle Initial: ________________________________
Phone: ________________________________

Department: ________________________________
Job Title: ________________________________
% Effort Paid: 0
% Effort Unpaid: 0
% Effort Total: 0

(8) Investigator(s):

X.500 Username: ________________________________

Last Name: ________________________________
First Name: ________________________________
Middle Initial: ________________________________
Phone: ________________________________

Department: ________________________________
Job Title: ________________________________

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New 'PRF - Proposal Routing Form' Request

(9) Proposal is for:

- Research
  - Basic %: 0
  - Applied %: 0
  - Development %: 0
  - Total %: 0
- Instruction
- Other Sponsored Activity
- Equipment Only
- Clinical Trial

(10) Proposal is:
- New
- Revision to Previous Proposal
- Continuation
- Renewal
- Supplement

Original PRF Number: Not Set
For Continuation, Renewal, and Supplement the PeopleSoft Award Id is: Not Set
For historical reference:
- Fund:
- Area:
- Org:

(11) Proposed duration and amount requested:

<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
<th>Direct</th>
<th>Indirect</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>mmmddyyyy</td>
<td>mmmddyyyy</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

Initial/Current Budget: mmmddyyyy

Entire Budget: mmmddyyyy

Have you requested a reduced F&A rate (IDC)?
- No
- Yes

Please enter the Request Number and date approved:
- Request Number:
- Date Approved: mmmddyyyy

Pending

If using an F&A rate other than the negotiated F&A rate or sponsor mandated rate, provide justification below:

If you will be requesting a waiver or reduction of F&A, contact the Office of Sponsored Projects Administration at (612) 624-1946.
- F&A Reduction Request Form
- Procedures and Instructions
- Facilities & Administrative/Indirect Cost Rates

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Does this project involve any of the following: ☐

- Human Subjects
- Animal Subjects
- Purchase/Use of Custom Antibodies produced in animals housed outside the University
- Human Blood, Body Fluids, or Other Potentially Infectious Materials
- Recombinant DNA, Infectious Agents or Biological Toxins
- Radioactive Materials and/or licensing or non-merging Radiation Producing Equipment
- Chemicals

No ☐ Yes □

If yes, please answer the following:

a. Human Subjects
   No ☐ Yes □
   If yes, what is the status of the Human Subjects Application?
   Pending
   Approved □
   Exempt □
   Research Subjects’ Protection Program: (612) 626-6654

b. Animal Subjects
   No ☐ Yes □
   If yes, what is the status of the Animal Usage Application?
   Pending
   Approved □
   Research Subjects’ Protection Program: (612) 626-6654

c. Purchase/Use of custom antibodies that have been or will be produced in animals housed outside the University?
   No ☐ Yes □

d. Human Blood, Body Fluids, or Other Potentially Infectious Materials
   No ☐ Yes □
   Do you have Bloodborne Pathogen training and immunization?
   No ☐ Yes □
   Dept. of Environmental Health and Safety: (612) 626-0392

e. Recombinant DNA, Infectious Agents or Biological Toxins
   No ☐ Yes □
   If yes, have you filed a registration form concerning this project with the Institutional Biosafety Committee?
   Pending
   No ☐ Yes □
   Study Code Number:
   __________________________
   Approval Date:
   mm/dd/yyyy

https://egms.umn.edu/cgi-bin/nirvana/Showform.pl

11/18/2008
f. Radioactive Materials and/or Ionizing or Nonionizing Radiation Producing Equipment
   No
   Yes ▼
   Do you have the appropriate permits and adequate radiation safety information?
   No
   Yes

   Dept. of Environmental Health and Safety: (612) 625-6764

   Chemical safety training: (612) 626-2330
   Dept. of Environmental Health and Safety: (612) 626-7764

   TOP ▲

(13) Financial and Business Conflict of Interest:
   No
   Yes ▼
   Indicate the RBPA Part III and Part IV #: 

   Approval Date: mm/dd/yyyy

   Additional Comments:

   TOP ▲

(14) Inventions:
   a. Is it likely that anything patentable (i.e., new, useful, or improved) will result from the current research project?
      No
      Yes

   b. If this is a renewal or continuing project, have any inventions been conceived or reduced to practice under prior research on this project?
      No
      Yes ▼

      Not Previously Reported
      Previously Reported

   c. Does this proposal contain private commercial or trade secret information? If yes, clearly identify the private commercial information in the text of the proposal.
      No
      Yes

   TOP ▲

(15) Is sufficient and suitable space to house this project presently assigned to the principal investigator’s department or college?
   No ▼
   Yes

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This space is located in:

Room Number: 
Building Name: 

(16) Does this project involve University resources, space or staff from more than one department or college?

No □
Yes □

If yes, this form must be approved by all department heads and deans involved.

1. 
2. 
3. 
4. 
5. 
6. 
7. 
8. 
9. 

(17) Indirect Cost Recovery (ICR) sharing: ☐

Is this proposal over $100,000 per year with indirect of at least $1000, AND does it involve an intercollegiate center or more than one college?

No □
Yes □

Proposals involving an intercollegiate center or more than one college require sharing of indirect costs recovery (ICR) unless waived by the dean.


How will ICR be shared?

By separate budgets □
Based on contribution □

(18) Matching and Cost Sharing:

Is cost sharing, matching, or in-kind proposed and required by the sponsor for this submission?

No □
Yes □

Is cost sharing, matching, or in-kind proposed but not required by the sponsor?

No □
Yes □

If yes to either question, indicate the funding source(s) and amount(s):

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11/18/2008
New 'PRF - Proposal Routing Form' Request

19) Program Income:
   Is program income anticipated on this project?
   Yes □
   No □

   If yes, indicate specific type(s) of program income by selecting one or more items from questions a
   through d below:
   a. □ From fees for services performed?
   b. □ From the use or rental of real or personal property acquired
      under this project?
   c. □ From the sale of commodities or items fabricated under the award?
   d. □ From license fees and royalties on patents and copyrights that may develop from this
      project?

   If yes to any of the above, agency rules, regulations, and University procedures regarding accounting
   for and reporting program income must be followed.

20) Fairview/University Hospital:

   Does this proposal make use of Fairview/University Hospital Resources?
   Yes □
   No □

   E-Form Request #:

A) Proposal Abstract or Executive Summary:

THE PRF'S APPROVAL CHAIN

- Approvers should include, but are not limited to, Department Heads of all departments involved in the study. If you need to
  look in the directory for an x.500 id, click here.
- All signers must be included in this chain. If some approvers are not yet setup for electronic signature, then use the Do not
  route electronically option and print out for ALL Ink signatures.
- Do NOT include SPA staff in your routing chain.
- The PI's Alternate Approvers in EGMS cannot electronically approve a PRF in the PI's absence. The PI's responsibility for
  signing the PRF cannot be delegated, based on requirements outlined in the University's Sponsored Projects Roles and
  Responsibilities document. EGMS was updated to be consistent with roles and responsibilities for PIs of sponsored projects.

   □ Do not route electronically

1.                2.                3.
   [signature]     [signature]     [signature]

   Add Another Approver

APPROVALS AND CERTIFICATIONS

Principal Investigator:

https://egms.umn.edu/cgi-bin/nirvana/Showform.pl

11/18/2008
(1) I certify that the information submitted within the application is true, complete and accurate to the best of the PI's knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; (3) and that the PI agrees to accept the responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

Investigator(s):

The information provided on this form and in the accompanying proposal is correct to the best of my knowledge. Equipment budgeted in this application is not otherwise available for use on this project from existing departmental or collegiate inventories. In the event this application is awarded, I (we) agree to abide by all applicable institutional and sponsoring agency policies and procedures including the Intellectual Property Policy of the University of Minnesota and to follow commonly accepted scientific practices in recording and maintaining records of research.

I (we) certify that I (we) have read the University of Minnesota Code of Conduct policy and agree to abide by the rights and responsibilities as identified therein.

Department Head(s) and/or Division Head(s), Academic Dean(s), Chancellor or Provost:

We certify that the above statements are correct to the best of our knowledge. The commitment of departmental and collegiate resources, if any, has been noted and approved. We agree that the scientific objectives of this application are in keeping with departmental and collegiate goals. When question 13 regarding conflict of interest is marked yes, we acknowledge that the interest has been reviewed with the principal investigator and will not comprise a conflict.

Comments: (Request History)

New Note:

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11/18/2008

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## Appendix D

### Proposed List of PRF Changes
(from 12/8/2008 spreadsheet)

<table>
<thead>
<tr>
<th>Item</th>
<th>Section</th>
<th>Requested Change</th>
<th>Priority</th>
<th>Comments / Work Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>02 - Proposal Title</td>
<td>The title should cut off at 254 characters, because Peoplesoft does not accept more</td>
<td>Low</td>
<td>Departments may wish to see the full title in EGMS/Forms Nirvana even if it is not ultimately displayed in Peoplesoft. This is particularly useful for clinical trials since the titles often start with long descriptors like &quot;Randomized, Double Blind, Placebo Controlled,&quot; and you need to get to the rest of the title to know the project. The field length should either be longer than 170 characters (current limit) or unlimited (if that is practical) Work Category: Text change</td>
</tr>
<tr>
<td>2</td>
<td>05 - Submission Medium</td>
<td>Add mandatory completion of Instructions and Address portion of this section if Paper or Paper/Electronic is selected</td>
<td>High</td>
<td>Work Category: Logic change</td>
</tr>
<tr>
<td>3</td>
<td>05 - Submission Medium</td>
<td>There should be a separate box for Paper/Electronic because this isn't sufficiently clear instructions when it is combined with Paper.</td>
<td>Medium</td>
<td>Agreed to change to two separate rows, one for Paper, and the other &quot;Paper + Electronic&quot; (instead of Paper/Electronic) to clarify that both paper and electronic copies are required to be submitted. Work Category: New field</td>
</tr>
<tr>
<td>4</td>
<td>05 - Submission Medium</td>
<td>Make &quot;Instructions&quot; section bigger. Possibly combine address information with the instructions box. Eliminating separate lines for Country, Address 1, Address 2, City, State/Province, Zip/Postal Code, Email Address, Phone</td>
<td>Low</td>
<td>Agreed to change existing 9 boxes to 3 instead. 1 for Instructions; 1 for Address (all data elements in one box; easier for copy/paste) and 1 for &quot;Agency contact email/phone&quot; in free text. The latter needed because it may not be included if not specifically requested. Work Category: Text change</td>
</tr>
<tr>
<td>5</td>
<td>06 - University Contact Name</td>
<td>Add email address for Department Contact</td>
<td>Low</td>
<td>Try to change so that a default entry occurs when a PRF is initialized to include initiator's name, phone AND email, and then these values can be overwritten if needed. Currently, name and phone are defaulted in only after &quot;Submit&quot; button is pushed. Work Category: New field</td>
</tr>
<tr>
<td>6</td>
<td>07 - Principal Investigator</td>
<td>Specifically designate &quot;Administering Department&quot; (including DeptID) and owner of Primary Project</td>
<td>High</td>
<td>Add a separate section just for this info. This will help clarify which unit is responsible, especially for interdisciplinary projects. Work Category: New field</td>
</tr>
<tr>
<td>#</td>
<td>Principal Investigator</td>
<td>Changes</td>
<td>Work Category</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>------------------------</td>
<td>---------</td>
<td>--------------</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Change label from &quot;unpaid effort&quot; to &quot;cost-shared effort&quot; and require Fund-DeptID-Program-Acct-Amt if not zero (link to CS section) or indicate that the information will be provided at time of award (if this option is checked, SPA cannot auto-set up the award budget)</td>
<td>High</td>
<td>This option will allow users a choice to provide cost-sharing details up front or wait until the proposal is funded but will make it clear that cost-sharing is occurring. Work Category: Text change</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Create box in Section 7 to indicate &quot;Multiple PIs&quot; - Does this option already exist by having a box next to co-investigators that indicates &quot;Is also PI?&quot;</td>
<td>Not needed</td>
<td>This functionality already exists by the &quot;Is also PI?&quot; box provided.</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Add logic into PRF to require PI effort % in Section 7 unless Equipment Box, Student Support Only, or $0 Master Agreement box is checked in Section 9</td>
<td>Medium</td>
<td>This option should allow a 0% effort for the PI under these specific circumstances (matches U policy and A-21 requirements) Work Category: Logic change</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Add PI'sEMPLID (required)</td>
<td>High</td>
<td>Can EGMS pull this automatically when a PI or an x500 ID is entered? Work Category: New field</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Add Calendar months of effort</td>
<td>No</td>
<td>The group felt this was not needed in the PRF; if other users want it, they should provide additional justification to the working group.</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Change label from &quot;unpaid effort&quot; to &quot;cost-shared effort&quot; and require Fund-DeptID-Program-Acct-Amt if not zero (link to CS section) or indicate that the information will be provided at time of award (if this option is checked, SPA cannot auto-set up the award budget)</td>
<td>High</td>
<td>This change, if adopted, would likely require an additional category of personnel to be also added or at minimum to allow for grad students, post-docs or others who aren't co-investigators to be key personnel without signing the PRF. Work Category: Text change</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Create Box in Section 8 to indicate &quot;Key Personnel&quot; to port over to EFS</td>
<td>High</td>
<td>Work Category: New field - High</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Add Investigators'sEMPLID (required for key personnel)</td>
<td>High</td>
<td>Work Category: New field</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Add Calendar months of effort</td>
<td>No</td>
<td>The group felt this was not needed in the PRF; if other users want it, they should provide additional justification to the working group.</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>08 - Investigators</td>
<td>Delete gratuitous &quot;comma&quot; that appears in Section 8 when you print the PRF</td>
<td>Low</td>
<td>Work Category: Text change</td>
</tr>
<tr>
<td>17</td>
<td>09 - Proposal is for</td>
<td>Add Box for &quot;Student Support Only&quot; and one for &quot;$0 Master Agreement&quot;</td>
<td>Medium</td>
<td>Work Category: New field</td>
</tr>
<tr>
<td>18</td>
<td>09 - Proposal is for</td>
<td>Add box to add TASCs # if Clinical Trials option is checked! [See Section 20 for an alternative suggestion]</td>
<td>No</td>
<td>Section 20 alternative adopted instead</td>
</tr>
<tr>
<td>19</td>
<td>10 - Proposal Type</td>
<td>Change &quot;Fund-Area-Org&quot; to &quot;Award Number&quot; or &quot;Award Number + Primary Project&quot;</td>
<td>Additional input needed</td>
<td>Work Category: New field</td>
</tr>
<tr>
<td>20</td>
<td>10 - Proposal Type</td>
<td>Change &quot;revision to previous Proposal&quot; to &quot;Resubmission&quot; and add &quot;Revision&quot;. Change &quot;Continuation&quot; to &quot;Non-Competing Continuation or Progress Report&quot; or use NIH definitions (New = New; Renewal = Competing Continuation; Resubmission = Revised or Amended; Revision = Competing Supplement&quot;</td>
<td>No</td>
<td>The committee felt this should not be focused on a single agency's use of definitions (e.g., NIH's) but it would be helpful to add more explanation and crosswalk in the notes/help section for those who are confused by the terminology.</td>
</tr>
<tr>
<td>21</td>
<td>11 - Duration and Amount Requested</td>
<td>Change label to show that justification for F&amp;A rate is used for small project waivers only. Change to add check boxes for type of waiver (strategic, regular or small project).</td>
<td>Medium</td>
<td>Work Category: Text change</td>
</tr>
<tr>
<td>22</td>
<td>11 - Duration and Amount Requested</td>
<td>Change to allow $0 (instead of $1)</td>
<td>High</td>
<td>Highly annoying to existing users.</td>
</tr>
<tr>
<td>23</td>
<td>12 - Does this project involve</td>
<td>Add Animal type with a fill-in box</td>
<td>No</td>
<td>The committee felt that this isn't broadly used or needed in the PRF (as opposed to IACUC forms) but would be open to input from other users on this topic</td>
</tr>
<tr>
<td>24</td>
<td>12 - Does this project involve</td>
<td>Is it necessary to include &quot;Study Code Number&quot; in 12.e.?</td>
<td>No change</td>
<td>Exists today and is needed - used by both depts and SPA</td>
</tr>
<tr>
<td>25</td>
<td>14 - Tech Transfer Qs</td>
<td>Add to existing question #14 - does the PI or any Co-I have any active patent disclosures with the Office of Technology Commercialization relating to the work contemplated in this proposal Y/N</td>
<td></td>
<td>Still needs to be prioritized (recommended text was provided after the last PRF Working group meeting)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td></td>
<td>17 - Indirect Cost Recovery (ICR) Sharing</td>
<td>Improve mechanism for defining F&amp;A split on an individual project</td>
<td>High</td>
<td>Need CRAD involvement on wording</td>
</tr>
<tr>
<td></td>
<td>18 - Matching and Cost Sharing</td>
<td>Add cost sharing rows (link to Sections 7 and 8 but allow extra lines for non-salary cost share)</td>
<td>High</td>
<td>Work Category: Text change</td>
</tr>
<tr>
<td></td>
<td>20 - Fairview</td>
<td>Modify to indicate, &quot;If Yes, enter e-Form or TASCS number&quot;</td>
<td>High</td>
<td>Work Category: New field</td>
</tr>
<tr>
<td></td>
<td>Approvals and Certifications</td>
<td>Why does the creator of the PRF show above the Investigator signature?</td>
<td>Low</td>
<td>Recommend removing this field; contact for the PRF already shows on Page 1</td>
</tr>
<tr>
<td></td>
<td>New</td>
<td>Add opportunity for department to give SPA guidance about how they want any resulting award setup (e.g., __ PS friendly budget attached/SPA will pro-rate as needed at time of award, or __ Please request PS-friendly budget from department at time of award)</td>
<td>High</td>
<td>Talk with Brittany about interface - if EGMS has budget info, will it transfer properly to EFS? May be good reason to do budget in EGMS and change the way this question is worded.</td>
</tr>
<tr>
<td></td>
<td>New</td>
<td>Add international questions: Do you contemplate foreign travel? Do you contemplate a foreign component of the research? Do you contemplate foreign collaboration?</td>
<td>Medium</td>
<td>Work Category: New field</td>
</tr>
</tbody>
</table>

---

Emily Talley

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Page 45 of 48
<table>
<thead>
<tr>
<th>#</th>
<th>Category</th>
<th>Description</th>
<th>Priority</th>
<th>Work Category:</th>
</tr>
</thead>
<tbody>
<tr>
<td>32</td>
<td>Reformatting</td>
<td>Recommend PRF is reformatted. When you print it out, there is way too much wasted space. Remember when this used to fit nicely on 2-3 pages? If a question is answered &quot;no&quot;, we don't need to have the extra printed, for example, certainly questions 17, 18, 19. If the answer is &quot;no&quot;, why does all of the &quot;if answer is yes&quot; stuff print out. I would also like to see it reformatted so that questions #9, 10, and 11 are on page 1 if possible. When I look in my files for things, what I am looking for is in those questions so it is annoying to have to go back a page. It would be nice to have that information on the first page - again, like it used to be. [See sample of old PRF, attached.]</td>
<td>High</td>
<td>Reformatting</td>
</tr>
<tr>
<td>33</td>
<td>Reformatting</td>
<td>Have section 11 appear only if marked &quot;Yes&quot;</td>
<td>Same as 32</td>
<td>Reformatting</td>
</tr>
<tr>
<td>34</td>
<td>Reformatting</td>
<td>Have the a), b), etc. in Section 12 display in bold</td>
<td>Low</td>
<td>Reformatting</td>
</tr>
<tr>
<td>35</td>
<td>Reformatting</td>
<td>Change multiple questions in Section 14 and 18 so they have an a) b) etc. like section 12</td>
<td>Low</td>
<td>Reformatting</td>
</tr>
<tr>
<td>36</td>
<td>Reformatting</td>
<td>Are the boxes for section 16 and 17 and 19 necessary to display when the answer is &quot;no&quot;?</td>
<td>Same as 32</td>
<td>Reformatting</td>
</tr>
<tr>
<td>37</td>
<td>Reformatting</td>
<td>The &quot;white out&quot; feature needs to be developed. We could start small and have only certain fields modifiable, but something needs to be done. The one specific thing especially now is Dept ID. I can't tell you how many PRFs I've signed (against my better judgement) where I've noted the Dept ID is incorrect. I would much prefer being able to correct it so that when it gets to SPA it is correct. SPA shouldn't have to correct everything because we don't want to re-route the PRF.</td>
<td>High</td>
<td>Logic change</td>
</tr>
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<td><strong>38</strong></td>
<td>New</td>
<td>The PRF is a very valuable tool - let's use it like it could be. The PRF is a database - why can't we access this data? What a great reporting tool to be able to search and pull data from PRFs</td>
<td>High</td>
<td>Work Category: Data</td>
</tr>
<tr>
<td><strong>39</strong></td>
<td>Section 05: Submission Medium</td>
<td>In section #5, the verbiage is confusing regarding the number of copies and it is not consistent between what is viewed on the screen and what prints out. Clarification would be helpful and we feel it would be very beneficial for the &quot;screen version&quot; of the PRF in EGMS to match the PRF that prints out.</td>
<td>Proposed revised wording: <em>How many copies (including original) must be sent to the agency? Please send this number plus one copy for SPA's use to SPA when processing the proposal.</em></td>
<td>Work Category: Text change</td>
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<td><strong>40</strong></td>
<td>New</td>
<td>Ability to add an additional approver during routing</td>
<td>High</td>
<td>Work Category: Logic change</td>
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| 41 | Section 09 - Proposal is for | Replace wording that now reads "If for a clinical trial: PI Initiated/Sponsored Initiated" with the following "If for a Clinical Trial, is the PI also the Sponsor-Investigator of this trial (Y/N). Reasoning is that according to the FDA Form 1571 instructions, "the sponsor is the person who takes responsibility for and initiates a clinical investigation. The sponsor may be a pharmaceutical company, a private or academic organization, or an individual. The Sponsor-Investigator is an individual who both initiates and conducts a clinical investigation and under who immediate direction the investigational drug is being administered or dispensed. For administrative reasons, only one individual should be designated as sponsor. If a pharmaceutical company will be supplying the drug but will not itself be submitting the IND, the company is not the sponsor."
| 42 | New | Does this proposal include any subawards (Y/N). If yes, how many? ___ (enter # here) |
| 43 | Section 13 - COI | Change label to include text (PI is responsible for verifying accuracy of information for all PIs, Co-Is and others responsible for design, conduct or reporting of the research. If any individual has reported a potential disclosure, this question should be answered "Yes") |