

# **ASSOCIATE PROVOST – PREAWARD OFFICE**

**Procedure:** Proposal Review and Submission

**Procedure/Document Developed By:** Joseph Sullivan and Coreen Musser

**Date Developed:** 5/12/2004

**Frequency:** Varies

**Individuals Affected by Procedure:** Office of Sponsored Programs

**Approvals Required as a Result of the Procedure:** Preaward Administrator and Senior Preaward Administrator or Manager Preaward Systems and Administrator.

## **Procedure Description:**

For all proposals (remember: the World Wide Web is a wonderful resource, so don't be afraid to use it if there are any questions concerning a sponsor's requirements):

This is a work in progress, and your suggestions and additions are welcome. Please remember that this is not an all-inclusive listing and that there are always deviations from the norm.

Our website is located here: <http://www.cmu.edu/provost/spon-res/index.htm>

**Note: Every research proposal leaving Carnegie Mellon must be entered into SPEX-PM and routed through the Office of Sponsored Programs.**

## **Procedure:**

### **Proposal Submissions**

1. Does the proposal have the following components for review
  - a. Routing Sheet
  - b. Budget
  - c. Project Description
  - d. Reps and Certs
  - e. Program Solicitation and/or Terms and Conditions
    - i. Are we accepting terms with the submission of the proposal
    - ii. Do we need to provide a letter stating that terms will be negotiated at time of award
2. Confirm that the hard copy budget matches the budget reflected in SPEX-PM.

- a. Confirm that the correct rates are used in the calculations (all rates are on the Pre-Award website: <http://www.cmu.edu/provost/spon-res/index.htm>)
  - i. Fringe Benefits rate
  - ii. F&A Rates
  - iii. Standard MTDC Proposals
    - 1. F&A is calculated on ½ Graduate Student (undergrads are fully burdened)
    - 2. 0% on Capital Equipment
    - 3. First \$25,000.00 of subcontracts. The only exception to this is the University of Pittsburgh, which does not receive this burden.
- 3. Check/Review the proposal routing sheet while paying close attention to the following items:
  - a. Review Project Description
    - i. Cost Sharing Commitments
    - ii. Work for Hire
    - iii. Conflict of Interest
  - b. Federal Prime Question answered
  - c. Cost Sharing
    - i. Question all cost sharing to ensure it is necessary
      - 1. For NSF proposals, cost sharing will only be listed if it is called for in the program solicitation
      - 2. If cost sharing is mandatory, some documentation will be necessary
    - ii. Cost Sharing < \$50,000
      - 1. Check to ensure they listed a source of funds
      - 2. If it is Non-Mandatory, question department as to why we are proposing it.
    - iii. Cost Sharing >\$50,000
      - 1. Call department to ensure they know where the funds are coming from
      - 2. If departmental funds are not being used, where are the funds coming from
        - a. Is it proposed funding with a guarantee?
          - i. Letter of Commitment
        - b. What will the department do if the proposed matching funds are not received?
          - i. Will departmental funds cover the commitment?
          - ii. Will the project be able to continue?
      - 3. Notify Associate Provost of departmental commitment
  - d. Subcontracts
    - i. If one sponsor is receiving greater than %50 of the total budget, question department as to why they are not cutting us a subcontract
    - ii. Are all proposed subcontracts listed
    - iii. Is the subcontractor federally debarred
      - 1. <http://epls.arnet.gov/servlet/EPLSReportMain/1>
  - e. Joint Proposal with other Departments
    - i. Check to see if SEI is listed as an impacted department. If so, then this question should be checked yes
  - f. Deliverables
    - i. Usually reports

- ii. If it is a piece of equipment or software, make sure the proposal is not a work for hire
    - g. Regulatory Compliance Questions (HS, AS, and rDNA)
      - i. If any are marked as “will be used,” provide Regulatory compliance a copy of the proposal.
      - ii. If the above will be used, then the protocol status should be either approved or pending.
    - h. Space Requirements - If additional space is needed, then provide Business and Planning a copy of the proposal.
    - i. Conflict of Interest
      - i. This item must be checked “Yes” or “No”
      - ii. If yes
        - 1. Notify Associate Provost
        - 2. Does the proposal contain documentation on how the conflict will be addressed
        - 3. If the conflict is addressed
          - a. Mark the “Conflict Address” question to yes
          - b. Keep copy of the documentation
        - 4. If the conflict is not addressed
          - a. Request additional information from Department/PI
          - b. Hold proposal until Associate Provost gives the approval
4. Update SPEX-PM’s “Status” information screen
  - a. Select appropriate OSP staff for point of contact
  - b. Enter date checked (automatically sets proposal to pending)
  - c. Mark conflict of interest area (yes or no)
    - i. If proposal has a conflict – Mark the “Conflict Addressed” questions with either “Yes” or “No.”
5. Print appropriate Representations and Certifications
  - a. **ARMY**
    - i. Proposal Pricing Sheet
    - ii. ARO 95A
    - iii. CMU Assurance
  - b. **AFOSR**
    - i. Proposal Pricing Sheet
    - ii. AF Exclusion
    - iii. AFOSR Cert
    - iv. AFRL (doesn’t have specific forms) use standard Reps & Certs
  - c. **ONR** (SPEX-PM has all the reps and certs so just click the button in SPEX)
    - i. Proposal Pricing Sheet
    - ii. ONR Certification
  - d. All other **DOD**’s
    - i. Drug-Free Workplace
    - ii. Lobbying Certification
    - iii. Debarment Certification
    - iv. CMU Assurance
    - v. SF 1411 (if greater than \$500,000.00)
  - e. **Department of Energy**
    - i. DOE Certifications (in SPEX-PM)
      - 1. <http://www.er.doe.gov/production/grants/certs.html>
    - ii. Assurance of Compliance—DOE F 1600.5 (not in SPEX-PM)

- iii. DOE is currently releasing a new web-based proposal system that is not too user friendly. Joe has experience with the system, but it requires an enormous amount of coordination between the P.I. and the Pre-Award Office
  - 1. <http://e-grants.ed.gov/egHome.asp>
- f. NSF
  - i. All proposals are FastLane submission. We do not have to be in the office to submit proposals, so there shouldn't be a problem.
  - ii. REU are burdened at 25%
  - iii. Participant Support costs are burdened at 0%
  - iv. There are no reps and certs, since we are using FastLane
  - v. NSF will usually carry the current negotiated F&A
  - vi. <http://www.fastlane.nsf.gov/fastlane.jsp>
- g. EPA
  - i. Form 4700-4 "Preaward Compliance Review Report for all applicants". Form must be completed by Everett L. Tademy, Director, Equal Opportunity Services.
- h. NASA
  - i. If over \$100,000.00, needs reps and certs
- i. **Miscellaneous Federal Agencies**
  - i. Forms are usually included in the package sent over by the departments
- j. **American Cancer Society**
  - i. 25% overhead
- k. **Semiconductor Research Corporation (SRC)**
  - i. Uses Non-Federal Fringe rates
  - ii. Uses Federal F&A rate
- l. **Industry**
  - i. F&A rate is 56%

### Sponsors with Electronic Proposal Submissions

All system information is kept in the desk of the Manager, Preaward Systems and Administration. Folders contain user manuals (if available), login instructions, and previous emails or submissions.

The following list is of all known systems as of 5/12/2004.

SPONSOR NAME	FEDERAL	SYSTEM NAME
National Science Foundation (NSF)		Fastlane
Department of Energy (DOE)		IIPS
Congressionally Directed Medical Research Programs (CDMRP)		
Department of Interior (DOI)		NBC
DARPA		T-FIMS/Secure Network
National Institutes of Health (NIH)		Commons
Department of Justice (DOJ)		GMS
General Services Administration (GSA)		GSA Advantage
Office of Naval Research (ONR)		Proposal Web

National Endowment for The Humanities (NEH)	NEH Online Grant Application
National Aeronautics and Space Administration (NASA)	SYS-EYFUS
Department of Education (DoED)	IES
Health Resources and Services Administration (HRSA)	HRSA E-Grants
Grants.gov	Grants.gov

**NON-FEDERAL**

Space Telescope Science Institute (ST ScI)	STScI Electronic Grants Management System (STGMS)
Research and Management Systems (RAMS)	proposalCENTRAL
Commonwealth of PA	Single Application for Assistance
National Alliance for Autism Research	NAAR