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Proposal Development Workbook

1015 18th Street, NW, Suite 901 | Washington, DC 20036

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Roles and Responsibilities

The University of Texas at Austin
Dell Medical School

PI Proposal Checklist (NIH model)

Getting Started

What trainings/certifications/items need to be done first?	Responsible Party		Notes	Done?	N/A
	PI	DMS SPA			
PI Eligibility Confirmed	☐	☐	Speak with Lindsey Demeritt to confirm	☐	☐
Read & Acknowledge Required Responsibilities of PI	☐	☐	Email Lindsey to acknowledge	☐	☐
Conflict of Interest Training Completed	☐	☐		☐	☐
Financial Conflict of Interest Training Completed	☐	☐	Email Lindsey with Confirmation	☐	☐
Financial Conflict of Interest Disclosure Completed	☐	☐	Email Lindsey with Confirmation	☐	☐
Human Subjects Training Completed	☐	☐	Email Certificate to Lindsey	☐	☐
Animal Subjects Training Completed	☐	☐		☐	☐
eRA Commons ID Associated with UT Austin	☐	☐	Lindsey will work with OSP to affiliate and/or create.	☐	☐
Cayuse access granted	☐	☐	Lindsey will work with OSP	☐	☐
Unit Code Created	☐	☐	OSP handles; PI should receive email	☐	☐

Standard Proposal Documents

	Description	Responsible Party		Notes	Done?	N/A
		PI	DMS SPA			
Guidelines/RFA/PA/RFP	Review of Annoucenment/Guidelines	☐	☐		☐	☐
Title	Limit 200 characters incl. space and punctuation	☐	☐	Special characters are ok	☐	☐
Cover Letter	Statement of preferred IC, Title, Preferred Reviewers; Explanation for submission post-deadline	☐	☐	Encouraged; sometimes Req'd	☐	☐
Specific Aims	1 page max (NIH); 3-5 goals of the study	☐	☐		☐	☐
Research Strategy	6 or 12 page max (NIH)	☐	☐		☐	☐
Biosketch(es)	4-page limit & must use new format (NIH); All Key Persons (incl subs) must include a Biosketch	☐	☐	DMS SPA will assist in collecting documents from Subs	☐	☐
Project Summary/Abstract	30 line max (NIH); overview of research strategy	☐	☐		☐	☐
Project Narrative	3-5 sentence (NIH); relevance to public health	☐	☐	Elevator quip to your congressman	☐	☐
Bibliography	References cited	☐	☐		☐	☐
Facilities & Resources	Description of scientific environment for project	☐	☐	Needs to be SPECIFIC for proposal	☐	☐
Equipment	Major equipment available for project	☐	☐	Needs to be SPECIFIC for proposal	☐	☐
Budget	Internal Detailed; Excel Template	☐	☐		☐	☐
Budget Forms	Modular or Detailed to be included in proposal	☐	☐	Check guidance	☐	☐
Budget Justification	Personnel/Sub/Addl or Detailed as required	☐	☐	Generally required	☐	☐

Additional Documents, if Applicable

	Description	Responsible Party		Notes	Done?	N/A
		PI	DMS SPA			
Introduction	Required for Resubmission	☐	☐		☐	☐
Multiple PD/PI Plan	How will multiple PI structure work; who's Contact?	☐	☐	Required for multi-PI proposals	☐	☐
Letters of Support	Letters of support for project	☐	☐	Combined into one pdf	☐	☐
Resource Sharing Plan	Data Sharing; Model Organism Sharing; Genome-Wide Associations; Etc.	☐	☐	Required for most NIH proposals	☐	☐
Vertebrate Animals	Address all 5 questions regarding protection of vertebrate animals	☐	☐	Required for all proposal using vertebrate animals	☐	☐
Select Agents	CDC/USDA Registration Required	☐	☐	Required for all proposals using select agents	☐	☐
Appendix	Additional Documents; specific guidelines apply	☐	☐		☐	☐
Human Subjects:						
Planned Enrollment	guesstimates broken down by race and ethnicity	☐	☐	Required for ALL proposals using human subjects	☐	☐
Cumulative Enrollment	enrollments previously done for same type of study broken down by race & ethnicity	☐	☐	Required for ALL proposals using human subjects	☐	☐
Protection of Human Subjects	Address all areas of how patients will be protected	☐	☐	Required for ALL proposals using human subjects	☐	☐
Incl of Women & Minorities	Identify plan to recruit/enroll women & minorities	☐	☐	Required for ALL proposals using human subjects	☐	☐
Inc of Children	Identify plan to recruit/enroll children	☐	☐	Required for ALL proposals using human subjects	☐	☐
Subawards:						
Consortium Arrangments	Letters of Intent for Subawards/Contracts	☐	☐	Combined into one pdf	☐	☐
Budget	Detailed budget; if req'd for proposal, in R&R format	☐	☐	Required of all subs	☐	☐
Budget Justification	Detailed justification; convert for modular	☐	☐	Required of all subs	☐	☐
Subrecipient Commitment	Certifications & Docs from Sub required for submission	☐	☐	Required of all subs	☐	☐

Suite 820, Erwin Square Plaza
gcmail@mc.duke.edu

DukeMedicine

Office of Research Administration

Checklist for PI Transfer TO Duke

NEW (RECEIVING) PROJECT INFORMATION

Principal Investigator: _____
Unique ID: _____
Highest Degree: _____ **Department Contact:** _____
Funding Agency: _____ **Contact Phone:** _____
Grant # (Agency ID): _____ **Contact E-mail:** _____
eRA Commons Username: _____
Academic Appointment Start Date: _____

Please provide department verification of the appointment start date.

ORIGINAL (RELINQUISHING) INSTITUTION INFORMATION

Original Institution: _____ **Administrative Contact:** _____
Original Department: _____ **Contact Phone:** _____
Original Position Title: _____ **Contact E-mail:** _____

Date grant will be relinquished from Original (Relinquishing) Institution: _____

ORIGINAL (RELINQUISHING) INSTITUTION DOCUMENTATION

1. **Copy of initial proposal and award statement** ☐
2. **Copy of latest progress report** ☐
3. **Copy of Relinquishment letter or signed agency relinquishment form** ☐
4. **If original award had a cost-share agreement, provide in the comments below how that cost-share will be fulfilled at Duke.** ☐

PROTOCOL INFORMATION

Are Human Subjects Involved? **Yes** ☐ **No** ☐
If yes, please contact the IRB office to begin concordance approval of the scope of work with the human subject protocol.
Collect CITI human subject certifications for all personnel involved with human subjects. ☐
Are Vertebrate Animals Involved? **Yes** ☐ **No** ☐
If yes, please contact the IACUC office to begin concordance approval of the scope of work with the animal protocol.
Will biohazardous materials/recombinant DNA be involved? **Yes** ☐ **No** ☐
If yes, please contact the IBC office for assistance with transfer of material.

Comments: _____

_____

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Checklist for PI Transfer TO Duke

SUBCONTRACT/SUBRECIPIENT/CONSORTIUM INFORMATION

Does this project involve subcontract (s)? Yes ☐ No ☐
If yes, has the PI notified the subcontractor (s) of the transfer? Yes ☐ No ☐
Complete Subrecipient Form Page 1 for each subcontractor (s) after SPS creation ☐
Subcontract site (s): _____ Contact (s): _____
_____ _____
_____ _____

DUKE KEY PERSONNEL INFORMATION

1. Collect biographical sketches for all Duke Key personnel. ☐
2. Collect SPOC approved Other Support documents for all Duke Key personnel. ☐

MATERIAL TRANSFER INFORMATION

Will any material be provided from the original (relinquishing) institution? Yes ☐ No ☐
(e.g. samples, genetically modified mice) This includes any personal inventory of the PI as it will need to be accounted for in the transfer process. If yes, please complete an INCOMING Material Transfer Agreement Submission form to initiate the transfer process.

EQUIPMENT INFORMATION

Will equipment be transferred to Duke for this grant? Yes ☐ No ☐
If yes, please contact Plant Accounting for appropriate equipment record retention.

BUDGET INFORMATION

1. Complete detailed budget for the funds to be transferred utilizing appropriate Duke Fringe Benefit rates and F&A (indirect cost) rates. ☐
2. Request Pre-Award spending fund code with backstop via cost object request form. ☐

PROPOSAL INFORMATION

1. Submit new proposal via Sponsored Projects System (SPS). ☐
2. Include in Internal Documentation signed Duke Proposal Approval Form (DPAF). ☐
3. If transferring grant to Duke changes the scope of work, provide new scope of work and timeline. ☐
4. Complete new facilities and equipment describing Duke resources. ☐
5. Completion of Conflict of Interest Statement. ☐
6. Completion of Research Cost Compliance training for Duke Faculty. ☐
7. Additional materials as specified by agency guidelines. ☐

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Checklist for PI Transfer TO Duke

FORM REQUIREMENTS SECTION

NIH FORMS

NEW (RECEIVING) INSTITUTION

A. For NIH Grant awards (EXCEPT Fellowship F Mechanism –SKIP TO SECTION B)

For instructions refer to link: http://grants.nih.gov/grants/funding/phs398/phs398.html

1. **Application face page (PHS Form 398)** ☐
   i. **"CHANGE OF GRANTEE INFORMATION" typed in capital letters across the top of the page**
   http://grants1.nih.gov/grants/funding/phs398/fp1.pdf
2. **Sponsor Statement (For K mechanism transfers)** ☐
3. **Progress Report** ☐
   http://grants.nih.gov/grants/funding/2590/2590.htm
   i. **Anniversary date transfer (cycle start date): provide a progress report for the current year, including a statement regarding the goals of the upcoming year**
   ii. **Mid-year transfer: provide an updated progress report including a statement regarding the goals of the remaining period of committed support**
4. **Resources Format page (PHS Form 398)** ☐
5. **Budget pages PHS Form 398) -current/future years** ☐
   i. **Modular grants: provide narrative budget justification, including total direct costs and F&A costs for the current budget period**
   http://grants.nih.gov/grants/funding/phs398/modbudget.pdf
   ii. **If the grant currently includes salary support for PI or any other transferring member of the project and continued salary support is not required at the new institution, a statement regarding the proposed rebudgeting of these funds is required.**
6. **Provide explanation if the unobligated balance and/or relinquished amount (including prior-year carryover) is greater than 25 percent of the current year's total budget.** ☐
7. **Statement concerning current research plan and an** ☐

indication of whether the original plan has changed.

8. Updated PHS 398 biographical sketches for key personnel ☐
9. Updated Other Support for key personnel ☐
10. PHS 398 Checklist Page ☐
    i. Modular grants: information regarding the number of modules and the basis for computing F&A costs should be provided for future years on the checklist page.
    ii. Check the box for Change of Sponsoring Institution under Type of Application and include the name of the former institution on the same line.
11. Approved concordant IRB/IACUC/IBC, if applicable ☐
12. Certification of Human Subjects Training (CITI), if IRB applicable, for all personnel involved in the design and conduct of human subject research. ☐
13. A list of equipment (which was purchased in whole or in part with grant funds and has an acquisition cost of $5,000 or more) to be transferred from the original grantee institution. Such a listing in the application represents acceptance of title to the transferred equipment. ☐

B. For NIH Fellowship (F mechanism) awards, utilize PHS 416-1 forms

http://grants.nih.gov/grants/funding/416/phs416.htm

1. Form Page 1: Face Page ☐
2. Form Page 2: Sponsor/Co-Sponsor Information ☐
    i. If Sponsor/Co-Sponsor remains current as initially proposed, provide new contact information.
    ii. If Sponsor/Co-Sponsor changes, refer to Section 5.8 of the PHS 416-1 instructions.
    http://grants.nih.gov/grants/funding/416/phs416-1.pdf
3. Form Page 3: Goals, Activities Planned, Training Site (s), Human Embryonic Stem Cells ☐
    i. Items 18 and 19 are not required unless there are changes from original submission.
    ii. Item 20 will require the new information

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Checklist for PI Transfer TO Duke

for the Project/Performance (Training) Site.

iii. Item 21 will require completion of Human Embryonic Stem Cells, if applicable.

4. Form Page 4: Table of Contents ☐
5. Research Training Plan: Include the research training plan from the original application to provide the new sponsoring institution a record of what was peer reviewed and approved. ☐
6. Training Plan, Environment, Research Facilities Section 5.8.3 of the PHS 416-1 Instructions: http://grants.nih.gov/grants/funding/416/phs416-1.pdf ☐
7. PHS Checklist Page ☐
   i. Check the box for Change of Sponsoring Institution under Type of Application and include the name of the former institution on the same line.
8. Progress Report ☐
   i. Anniversary Date Transfer – Also include Form Page 2 and 3 from (PHS 416-9) of the Project Report for Continuation Support of Kirschstein-NRSA Individual Fellowships and a completed Targeted/Planned Enrollment Table Format Page or Inclusion Enrollment Report Format Page, if applicable.

   http://grants.nih.gov/grants/funding/416-9/phs416-9.htm
9. Approved concordant IRB/IACUC, if applicable ☐
10. Certification of Human Subjects Training (CITI), if IRB applicable, for all personnel involved in the design and conduct of human subject research ☐

SIGNATURES DESIGNATING APPROVAL OF PROJECT TRANSFER:

Project's Owning Org*

PI: _____ **Date** _____

Business Manager*: _____ **Date** _____

Submit all materials to your assigned ORA Specialist

Coupling, Energetics, and Dynamics of Atmospheric Regions (CEDAR)

PROGRAM SOLICITATION
NSF 14-545

REPLACES DOCUMENT(S): NSF 06-561

National Science Foundation

Directorate for Geosciences
Division of Atmospheric and Geospace Sciences

Sponsor

Full Proposal Deadline(s) (due by 5 p.m. proposer's local time):

July 17, 2014

July 17, Annually Thereafter

Due Date

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Coupling, Energetics, and Dynamics of Atmospheric Regions (CEDAR)

Synopsis of Program:

CEDAR is a broad-based, community-guided, upper atmospheric research program. The goal is to understand the behavior of atmospheric regions from the middle atmosphere upward through the thermosphere and ionosphere into the exosphere in terms of coupling, energetics, chemistry, and dynamics on regional and global scales. These processes are related to the sources of perturbations that propagate upward from the lower atmosphere as well as to solar radiation and particle inputs from above. The activities within this program combine observations, theory and modeling.

Description

Cognizant Program Officer(s):

Please note that the following information is current at the time of publishing. See program website for any updates to the points of contact.

- Anne-Marie Schmoltner, telephone: (703) 292-4716, email: aschmolt@nsf.gov
- Robert M. Robinson, Program Manager, 775 S, telephone: (703) 292-8529, fax: (703) 292-9022, email: rmrobins@nsf.gov

Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):

- 47.050 --- Geosciences

Award Information

Anticipated Type of Award: Continuing Grant

Estimated Number of Awards: 7 to 10

Anticipated Funding Amount: $1,000,000 annually pending availability of funds

Anticipated Budget

Eligibility Information

Who May Submit Proposals:

The categories of proposers eligible to submit proposals to the National Science Foundation are identified in the Grant Proposal Guide, Chapter I, Section E.

Eligibility

Who May Serve as PI:

There are no restrictions or limits.

Limit on Number of Proposals per Organization:

There are no restrictions or limits.

Limit on Number of Proposals per PI or Co-PI:

There are no restrictions or limits.

Proposal Preparation and Submission Instructions

How to Submit (What else do you need to know?

A. Proposal Preparation Instructions

- **Letters of Intent:** Not required
- **Preliminary Proposal Submission:** Not required
- **Full Proposals:**
  - Full Proposals submitted via FastLane: NSF Proposal and Award Policies and Procedures Guide, Part I: Grant Proposal Guide (GPG) Guidelines apply. The complete text of the GPG is available electronically on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg.
  - Full Proposals submitted via Grants.gov: NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov Guidelines apply (Note: The NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)

B. Budgetary Information

- **Cost Sharing Requirements:** Inclusion of voluntary committed cost sharing is prohibited.
- **Indirect Cost (F&A) Limitations:** Not Applicable
- **Other Budgetary Limitations:** Not Applicable

C. Due Dates

- **Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

  July 17, 2014

  July 17, Annually Thereafter

Proposal Review Information Criteria

Merit Review Criteria: National Science Board approved criteria. Additional merit review considerations apply. Please see the full text of this solicitation for further information.

Review Process: where to look for more

Award Administration Information

Award Conditions: Standard NSF award conditions apply.

Reporting Requirements: Standard NSF reporting requirements apply.

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IX. **Other Information**

I. INTRODUCTION

The primary objective of the CEDAR (Coupling, Energetics, and Dynamics of Atmospheric Regions) Program is to understand changes in the atmosphere over short and long time scales. CEDAR is consistent with the recommendations and goals of the NAS Decadal Survey "*Solar and Space Physics: A Science for a Technological Society*" (http://www.nap.edu/catalog.php?record_id=13060). A primary aim of CEDAR is to explain how energy is transferred between atmospheric regions by combining a comprehensive observational program with theoretical and empirical modeling efforts. In earlier stages of the program, individual instruments and facilities were used, and later networks of instruments and facilities were established to address topics involving global scale coupling and transport effects between geographic regions and different altitudes. Currently, these observations are being combined with sophisticated models to test our understanding of atmospheric coupling processes. A data base of CEDAR observations is maintained for community use (http://cedar.openmadrigal.org/). Annual CEDAR workshops provide a forum for investigators to present recent results, exchange information, and plan future experimental campaigns and modeling efforts. The CEDAR Science Steering Committee organizes the workshops and provides broad oversight for theoretical and experimental research, as well as instrument development. The CEDAR Program encourages participation by students who benefit from the interdisciplinary nature of the research and the multi-faceted approach involving theory, numerical simulations, instrument development, data analysis, field measurements, and teamwork.

II. PROGRAM DESCRIPTION

The Coupling, Energetics, and Dynamics of Atmospheric Regions (CEDAR) Program is a broad-based, community-guided, upper atmospheric research program. The goal is to understand the behavior of atmospheric regions from the middle atmosphere upward through the thermosphere and ionosphere into the exosphere in terms of coupling, energetics, chemistry, and dynamics on regional and global scales. These processes are related to the sources of perturbations that propagate upward from the lower atmosphere as well as to solar radiation and particle inputs from above. The activities within this program combine observations, theory and modeling. The specific goals of the CEDAR program include the study of: 1) dynamics and energetics of the upper atmosphere, with particular emphasis on the region between 60 and 150 km; 2) coupling between the mesosphere, ionosphere, thermosphere, exosphere, and magnetosphere; and 3) horizontal coupling between adjacent geographic regions. The CEDAR program encourages the use of both chains and clusters of instruments in scientific studies of atmosphere coupling processes, as well as the development of new instrumentation and modeling approaches and algorithms. The CEDAR community continuously strives to update its science plan to focus on specific high-priority research areas. The most recent plan is the "CEDAR The New Dimension" report. It identifies the following strategic thrusts:

1. Encourage and undertake a systems perspective of geospace.
2. Explore exchange processes at boundaries and transitions in geospace.
3. Explore processes related to geospace evolution
4. Develop observational and instrumentation strategies for geospace system studies
5. Fuse the knowledge base across disciplines in the geosciences.
6. Manage, mine, and manipulate geosciences/geospace data and models.

More information on the CEDAR program, the latest CEDAR report, and current high-priority research areas can be found at http://cedarweb.hao.ucar.edu.

III. AWARD INFORMATION

Estimated program budget, number of awards and average award size/duration are subject to the availability of funds. Normally, CEDAR awards are made for a duration of three years, but proposers may request from one to five years of funding provided the requested duration is adequately justified. NSF estimates making 7 to 10 continuing grant awards. The typical award size will be about $85,000 per year. The maximum award size will be about $150,000 per year. The anticipated annual funding amount for new awards is $1,000,000 pending availability of funds.

Project Period

IV. ELIGIBILITY INFORMATION

Who May Submit Proposals:

The categories of proposers eligible to submit proposals to the National Science Foundation are identified in the Grant Proposal Guide, Chapter I, Section E.

Are You Eligible?

Who May Serve as PI:

There are no restrictions or limits.

Limit on Number of Proposals per Organization:

There are no restrictions or limits.

Limit on Number of Proposals per PI or Co-PI:

There are no restrictions or limits.

V. PROPOSAL PREPARATION AND SUBMISSION

INSTRUCTIONS A. Proposal Preparation Instructions

Full Proposal Preparation Instructions: Proposers may opt to submit proposals in response to this Program Solicitation via Grants.gov or via the NSF FastLane system.

- Full proposals submitted via FastLane: Proposals submitted in response to this program solicitation should be prepared and submitted in accordance with the general guidelines contained in the NSF Grant Proposal Guide (GPG). The complete text of the GPG is available electronically on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from nsfpubs@nsf.gov. Proposers are reminded to identify this program solicitation number in the program solicitation block on the NSF Cover Sheet For Proposal to the National Science Foundation. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.
- Full proposals submitted via Grants.gov: Proposals submitted in response to this program solicitation via Grants.gov should be prepared and submitted in accordance with the NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov. The complete text of the NSF Grants.gov Application Guide is available on the Grants.gov website and on the NSF website at: (http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide). To obtain copies of the Application Guide and Application Forms Package, click on the Apply tab on the Grants.gov site, then click on the Apply Step 1: Download a Grant Application Package and Application Instructions link and enter the funding opportunity number, (the program solicitation number without the NSF prefix) and press the Download Package button. Paper copies of the Grants.gov Application Guide also may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from nsfpubs@nsf.gov.

In determining which method to utilize in the electronic preparation and submission of the proposal, please note the following:

Collaborative Proposals. All collaborative proposals submitted as separate submissions from multiple organizations must be submitted via the NSF FastLane system. Chapter II, Section D.4 of the Grant Proposal Guide provides additional information on collaborative proposals.

More Specific Application Instructions

Important Proposal Preparation Information: FastLane will check for required sections of the full proposal, in accordance with *Grant Proposal Guide* (GPG) instructions described in Chapter II.C.2. The GPG requires submission of: Project Summary; Project Description; References Cited; Biographical Sketch(es); Budget; Budget Justification; Current and Pending Support; Facilities, Equipment & Other Resources; Data Management Plan; and Postdoctoral Mentoring Plan, if applicable. If a required section is missing, **FastLane will not accept the proposal.**

Please note that the proposal preparation instructions provided in this program solicitation may deviate from the GPG instructions. If the solicitation instructions do not require a GPG-required section to be included in the proposal, insert text or upload a document in that section of the proposal that states, "Not Applicable for this Program Solicitation." Doing so will enable FastLane to accept your proposal.

Please note that per guidance in the GPG, the Project Description must contain, as a separate section within the narrative, a discussion of the broader impacts of the proposed activities. Unless otherwise specified in this solicitation, you can decide where to include this section within the Project Description.

The following instructions supplement the Grant Proposal Guide.

The title on the cover sheet of proposals submitted in response to this solicitation should begin with the word "CEDAR:".

B. Budgetary Information

Cost Sharing: Inclusion of voluntary committed cost sharing is prohibited

C. Due Dates

- **Full Proposal Deadline(s)** (due by 5 p.m. proposer's local time):

  July 17, 2014

  July 17, Annually Thereafter

Due Dates

D. FastLane/Grants.gov Requirements

For Proposals Submitted Via FastLane:

To prepare and submit a proposal via FastLane, see detailed technical instructions available at: https://www.fastlane.nsf.gov/a1/newstan.htm. For FastLane user support, call the FastLane Help Desk at 1-800-673-6188 or e-mail fastlane@nsf.gov. The FastLane Help Desk answers general technical questions related to the use of the FastLane system. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this funding opportunity.

Description

For Proposals Submitted Via Grants.gov:

Before using Grants.gov for the first time, each organization must register to create an institutional profile. Once registered, the applicant's organization can then apply for any federal grant on the Grants.gov website. Comprehensive information about using Grants.gov is available on the Grants.gov Applicant Resources webpage: http://www.grants.gov/web/grants/applicants.html. In addition, the NSF Grants.gov Application Guide (see link in Section V.A) provides instructions regarding the technical preparation of proposals via Grants.gov. For Grants.gov user support, contact the Grants.gov Contact Center at 1-800-518-4726 or by email: support@grants.gov. The Grants.gov Contact Center answers general technical questions related to the use of Grants.gov. Specific questions related to this program solicitation should be referred to the NSF program staff contact(s) listed in Section VIII of this solicitation.

Submitting the Proposal: Once all documents have been completed, the Authorized Organizational Representative (AOR) must submit the application to Grants.gov and verify the desired funding opportunity and agency to which the application is submitted. The AOR must then sign and submit the application to Grants.gov. The completed application will be transferred to the NSF FastLane system for further processing.

Proposers that submitted via FastLane are strongly encouraged to use FastLane to verify the status of their submission to NSF. For proposers that submitted via Grants.gov, until an application has been received and validated by NSF, the Authorized Organizational Representative may check the status of an application on Grants.gov. After proposers have received an e-mail notification from NSF, Research.gov should be used to check the status of an application.

VI. NSF PROPOSAL PROCESSING AND REVIEW PROCEDURES

Proposals received by NSF are assigned to the appropriate NSF program for acknowledgement and, if they meet NSF requirements, for review. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF either as *ad hoc* reviewers, panelists, or both, who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officer's discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal. In addition, Program Officers may obtain comments from site visits before recommending final action on proposals. Senior NSF staff further review recommendations for awards. A flowchart that depicts the entire NSF proposal and award process (and associated timeline) is included in the GPG as Exhibit III-1.

A comprehensive description of the Foundation's merit review process is available on the NSF website at: http://nsf.gov/bfa/dias/policy/merit_review/.

Proposers should also be aware of core strategies that are essential to the fulfillment of NSF's mission, as articulated in *Empowering the Nation Through Discovery and Innovation: NSF Strategic Plan for Fiscal Years (FY) 2011-2016*. These strategies are integrated in the program planning and implementation process, of which proposal review is one part. NSF's mission is particularly well-implemented through the integration of research and education and broadening participation in NSF programs, projects, and activities.

One of the core strategies in support of NSF's mission is to foster integration of research and education through the programs, projects and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students, and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the variety of learning perspectives.

Another core strategy in support of NSF's mission is broadening opportunities and expanding participation of groups, institutions, and geographic regions that are underrepresented in STEM disciplines, which is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

A. Merit Review Principles and Criteria

Merit Review

The National Science Foundation strives to invest in a robust and diverse portfolio of projects that creates new knowledge and enables breakthroughs in understanding across all areas of science and engineering research and education. To identify which projects to support, NSF relies on a merit review process that incorporates consideration of both the technical aspects of a proposed project and its potential to contribute more broadly to advancing NSF's mission "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense; and for other purposes." NSF makes every effort to conduct a fair, competitive, transparent merit review process for the selection of projects.

1. Merit Review Principles

These principles are to be given due diligence by PIs and organizations when preparing proposals and managing projects, by reviewers when reading and evaluating proposals, and by NSF program staff when determining whether or not to recommend proposals for funding and while overseeing awards. Given that NSF is the primary federal agency charged with nurturing and supporting excellence in basic research and education, the following three principles apply:

- All NSF projects should be of the highest quality and have the potential to advance, if not transform, the frontiers of knowledge.
- NSF projects, in the aggregate, should contribute more broadly to achieving societal goals. These "Broader Impacts" may be accomplished through the research itself, through activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. The project activities may be based on previously established and/or innovative methods and approaches, but in either case must be well justified.
- Meaningful assessment and evaluation of NSF funded projects should be based on appropriate metrics, keeping in mind the likely correlation between the effect of broader impacts and the resources provided to implement projects. If the size of the activity is limited, evaluation of that activity in isolation is not likely to be meaningful. Thus, assessing the effectiveness of these activities may best be done at a higher, more aggregated, level than the individual project.

With respect to the third principle, even if assessment of Broader Impacts outcomes for particular projects is done at an aggregated level, PIs are expected to be accountable for carrying out the activities described in the funded project. Thus, individual projects

should include clearly stated goals, specific descriptions of the activities that the PI intends to do, and a plan in place to document the outputs of those activities.

These three merit review principles provide the basis for the merit review criteria, as well as a context within which the users of the criteria can better understand their intent.

2. Merit Review Criteria

All NSF proposals are evaluated through use of the two National Science Board approved merit review criteria. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two merit review criteria are listed below. **Both** criteria are to be given **full consideration** during the review and decision-making processes; each criterion is necessary but neither, by itself, is sufficient. Therefore, proposers must fully address both criteria. (GPG Chapter II.C.2.d.i. contains additional information for use by proposers in development of the Project Description section of the proposal.) Reviewers are strongly encouraged to review the criteria, including GPG Chapter II.C.2.d.i., prior to the review of a proposal.

When evaluating NSF proposals, reviewers will be asked to consider what the proposers want to do, why they want to do it, how they plan to do it, how they will know if they succeed, and what benefits could accrue if the project is successful. These issues apply both to the technical aspects of the proposal and the way in which the project may make broader contributions. To that end, reviewers will be asked to evaluate all proposals against two criteria:

- **Intellectual Merit:** The Intellectual Merit criterion encompasses the potential to advance knowledge; and
- **Broader Impacts:** The Broader Impacts criterion encompasses the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.

The following elements should be considered in the review for both criteria:

1. What is the potential for the proposed activity to
    a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
    b. Benefit society or advance desired societal outcomes (Broader Impacts)?
2. To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?
3. Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?
4. How well qualified is the individual, team, or organization to conduct the proposed activities?
5. Are there adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities?

Broader impacts may be accomplished through the research itself, through the activities that are directly related to specific research projects, or through activities that are supported by, but are complementary to, the project. NSF values the advancement of scientific knowledge and activities that contribute to achievement of societally relevant outcomes. Such outcomes include, but are not limited to: full participation of women, persons with disabilities, and underrepresented minorities in science, technology, engineering, and mathematics (STEM); improved STEM education and educator development at any level; increased public scientific literacy and public engagement with science and technology; improved well-being of individuals in society; development of a diverse, globally competitive STEM workforce; increased partnerships between academia, industry, and others; improved national security; increased economic competitiveness of the United States; and enhanced infrastructure for research and education.

Proposers are reminded that reviewers will also be asked to review the Data Management Plan and the Postdoctoral Researcher Mentoring Plan, as appropriate.

Additional Solicitation Specific Review Criteria

Relevance to CEDAR program objectives.

B. Review and Selection Process

Proposals submitted in response to this program solicitation will be reviewed by Ad hoc Review and/or Panel Review.

Reviewers will be asked to evaluate proposals using two National Science Board approved merit review criteria and, if applicable, additional program specific criteria. A summary rating and accompanying narrative will be completed and submitted by each reviewer. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF strives to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. Large or particularly complex proposals or proposals from new awardees may require additional review and processing time. The time interval begins on the deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director acts upon the Program Officer's recommendation.

After programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications. After an administrative review has occurred, Grants and Agreements Officers perform the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at their own risk.

Once an award or declination decision has been made, Principal Investigators are provided feedback about their proposals. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers or any reviewer-identifying information, are sent to the Principal Investigator/Project Director by the Program Officer. In addition, the proposer will receive an explanation of the decision to award or decline funding.

VII. AWARD ADMINISTRATION INFORMATION

A. Notification of the Award

Notification of the award is made to *the submitting organization* by a Grants Officer in the Division of Grants and Agreements. Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator. (See Section VI.B. for additional information on the review process.)

B. Award Conditions

An NSF award consists of: (1) the award notice, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award notice; (4) the applicable award conditions, such as Grant General Conditions (GC-1)*; or Research Terms and Conditions* and (5) any announcement or other NSF issuance that may be incorporated by reference in the award notice. Cooperative agreements also are administered in accordance with NSF Cooperative Agreement Financial and Administrative Terms and Conditions (CA-FATC) and the applicable Programmatic Terms and Conditions. NSF awards are electronically signed by an NSF Grants and Agreements Officer and transmitted electronically to the organization via e-mail.

*These documents may be accessed electronically on NSF's Website at http://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (703) 292-7827 or by e-mail from nsfpubs@nsf.gov.

More comprehensive information on NSF Award Conditions and other important information on the administration of NSF awards is contained in the NSF *Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag.

C. Reporting Requirements

For all multi-year grants (including both standard and continuing grants), the Principal Investigator must submit an annual project report to the cognizant Program Officer at least 90 days prior to the end of the current budget period. (Some programs or awards require submission of more frequent project reports). Within 90 days following expiration of a grant, the PI also is required to submit a final project report, and a project outcomes report for the general public.

Failure to provide the required annual or final project reports, or the project outcomes report, will delay NSF review and processing of any future funding increments as well as any pending proposals for all identified PIs and co-PIs on a given award. PIs should examine the formats of the required reports in advance to assure availability of required data.

PIs are required to use NSF's electronic project-reporting system, available through Research.gov, for preparation and submission of annual and final project reports. Such reports provide information on accomplishments, project participants (individual and organizational), publications, and other specific products and impacts of the project. Submission of the report via Research.gov constitutes certification by the PI that the contents of the report are accurate and complete. The project outcomes report also must be prepared and submitted using Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted on the NSF website exactly as it is submitted by the PI.

More comprehensive information on NSF Reporting Requirements and other important information on the administration of NSF awards is contained in the NSF *Award & Administration Guide* (AAG) Chapter II, available electronically on the NSF Website at http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag.

VIII. AGENCY CONTACTS

Please note that the program contact information is current at the time of publishing. See program website for any updates to the points of contact.

General inquiries regarding this program should be made to:

- Anne-Marie Schmoltner, telephone: (703) 292-4716, email: aschmolt@nsf.gov
- Robert M. Robinson, Program Manager, 775 S, telephone: (703) 292-8529, fax: (703) 292-9022, email: rmrobins@nsf.gov

For questions related to the use of FastLane, contact:

- FastLane Help Desk, telephone: 1-800-673-6188; e-mail: fastlane@nsf.gov.
- Sylvia L. Maynard, Program Assistant, 775 S, telephone: (703) 292-8519, fax: (703) 292-9022, email: smaynard@nsf.gov

For questions relating to Grants.gov contact:

- Grants.gov Contact Center: If the Authorized Organizational Representatives (AOR) has not received a confirmation message from Grants.gov within 48 hours of submission of application, please contact via telephone: 1-800-518-4726; e-mail: support@grants.gov.

What are your policies for contacting a Federal sponsor?

IX. OTHER INFORMATION

The NSF website provides the most comprehensive source of information on NSF Directorates (including contact information), programs and funding opportunities. Use of this website by potential proposers is strongly encouraged. In addition, "NSF Update" is an information-delivery system designed to keep potential proposers and other interested parties apprised of new NSF funding opportunities and publications, important changes in proposal and award policies and procedures, and upcoming NSF Grants Conferences. Subscribers are informed through e-mail or the user's Web browser each time new publications are issued that match their identified interests. "NSF Update" also is available on NSF's website at https://public.govdelivery.com/accounts/USNSF/subscriber/new?topic_id=USNSF_179.

Grants.gov provides an additional electronic capability to search for Federal government-wide grant opportunities. NSF funding opportunities may be accessed via this new mechanism. Further information on Grants.gov may be obtained at http://www.grants.gov.

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) is an independent Federal agency created by the National Science Foundation Act of 1950, as amended (42 USC 1861-75). The Act states the purpose of the NSF is "to promote the progress of science; [and] to advance the national health, prosperity, and welfare by supporting research and education in all fields of science and engineering."

NSF funds research and education in most fields of science and engineering. It does this through grants and cooperative agreements to more than 2,000 colleges, universities, K-12 school systems, businesses, informal science organizations and other research organizations throughout the US. The Foundation accounts for about one-fourth of Federal support to academic institutions for basic research.

NSF receives approximately 55,000 proposals each year for research, education and training projects, of which approximately 11,000 are funded. In addition, the Foundation receives several thousand applications for graduate and postdoctoral fellowships. The agency operates no laboratories itself but does support National Research Centers, user facilities, certain oceanographic vessels and Arctic and Antarctic research stations. The Foundation also supports cooperative research between universities and industry, US participation in international scientific and engineering efforts, and educational activities at every academic level.

Facilitation Awards for Scientists and Engineers with Disabilities provide funding for special assistance or equipment to enable persons with disabilities to work on NSF-supported projects. See Grant Proposal Guide Chapter II, Section D.2 for instructions regarding preparation of these types of proposals.

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing impairments to communicate with the Foundation about NSF programs, employment or general information. TDD may be accessed at (703) 292-5090 and (800) 281-8749, FIRS at (800) 877-8339.

The National Science Foundation Information Center may be reached at (703) 292-5111.

The National Science Foundation promotes and advances scientific progress in the United States by competitively awarding grants and cooperative agreements for research and education in the sciences, mathematics, and engineering.

To get the latest information about program deadlines, to download copies of NSF publications, and to access abstracts of awards, visit the NSF Website at http://www.nsf.gov

- **Location:** 4201 Wilson Blvd. Arlington, VA 22230
- **For General Information** (NSF Information Center)**:** (703) 292-5111
- **TDD (for the hearing-impaired):** (703) 292-5090
- **To Order Publications or Forms:**

  Send an e-mail to: nsfpubs@nsf.gov

  or telephone: (703) 292-7827
- **To Locate NSF Employees:** (703) 292-5111

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; and project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to proposer institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies or other entities needing information regarding applicants or nominees as part of a joint application review process, or in order to coordinate programs or policy; and to another Federal agency, court, or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 69 Federal Register 26410 (May 12, 2004), and NSF-51, "Reviewer/Proposal File and Associated Records," 69 Federal Register 26410 (May 12, 2004). Submission of the

Classroom

How Federal Sponsors Announce Opportunities What do the Letters Mean?

RFA: Request for Applications:	Indicates the availability of funds for a research area of specific interest to a sponsor. Proposals submitted in response to RFAs generally result in a grant award. Specific grant announcements may be published in the Federal Register and/or specific sponsor publications. The RFA instructions include the information necessary to complete the application and mailing instructions	Grants Cooperative Agreements
RFP: Request for Proposal:	Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought. Proposals submitted in response to RFPs generally result in a contract award. Notices of Federal RFPs are published in the Fed Biz Ops: https://www.fbo.gov/	Contracts

Classroom

How Federal Sponsors Announce Opportunities What do the Letters Mean?

RFQ: Request for Quotation:	A type of bidding solicitation in which vendors provide a cost quote for the completion of a particular project or program. A Request For Quote is a variation of a Request For Proposal (RFP), and typically provides more information to the bidder about the project's requirements. It often requires the bidder to break down costs for each phase of the project so as to allow the soliciting agency to compare different bids. A Request for Quote is typically used in situations where products and services are standardized, since this allows the soliciting agency to compare the different bids easily. It is also more likely to be used when the soliciting agency knows the volume of products that it wishes to purchase.	Contracts

Classroom

How Federal Sponsors Announce Opportunities What do the Letters Mean?

RFB: Request for Bid:	A type of procurement document and process used to select the lowest responsive and responsible offer or of a good or service. The requests typically presents preliminary requirements for the commodity or service, and may dictate to varying degrees the exact structure and format of the supplier's response. Proposals submitted in response to RFBs generally result in a contract award.	Contracts
Subcontracts:	An agreement issued under an assistance mechanism between Duke University and another organization to perform the scope of work on an awarded grant/cooperative agreement. Subawards are established for the period authorized in the Sponsor's award notice which typically is awarded in one year increments with the terms and conditions passed on from the Sponsor award.	Grants Contracts
Broad Agency Announcement:	A competitive solicitation procedure used to obtain proposals for basic and applied research and that part of development not related to the development of a specific system or hardware procurement. The type of research solicited under a BAA attempts to increase knowledge in science and/or to advance the state of the art as compared to practical application of knowledge.	Grants Cooperative Agreements Contracts

Proposal Review Checklist for Research Administrators

LOGISTICAL CONSIDERATIONS

☐ **Principal Investigator (PI)**

Is the PI clearly identified in the proposal?
Does the proposal coversheet minimally provide her/his name, phone, email address for contacting?
Is the PI a full time faculty member?
Does the PI have an actual or potential financial conflict of interest in relationship to externally sponsored projects?

☐ **Other Faculty or Researchers Involved**

Are additional faculty or researchers participating in the proposed project?
In what capacity would they participate (co-investigators, research associates)?
What indication do you have that they have agreed to be involved in the project?
Are all salaried positions actually employees of your institution?

☐ **Department and College Approval**

Have the department chair, dean and/or other appropriate official reviewed the proposal and approved the levels of effort and commitment in space and resources required for the project?

☐ **Type of Application**

Is this proposal a new application, a competitive renewal, a noncompetitive renewal, a supplemental request or a budget revision?
Is the application for a federal grant or contract?
Have the appropriate forms and format been used?
Have the forms been completed correctly?

☐ **Proposed Project**

Does the proposed project conflict in any manner with department, college, or institutional policies/mission?

☐ **Period of Performance**

Have the proposed start date and project period been clearly identified and held consistent throughout the proposal?
Is the start date realistic?

☐ **Place of Performance**

Where will the project be conducted, on grounds or off grounds or both?
If both, what proportion of the project will be performed off grounds?

☐ **Space**

Is adequately equipped space available to conduct the project?
Will extra space need to be assigned to the PI for the execution of the project?
If so, have the appropriate institutional personnel agreed to these commitments?

☐ **Level of Effort**

What level of effort has each investigator committed for the project?
Is the level of effort stated reasonable?
Will the level of effort proposed be commensurate with the actual costs that will be charged to the award?

☐ **Commitments**

Does the proposal promise institutional commitments to staff beyond the project period of the award?
Are cost-sharing requirements allowable and supportable?
Will new employees be hired for this project only?

☐ **Curricular Programs**
Does the proposal involve a new curricular program?
If so, has the Academic Affairs Dean/College or other such appropriate official given approval for the proposal to be submitted?

☐ **Human Subjects**
Does the project involve human subjects?
If so, has the proposal been submitted to the appropriate human participant IRB for review and/or already have approval from the IRB?

☐ **Use of Animals in Research**
Does the project involve the use of vertebrate animals?
If so, has the proposal been submitted for review and/or already have approval from Institutional Animal Care and Use Committee (IACUC)?

☐ **Research Risks**
Does the project involve the use of any hazardous, toxic, or carcinogenic materials, chemicals or recombinant DNA?
If so, has the abstract of the proposal been forwarded for review to the Office of Environmental Health & Safety?

☐ **Patents and Copyrights**
Does the proposal contain a potential patent or copyright?
Are there restrictions indicated in the agency guidelines?

☐ **Publishing**
Does the agency or sponsor impose any restrictions on the PI's or GRA's from freely publishing research results?

☐ **Assurances**
Are all the appropriate assurance forms included as part of the proposal?
Human subjects, animals, non-construction programs, assurance statements?

☐ **Certifications**
Have all certifications been correctly filed and signed by the institutional authorizing official?
i.e., Lobbying, Debarment, Drug-Free Workplace

☐ **Terms and Conditions**
If contract clauses are incorporated by reference, are they appropriate and acceptable for your institution and/or do they agree with institutional policy?

☐ **Formatting**
Does the proposal formatting follow sponsor guidelines?
i.e., number of pages, page numbering, spacing, font, table of contents, readability issues, narrative reflects timeline and tables/graphs, etc.

☐ **Type of Project**
Is type or purpose of project clearly defined? i.e., research, instruction, outreach

☐ **Authorized University Official**
Has the proposal been signed by the authorized university official?

FISCAL CONSIDERATIONS

☐ **Budget**

Have the correct budget categories been used?
Are all the budget costs allowable according to UVa's cost principles? According to Cost Accounting Standards?
Is the proposed budget arithmetically correct?
Are estimated costs proposed in the manner in which the costs will be expended?
Can all costs be supported?
Do all budget forms agree?

☐ **Fringe Benefits**

Have the current approved rates been used and correctly applied to the proper salary bases?

☐ **Indirect Costs**

Has the appropriate indirect cost rate been used and applied to correct MTDC base?

☐ **Travel/Equipment/Other Direct Costs**

Are the proposed costs necessary for the proper conduct of the project?
Are the costs reasonable, allowable and in accordance with sponsor guidelines?

☐ **Institutional Facilities**

Does the proposal involve use of institutional facilities (e.g. animal care, computing facility, TV station, conference center, research facility)?

☐ **Cost Sharing or Matching Funds**

Does the proposed project require funds from the institution to support this project, other than the contributed effort (if any) of project personnel and associated fringe benefits and indirect costs?
If so, have the sources of these funds been identified and committed to this project?

☐ **Subcontractors**

Is a budget included for each proposed subcontractor?
Does the proposal contain a letter of commitment from each subcontractor, by their institution, indicating their willingness to participate in the project?

Adapted from Fundamentals of Research Administration Handout by Rebecca Claycamp, CRA

EXPORT CONTROL REVIEW
Internal

Principal Investigator:	
College/School/Department:	
Sponsor:	
Sponsor Award Identifier:	
Prime Sponsor (if applicable):	
Title of Project:	
PS Project Number:	

PROJECT REVIEW: **(complete questions and attach supporting documentation)**

YES	*NO*	
☐	☐	The project involves the transfer or provision of any goods, articles, materials, equipment, services, or supplies out of the United States.
☐	☐	The project will utilize **non**-US Persons/Foreign persons paid **and/or** unpaid. [Note: only required if effort is determined to be controlled]
☐	☐	Project **involves** export controlled information, materials and/or equipment.** ****(Purchased, generated and/or received by/from Sponsor and/or UF and/or other sources)**
☐	☐	Project abstract attached - involves military related topics, weapons, pathogens, toxins, satellites, radars, sensors, unmanned vehicles, energetic, explosives, etc.

CONTRACT REVIEW: **(complete questions and attach supporting documentation)**
The contract contains specific national security/access and dissemination controls on information resulting from the research:

YES	*NO*	
☐	☐	Prepublication review for other than removal of preexisting proprietary information or protection of patentable subject matter. Or language that provides the sponsor/prime with the right to withhold permission for publication.
☐	☐	Restrictions on **non**-US Persons/Foreign persons access/participation.
☐	☐	Attached are the contract clauses and/or federal regulations relative to the noted restrictions.

==========

U.S. Person. Any individual who is a citizen of the United States, a permanent resident alien of the United States, or a protected individual as defined by 8 U.S.C. 1324b (a) (3) (i.e., refugee, asylee). A U.S. Person also includes corporations, business associations, partnerships, societies, trusts, etc. or any other entity, organization or group that is incorporated to do business in the United States.

Non U.S. Person/Foreign Person. Any individual who is neither a citizen of the United States, nor a permanent resident of the United States, nor a protected individual as defined by 8 U.S.C. 1324b (a) (3) (i.e., refugee, asylee). Non U.S. Person/Foreign Person also means any foreign corporation, business association, partnership, trust, society or any other entity or group that is not incorporated or organized to do business in the United States, as well all international organizations, foreign governments and any agency or subdivision of foreign governments (e.g., diplomatic missions).

Reviewed by: Research Administrator: Notes:	Typed Name:	Initials:	Date:

EXPORT CONTROL- PI CERTIFICATION

Principal Investigator:	
College/School/Department:	
Sponsor:	
Sponsor Award Identifier:	
Prime Sponsor (if applicable):	
Title of Project:	
PS Project Number:	

A review of the project and corresponding contract as listed above has been completed. It has been determined that **export control issues exist** and certain actions are required **before the project performance can begin**.

Please review the information below and **assert by signing the form that you understand and agree to the following restraints**. Once signed, the University will execute the pending award and begin the final export control review and preparation, as necessary, of a Technology Control Plan (TCP). **You will be contacted for participation in completing the TCP.**

==========

No transfer of any goods, articles, materials, equipment, services, supplies or information out of the United States without an export license or license exemption.

No use of non-US Persons/Foreign persons on the project – paid or non-paid - without the proper Sponsor required prior approvals and/or export license, as necessary.

No access to or dissemination of export controlled products and/or information to any non-US Persons/Foreign persons without an export license and/or Sponsor required prior approvals, as necessary.

No access to or dissemination of project research results to any non-US Persons/Foreign persons without an export license or Sponsor required prior approvals, as necessary.

A Technology Control Plan (TCP) may be required for the project. If it is determined that a TCP is required, I will abide by the plan including the following conditions.

1. Implement Physical Security Measures for my lab to limit access to export controlled technology, information, data, materials, items and research results.
2. Implement Information Security Measures such as a secured workstation with only approved use access.
3. Implement Personnel Screening Procedures and ensure that all project personnel attend export control training.

I understand that I am responsible for ensuring that these restrictions are communicated to all project participants and that all project participants adhere to the restrictions.

I understand that if an export license is required that it must be obtained before any work requiring a license is commenced. I will work with the Division of Sponsored Research on the license determination and application, and corresponding TCP such that all determinations and requirements are concluded within 30 days from my signing of this certification. I understand that I must be available and non-adherence to the 30 day timeline for conclusion of this process may render a decision by the University to cancel the research agreement.

I will comply with all University of Florida policies and procedures regarding export controls.

PI Acceptance:

Signature **Date**

Return the signed form to:

Confirmation of IRB Approval
IRB Approval Pending

Principal Investigator		UPN		Date	
Project Title					
	Agency				

☐ The referenced project was submitted to the Agency with a "PENDING" approval date because the Division of Sponsored Research (DSR) has not received documentation of IRB approval.

☐ The Division of Sponsored Research has received an official award notice for the referenced project; however, the award cannot be processed because DSR has not received documentation of IRB approval.

Please contact the appropriate IRB office to apply for an IRB approval, or if you are applying for NIH funding, apply in accordance with "just-in-time" requirements. After the IRB reviews and approves your protocol, complete and sign the statement below. You must return: (1) a copy of the IRB approval(s) and (2) this Confirmation of IRB Approval form to DSR.

NO HUMAN SUBJECTS MAY BE INVOLVED UNTIL THE PROJECT HAS BEEN REVIEWED AND APPROVED BY THE IRB.

When the approval is received from you, DSR will notify the appropriate Agencies that require verification of approval. However, if the Agency requests verification of approval from you directly, please notify DSR.

IRB OFFICES:			
Health Center IRB PO Box 100173 Gainesville FL 32610 (352) 846-1494	**University Campus IRB** PO Box 112250 Gainesville FL 32611 (352) 392-0433	**Univ Med Center Jacksonville IRB** 653-1 W 8th Street Jacksonville FL 32209 (904) 244-3136	**Western IRB - WIRB** Health Center IRB PO Box 100173 Gainesville FL 32610 (352) 846-1494

Please contact the applicable IRB office for further instructions on any additional IRB forms needed.

"I, the Principal Investigator, certify the attached IRB approval(s) # _____ ***is/are approved for the referenced project."***

Principal Investigator's Signature: _____ Date: _____

For PHS and other Sponsors that adopt the PHS policy Revised February 16, 2015

DISCLOSURE OF SIGNIFICANT FINANCIAL INTEREST **DSP-05 PHS**

All Investigators (as defined below) must read, sign and submit this form to the Division of Sponsored Programs (DSP) with each grant application being submitted where the source of funding will be from a US Public Health Service Services Organization as a recipient or as a sub-recipient, with the exception of STTR/SBIR Phase I projects, which have been exempted by federal rule. This form is also required with grant applications submitted to non-federal sponsors that have adopted this PHS policy as their own. (Link to list of organizations - http://research.ufl.edu/faculty-and-staff/research-compliance/conflict-of-interest-and-outside-activities/public-health-service-phs/list-of-organizations-that-require-compliance-with-phs-regulations.html).

Project Title: _____ **UF PI:** _____

Effective August 24, 2012, the Public Health Service (PHS) require grantees to manage any actual or potential conflict of interest that may be presented by compensated outside activities and other financial interests of Investigators (as defined below) involved in sponsored research projects funded by the Public Health Service (PHS). In addition, several non-federal sponsors that have adopted this policy as their own, for example, American Heart Association (AHA). The primary purpose of the federal regulations is to prevent bias in the design, conduct, or reporting of research projects. Investigators working on projects funded by these various granting agencies must abide by these requirements.

"Investigator" is defined as the Principal Investigator, Co-Principal Investigator, or any other person responsible for the design, conduct, or reporting of the research or educational activities. "Investigator" for the purposes of determining a **"**Significant Financial Interest**"** includes the Investigator's spouse and dependent children.

"**Significant Financial Interest"** is one or more of the following financial interests of the Investigator that reasonably appears to be related to the Investigator's institutional responsibilities. A Significant Financial Interest does not include salary, royalties, or other remuneration paid by the Institution to an Investigator; income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, or an institution of higher education; or income from service on advisory committees or review panels for a federal, state, or local government agency, or an institution of higher education**.**

A. With regard to any publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest on the date of disclosure when aggregated, exceeds $5,000. Remuneration includes salary and any payment for services not otherwise identified as salary (*e.g.,* consulting fees, honoraria, paid authorship, travel reimbursement); equity interest includes any stock, stock option, or other ownership interest, as determined by public prices or other reasonable measures of fair market value.

A. Check Yes ☐ indicating you had such a significant financial interest or No ☐.

B. With regard to any non-publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure exceeds $5,000, or the Investigator holds any equity interest in the non-publicly traded entity.

B. Check Yes ☐ indicating you had such a significant financial interest or No ☐.

C. Intellectual property rights (*e.g.,* patents, copyrights), upon receipt of income related to such rights. The term Significant Financial Interest does not include royalties paid by the Institution to an Investigator.

C. Check Yes ☐ indicating you had such a significant financial interest or No ☐.

D. Investigators must disclose the occurrence of any reimbursed or sponsored (except when paid through the Institution) travel related to their institutional responsibilities. Not required to be disclosed is travel that is reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

D. Check Yes☐ indicating you do have reimbursed or paid travel (except when paid through the Institution) and complete the PHS FCOI Reimbursed or Paid Travel Disclosure Form (part 2) of this form.

Check No☐ indicating no reimbursed or paid travel.

One requirement of the FCOI regulation is that all investigators must complete FCOI training, before engaging in the research. UF Funding will not be released until the training is completed.

Check Yes☐ indicating you have taken the myUFL FCOI Training, course number DSR810.

Check No ☐ indicating FCOI Training has not yet been completed.

A Significant Financial Interest or reimbursed or paid travel must be disclosed at the time of the proposal submission, but approval of the conflict of interest (with conditions if warranted) need not occur until the project has been funded, but must occur prior to expenditure of any awarded funds. The federal regulations also require that the disclosures be made annually during the course of the research or as new reportable Significant Financial Interests are obtained. An Investigator must file a new disclosure within 30 days if a new Significant Financial Interest is obtained, which is consistent with the University's requirement that any material changes to outside activities and financial interests must be reported during the academic year. Review and approval or disapproval of the interests disclosed during the course of a research project must be accomplished within 60 days.

The University's designated official(s) is responsible for reviewing each disclosure to determine if the financial interest disclosed could be affected by the proposed research or if the research could be affected by the financial interest and if a conflict of interest exists. Under the federal regulations, if a Significant Financial Interest may directly and significantly affect the design, conduct, or reporting of the research, a financial conflict will be deemed to exist. The University is required to eliminate the conflict or develop a management plan to manage the conflict. Public disclosure of the conflict is required. Conditions that might be imposed include modification of the research design or monitoring of the research by independent reviewers. If adequate measures are not feasible, the person disclosing may have to discontinue the compensated activities or divest themselves of the financial interest, or discontinue the research. The person disclosing must abide by the conditions under which the research is permitted.

I declare that the information being disclosed is true and accurate under the regulations.

Sign: _____ Role: Check one, PI☐ Co-PI☐ Other Key Personnel ☐

Print Name: _____ Date: _____

PHS FCOI Reimbursed or Paid Travel Disclosure Form

DSP-05 PHS (part 2)

Reimbursed or Paid Travel Disclosure Form. Add additional sheets for each reimbursed or paid travel you are disclosing.

In the twelve months preceding this disclosure I have received reimbursed or paid travel.

1. The date of the travel was _____

2. The identity of the company/organizer of the travel was _____

3. The destination was _____

4. Did your spouse or dependent children accompany you, and if yes who paid for their travel?

   _____

5. The monetary value of the travel was _____

6. The purpose of the travel was _____

I declare that the above information being disclosed concerning travel is true and accurate under the regulations.

Sign: _____ Role: Check one, PI ☐ Co-PI ☐ Other Key Personnel ☐

Print Name: _____ Date: _____

See Research Policy Handbook chapter: Facilities and Administrative (Indirect Cost) Waivers

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Facility and Administrative (Indirect Cost) Waiver
Request Form

This request should be submitted as soon as you know that a Facility and Administrative (F&A) waiver may be needed for the submission of a sponsored project proposal.

NOTE: Form may be completed and submitted as an attachment to an email, where departmental and school approvals are conveyed in the email (in lieu of signatures).

Do not submit this request:

- if the sponsor is a non-U.S. government agency or a for-profit enterprise (either US or international). Indirect cost waivers will not be approved for these sponsors.
- if the sponsor is a US-based non-profit charitable foundation that explicitly limits indirect costs as a matter of foundation policy. In that case, Stanford University will normally accept the foundation's requirements, and you should forward documentation of the Foundation's policy with your proposal.

Complete all sections of this form, including the approvals of the department and school dean's offices, and submit to the Dean of Research Office (may be sent electronically). Please also provide a draft budget for your project and a description of the scope of work.

Section 1. PROJECT INFORMATION

Principal Investigator:						
Project title:						
Proposed F&A rate _____						
Proposed Budget (total direct costs)[1]: _____			Sponsor (include RFP or proposal solicitation, if available): _____			
Project Location	On-campus ☐	Off campus ☐	Project Category	Research ☐	Instruction ☐	Other ☐
Brief Project description						

[1] Provide a draft project budget and a description of the scope of work with this request.

Section 2. RATIONALE **(Please provide information on each point).**

1) the grounds on which the waiver might be justified to other faculty whose projects carry full overhead:	
2) the total cost of the waiver to Stanford University, i.e. the amount of indirect cost recovery being waived:	
3) the likelihood that an award would be seriously jeopardized without a waiver, and the potential effect of the loss on the faculty member's overall research program:	
4) the benefit of the waiver to new or junior faculty, or in support of research efforts in new directions not otherwise sufficiently developed to attract other support:	
5) the effect of this waiver to increase direct costs available for student support:	
6) any additional comments:	

Section 3. Approvals *

Principal Investigator	**Department**	**School Dean's office**
_____ _____ Signature Date	_____ _____ Signature Date	_____ _____ Signature Date

* Email approvals are acceptable in lieu of signatures.

For proposals outside of the School of Medicine, submit the completed form to
Ken Merritt, Building 60, Main Quad, Room 211 Mail code: 2064
or send as an email attachment to dor_research_compliance_group@lists.stanford.edu

Dean of Research office

_____ _____
Signature Date

Check List for New Researchers

Please provide a copy of this completed questionnaire to the incoming faculty member at the time of the offer of employment so that they have compliance requirements and contacts in hand.

	YES	NO
Responsible Conduct in Research (RCR)		
To access this site, you must register through the Office of Research http://research.utk.edu/training/online.shtml		
Export Controls		
If you need information to determine if you have an export control issue, you will find information at www.research.utk.edu/exportcontrol/		
Environmental Health and Safety		
http://research.utk.edu/training online.shtml		
Radiological Materials		
1. **Will your research involve loose radioactive material?** If **YES**, you will need to complete the application for radioactive materials use found at www.utk.edu/radiationsafety and the basic radiation safety training course, which you may sign up for at the same website.		
2. **Will your research involve sealed sources of radioactive materials?** If **YES**, you will need to complete the application for radioactive materials use found at www.utk.edu/radiationsafety and the Sealed Source Training module located at that site.		
3. **Will your research involve x-ray machines or other radiation?** If **YES**, you will need to complete the application for use and possession of x-ray equipment found at www.utk.edu/radiationsafety and the training for x-ray users located at the same site.		
Animal Subjects		
1. **Do you plan to use animals as part of your research?** If **YES**, you will need to submit a protocol to the IACUC (procedures listed @ http://iacuc.tennessee.edu) and ensure that laboratory facilities are available for housing the animals.		
Human Subjects		
1. **Do you plan to use human subjects as part of your research?** If **YES**, you will need to submit a protocol to the IRB (procedures listed at http://research.utk.edu/humansubjects).		
Biological Materials		
1. **Do you plan to use recombinant DNA molecules as part of your research?** If **YES**, you will need to register this work with the UT Institutional Biosafety Committee. The registration form and a "user's guide" is available at http://biosafety.tennessee.edu or contact the Biosafety Officer at (865) 974-1938.		

2.	**Do you plan to work with any microbiological agents or toxins that are currently regulated or listed as "select agents" by the DHHS or USDA?** ***If YES, you must contact Brian Ranger, Biosafety Officer at (865) 974-1938 as soon as possible!***		
3.	**Does your research involve work with agents that are infectious to humans, animals or plants?** If **YES**, if agents are infectious to humans, or require a federal permit for interstate or international transfer you will need to register this work with the UT Institutional Biosafety Committee. The registration form is available under the forms link at http://biosafety.tennessee.edu or contact the Biosafety Officer at (865) 974-1938.		
4.	**Does your research involve work with human-derived materials including blood products, tissues or cells?** If **YES**, you will need to be included in the UT Bloodborne Pathogens Exposure Control Program which requires specific training and posting of your lab. The Biosafety Officer administers this program. Please contact (865) 974-1938 for further details.		

NCURA University
Sponsored Programs Administration Roles and Responsibilities

Activity	Role Played by:			
	Principal Investigator	Department	College	Central Office
Pre-Award Activities:				
1. Identify funding opportunities	P			P
2. Understanding of solicitation guidelines	P	P		S
3. Development of the Proposal Budget	P	P		
4. Technical proposal content	P			
5. Prepare proposal for submission	P	P		
6. Review proposal to ensure college rules are followed		S	P	
7. Review proposal for NCURA assurances, accuracy, compliance		S		P
8. Approve proposal on behalf of institution				P
9. Proposal Submission – Electronic or paper	P	S		P
10. Proposal Record Retention		S		P
11. Review award terms and conditions	P	S		P
12. Accept / Negotiate award	P			P
Post Award Activities:				
13. Set up award in NCURA accounting system	S	P		
14. Assure Regulatory compliance (IRB, Animals, etc.)	P	S		
15. Process personnel documents	S	P		
16. Process expenditure documents	S	P		
17. Initiate, execute and close completed subcontract	S			P
18. Review and approve subcontract invoices	P	S		
19. Prepare programmatic/scientific progress reports	P			
20. Monitor expenses, reconcile monthly statements	P	S		
21. Initiate and process cost transfer	S	P		
22. Review, Approve cost transfer			S	P
23. Submission of financial status reports and invoices	S			P
24. Initiate request for modification, change to grant/contract	P	S		
25. Submit request to sponsor for project modifications				P
26. Financial Reporting/Invoicing	S	S		P
27. Programmatic Report submission	P			

P = Primary
S = Secondary

Segment 2

NSF Budget Justification Sample (*University of Tennessee*)

NIH Budget Justification Sample (*University of Tennessee*)

Budget Justification Tips (*Montana State Univeristy*)

Person-months/Effort Tool (*Duke University*)

Sole Source Justification (*Stanford University*)

(Example NSF Budget Justification)

Budget Justification

A: Senior Personnel

The senior personnel for this project consist of Dr. John Smith and Dr. Bob Jones. Dr. Smith requesting one summer month of support at $9,113 and Dr. Jones is also requesting one summer month of support at $7,789. The total request for Senior Personnel is $16,902.

B: Other Personnel

The other personnel include one Post-doctoral Researcher at $45,000, one Graduate Research Assistant (GRA) at $20,000, and one undergraduate student at $3,000. The total request for Other Personnel is $68,000.

C: Fringe Benefits

Fringe Benefits are requested based on actual rates for individuals. Fringe Benefits for requested for Dr. Smith at 33%, for Dr. Jones at 38%, and for the Post-doctoral Researcher at 42%. Health benefits for the GRA are based on a standard rate of $1,230 per year.

D: Equipment

$7,414 is requested to purchase an XY Brand Model 159 (quote attached).

E: Travel

Foreign Travel – $4,000 is requested for foreign travel for the project. The travel funds will be used by the PI and Co-PI to attend international conferences to present papers and the results of the proposed research.

Domestic Travel – $6,000 is requested for travel for the project. The travel funds will be used by all personnel to attend conferences to present papers and the results of the proposed research.

F: Participant Support Costs

None

G: Other Direct Costs

G1: Materials and Supplies – $6,750 is requested for wafers, chemical reagents, and other consumable lab materials.

G2: Publication Costs – $1,000 is requested to cover page charges and presentation poster costs.

G3: Consultant Services – none

G4: Computer Services – none

G5: Subcontracts – $75,000 is requested for a subcontract to The University of Arizona for their contribution to the project. A separate budget justification is provided for them.

G6: Other – GRA tuition is requested at $13,500.

H: Total Direct Costs – $224,633

I: Indirect Costs (F&A)

The University of Tennessee's federally approved indirect cost rate requested at 49% MTDC (total direct costs, minus equipment, subcontracts in excess of $25,000 and tuition). The indirect cost base is $153,749 and the requested amount for F&A is $75,337.

J: Total Direct and Indirect Costs

The total direct and indirect costs requested for the project period is $300,000.

Budget Justification

Personnel:

***A.N. War, DSc, MD, MMM** (Principal Investigator, 20% effort, 2.40 calendar months, Years 1-5) is a Professor at Children's Hospital Contigo. He is a well-known expert on global pollution and health across the lifespan, lung development, stem cells, and lung regeneration. He will provide the leadership and responsibility for the successful completion of this project. He will also provide guidance to the research staff involved in this project. Dr. War will ensure that the specific aims of proposal are accomplished in a scientifically rigorous and timely manner. He is responsible for experimental design and execution, as well as coordinating collaboration with subawardees. Dr. War will analyze data, present results, write manuscripts and NIH progress reports, and participate in all aspects of the research. He will travel to Heartbreaker at least twice per year to ensure that the data collection runs smoothly. Partial salary support (i.e., up to the NIH salary limitation) is requested.

Edwin Starr (Research Specialist IX, 25% effort, 1.50 calendar months in Year 1, 3.00 calendar months in Years 2-5) is a Research Specialist in the War laboratory. She will be responsible for the day-to-day execution of the proposed studies on serum samples, for preparing reports and writing up manuscripts.

*Fringe benefits are set at 31.1% for the PI (Faculty) and at 25.5% for staff.

Travel:
Domestic travel is requested for PI to attend an annual scientific meeting such as the ATS or CUGH meeting. ($2,500/years 1-5)

Foreign travel is requested for PI to support travel to Heartbreaker at least twice per year to supervise the studies in country. ($10,000/years 1-5). In addition travel expenses are request for three Co-Investigators to travel at least once a year to Heartbreak, ($15,000/years 1-5). Typical round trip economy class airfare to Heartbreak is $3000 on United Airlines. Expenses in country run around $200 per day for hotel, food and transport in my quite extensive previous experience.

Equipment:
A total of $85,400 is requested in year 1 to purchase the following item of equipment that is necessary to carry out the proposed studies in this MCHS proposal. The amount listed above included shipping and tax fees.

4 MetOne Instruments PM BAMs with the accessories necessary to collect simultaneous PM2.5 and PM10 at two sites along with allowing remote data access. These provide highly accurate reference quality data and three years of filter tape is included.

Materials and Supplies:
The budgets for lab supplies are based upon our standard laboratory and data management practices:

General lab supplies including plastic/glass-wares, chemicals, and other consumables, cytokine profile sets. Shipping, handling, record keeping, data management supplies ($5,000) in Year 1; $35,000 in Year 2-4; $30,000 in Year 5.

In addition, the supplies listed below are all necessary to carry out the proposed study and items are all requested in year 1.

14 outdoor-ready nephelometers (though to be used indoors), the MetOne ES-642 and necessary accessories come to ~$41k with the volume discount. These instruments will provide good PM2.5 data after calibration against the BAMs. This number allows us to cover the 12 school locations with one rotating and one emergency back-up that we would collocate somewhere, each system is $3900.

6 Davis weather tracker Pro systems @$2000 each.

6 Aethlabs microaethelometers for personal PM2.5 monitoring @$4750 each.

6 Morgan Pneumotrac spirometer sets @$3250 each.

Publication Costs:
$2,500/years 2-5 is budgeted to cover publication costs.

Subawards/Consortium/Contractual Costs ($1,282,094):
Subaward institution: University of Sayitagain
$95,665 direct costs + $62,182 F&A = $157,847 Year 1
$170,491 direct costs + $110,819 F&A = $281,310 Year 2
$169,099 direct costs + $109,914 F&A = $279,014 Year 3-4
$172,672 direct costs + $112,237 F&A = $284,909 Year 5
Please refer to the subaward budget justification for details.

Subawards/Consortium/Contractual Costs ($383,400):
Subaward institution: National Undertaker University
$55,000 direct cost + $4,400 F&A = $59,400 Year 1
$75,000 direct costs + $6,000 F&A = $81,000 Year 2-5
Please refer to the subaward budget justification for details.

Subawards/Consortium/Contractual Costs ($556,200):
Subaward institution: Heartbreaker National University of Medical Sciences
$55,000 direct cost + $4,400 F&A = $59,400 Year 1
$115,000 direct costs + $9,200 F&A = $124,200 Year 2-5
Please refer to the subaward budget justification for details.

Indirect Costs:
Children's Hospital Contigo Facilities and Administrative Costs (F&A) rate is 65% of the Modified Total Direct Costs (MTDC) base, per DHHS Agreement dated 02/05/2014.

Budget Justification/Narrative Best Practices

The **purpose** of the justification is to justify all expenses required to achieve project aims & objectives. It should:

- Follow sponsor proposal instructions, providing as much detail as needed
- Explain why each of the requested items is necessary to accomplish the proposed research – don't leave the reviewer wondering why an item was requested
- Approach the budget from the perspective of what the sponsor needs to know, not from the perspective of what the PI wants
- Unless sponsor requires it, it is not necessary to include $ amounts in the narrative

Use the following as a general guide for writing your budget justification:

KEY/SENIOR PERSONNEL

For each PI, Co-PI, or Project Director, list name, title, amount of time to be spent on the project and what s/he will accomplish.

Example: Dr. PI will serve as principal investigator and will commit 2 summer months of effort to this project and will primarily be responsible for… A 3% salary increase has been budgeted in out years as per standard MSU practice.

OTHER PERSONNEL

Include Research technicians, Postdoctoral fellows, Graduate & Undergraduate research assistants, etc. When known, list name, title, amount of time to be spent on the project and what s/he will accomplish.

Example: One post-doctoral fellow will be hired to work on this project. This individual will commit 12 calendar months and 100% of his or her time to this research. The post doc's primary focus will be on… A 3% salary increase has been budgeted in out years as per standard MSU practice.

Sally Student will work as a graduate research assistant for this project and will commit 12 calendar months per year and dedicate 100% of her time during the 9 months of the Academic Year and 50% of her time during the 3 summer months to this research. Sally will be responsible for.. A 3% salary increase has been budgeted in out years as per standard MSU practice.

BENEFITS

Link to the current DHHS-approved rates for faculty, research staff, & students for the duration of the project.

Example: Employee Related Expenses are calculated based on rates approved by the University's cognizant federal agency, the Department of Health and Human Services. The approved rates are here.

Example: Tuition remission: Tuition for graduate students is included as a mandatory benefit and is charged to projects in proportion to the amount of effort the graduate student will work on the project. Tuition charges are exempt from Facilities and Administrative (F&A) costs.

TRAVEL

Explain the need for travel - how the travel will benefit the project's aims - and your calculations of travel costs for domestic and foreign travel. Break down by airfare, hotel, per diem, etc. Note that the cost estimates for per diem, mileage, etc. are based on MSU Travel and/or federal foreign travel rates.

Example: Domestic Travel – $Amount Support is requested for Dr. PI and Dr. Co-PI to attend the American Society for Cell Biology Association conference in project year 3 to share results. This estimate is based on $500 airfare per person, $185 hotel per night per person for four nights, and standard per diem rates used by Montana State University.

Example: Foreign Travel – $Amount support is requested for Dr. PI to travel to Costa Rica to collect data from La Selva Biological Station. This estimate is based on $1500 airfare, $110 hotel per night for 20 nights, and standard per diem rates used by Montana State University.

EQUIPMENT

Equipment is an item of durable value with an acquisition cost over $5000. List the equipment you are requesting, including model name/number and price quotes from a vendor. Explain the necessity of the equipment to the project.

Example: In order to complete Aim #2, a high power microscopy lens is required. This powerful lens will enable researchers to detect the presence and number of damaged protons. This information will enable faster analysis and reengineering of experiment if required.

OTHER COSTS

Costs can only be charged directly to a sponsor if they can be readily and specifically identified with that project. Costs that are essential to the project's research and which will be used solely for the project may be budgeted with proper justification, so be as specific as possible. Always explain why purchases are essential to the project's aims and dedicated only to research on this project.

Example: Materials & Supplies: Test tubes, beakers, chemicals, assay kits and lab consumables are required for this project to complete the blood tests and analysis.

Example: Consultant: Jill Consultant, President of Cell Biology Data Systems, will consult with project personnel on an ongoing basis, 2 trips per year, 5 days each in Tempe. She was chosen because of her expertise in X. Dr. Consultant's compensation rate is $300 per day. Airfare is estimated at $500 per trip. Per Diem in Tempe is estimated at $150 per day. Hotel is estimated at $185 per night.

OTHER – TUITION REMISSION

Tuition Remission: Indicate any tuition remission for students (tuition charged to a project as part of their compensation).

Example: Tuition for the graduate student is included as a mandatory benefit and is charged in proportion to the amount of effort the graduate student will work on the project. Tuition charges are exempt from Facilities & Administrative costs.

OTHER – SUBCONTRACTOR

The MSU justification should focus on what the subcontractor is responsible for and why they were chosen over any other subcontractor. The subcontractor should provide the budget justification narrative for their own budget. These justifications should not be intermingled, i.e., the personnel section should NOT include MSU personnel and Subcontractor personnel.

Example: Funds are requested for Columbia University to perform all clinical trial work in year 2. Columbia University was chosen because Dr. Fantastico is the leading expert in subject recruitment and retention, and because of his extensive experience with clinical trials dealing with TB strains resistant to antibiotics. A detailed budget narrative for Columbia's budget request is included for reference.

Use the following **checklist** to review your budget justification:

☐ Does the budget justification follow the same order as the budget?

☐ Does it give additional details to explain the costs included in the budget?

☐ Does it include only items that are allowable, reasonable, & allocable?

☐ Is it easy to read (short paragraphs, headings to separate different budget categories, etc.)?

☐ Is it concise? (no more than 3 pages for NSF)

☐ Do the numbers in the budget justification match those in the budget?

Courtesy of Arizona State University Learning Sciences Institute (modified for MSU).

Percent Effort to Person Months

12 Calendar		12 Calendar		12 Calendar		12 Calendar	
1% =	0.12	26% =	3.12	51% =	6.12	76% =	9.12
2% =	0.24	27% =	3.24	52% =	6.24	77% =	9.24
3% =	0.36	28% =	3.36	53% =	6.36	78% =	9.36
4% =	0.48	29% =	3.48	54% =	6.48	79% =	9.48
5% =	0.60	30% =	3.60	55% =	6.60	80% =	9.60
6% =	0.72	31% =	3.72	56% =	6.72	81% =	9.72
7% =	0.84	32% =	3.84	57% =	6.84	82% =	9.84
8% =	0.96	33% =	3.96	58% =	6.96	83% =	9.96
9% =	1.08	34% =	4.08	59% =	7.08	84% =	10.08
10% =	1.20	35% =	4.20	60% =	7.20	85% =	10.20
11% =	1.32	36% =	4.32	61% =	7.32	86% =	10.32
12% =	1.44	37% =	4.44	62% =	7.44	87% =	10.44
13% =	1.56	38% =	4.56	63% =	7.56	88% =	10.56
14% =	1.68	39% =	4.68	64% =	7.68	89% =	10.68
15% =	1.80	40% =	4.80	65% =	7.80	90% =	10.80
16% =	1.92	41% =	4.92	66% =	7.92	91% =	10.92
17% =	2.04	42% =	5.04	67% =	8.04	92% =	11.04
18% =	2.16	43% =	5.16	68% =	8.16	93% =	11.16
19% =	2.28	44% =	5.28	69% =	8.28	94% =	11.28
20% =	2.40	45% =	5.40	70% =	8.40	95% =	11.40
21% =	2.52	46% =	5.52	71% =	8.52	96% =	11.52
22% =	2.64	47% =	5.64	72% =	8.64	97% =	11.64
23% =	2.76	48% =	5.76	73% =	8.76	98% =	11.76
24% =	2.88	49% =	5.88	74% =	8.88	99% =	11.88
25% =	3.00	50% =	6.00	75% =	9.00	100% =	12.00

To be completed by *Stanford Principal Investigator*

OSR FORM # 45 – SOLE SOURCE JUSTIFICATION and COST/PRICE ANALYSIS REQUIRED FOR SUBAWARDS UNDER FEDERAL AND STATE CONTRACTS

Subrecipient Name	
Prime Sponsor	
Project Title or SPO #	

Federal and State regulations governing research contracts (not grants) require that sole source and cost/price justifications be provided for all subawards under contracts. Separate cost elements must be explained, and cost or pricing data must be documented. This form assists the Stanford Principal Investigator to meet compliance requirements. Please respond to the questions below, sign this form and attach it to the Subrecipient's OSR Form #45A or #45B - "Explanation of Cost/Price" and backup documentation.

Sole Source Justification

1. Please identify sources which were considered, other than the selected Subrecipient, and why they cannot be used for this project.

2. Please describe the unique expertise and/or specialized facilities of the selected Subrecipient which require acquisition from this sole source.

3. (Optional) Please describe or attach data documenting any other considerations leading to the selection of this Subrecipient as the sole source.

Stanford PI Certification and Cost/Price Analysis

I certify the above reasons for selecting this Subrecipient as the sole source, and that all costs explained on the attached OSR Form #45A or #45B were reviewed and determined to be reasonable.

Signature: _____

Printed Name: _____

Date: _____

Segment 3

NIH Biosketch Sample

Subrecipient Commitment Form (*Stanford University*)

Consultant Commitment Form (*University of Tennessee*)

Consortium Statement of Intent (*University of Florida*)

COI Management Plan Sample (*Montana State University*)

BIOGRAPHICAL SKETCH—*Pilot Format (To Be Used for Specific FOAs only)*

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FIVE PAGES**.

NAME	POSITION TITLE
Smith, Will	Associate Professor of Psychology
eRA COMMONS USER NAME (credential, e.g., agency login) will.smith	

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)*

INSTITUTION AND LOCATION	DEGREE *(if applicable)*	MM/YY	FIELD OF STUDY
University of California, Berkeley	B.S.	05/90	Psychology
University of Vermont	Ph.D.	05/96	Experimental Psychology
University of California, Berkeley	Postdoctoral	08/98	Public Health and Epidemiology

A. Personal Statement

I have the expertise, leadership, training, expertise and motivation necessary to successfully carry out the proposed research project. I have a broad background in psychology, with specific training and expertise in ethnographic and survey research and secondary data analysis on psychological aspects of drug addiction. My research includes neuropsychological changes associated with addiction. As PI or co-Investigator on several university- and NIH-funded grants, I laid the groundwork for the proposed research by developing effective measures of disability, depression, and other psychosocial factors relevant to the aging substance abuser, and by establishing strong ties with community providers that will make it possible to recruit and track participants over time as documented in the following publications. In addition, I successfully administered the projects (e.g. staffing, research protections, budget), collaborated with other researchers, and produced several peer-reviewed publications from each project. As a result of these previous experiences, I am aware of the importance of frequent communication among project members and of constructing a realistic research plan, timeline, and budget. The current application builds logically on my prior work. During 2005-2006 my career was disrupted due to family obligations. However, upon returning to the field I immediately resumed my research projects and collaborations and successfully competed for NIH support.

1. Merryle, R.J. & Smith, W. (2014). Independent living, physical disability and substance abuse among the elderly. Psychology and Aging, 23(4), 10-22.
2. Smith, W., Jensen, J.L. & Crenshaw, W. (2013). Substance abuse and mental health among community-dwelling elderly. International Journal of Geriatric Psychiatry, 24(9), 1124-1135.
3. Smith, W., Wiechelt, S.A. & Merryle, R. (2014). Predicting the substance-abuse treatment needs of an aging population. American Journal of Public Health, 45(2), 236-245. PMCID: PMC9162292
4. Smith, W., Newlin, D.B. & Fishbein, D. (2009). Brain imaging in methamphetamine abusers across the life-span. Gerontology, 46(3), 122-145.

B. Positions and Honors

Positions and Employment

1998-2000 Fellow, Division of Intramural Research, National Institute of Drug Abuse, Bethesda, MD
2000-2002 Lecturer, Department of Psychology, Middlebury College, Middlebury, VT
2001- Consultant, Coastal Psychological Services, San Francisco, CA
2002-2005 Assistant Professor, Department of Psychology, NCURA University, Washington, DC
2007- Associate Professor, Department of Psychology, NCURA University, Washington, DC

Other Experience and Professional Memberships

1995-	Member, American Psychological Association
1998-	Member, Gerontological Society of America
1998-	Member, American Geriatrics Society
2000-	Associate Editor, Psychology and Aging
2003-	Board of Advisors, Senior Services of Eastern Missouri
2003-05	NIH Peer Review Committee: Psychobiology of Aging, ad hoc reviewer
2007-11	NIH Risk, Adult Addictions Study Section, member

Honors

2003	Outstanding Young Faculty Award, NCURA University, Washington, DC
2004	Excellence in Teaching, NCURA University, Washington, DC
2009	Award for Best in Interdisciplinary Ethnography, International Ethnographic Society

C. Contributions to Science

1. My early publications directly addressed the fact that substance abuse is often overlooked in older adults. However, because many older adults were raised during an era of increased drug and alcohol use, there are reasons to believe that this will become an increasing issue as the population ages. These publications found that older adults appear in a variety of primary care settings or seek mental health providers to deal with emerging addiction problems. These publications document this emerging problem but guide primary care providers and geriatric mental health providers to recognize symptoms, assess the nature of the problem and apply the necessary interventions. By providing evidence and simple clinical approaches, this body of work has changed the standards of care for addicted older adults and will continue to provide assistance in relevant medical settings well into the future. I served as the primary investigator or co-investigator in all of these studies.

    a. Gryczynski, J., Shaft, B.M., Merryle, R., & Smith, W. (2012). Community based participatory research with late-life addicts. American Journal of Alcohol and Drug Abuse, 15(3), 222-238.
    b. Shaft, B.M., Smith, W., Merryle, R., & Venturi, R. (2013). Policy implications of genetic transmission of alcohol and drug abuse in female nonusers. International Journal of Drug Policy, 30(5), 46-58.
    c. Smith, W., Marks, A.E., Shaft, B.M., Merryle, R., & Jensen, J.L. (2014). Early-life family and community characteristics and late-life substance abuse. Journal of Applied Gerontology, 28(2),26-37.
    d. Smith, W., Marks, A.E., Venturi, R., Crenshaw, W. & Ratonian, A. (2013). Community-based intervention strategies for reducing alcohol and drug abuse in the elderly. Addiction, 104(9), 1436-1606. PMCID: PMC9000292

2. In addition to the contributions described above, with a team of collaborators, I directly documented the effectiveness of various intervention models for older substance abusers and demonstrated the importance of social support networks. These studies emphasized contextual factors in the etiology and maintenance of addictive disorders and the disruptive potential of networks in substance abuse treatment. This body of work also discusses the prevalence of alcohol, amphetamine, and opioid abuse in older adults and how networking approaches can be used to mitigate the effects of these disorders.

    a. Smith, W., Merryle, R. & Jensen, J.L. (2015). The effect of social support networks on morbidity among elderly substance abusers. Journal of the American Geriatrics Society, 57(4), 15-23.
    b. Smith, W., Pour, B., Marks, A.E., Merryle, R. & Jensen, J.L. (2015). Aging out of methadone treatment. American Journal of Alcohol and Drug Abuse, 15(6), 134-149.
    c. Merryle, R. & Smith, W. (2007). Randomized clinical trial of cotinine in older nicotine addicts. Age and Ageing, 38(2), 9-23. PMCID: PMC9002364

3. Methadone maintenance has been used to treat narcotics addicts for many years but I led research that has shown that over the long-term, those in methadone treatment view themselves negatively and they gradually begin to view treatment as an intrusion into normal life. Elderly narcotics users were shown in carefully constructed ethnographic studies to be especially responsive to tailored social support networks

that allow them to eventually reduce their maintenance doses and move into other forms of therapy. These studies also demonstrate the policy and commercial implications associated with these findings.

a. Smith, W. & Jensen, J.L. (2003). Morbidity among elderly substance abusers. Journal of the Geriatrics, 60(4), 45-61.
b. Smith, W. & Pour, B. (2004). Methadone treatment and personal assessment. Journal Drug Abuse, 45(5), 15-26.
c. Merryle, R. & Smith, W. (2005). The use of various nicotine delivery systems by older nicotine addicts. Journal of Ageing, 54(1), 24-41. PMCID: PMC9112304
d. Smith, W., Jensen, J.L. & Merryle, R. (2008). The aging addict: ethnographic profiles of the elderly drug user. NY, NY: W. W. Norton & Company.

Complete List of Published Work in MyBibliography:
http://www.ncbi.nlm.nih.gov/sites/myncbi/collections/public/1PgT7IEFABCEDEFEWFmjWAO/?sort=date&direction=ascending

D. Research Support

Ongoing Research Support

R01 RA26347-03 Smith (PI) 09/01/11-08/31/16
Health trajectories and behavioral interventions among older substance abusers
The goal of this study is to compare the effects of two substance abuse interventions on health outcomes in an urban population of older opiate addicts.
Role: PI

R01 RA922731-05 Merryle (PI) 12/15/10-11/30/15
Physical disability, depression and substance abuse in the elderly
The goal of this study is to identify disability and depression trajectories and demographic factors associated with substance abuse in an independently-living elderly population.
Role: Co-Investigator

Faculty Resources Grant, NCURA University 08/15/09-08/14/15
Opiate Addiction Database
The goal of this project is to create an integrated database of demographic, social and biomedical information for homeless opiate abusers in two urban Washington, DC locations, using a number of state and local data sources.

Completed Research Support

K02 AG442898 Smith (PI) 02/01/02-01/31/05
Drug Abuse in the Elderly
Independent Scientist Award: to develop a drug addiction research program with a focus on substance abuse among the elderly.
Role: PI

R21 AA998075 Smith (PI) 01/01/02-12/31/04
Community-based intervention for alcohol abuse
The goal of this project was to assess a community-based strategy for reducing alcohol abuse among older individuals.
Role: PI

SUBRECIPIENT COMMITMENT FORM 33

Stanford University requires completion of the Subrecipient Commitment Form 33 for all proposed subrecipients at the time of proposal submission to the prime sponsor. Subrecipient agreements cannot be fully executed without a complete and up-to-date OSR Form 33.

Please download and complete this fillable PDF Form 33 and attach all required documents directly to this PDF file. As you complete the form, note the following:

Do not complete this form on your browser. Download the file to your desktop before starting.

After you have attached documents to the PDF, you can view, delete or save them by clicking the paperclip icon on the left side navigation of the PDF;

Use the Save icon to save the PDF as a fillable file. Please do not "print to PDF" or scan a hard copy of the form; and

Stanford University prefers electronic signatures. If you need to print a hard copy to sign, please upload a scanned copy of the signature page to this file where indicated.

If you have any questions about completing OSR Form 33, contact the Office of Sponsored Research via email to osr_intake@stanford.edu. Thank you.

SUBRECIPIENT COMMITMENT FORM 33

INSTITUTION		PROJECT	
Legal Name and Address (in SAM.gov) Zip+4 Congressional District:		Address where research will be performed ☐ Same as legal address Zip+4 Congressional District:	
DUNS Number		Stanford Principal Investigator Last	First
Federal Employer Identification Number (EIN)		Subrecipient Principal Investigator Last	First
FDP Member? ☐ Yes	Type of Organization [Select one]	Subaward Period of Performance -	Amount Requested
Prime Sponsor			
Project Title			

PROPOSAL COMPONENTS

The following documents are included in our proposal submission and covered by the certifications below

Required Components

- ☐ Scope of work — Attach SOW
- ☐ Detailed budget — Attach Budget
- ☐ Budget justification — Attach Justification

As applicable per sponsor requirements

- ☐ Key Personnel Biosketches — Attach Biosketch
- ☐ Current & Pending Support — Attach Support
- ☐ Other_____

A. TECHNICAL INFORMATION

1. SUBRECIPIENT CLASSIFICATION

The requirements and responsibilities of Stanford Subrecipients are different from those of a vendor.

Subrecipient	Vendor
- Responsible for significant programmatic decision-making - Responsible for adherence to applicable sponsor program compliance requirements - Uses sponsor funds to carry out a Scope of Work for Stanford - Statement of work may result in intellectual property or publishable results	- Provides goods and services within normal business operations - Provides similar goods or services to other customers - Provides goods or services that are ancillary to Stanford's sponsored project - Is not subject to compliance requirements of Stanford's sponsor

○ Yes ○ No Our organization is properly categorized as a subrecipient based on our scope of work.

2. COMPLIANCE

Our scope of work includes:

- ☐ Human Subjects — Approval Date:_____ ☐ Pending — Attach IRB Approval
- ☐ Human Stem Cells — Approval Date:_____ ☐ Pending — Attach Stem Cell Approval
- ☐ Animal Subjects — Approval Date:_____ ☐ Pending — Attach IACUC Approval

Subrecipient's IRB and/or IACUC approval must be provided to Stanford's Office of Sponsored Research when available. Stanford's compliance panel must review the subaward work and issue a companion approval before a subaward will be issued.

○ Yes ○ No If human subjects are involved, have all key personnel completed Human Subjects Training?

B. BUDGET INFORMATION

1. FACILITIES AND ADMINISTRATIVE RATES

○ We have applied our federally-negotiated F&A rates. Our negotiated rate agreement is:
- ○ Attached — Attach F&A Rate Agreement
- ○ Available at: [enter website]

○ We do not have a federally-negotiated rate but have applied:
- ○ a negotiated F&A rate with Stanford with the attached documentation substantiating the rate. — Attach F&A Documentation
- ○ 10% de minimus rate (T*he 10% rate will apply to subsequent subawards to your institution from Stanford until you elect to negotiate an F&A rate)*

○ We have applied other rates as required by the prime sponsor policies/guidelines.

SUBRECIPIENT COMMITMENT FORM 33

2. FRINGE BENEFIT RATES

- ◯ We have applied rates consistent with or lower than our federally-negotiated rates. Our negotiated rate agreement is:
  - ◯ Attached [Attach Fringe Benefit Rate Agreement] ◯ Available at: [enter website]
- ◯ We do not have a federally-negotiated rate and have applied actual fringe benefits (specify the benefit categories below).
- ◯ We have applied other rates (specify the basis on which rates have been calculated, including elements used in calculation, below).

3. COST-SHARING

◯ Yes ◯ No Amount:_____ *Cost sharing amounts and justification should be included in the subrecipient's budget.*

C. CERTIFICATIONS

1. CONFLICT OF INTEREST (CoI) Select one:

- ◯ Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.), or any other sponsor that has adopted the federal financial disclosure requirements (NSF, etc.).
- ◯ Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45 CFR Part 94 "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Institution's knowledge, (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.
- ◯ Subrecipient does not have an active and/or enforced CoI policy, but will have a PHS compliant policy in place and published at the time of award. (A sample policy can be found at http://sites.nationalacademies.org/PGA/fdp/PGA_061001).
- ◯ Subrecipient does not have an active and/or enforced CoI policy and agrees to adopt Stanford's policy and training located online at http://doresearch.stanford.edu/training/conflicts-interest.

By signing below, Subrecipient certifies that the required training will be completed by each investigator prior to engaging in any research related to any PHS funded contract/grant.

2. DEBARMENT AND SUSPENSION Answer all

- Subrecipient, the PI or any other employee or student participating in this project ◯ are*/◯ are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.
- Subrecipient, the PI or any other employee or student participating in this project ◯ are*/◯ are not presently indicted for, or otherwise criminally or civilly charged by a government entity.
- Subrecipient ◯ has*/ ◯ has not within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.
- Subrecipient ◯ has*/ ◯ has not within three (3) years preceding this offer, had any contract terminated for default by any federal agency.

* If checked, explain below.

COMMENTS

APPROVED FOR SUBRECIPIENT

The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy regarding subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. **Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.**

	Name and Title of Authorized Official		
Signature of Authorized Institutional Official _____ **Date** _____	**Email**	**Phone**	Signature Page

Office of Research & Engagement, Office of Sponsored Programs, 1534 White Avenue, Knoxville, TN 37996-1529
Phone: 865-974-3466, Fax: 865-974-2805, osp@utk.edu

Consultant Commitment Form

(1) Project Information (to be completed by UT)

Proposal Number: _____

(a) UT PI: _____ (b) Start & End Dates: _____

(c) Prime Sponsor: _____ (d) Proposed Total Project Costs _____

(e) Proposal Title: _____

(2) Consultant Information (to be completed if consultant is working independently)

(a) Name of Consultant: _____

(b) Address of Consultant: _____

(c) Phone Number: _____ (d) Email Address_____

(3) Consultant Company Information (to be completed if consultant is working through a consultant company)

(a) Name of Consultant Company: _____

(b) Address of Consultant Company: _____

(c) Phone Number: _____ (d) DUNS No.: _____

(4) Financial Conflict of Interest Policy (FCOI) Statement (select one)

(a) Conflict of Interest

☐ (1) Not applicable because this project is not being funded by PHS or any other sponsor that has adopted federal financial disclosure requirements.

☐ (2) Consultant hereby certifies that its employer has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research." Consultant organization also certifies that, to the best of its knowledge, (1) all financial disclosures have been made related to the activities proposed, and required by its conflict of interest policy; and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with employer's conflict of interest policy.

Certification by Authorized Organizational Official (to be completed if option 2 is checked)

I certify the information listed above is true, complete and accurate to the best of my knowledge, and that I am an Authorized Organizational Official for my institution/organization. My organization is aware of the 2011 revised PHS FCOI regulations, and we are prepared to enter into an inter-institutional agreement (if applicable) that requires adherence with the provisions of 42 CFR Part 50, Subpart F "Responsibility of Applicants Promoting Objectivity in Research."

Signature: _____ **Date:** _____

Printed Name: _____ **Title:** _____

Name of Institution: _____

☐ (3) Consultant does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UT's policy. UT's policy is available at http://www.tennessee.edu/disclosure.

(5) Documentation (900 character limit. If more space is needed, please attach additional pages.)

(a) Description of Services to be provided:

(b) Rate of Compensation (include number of days or hours of expected service)

(6) Approvals of Consultant (to be completed by Consultant if Section 2 is completed above)

Signature: _____ Date: _____

(7) Consultant Information (to be completed by Consultant Company if Section 3 is completed above)

Consultant Company Representative

Signature: _____ Date: _____

Name and Title: _____ Phone: _____

Address: _____

City, State, Zip: _____ email: _____

Note: Any work begun or expenses incurred prior to execution of an agreement is at the Contractor's own risk.

STATEMENT OF INTENT TO ESTABLISH A CONSORTIUM AGREEMENT

Date:

UF Principal Investigator (PI):
UF PI Application Title:
Period of Support:
Support Requested:

The appropriate programmatic and administrative personnel of each institution involved in this grant application will establish written inter-institutional agreements that will ensure compliance with all pertinent Federal regulations and policies in accordance with the "PHS Grant Policy Statement for Establishing and Operating Consortium Grants".

The inter-institutional agreements will be consistent with the attached subcontract proposal which consists of a clear description of the work to be performed by the subrecipient institution along with a corresponding budget and budget justification for each budget year and entire budget period, and will take in consideration any budget recommendations by the granting agency.

(Insert) Grantee Organization (Prime Institution)	**(Insert)** Consortium Institution (Consortium Institution)
_____ (signature) (date) Principal Investigator **(Insert)**Name	_____ (signature) (date) Principal Investigator **(Insert)**Name
_____ (signature) (date) Official Authorized to sign for Institution	_____ (signature) (date) Official Authorized to sign for Institution

Example of a COI Management Plan:

CONFLICT OF INTEREST MANAGEMENT PLAN FOR PARTY 1

Background

1. Employee's name, position, and department at MSU
2. Details on the nature of the outside interest/relationship and the employee's level of involvement
3. Any other relevant information on the situation as it exists or its history
4. Given the relationship between *Party 1*, *the outside interest*, and MSU, there is a potential for conflict of interest. In order to assure compliance with MSU policy, *Party 1* agrees to abide by the following safeguards.

Safeguards

Safeguards explain how the conflict will be managed and may cover such categories as:

1. **COMMITMENT**
2. **TRANSPARENCY**
3. **AVAILABILITY OF OUTSIDE COUNSEL**
4. **RESEARCH INTEGRITY**
5. **USE OF STUDENTS**
6. **MONITORING**

Legal Statement required on all COI Plans: *Party 1* acknowledges that MSU will monitor and evaluate this plan as well as policies related to it, and, at any time should MSU determine, in its sole discretion, that the plan is not sufficient to guard actual or apparent conflicts of interest or is otherwise not in the interest of MSU, may determine the conflicts as not capable of management and may ask *Party 1* not to pursue the conflicting activities while an employee of MSU.

Acknowledgement and Agreement

By signing below, I, *Party 1*, acknowledge my agreement and intent to comply with the principles and safeguards of this Conflicts Management Plan.

_____

Signature of Employee Date

_____

Signature of Plan Manager Date

_____

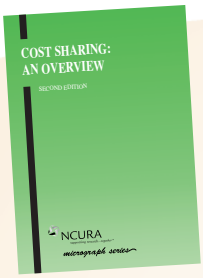
Signature of Compliance Manager Date

NCURA Resources

NCURA
National Council of University Research Administrators
supporting research...*together*™

PUBLICATIONS

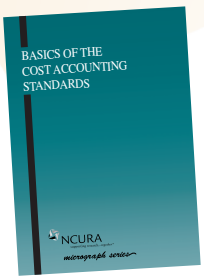
MICROGRAPHS:
Easily readable, brief and affordable!



Cost Sharing: An Overview (*20 pages*)

This cost sharing micrograph provides a basic overview of the regulatory requirements and guidelines on cost sharing as well as a review of the challenging practical issues that can arise with awards where cost sharing is offered. The solutions to the challenges may not always be black and white but an awareness of the potential pitfalls will help the administrator actively manage cost sharing commitments and know when to ask questions or seek assistance.

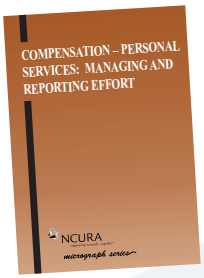
Member Price: $17.95 | Standard Price: $21.95



Cost Accounting Standards (*8 pages*)

This micrograph provides a basic overview of the CAS (Cost Accounting Standards) and the DS-2 (Disclosure Statement) as well as a brief description of Harvard University's experience with these new standards thus far. This guide will assist you in thinking about the implications of the CAS and the DS-2 if you are required to file one.

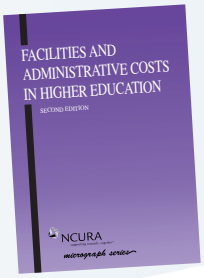
Member Price: $7.95 | Standard Price: $9.50



Compensation – Personal Services: Managing and Reporting Effort (*20 pages*)

The intent of this micrograph is to provide a brief history and basic understanding of the Federal requirements for effort reporting, the complexities that exist in attempting to meet those requirements, the implications and potential repercussions if the requirements are not met, and options the Federal government has provided universities to comply.

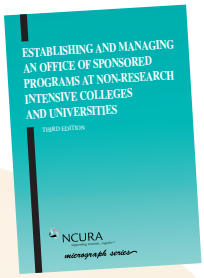
Member Price: $17.95 | Standard Price: $21.95



Facilities and Administrative Costs in Higher Education (*24 pages*)

Along with the F&A rate development methodology, this micrograph will review several important issues relating to this topic on campuses. Examples include charging subcontracts for F&A costs, distributing F&A reimbursements to university departments, and reasons for differences in rates among institutions. These and other topics will be discussed in order to provide some explanation of these often misunderstood concepts.

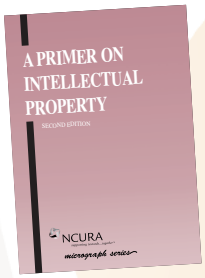
Member Price: $18.95 | Standard Price: $22.95



Establishing and Managing an Office of Sponsored Programs at Non-Research Intensive Colleges and Universities (*32 pages*)

The purpose of this micrograph is to outline the basic functions of an office of sponsored programs and to present various strategies predominantly undergraduate colleges and universities utilize in organizing and managing sponsored programs. It is not the intent to explain the procedures of every function of an office, but rather to offer a guide to understanding the purposes and responsibilities of offices of sponsored programs.

Member Price: $18.95 | Standard Price: $22.95



A Primer on Intellectual Property (*20 pages*)

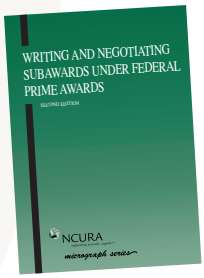
Fundamentals of patents, copyrights, trademark and trade secret law under United States laws will be discussed in this micrograph as well as specific information relating to patents and transfer of materials and research tools developed with federal funding and application of these fundamentals to university research programs and agreements.

Member Price: $17.95 | Standard Price: $21.95

The Role of Research Administration (*42 pages*)

This 3rd edition provides a broad overview of the many functions and varied roles performed by Research Administrators within the complex environment of academic institutions and sponsoring agencies. It reviews the historical context of contemporary research administration and the growing and diverse set of responsibilities carried out to promote and support research in various institutional settings. It is written in general terms, so as to be useful to the greatest number of audiences possible.

Member Price: $24.95 | Standard Price: $29.95



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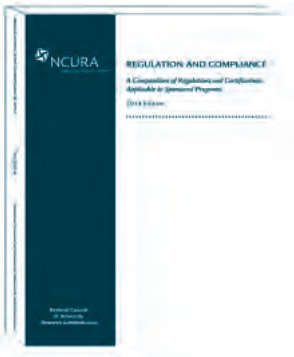

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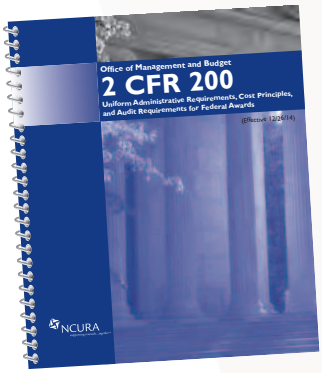

OMB Uniform Guidance

2 CFR 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards is effective for all new awards after 12/26/14. This guidance supercedes OMB Circulars A-21, A-87, A-89, A-102, A-110, A-122, A-133 and the guidance in Circular A-50 on Single Audit Act follow-up into one comprehensive set of regulations. This handy reference includes all Subparts A - F, Appendices I - XI. (*238 pages*)

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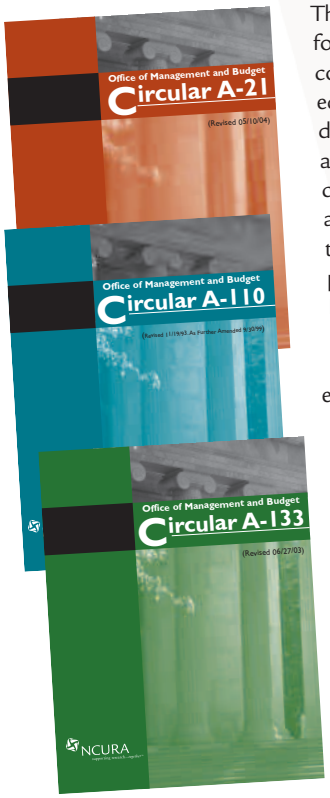
Circular A-21 Mini-Guide



The A-21 Circular establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions. The principles deal with the subject of cost determination, and make no attempt to identify the circumstances or dictate the extent of agency and institutional participation in the financing of a particular project. The principles are designed to provide that the Federal Government bear its fair share of total costs, determined in accordance with generally accepted accounting principles, except where restricted or prohibited by law. Agencies are not expected to place additional restrictions on individual items of cost. Provision for profit or other increment above cost is outside the scope of this Circular. (*112 pages*)

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The Circular A-110 sets forth standards for obtaining consistency and uniformity among Federal agencies in the administration of grants to and agreements with institutions of higher education, hospitals, and other non-profit organizations. (*56 pages*)

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Circular A-133 Mini-Guide

This Circular is issued pursuant to the Single Audit Act of 1984, P.L. 98-502, and the Single Audit Act Amendments of 1996, P.L. 104-156. It sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of States, local governments, and non-profit organizations expending Federal awards. Includes Part 6 (Internal Controls) of the Compliance Supplement. (*72 pages*)

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