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University of Pittsburgh
Instructions for the Sponsored Programs Submission Form (0136)

Page 1 Instructions

1. The shaded blocks in the top two rows of this form are only for use by the Office of Research.

2. **Type of Agreement** - Check the anticipated agreement type.

3. **Source of Funding** - All Federally funded grants and contracts must be identified to ensure compliance with all relevant Federal regulations.
   - Check "Federal Direct" if the agreement is directly between the University of Pittsburgh and a Federal agency.
   - Check "Federal Pass-Through" if the University of Pittsburgh is a subrecipient receiving Federal funds from a non-Federal pass-through entity.
   - Check "Non-Federal Direct" if the agreement is directly between the University of Pittsburgh and a non-Federal entity (i.e., the funds do not originate from a Federal agency).
   - Check “Non-Federal Subaward” if the University of Pittsburgh is a subrecipient receiving funds from a non-Federal entity (i.e. the funds do not originate from a Federal Agency).

4. **Application Type** - Check the application type being submitted. Go to the NIH application guide for a complete description of each application type: [https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/type-of-applications.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/type-of-applications.htm). Refer to the “Application Type Decision Matrix” to see how Research & Cost Accounting evaluates each application type to determine what type of account to create, if any.

5. **Current Institution Number** and **Current Project Number** - Enter the current 7 digit Institution Number and the current 6-digit project number if the submission relates to an existing award.

6. **Principal Investigator Full Name and Employee Number** - Enter the Principal Investigator's (PI’s) full name (first name, middle initial and last name) and employee number as they appear in the HR/Payroll System.

7. **Sponsor Deadline Date** - Enter the proposal submission deadline date established by the sponsor. If there is no specified deadline (i.e. an open deadline), enter 12/31/2999 to indicate this.

8. **Department Number and Name** - Enter your 5-digit department number and department name.

9. **Sponsor/Agency Name** - Enter the name of the legal entity that will pay the University of Pittsburgh for completing the scope of work if awarded. For DHHS, use the specific agency that issues the award such as the National Institutes of Health and the Health Resources & Services Administration.

10. **Prime Sponsor/Agency Name** - If the Federal Pass-Through box is checked in the Source of Funding section, enter the Federal agency name. If the Non-Federal Subaward box is checked, enter the non-Federal agency name from whom the funds originate.

11. **Proposed Budget Period Start Date** - Enter the start date of the proposed budget period. The budget period is the interval of time (usually 12 months each) into which a multi-year project period is
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divided for budgetary and funding purposes.
12. **Proposed Budget Period End Date** - Enter the end date of the proposed budget period.

13. **Complete Project Title** - Enter the full project title.

14. **Will any of the activities in this proposal be conducted in a foreign country?** – Check yes and no. If yes, list country(ies).

15. **Project Classification** - Check the function category that best reflects the activities described in the proposed scope of work. If more than one function applies, only check the predominant function (use salaries & wages). If “Other”, enter brief description of the activity.

If you check “Clinical Trial”, identify which phase(s) of the clinical trial is being proposed in this submission. Clinical trials are a type of clinical research. The NIH defines a Clinical Trial as “A research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.” For phase definitions, see: https://clinicaltrials.gov/ct2/about-studies/glossary#p.

Examples:

<table>
<thead>
<tr>
<th>Project Classification</th>
<th>Classification Type</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Trial</td>
<td>Other Sponsored Activity</td>
<td>Medical device trial; Drug study; Interventional Study</td>
</tr>
<tr>
<td>Community Service Program</td>
<td>Other Sponsored Activity</td>
<td>HRSA H awards (except H4A); ACF Early Head Start Program; Public Health Prevention programs</td>
</tr>
<tr>
<td>Conference Grant</td>
<td>Other Sponsored Activity</td>
<td>NIH R13 awards</td>
</tr>
<tr>
<td>Construction/Renovation Grant</td>
<td>Other Sponsored Activity</td>
<td>NIH C06 and G20 awards</td>
</tr>
<tr>
<td>Curriculum Development/Enhancement</td>
<td>Sponsored Instruction</td>
<td>NSF Education and Human Resources Program; US Nuclear Regulatory Commission Curricula Development program</td>
</tr>
<tr>
<td>General Program Support (non-gift)</td>
<td>Other Sponsored Activity</td>
<td>Small foundation grants</td>
</tr>
<tr>
<td>Instrumentation/Equipment Grant</td>
<td>Other Sponsored Activity</td>
<td>NIH S10 awards (SIG program)</td>
</tr>
<tr>
<td>Intergovernmental Personnel Agreement</td>
<td>Other Sponsored Activity</td>
<td>US Dept of Veterans Affairs IPA’s</td>
</tr>
<tr>
<td>Other Training</td>
<td>Sponsored Instruction</td>
<td>HRSA A, D, G, H4A, T19 and T73 awards</td>
</tr>
<tr>
<td>Research &amp; Development</td>
<td>Sponsored Research</td>
<td>DHHS R awards (except R13, R25 and R90); clinical research other than clinical trial</td>
</tr>
</tbody>
</table>
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<table>
<thead>
<tr>
<th>Research Fellowship</th>
<th>Sponsored Instruction</th>
<th>DHHS F awards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Training</td>
<td>Sponsored Instruction</td>
<td>DHHS K, T, D43, R25 and R90 awards; NSF IGERT, REU and RET awards; Doctoral Dissertation Research Grants</td>
</tr>
<tr>
<td>Scholarship or Fellowship (non-research)</td>
<td>Sponsored Instruction</td>
<td>US Dept of Education FWS, SEOG and GAANN programs; NSF CyberCorps program</td>
</tr>
</tbody>
</table>

16. **Are full indirect cost rates included in the budget?** – Check Yes if the proposed indirect cost rate is from Exhibit I of the latest rate memorandum from the Chief Financial Officer, and check whether the Federal Rate Agreement or the Industrial/Commercial Research Rate is applied. Check No if the proposed indirect cost rate is not the Federal Rate Agreement or the Industrial/Commercial Research Rate and check the corresponding box below. Voluntary indirect cost reductions must be approved, and the waiver approval must be attached to this form.

The University's approved indirect cost rates, rate definitions and rate application information can be found on the Rate Information page of the Cost Accounting website: [http://www.cfo.pitt.edu/rca/ca_rateinfo.html](http://www.cfo.pitt.edu/rca/ca_rateinfo.html).

17. **Indirect (Facilities & Administrative) Cost Rate(s)** - Enter the proposed indirect cost rate(s). When the budget period does not coincide with the University’s fiscal year and the indirect cost rate increases or decreases from one fiscal year to the next, enter both rates.

18. **Does the project involve cost sharing?** - Check Yes if cost sharing is either: 1) required by the sponsor as a condition of obtaining the award (Mandatory) or 2) not required as a condition of obtaining the award but is volunteered and included in the proposal (Voluntary Committed). The University’s Financial Guideline on Cost Sharing is available at [http://www.cfo.pitt.edu/policies/guideline/cost_sharing1.pdf](http://www.cfo.pitt.edu/policies/guideline/cost_sharing1.pdf).

19. **Does a salary cap apply?** Check Yes or No. Check Yes if the sponsor imposes a limit on the maximum amount of salary charged to a grant related to the percentage of total salary. For example, since 1990, congress has legislatively mandated a limitation on direct salary for individuals under DHHS grant and cooperative agreement awards linked a specified Executive Pay Level. For NIH applications, click here.

20. **To be completed only for initial submissions:** - Enter information that is expected over the entire project period. Project direct costs, indirect costs, and budget amount are the total amount requested for the entire project. The project costs and dates may be the same as the budget period costs and dates if there is only one budget period for the entire project.
Page 2 Instructions

1a. **Does this project involve human subjects?** Check Yes or No. If Yes, attach an IRB approval letter or indicate on the form if approval is pending. Indicate if the study will be conducted in UPMC-owned space, if non-UPMC equipment is proposed to be placed in UPMC space and/or if the project will be conducted on UPMC patients. If the project includes UPMC patients, a UPMC fiscal approval must be submitted to the Office of Research prior to monies being released.

1b. **Does this project involve animal research?** Check Yes or No. If Yes, attach an IACUC approval letter. Note that a Grant Application Review (GAR) approval is also required for Public Health Service (PHS), National Science Foundation (NSF), and American Heart Association (AHA) funded research before monies can be released by the Office of Research.

1c. **Does this project contain hazardous materials or equipment?** Check Yes or No. See http://www.ehs.pitt.edu/ for more information. EHS approval is required prior to Office of Research approving an account number.

1d. **Does this project contain the use of the Regional Biocontainment Laboratory (RBL)?** Check Yes or No. If Yes, attach approval from the RBL.

2a. **Does the proposed research project require an Authentication Plan of Key Biological and/or Chemical Resources?** Check Yes or No. National Institutes of Health (NIH) applications require this section in an application when "key biological and/or chemical resources" are being used in the proposed project. See NIH Frequently Asked Questions (FAQs) for more details.

2b. **Does the proposed research project require a Data Sharing Plan as a sponsor requirement?** Check Yes or No. NIH Investigators seeking $500,000 or more in direct costs in any year should include a description of how final research data will be shared, or explain why data sharing is not possible. See NIH Data Sharing Policy and Implementation Guidance. Additionally, the NIH has a Genomic Data Sharing Policy that applies to all NIH-funded research, regardless of the funding level, that generates large-scale human or non-human genomic data. See NIH Genomic Data Sharing Policy.

2c. **Does the proposed research project involve an anticipated transfer of materials to or from the University?** Check Yes or No. Materials may include biological or research.

2d. **Are there other active agreements related to this project (i.e. CDA, DUA, MTA, Master)?** Check Yes or No. If Yes, provide all connected Institution/MyRA numbers.

2e. **Does this project involve a potentially patentable discovery or invention?** Check Yes or No. University Policy and Procedure 11-02-01, Patent Rights and Technology Transfer must be followed.

3. **For federal grants and contracts, have the key personnel signed a University of Pittsburgh Intellectual Property Agreement?** Check Yes, No, or Not Applicable. For more details, see: https://provost.pitt.edu/research/ip-agreement-information.

4. **Please provide a valid departmental account number:** Enter the account number, including reference number, that you wish to charge if the project is funded and actual project expenditures exceed the project budget or if unallowable costs need to be removed from the project.

**Signatures Block:** Obtain signatures from the Principal Investigator (PI), Department Chairperson (if applicable), and Dean/Director, and list corresponding department/school/center. Ensure the signatures
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are dated. **DocuSign signatures are encouraged, but original/scanned signatures are also accepted.** Triplicate copies are not required.

After ensuring departmental processes are followed, submit the signed Form 0136 and any supporting documentation to the Office of Research by paper or by email to the addresses below. If applicable, a grants.gov application package should be uploaded into the “Upload Grants.gov (Adobe Reader) file” with an email alert to the Office of Research that it is ready for Office of Research review and submission.

For **Clinical and Corporate Contract Services:** clincorp@pitt.edu
For **Federal Contract Services:** orfedcon@pitt.edu
For **Grants Management Services:** ORintake@pitt.edu
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Supporting Documentation for Form 0136 Electronic Submission

Determine what supporting documentation is needed to accompany a Form 0136 for each type of pre-award action and Office of Research Processing Team:

**Proposal:**

**Clinical and Corporate Contract Services:** See [http://research.pitt.edu/ccc-prepare-proposals](http://research.pitt.edu/ccc-prepare-proposals)

**Federal Contract Services:** See [http://research.pitt.edu/fcs-prepare-proposals](http://research.pitt.edu/fcs-prepare-proposals)

**Grants Management Services:** See Proposal Types under [http://research.pitt.edu/gms-Prepare-Proposals-overview-1](http://research.pitt.edu/gms-Prepare-Proposals-overview-1)

**New Award (no proposal stage/proposal bypassed Office of Research):**

**Clinical and Corporate Contract Services:** See [http://research.pitt.edu/ccc-fundedagreementwithcorporateentity](http://research.pitt.edu/ccc-fundedagreementwithcorporateentity)


**Grants Management Services:** See [http://www.research.pitt.edu/gms-negotiations](http://www.research.pitt.edu/gms-negotiations)

**Amendments/Continuations:**

**Clinical and Corporate Contract Services:** See [http://research.pitt.edu/ccc-changeinbudget](http://research.pitt.edu/ccc-changeinbudget)


**Grants Management Services:** See [http://www.research.pitt.edu/gms-negotiations](http://www.research.pitt.edu/gms-negotiations)
Project Classification Definitions

**Clinical Trial** - A research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.

**Community Service Program** - Funding for activities established primarily to provide non-instructional services beneficial to individuals and groups external to the institution.

**Conference Grant** - A grant that supports the planning and managing of high quality scientific meetings, conferences, and workshops that are relevant to the scientific mission of the sponsoring agency.

**Construction/Renovation Grant** - A grant that supports the construction, modernization, or major alteration and renovation of research facilities.

**Curriculum Development/Enhancement** - Education grants that support the development of new courses, seminars or workshops designed to train students or professionals in a specified discipline.

**General Program Support (non-gift)** - Grant funding to support the general program activities of an organization to realize its stated mission without needing to achieve a specified objective or produce a stated deliverable. Also includes "field-initiated" small grant proposals that are not submitted in response to a Request for Proposal (RFP).

**Instrumentation/Equipment Grant** - A grant that supports purchases of state-of-the-art commercially available instruments to enhance investigator research.

**Intergovernmental Personnel Agreement** - An Intergovernmental Personnel Act (IPA) Agreement permits the temporary assignment of personnel between Federal agencies, state, local, and Indian tribal governments, colleges and universities, and certain other organizations.

**Other Training** - Training of individuals in areas other than research. Examples include HRSA Primary Care Training and Enhancement awards, HHMI Science Education Program, CWEB/CWEL, and PA Child Welfare Resource Center projects.

**Research & Development** - All research and development activities that have been specifically organized to produce research outcomes. Excludes research training, research fellowships, conference grants, and clinical trials.

**Research Fellowship** - Individual fellowship awards support the training of graduate students or postdoctoral fellows who have the potential to become productive, independent investigators in scientific research fields.

**Research Training** - Training of individuals in research techniques. Examples include NIH K, T, R25 and R90 awards, as well as NSF REU, Young Investigator and Doctorate Dissertation Improvement awards.

**Scholarship or Fellowship (non-research)** - Sponsored student aid program that provides scholarships or traineeship/fellowship support (tuition, fees, stipends, and allowances) that does not involve research activities. Excludes research training and research fellowship awards.
**University of Pittsburgh**

**Sponsored Programs Submission Form (0136)**

**Research/Cost Accounting Application Type Decision Matrix**

<table>
<thead>
<tr>
<th>Application Type</th>
<th>Type Code</th>
<th>NIH Needs</th>
<th>Expanded Needs</th>
<th>New Use</th>
<th>Current Use</th>
<th>Current Authority</th>
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<th>Existing Institution #</th>
<th>Project #</th>
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* Resubmissions follow associated application type code.

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**Dept Number Change**

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<td>LOC, Dept Invoice, Early Account</td>
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