

## Basic Proposal Review instructions/guidelines

Please see the agency guidelines/RFP's for more details as needed

### VA Appointment

- Answer yes or no to the questions regarding VA appointment
  - If yes, then an MOU is required. Please confirm that your department has one on file for the current year.
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### Check Boxes

- Check these boxes to verify that the information has been verified in the proposal per UC policies and procedures.
    - \*The Protocols Involved box is only checked when there are protocols involved.
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### Export Control

- If a proposal or RFP references the following, please contact the Export Controls Office (ECO) for guidance on proposal management. (Some information may require encryption):
    - Information regarding the nationalities of all personnel on the project
    - Requests that you ship items internationally
    - Makes statements that certain nationalities are okay or prohibited
    - If you are receiving commodities (e.g. materials, equipment, items, etc.)
    - If you are receiving proprietary data
  - Also, please note that travel to Iran to attend or present at a conference requires a license from the US Department of the Treasury, which the ECO will complete for you at no cost.
  - Contact the Export Controls Office
    - Tara Wood Director, Export Controls [Exportco@uc.edu](mailto:Exportco@uc.edu) 513-556-1426
    - Tina Bosworth Sr. Export Control Specialist [Tina.Bosworth@uc.edu](mailto:Tina.Bosworth@uc.edu) 513-558-1128
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### Budget

- **Personnel**
  - Administrative Stipend included in base
  - Base salary includes only UC salary-no private practice or VA fund should be included.
  - Effort included (PI must have a minimum of 1% effort)
  - Check the appointment category listed for each person's effort. (i.e. Cal, Acad, Sum)
  - Is salary base over the NIH cap? UCP dual appointment-time shift needed?
  - Correct fringe type selected VA dual appointment - MOU provided
  - Check RFP for an eVerify requirement Is the student stipend + tuition lower than the NRSA level 0 for a Post Doc?
  - Administrative salary- requires additional approval/justification-normally covered by F&A NSF 2 months rule followed-  
[http://www.nsf.gov/pubs/policydocs/pappg17\\_1/nsf17\\_1.pdf](http://www.nsf.gov/pubs/policydocs/pappg17_1/nsf17_1.pdf)
- **Consultants**
  - Need a letter of collaboration
  - No UC employee may be listed as a consultant
  - \$30K-limit w/o approval from General Counsel <http://www.uc.edu/gencounsel.html>
- **Equipment**
  - Each item must be greater than \$5000 unless guidelines specify differently-usually excluded from F&A
- **Telecommunications** - Usually excluded from F&A
  - Long Distance
  - Cell Phones
  - 800 numbers set-up for clinical trials
- **Tuition**
  - Usually excluded from F&A
- **Participant Incentives**
  - Requires detailed justification
- **Meals**
  - Requires detailed justification
- **Travel**
  - Domestic
  - Foreign
  - Check Sponsor guidelines for restriction or prior approval requirements
- **Animal Expenses**
  - NIH proposals that involve generation of unique mouse strains require a Model Organism Sharing Plan
- **NIH Prior approval for budgets greater than \$500K**
- **Subawards**
  - Minimum documents required for every sub:

- Need Letter of intent or 398 face page signed by the Authorized Official at the sub institution
  - Budget & Budget Justification
  - Scope of work
- **Double check Sub DUNS#**
- **Verify that effort is listed in all years**
- **Sub vs Vender:** To clarify when a subaward is appropriate please see guidance on RH2 site
  - [http://researchhow2.uc.edu/docs/default-source/default-document-library/subrecipient-vs-contractor-determination7cf1a9a97e094211b62e3af37680a363.pdf?sfvrsn=8ac7f886\\_0](http://researchhow2.uc.edu/docs/default-source/default-document-library/subrecipient-vs-contractor-determination7cf1a9a97e094211b62e3af37680a363.pdf?sfvrsn=8ac7f886_0)
- **Other Expenses**
  - Service Centers-Rates must be approved by Government Cost Compliance (GCC)
    - <http://researchhow2.uc.edu/home/browse-by-offices/government-cost-compliance?processes=Service%20Center&type=#divL1>
  - Other contractual services
    - **Patient Care Costs-** Usually excluded from F&A
    - The costs of routine and ancillary services provided by hospitals to individuals, including patients and volunteers, participating in research programs are allowable. Incurrence of patient care costs if not previously approved by NIH and rebudgeting additional funds into, or rebudgeting approved amounts out of, the research patient care costs category may be considered a change in scope and require prior approval by the NIH awarding IC.
    - Routine services include the regular room services, minor medical and surgical supplies, and the use of equipment and facilities for which a separate charge is not customarily made. Ancillary services are those special services for which charges customarily are made in addition to routine services, e.g., x-ray, operating room, laboratory, pharmacy, blood bank, and pathology. See the Research Patient Care Costs chapter in IIB for NIH policy concerning reimbursement of these costs.
    - The following otherwise allowable costs are not classified as research patient care costs: items of personal expense such as patient travel; consulting physician fees; and any other direct payments to individuals, including inpatients, outpatients, subjects, volunteers, and donors. Such costs should be included in the "Other Expenses" category of the grant budget.
    - Definitions and more detail regarding the policy & F&A charges are at:
      - [https://grants.nih.gov/grants/policy/nihgps\\_2010/nihgps\\_ch19.htm#research\\_patient\\_care\\_costs](https://grants.nih.gov/grants/policy/nihgps_2010/nihgps_ch19.htm#research_patient_care_costs)
- **Participant Support Costs**
  - <https://www.nsf.gov/pubs/policydocs/pappguide/nsf13001/gpgprint.pdf> -See Chapter II Section 2g part v
- **Cost Share**
  - No Federal cost share allowed on a Federal Award
  - Fringe not covered by a grant will be moved at the end of the budget period to the department-not reported to sponsor as cost share
- **Facilities and Administrative Costs (F&A, IDC, Overhead)**
  - Base
    - Government proposal rates are calculated on a Modified Total Direct Cost (**MTDC**) basis i.e. F & A rates are applied to all direct line items in the budget with the exception of the following: equipment over \$5000/item, alterations and renovations, patient care costs, tuition remission, rental costs, scholarships and fellowships, individual sub-contract costs beyond the first \$25,000, TELCO (Long Distance), UCIT.
    - Non-government rates are calculated on a Total Direct Cost (**TDC**)
    - Some sponsors will restrict the base to Salary and Wages (**S&W**)-See the RFP. ODOT is an example of one
  - Waiver
    - The **Complete** package must be submitted to Patrick Clark for final approval by VP for Research **5 business days** prior to deadline.
    - Require documents include:
      - Waiver request form signed by both the department submitting and the college that department is part of. - Waiver form should include a detailed justification for the waiver that includes how waiving the F&A will benefit the University.
      - Budget
      - Budget Justification
      - Proposal Abstract
  - Off Campus
    - Complete the off campus verification form and have it signed by the requesting department
  - Sponsor Limit
    - If the sponsor has a published policy that restricts F&A to less than the UC rates, then no waiver is required
    - Please provide a PDF of the limit documentation as an internal attachment in Coeus.
- **Justification**-See samples on RH2
  - NIH Modular
    - Personnel
    - Consortium
    - Other-Different modules per year, equipment requested
  - Service center should have special verbage from sample on RH2
  - Other Significant Contributor should include:

- The University fully supports the academic year salary of Professors, Associate Professors and Assistant Professors, but makes no specific commitment of time or salary to this particular research project.
  - If sponsor requires effort in labor hours instead of % effort or person months, include:
    - The University of Cincinnati does not accumulate salary expenditures based on labor hours. Our payroll system accumulates effort based on a percentage of FTE (full time equivalency). Therefore, loaded hourly rates cannot be audited.
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#### Attachments

- User Attached System to System (S2S) Forms
    - PHS Assignment Request Form
    - Human Subjects Forms
      - This form replaced the individual attachments prior for the Forms E package
  - Cover Letter
  - Abstract
    - Check for length limit
    - If S2S submission, the abstract should be loaded as both an internal UC document and as a grants.gov for attachments
  - Narrative-Check for length limit
  - Facilities and Resources
  - References/Bibliography
  - Consultants-Letters of collaboration needed
  - Consortium Arrangements
    - Should include a letter signed by the Authorized Official of all sub sites.
  - Research Plan or Equivalent-Check page limits in all RFP's
    - Introduction for resubmissions only
    - Specific Aims
    - Research Strategy
  - Animals
    - NIH proposals that involve generation of unique mouse strains require a Model Organism Sharing Plan
    - Be sure to verify answer to the Euthanization question on the S2S questionnaire
  - Multiple PI Plan
    - Required by NIH if more than 1 individual is listed as PD/PI
  - Biosketches
    - Check for page limit
    - Make sure no effort or funding amounts are listed in the research support section
    - Make sure it is on the most up to date form
    - Should have 1 included for all PI's and key personnel
  - Other Support
    - Typically not required at proposal stage. Check RFP
    - NSF is an example of a sponsor who does require it
  - Subaward Budget
    - If completing a detailed budget that includes a subaward, a separate budget file must be included for each sub site.
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#### Coeus Approval Bypass Rules

- The 4 Items listed below require the proposal to be rejected and re-routed without bypassing any signatures
  - Change of budget amount
  - Change in Cost Share amount or source
  - Change in effort for investigator or key personnel
  - Change in credit assignment

#### Certification forms from other Institutions

- If a certification form from another institution required a signature from UC, then it must be sent to SRS for review and signature
  - This Includes:
    - Annual or Project Specific Certification forms
    - A133/OMB Audit forms
    - Conflict of Interest