Understanding the Proposal Data Sheet (PDS)
For PDS Version 3/26/08

Proposal # - Leave blank. The PreAward number will be assigned by the Preaward Administrator upon receipt of the PDS.

Department - Name of the Department in which the PI is submitting the proposal through.

PIs Org Code - Each PI is assigned an individual “org code” by the Department. This code drives reporting of proposals and awards. Therefore, please ensure that the “org code” for the PI is the same as the “org code” specified for the Department submitting the proposal. Please remember, this is also the org code the award will be set up under.

Current Index # - If an active index number exists for this project, enter it here. There will always be an active index number for proposals that are being submitted on non-competing or competing continuations, or supplement, applications. Leave blank if the PDS is for a new or revision to a pending (yet to be funded) proposal.

Current Fund # - If an active fund number exists for this project, enter it here. There will always be an active fund number for proposals that are being submitted on non-competing or competing continuations, or supplement, applications. Leave blank if the PDS is for a new or revision to a pending (yet to be funded) proposal.

Principal Investigator - In the School of Medicine, to be the Principal Investigator (PI) on an extramural grant or contract, an individual must either be a contract (paid) UNM faculty member or a salaried UNM staff member with a current Letter of Academic Title in a UNM department, and hold an MD, DO, PhD, or equivalent professional degree. In the College of Pharmacy or the College of Nursing, any employee or faculty member may serve as PI on a sponsored project with approval of the Dean.

PI’s Banner ID - This number is assigned to each PI by Banner. It takes the place of their social security number and is 9-digits long.

Co-PI – Same eligibility standards as Principal Investigators.

Department Contact, Phone, E-Mail, and Fax – Departmental staff member’s name and contact information who can answer questions about the proposal paperwork.

Agency – The sponsor, company, or collaborator to which the proposal is being submitted. For proposals on which UNM is acting as a collaborator, under a subaward, enter the name of the primary applicant. Also use the checkbox for “Subaward” under “Proposal/Project Classifications: Type”, and enter the name of the originating sponsor (i.e., NIH, HRSA, RWJF, etc.).

Solicitation#/Program Name – This is the identity assigned to the project by the sponsor. For example: on clinical trials, use the protocol number; for State of New Mexico contracts, use the contract number; and for grants, use the program announcement number or program name.

Date Proposal is Due to Agency - The last date on which the sponsor will accept the proposal.
Agency Contact, E-mail and Telephone -  The name, email address, and telephone number for the person at the Agency to contact regarding proposal guidelines and submission information.

Project Title - The title that the PI gives the project. Remember the Title the project is given will be published on PreAward and Annual reports.

Does this Project Serve – check all populations served by the project/program.

This Action Is –

- **New:** A proposal never proposed before (to this funding agency).
- **Revision to #____:** A revised version of a proposal previously submitted to the same agency. In the case of revised proposals, specify the PreAward proposal number that was assigned to the previous version.
- **Non-competing Renewal:** A progress report and proposal for a new period of funding that does not compete for funding with other proposals.
- **Competing Renewal:** A progress report and proposal for additional funding cycle that competes with other proposals for funding.
- **Supplement:** A request for additional funding for the current funding period.
- **Transfer From:** A proposal to transfer an existing award from another institution to UNMHSC when, for example, the PI transfers to UNM. Transfer proposals receive a new set-up in Post Award. Please fill in the name of the institution from which the award is being transferred.

Proposal /Project Classifications:

**Type** –

- **Grant** – Provides for the transfer of the sponsor’s money (and/ or property or services) to the UNMHSC in order to accomplish a public purpose. The concept of the project originates with the PI and no substantial involvement of the sponsor is anticipated.
- **Contract** – A procurement mechanism for the purpose of acquiring services and/or property for the direct benefit or use of the sponsor. Typically, the idea for a contract originates with the sponsor. UNMHSC has many contracts for clinical services.
- **Cooperative Agreement** – Somewhere along a spectrum between a grant and a contract. The idea may originate with the recipient, however, substantial involvement with the sponsor is anticipated. UNMHSC has some cooperative agreements with NIH, among others.
- **Subaward** – When UNM is applying through another entity, the recipient of a primary award, fill in the name of the originating sponsor. Most commonly, the primary award will be from a federal agency, such as NIH. When funding comes to UNM through a subaward or subcontracting agreement, it is identified as “federal flow through.”
- **Clinical Trial** – A research project involving human subjects – regardless of the type of sponsor, government, university, or industry. If this box is checked, the section “Clinical Trials Only” must be completed.
**Category:**
- **Research** – All research and Phase I and Phase II of a clinical trial. Please note that this category requires the submission of Conflict of Interest Disclosure forms for all key personnel (these forms are available on the PreAward website; see page 5 for URL).
- **Other/Public Service** – Public service oriented programs, clinical services, or a Phase III and Phase IV clinical trial
- **Instruction** – UNM curriculum activities established by a grant, contract or cooperative agreement, and offered for UNM credit toward a degree or certificate, or on a non-credit basis.
- **Training** – UNM training activities established by a grant, contract or cooperative agreement, and offered for UNM credit toward a degree or certificate, or on a non-credit basis.
- **Fellowship** – UNM pre-doctoral or post-doctoral programs.

**Location:**

**ON Campus** – If a project is being conducted from a building that is owned by UNM, or leased with UNM funds, use the ON Campus checkbox. The location assists in determining which F&A rate is to be used.

**OFF Campus** – If the project is taking place somewhere other than a building owned by UNM or leased with UNM funds, list as OFF Campus location. Off Campus projects are eligible to charge rent directly to the project.

**Costs for Initial or New Budget Period:**

In the “From ____ and To ____” section, enter the begin and end dates for the initial or new budget period. On proposals that have multi-year budgets, enter the proposed budget for only the first (or initial) budget period. If the proposal is for a CTA, non-competing continuation, or supplemental funding, enter the amounts for the entire proposal budget in this section.

Under “Direct Costs” list the amount of all direct costs (do not include F&A costs in this amount).

The default F&A rate is UNM’s on-campus research rate of 50%. If the F&A rate for the proposal is less than 50%, enter the appropriate percentage.

Under “F&A Costs” enter the appropriate amount for F&A costs (in most cases, UNM’s F&A rate is calculated using a Modified Direct Costs (MDC) base; please read instructions regarding the calculation of F&A Costs in “Understanding the Award Budget Sheet”).

The PDS is designed to automatically add the amounts for “Direct Costs” and “F&A Costs” and enter the amount for “Total for Budget Period”.

**Electronic Submission** – Use the checkbox if the proposal application will be submitted online.
**Costs for Entire Project:**

If the proposal attached to the PDS is for more than one year, enter the start and end dates for the entire project period in the “From ____ and To ____” section.

If the proposal attached to the PDS is for more than one year, list the amount of all costs for all years of the project in the section for “Total for Entire Project”.

**Clinical Trials Only:**

Indicate the FDA Phase of the trial and the date that enrollment is anticipated to begin. Indicate whether the trial will be a multi-center study and whether inventions are anticipated. If the PI wishes to waive Intellectual Property Ownership for the research, check “Yes” where indicated.

**Faculty Activity Database (FAD) – SOM Only:** Indicate the appropriate FAD category for the proposal as designated by the PI for the project. A definition of these categories, and how they should be applied, can be found at: [http://hsc.unm.edu/som/academicaffairs/FADGrantCategories.shtml](http://hsc.unm.edu/som/academicaffairs/FADGrantCategories.shtml)

**Human Subjects** – The research is or includes a clinical trial or program which requires the participation of human subjects. Please note that this category requires the submission of Conflict of Interest Disclosure forms for all key personnel (these forms are available on the PreAward website; also see [http://hsc.unm.edu/som/research/HRRC/](http://hsc.unm.edu/som/research/HRRC/) for more information).

**Laboratory Animals** – The research activities include the use of laboratory animals. See [http://hsc.unm.edu/som/research/arf/research.shtml](http://hsc.unm.edu/som/research/arf/research.shtml) for more information.

**Subcontractors** – A subaward will be issued to a collaborating institution, company, or agency. See [http://www.unm.edu/~ubppm/ubppmanual/2470.htm](http://www.unm.edu/~ubppm/ubppmanual/2470.htm) for more information.

**Consultants** – The research requires the services of a professional consultant. Consultants cannot be UNM employees or employees of a subawardee. A “consultant” is an individual who regularly and routinely provides a unique skill, service, and/or expertise at an established fee or rate (hourly, daily, or flat fee). Per UNM policy, a previous UNM employee cannot act as a consultant for UNM within one year of their separation date. See also [http://hsc.unm.edu/financialservices/preaward/internalforms.shtml](http://hsc.unm.edu/financialservices/preaward/internalforms.shtml).

**VA Employees** – For proposals to NIH in which a VA employee is listed as personnel, the VA doctor must hold a joint appointment with UNM under a separate agreement signed by both UNM and the VA. This joint appointment document is used to identify the appropriate commitment of the VA doctor’s time to the project (these forms are available on the PreAward website at the following address: [http://hsc.unm.edu/financialservices/preaward/internalforms.shtml](http://hsc.unm.edu/financialservices/preaward/internalforms.shtml)).

**Other UNM Colleges or Facilities** – Personnel from other UNM colleges or facilities will participate in the project. An F&A cost split form between colleges or campuses needs to be prepared and processed (see F&A split forms available at [http://hsc.unm.edu/financialservices/preaward/internalforms.shtml](http://hsc.unm.edu/financialservices/preaward/internalforms.shtml)).

**Cost Share or Matching Funds** – The financial support for the project will come from other than the funds requested in the proposal (i.e., UNM in-kind or third party sources). The cost share of funds on a contract or grant is managed by preparing a cost share commitment form and separate budget (please see instructions and forms available at: [http://hsc.unm.edu/financialservices/preaward/internalforms.shtml](http://hsc.unm.edu/financialservices/preaward/internalforms.shtml)).
**Requires Building Modifications** – Modifications and/or capital improvements are necessary for the research or program goals to be accomplished. Please note that this requires a separate memo of approval signed by the appropriate college/school dean(s), as the expense for the modification will become the responsibility of that college or school.

**Recombinant DNA; Radioactive/Hazardous Materials or Waste** - The project involves these kinds of materials. For more information: [http://hsc.unm.edu/som/biohazard/](http://hsc.unm.edu/som/biohazard/)

**Export Control/Select Agents** – The project involves select agents and/or the potential “export” of materials or information that are restricted or prohibited under federal regulations. For more information visit the Export Controls website at [http://research.unm.edu/exportcontrol](http://research.unm.edu/exportcontrol), or the CDC document on Select Agents, [http://www.cdc.gov/od/sap/docs/salist.pdf](http://www.cdc.gov/od/sap/docs/salist.pdf), for more information.

**Foreign National UNM Personnel** – A non-US citizen or resident, paid or unpaid, is working on this project. See [http://research.unm.edu/exportcontrol/foreign.htm](http://research.unm.edu/exportcontrol/foreign.htm) for more information.

**UNM Personnel with Dual Citizenship** – A person who has more than one active citizenship is working on the project.

**Foreign Collaborators** – Individuals, agencies, consultants, universities, or entities from a foreign country are working with UNM on this project/program. For more information visit the Export Controls website at: [http://research.unm.edu/exportcontrol/embargo.htm](http://research.unm.edu/exportcontrol/embargo.htm).

**Restrictions on Publications** – If the funding source limits UNM’s submission of manuscripts for publication or restricts the use of the data or results from the project/program that will effect UNM’s freedom to publish, check this box. For more information visit the Export Controls website at: [http://research.unm.edu/exportcontrol/embargo.htm](http://research.unm.edu/exportcontrol/embargo.htm).

**Funding from a Foreign-owned agency** - The sponsor is not a US institution. For more information visit the Export Controls website at: [http://research.unm.edu/exportcontrol/embargo.htm](http://research.unm.edu/exportcontrol/embargo.htm).

**Foreign Travel** - The project requires traveling outside the US. For more information visit the Export Controls website at: [http://research.unm.edu/exportcontrol/embargo.htm](http://research.unm.edu/exportcontrol/embargo.htm).

**Proprietary, Classified or Sensitive Information** – The research or information provided to UNM is of a sensitive (see [http://www.wrc.noaa.gov/wrso/security_guide/intro-5.htm#Sensitive](http://www.wrc.noaa.gov/wrso/security_guide/intro-5.htm#Sensitive)), proprietary (see [http://www.wrc.noaa.gov/wrso/security_guide/propriet.htm#Proprietary%20Information](http://www.wrc.noaa.gov/wrso/security_guide/propriet.htm#Proprietary%20Information)), or classified (see [http://www.wrc.noaa.gov/wrso/security_guide/intro-4.htm#Protecting](http://www.wrc.noaa.gov/wrso/security_guide/intro-4.htm#Protecting)) nature.

**Certifications and Signatures:**

Be sure to have the PDS form signed by the PI and the department chair before submitting to the PreAward office. PreAward is located on the first floor of the Health Sciences and Services Building, Room 102.
NOTE:
Forms referenced in this guide can be found at: http://hsc.unm.edu/controller/preaward/forms.shtml