* Principal Investigator:
* Proposal #:
* Title:

**Special Terms and Requirements**

In general, note any items that are unusual that will carry-forward into award management, such as:

* Special sponsor terms from the RFP that are helpful to know. Such as terms on reporting, carryforward limitations, federal minimum wage applicability, etc.
* Non typical F&A base: Total direct costs, salaries and fringe only, TFFA restrictions, and TFFA max F&A amount.
* Items that were unable to be addressed at the proposal stage that will need to be resolved if awarded.

**Notes:**

|  |  |
| --- | --- |
|  | **Assign Administrative Personnel and Project Access (sections 2.0 and 3.0)** |

**Project Personnel:** [***APM 45.22***](https://www.uidaho.edu/governance/policy/policies/apm/45/22)

[ ]  Section 2.1-2.3: Verify PI/Co-PI, Senior/Key Personnel, and all required personnel from allowable personnel classes per agency/RFP terms and APM 45.22

[ ]  Section 2.5: Ensure SPAs and departmental editors are added

**Departments:**

[ ]  Section 3.1: Verify that all academic home departments for PI and Co-PIs are listed. Research Centers should not be listed here unless it is the faculty’s home department. If Extension Faculty, it is okay to list their Extension Department also.

[ ]  Section 3.2: Verify the submitting department is the PIs academic department or a Research Center - Only one department should be listed.

**Comments:**

|  |  |
| --- | --- |
|  | **Proposal Branching, Submission, and Guidelines (section 4.0)** |

Check boxes below when verified:

[ ]  Section 4.1: Verify the proposal category is correct.

[ ]  Section 4.2: If a preliminary proposal, verify if cost share is required.

[ ]  Section 4.3: If a sub-project proposal, verify the correct parent award if selected. The project type, project location, and F&A rate will need to match the parent award.

[ ]  Section 4.4: If a full proposal, verify if proposal action is correct.

- Section 4.4: If proposal is marked as Renewal, Continuation, Revision, or Supplement, the current grant code, index, or proposal number has been included. The current grant has been checked in BANNER and/or the previous proposal has been checked in VERAS to ensure the type of project, F&A rate, project location, and research compliance are consistent. If the proposal has a subaward, check to see if the current grant has existing subawards and if F&A has already been charged on the first $25,000.

- Section 4.4: If the proposal is “already awarded” make sure the award document/letter is uploaded.

[ ]  Section 4.5: Verify the due date is correct and matches the RFP. If a suggested/preferred deadline is used, verify that it is correct with the PI.

[ ]  Section 4.6: Verify the submission method is correct and matches the RFP. OSP will submit the proposal to grants.gov, Research.gov, NSPIRES, or if required by the RFP. The PI should submit via email or sponsored portal otherwise.

- Section 4.6: If section 4.4 was marked “already awarded,” make sure the submission method is also marked as such.

[ ]  Section 4.7: Verify a RFP, a link to the proposal guidelines, or communication from the sponsor is uploaded, if applicable.

[ ]  Section 4.8: If a preliminary proposal, verify that all required documents are uploaded. Refer below for requirements for a preliminary proposal to go through VERAS.

Letter of intent, concept paper, white paper, pre-proposal type submission guidance from the Office of Sponsored Programs, University of Idaho

Date created: 10/12/2021 1:56:00 PM

Edit #: 2

**Sponsored project proposal definition**: A sponsored project proposal is a formal request for financial support from an external source. It is also an offer of University resources and employee effort, representing commitments that must be tracked (e.g. investigator and staff effort levels or cost sharing).

**Preliminary (pre-) proposal definition**: a pre-proposal may be called a preliminary proposal, white paper, letter of intent (LOI), concept paper, or a variety of other names.  A pre-proposal may include a total cost estimate but does not generally include a line-item budget. When a total estimated project cost is presented to the sponsor it must factor in appropriate F&A (indirect) costs, except in situations where only direct cost totals are requested. A pre-proposal is not expected to result directly in an award. The purpose of a pre-proposal is to allow a sponsor to gauge project viability and to allow the sponsor to assess whether the project fits into their area of interest, so that the sponsor may then request a formal proposal to include a line-item budget, full technical description, and relevant supporting documentation.

**Preliminary proposal processing:**

**A pre-proposal must be routed through**[**VERAS**](https://veras.uidaho.edu/)**using the pre-proposal type when any of the following applies. The**[**four-business day rule**](https://www.uidaho.edu/research/faculty/submit-proposal)**does apply to pre-proposals.**

* Authorized Organizational Representative signature is required (this alone does not require VERAS routing – contact your SPA if this is the only condition met from this list);
* Cost share is offered in the preliminary proposals;
* A budget is required;
* The pre-proposal announcement requires acceptance of terms and conditions upon submission (or denotes that upon submission referenced terms and conditions are accepted);
* The pre-proposal must be submitted system-to-system (via VERAS) or through another system in which OSP has submission responsibility (e.g. Research.gov, NSPIRES, eRACommons);
* The pre-proposal guidance has limited submission criteria (limited number of applications allowable by entity, PI, or Co-PI);
* The pre-proposal requires certification to specific criteria of eligibility (including reps and certs signed by the AOR)

**Approvals in VERAS**: Only PI, Co-PI(s), and Chair(s) signatures are required in VERAS for approvals of pre-proposals.

**How to enter your pre-proposal to VERAS**: Instructions are posted in the VERAS help tip menu, Section 2. In the VERAS proposal application, select ‘preliminary proposal’ in section 4.1 for pre-proposal branching.

**TO BE COMPLETED by the SPA:** Does this proposal and/or RFP Terms and Conditions need to be reviewed by Contract Review Unit (CRU) before submission? If yes, email the Contract Review Officer via VERAS Correspondence. [ ]  Yes [ ]  No

* *Indemnification language (indemnify and hold harmless)*
* *Restrictions on publications and intellectual property ownership*
* *Requirements for insurance*
* *Contract and bid proposals*
* *USDI BLM (indemnification exception)*
* *Governing Law of another state (Louisiana specifically)*
* *State of Louisiana (governing law)*
* *Idaho National Laboratory (scope review)*
* *Jet Propulsion Laboratory*
* *Controlled unclassified information or classified information exchange*
* *Nondisclosure agreements*
* *Any proposal guidelines containing some version of ‘acceptance of terms and conditions upon submission’ needs CRU review before submission*

Was a letter of exception provided for the submission? Please describe the exception in the comment box below. [ ]  Yes [ ]  No

**Comments:**

|  |  |
| --- | --- |
|  | **Sponsoring Entities (section 5.0)** |

**Sponsor information:**

[ ]  Section 5.1: Verify the sponsor type is correct (prime, pass-thru, for-profit).

[ ]  Section 5.2 – 5.3: Verify the sponsor(s) correctly selected.

- If an industry proposal, the start date needs to be far enough in the future to allow negotiations (at least 90 days for new sponsor we have not worked with before).

[ ]  Section 5.4: Verify the PI has selected the appropriate box if the funding is coming from or associated with one of the following federal sponsor:

[ ]  DOD or NIST:

 - If the PI marks yes to any question 1.g – 1.h, verify that they have communicated with OIT to include costs in their budget. **TO BE COMPLETED by the SPA:** Send the scope and RFP to OIT for review.

[ ]  DOE:

- Verify the proposal includes a PIER Plan if the FOA is through the Division of Science. If UI work at a DOE or NNSA facility, verify the PI has filled in this section and make a note in the comments section above that a FGTRP check will need to be performed in the funding is awarded.

[ ]  NASA:

 - **TO BE COMPLETED by the SPA:** If the PI selects ‘No, I plan to collaborate with China or a Chinese-owned Company.’ in section 5.1, verify with ORED-Export that the project has been approved to move forward.

[ ]  NIH:

- If required, ensure that a Data Management and Sharing Plan is uploaded. If a detailed budget is required, include a line item in the budget and budget justification, even if no funding is requested. If using a modular budget, include a statement about the funding (even if not requested) in the Additional Justification.

[ ]  NSF:

- Ensure compliant biosketch, current and pending support, and COA forms are used. If off-site work is indicated, please ensure a plan that includes any subawards/3rd party individuals is uploaded to VERAS.

[ ]  Section 5.6: **TO BE COMPLETED by the SPA:** For PHS (NIH), NSF, NASA, and DOE financial assistance funding (not INL subawards), verify that all applicable individuals have filled out project-specific SFI disclosures.

**Comments:**

|  |  |
| --- | --- |
|  | **Other Project Information (section 6.0)** |

[ ]  Section 6.1: Verify the correct type of agreement is selected, if known. If section 5.1 (a) is marked as a subaward, then this section should also be marked as a subaward.

[ ]  Section 6.2: If this proposal submission required a letter of intent or preliminary proposal, the documentation of approval to move forward is attached and the original VERAS proposal # is referenced.

- If the RFP specifies that submissions are limited to X per institution applying, limited submission selection notice is attached. (These notices come from the Research Faculty Development team via InfoReady and are copied to the pre-award email address).

[ ]  Section 6.3: If the proposal required an institutional letter of commitment (signed by the UI President of Provost), verify the letter was submitted via the TDNext ticketing system, reviewed by the AOR, and signed by the appropriate office.

[ ]  Section 6.4: If use of tribal resources indicated, approval from the UI Tribal Liaison has been requested via VERAS Correspondence. Any approvals should be recorded in VERAS Correspondence or documents.

[ ]  Section 6.5: Verify the project type is correct (if NSF, should almost always be marked 'Research').

[ ]  Section 6.6: If Research is selected in section 6.5, verify the HERD Survey is completed and the total percentage adds 100.

[ ]  Section 6.7: Verify the determination of on-campus, off-campus, Experiment Station is correct.

[ ]  Section 6.8: For Federal/Federal flow-thru proposals only, verify the performance site(s) are listed correctly.

[ ]  Section 6.9: Verify the project dates are correct, match the RFP, and match the budget project period dates in section 8.2.

**Comments:**

|  |  |
| --- | --- |
|  | **Subrecipients, Service Agreements, Consultants, and Collaborators (section 7.0)** |

Are there any Subrecipients, Service Agreements, Consultants, and Collaborators (section 7.0)? [ ]  Yes [ ]  No

[ ]  Section 7.1: Verify all subrecipients have been added correctly and all required documents have been uploaded (scope of work, budget, budget justification, signed subrecipient commitment form (or letter of commitment if a member of the FDP Clearinghouse), any other document required by the RFP. If the proposal is a supplement or renewal, check of the subaward was included in the previous proposal. If they were, check if indirect costs have already been charged on the first $25,000 of the subaward.

[ ]  Section 7.2: Verify that service or consulting agreements are listed correctly and a scope of work or quote is attached. If vendor is unknown at time of proposal, a quote or scope is not required. Review the scope of work to ensure a service agreement is the correct relationship. If the vendor has its performance measured in relation to whether objectives of a federal program were met or has responsibility for programmatic decision making, then they should be a subaward.

[ ]  Section 7.3: Verify the PI has certified.

[ ]  Section 7.4: Verify any external collaborators are listed correctly and any required documentation attached.

**Comments:**

|  |  |
| --- | --- |
|  | **Budget (section 8.0)** |

[ ]  Section 8.2: A budget and budget justification are uploaded, the basic budget tab is completed, and the following items are verified, if applicable:

[ ]  Correct budget type has been selected

[ ]  Number of budget periods and begin/end dates appropriate and match section 6

[ ]  Budget reviewed for accuracy and for general and RFP/Sponsor specific allowability of costs

[ ]  Budget narrative accurate and attached

[ ]  Any additional sponsor specific documents are attached

[ ]  PI effort committed is greater than or equal to effort requested

[ ]  This is an NIH Proposal:

* No salary escalations should be included in the budget or the subaward budget.
* Check if the salary is over cap. The new cap is released every January. If over the cap, complete the salary cap template, include in section 8.2, and ensure department is aware of the amount they need to cover.
* Include information for Data Management and Sharing in the budget justification or Additional Justification, even if no funding is requested. In the Additional Justification, also include any items that are exempt from F&A under Modified Total Direct Costs (i.e. equipment, tuition, etc).

[ ]  If USDA-NIFA, base salary for all senior personnel is included in the budget justification and/or the grants.gov budget.

[ ]  If federal contract or contract-like mechanism and EO 14026 (fed minimum wage) applies – verified wage compliance. These apply to USDA-ARS Research Service Agreement and all personnel paid on the project.

Is the F&A rate used a UI negotiated rate? [ ]  Yes [ ]  No

 If no:

* [ ]  F&A Rate:
* [ ]  F&A Basis used:
* [ ]  Reason for non-standard F&A:

[ ]  VP Waiver: Upload the VP Waiver (including for the memo for commissions), Master Agreement or link to policy limitation below. If the “reduce F&A distribution to college” field was checked on the VP waiver, indicate that in the comment box below.

[ ]  Master Agreement

[ ]  Federal Sponsor Limitation

[ ]  Non-profit policy

[ ]  Other: If CESU rate (17.5% is used, indicate which CESU is used in the comment box.

**UI Internal Policy on Acceptance of F&A Rates Other than at Full Cost**:

1. All Federal sponsors may use UI’s Federally negotiated F&A rates in effect at the time of the proposal submission.
2. Additionally, all Federal sponsors that have a restricted rate approved statutorily or by regulation, or as approved by a Federal awarding agency head (2 CFR 200.414) may use the restricted rate.
3. All sponsors that are subawarding to UI as prime recipients of Federal funding may use UI’s Federally negotiated rates, or, if the rate is restricted from the prime sponsor, the restricted rate.
4. All Idaho State entities (including Idaho cities and counties) may use the negotiated Idaho rate of 20% as per Idaho State Board of Education (ISBOE) policy.
5. Idaho State Board of Education and the Idaho Division of Professional and Technical Education are granted an exemption from paying F&A as per ISBOE policy.
6. Idaho statutorily-created commodity commissions are currently granted an exemption from paying F&A per UI President/VPRED policy.  This policy expires and is reviewed annually and is subject to change.
7. Idaho “commodity-like” commissions are granted an exemption from paying F&A per VPRED policy. This policy, and the specific list of commissions expires and is reviewed annually and is subject to change.
8. Idaho or other state “alliances” (e.g. Snake River Sugarbeet) that are not organized as non-profits must pay UI’s fully-burdened rate.  Any limitations must be approved via VPRED waiver form.
9. U.S. entities organized as non-profits and having a published policy (online or in the RFP guidelines) limiting the F&A rate will have the limited rate honored per VP for Research and Economic Development (VPRED) policy. This policy is subject to change. Such entities without a published policy are subject to UI’s fully-burdened rates.
10. Non-U.S. entities organized as non-profits and having a published policy (online or in the RFP guidelines) limiting the F&A rate will have the limited rate honored per VP for Research and Economic Development (VPRED) policy. This policy is subject to change.
11. Foreign entities other than non-profits (including foreign governmental entities) may *not* restrict UI’s fully-burdened F&A rate.  Any limitations must be approved via VPRED waiver form.
12. If a master agreement is currently in effect that restricts F&A to an agreed-upon rate then the agreed-upon rate will be honored until such time as the agreement expires or is renegotiated.
13. If a project is issued under a Cooperative Ecosystem Studies Unit (CESU) under which UI is a member, the negotiated CESU rate will be honored.  All other CESUs where UI is not a member will be subject to the appropriate rate based on the other selections in this list.
14. All other entities not listed are subject to UI’s fully-burdened rate. Any limitations must be approved via VPRED waiver.

**Budget section comments:**

Section 8.4: Is there Cost Share (voluntary or required) for this submission? [ ]  Yes [ ]  No

[ ]  Mandatory

[ ]  Voluntary

[ ]  Both

 Is there any cost share over the sponsor required amount? [ ]  Yes [ ]  No

 If ‘Yes’:

* + - Cost Share required by sponsor:
		- Amount of voluntary cost share:
		- Amount of total cost share:

**Comments:**

Section 8.5: Is there a CAS Exemption for this submission? [ ]  Yes [ ]  No

 [ ]  CAS Exemption is filled out correctly: all admin salaries information provided and justification provided for all other expense categories requested.

[ ]  Verify the CAS Exemption has been approved by Cost Accounting. If the CAS is not approved, notify PI that the proposal may need to be rebudgeted or withdrawn if the CAS is not approved.

[ ]  If CAS not approved prior to submission, make a note below and Post Award will ensure CAS approved prior to award setup.

[ ]  Section 8.6: Program income amount has been correctly entered and details provided

[ ]  Section 8.7: If multi-college proposal, make sure F&A split is provided and verify split totals = 100%. If there is no F&A allowed, still mark yes and enter 0% for the submitting college only.

[ ]  Section 8.8: For each multiple index request: the preferred title, PI/co-PI who will have authority for spending, and responsible unit have been provided. Request a budget spreadsheet that outlines the different index amounts.

**Comments:**

|  |  |
| --- | --- |
|  | [**Grants.gov**](https://grants.gov/)**Submissions** |

Is this a submission to Grants.gov? [ ]  Yes [ ]  No

[ ]  Grants.gov opportunity shows a package ID and matches RFP or grants.gov

[ ]  There are no FOA change update warnings

[ ]  If a Coop proposal through USGS, ensure the correct right competition ID and opportunity number are displayed. New ones are issued every September directly to the Coop unit admin.

**Comments:**

|  |  |
| --- | --- |
|  | **Proposal Documents** |

[ ]  Current and Pending/Other Support, if required by sponsor, the following items have been verified: the form is filled out correctly and completely, the effort for the proposal is greater than or equal to the effort in the budget, the details for the proposal are complete and correct (title, dates, funder, funding amount, etc.).

- Check for overlapping and concurrent support, particularly from NIH IDEA projects. Run the Argos and VERAS reports to check that the amount of declared projects is reasonably accurate.

**- TO BE COMPLETED by the SPA:** Contact ORED-Export if any source of funding appears to be foreign.

[ ]  NIH Data Management Plan is not required for the following proposal types: Training (T), Fellowships (Fs), Construction (C06), Conference Grants (R13), Resource (Gs), Research-Related Infrastructure Programs (e.g., S06)

[ ]  If an NIH IDEA proposal (COBRE, IBRE, CTR-IN) make sure they do not have another IDEA project that overlaps in project period.

[ ]  Proposal narrative has been checked to ensure IRB, IACUC, and IBC determination has been marked correctly. Refer to the IBC Red Flag List below:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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| **IBC Red Flag Words** | **IBC Red Flag Acronyms** |
| Allergen | 3SR (Self-Sustained Sequence Replication) |
| Bacteria | BAC, YAC (Bacterial/Yeast Artificial Chromosomes) |
| Biohazard/Biosafety | Biosafety Level (BSL, ABSL, BL, ACL) |
| Biotechnology | GE (genetically engineered) |
| Blood/Body fluid | GM, GMO (Genetically Modified +/-Organism) |
| Cas-9 | LAMP (Loop mediated isothermal AMPlification) |
| Causal/Causative agent | LCR (Ligase Chain Reaction) |
| Cell culture/line | NASBA ( Nucleic Acid Sequence Based Amplification) |
| Feces/fecal material | PCR (Polymerase Chain Reaction) |
| Cloning/Splicing | RCA (Rolling Circle Amplification) |
| CRISPR | rDNA (recombinant DNA) |
| Diagnostics | RG1, RG2, RG3 (Risk Group) |
| Disease | SDA (Strand Displacement Amplification) |
| DNA library | TALEN (Transcription Activator-Like Effector Nuclease) |
| Fungus or fungi |  |
| Gene library |  |
| Genome Editing |  |
| Infectious (+/-agent) |  |
| Microbe/Microbial |  |
| Mold |  |
| Molecular biology |  |
| Nematode |  |
| Parasite |  |
| Pathogen |  |
| Phage |  |
| Plasmid |  |
| Prion |  |
| Recombinant organism |  |
| Restriction enzyme |  |
| Select Agent |  |
| Spore |  |
| Swab |  |
| Synthetic DNA/Nucleic Acid |  |
| Tissue(s) |  |
| Toxin |  |
| Transduction/Transfection |  |
| Transgenic |  |
| Vector (not math, physics, statistics) |  |
| Viral/Virus |  |
| Virion/Viroid |  |
| Zinc Fingers |  |
|  |  |
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**Comments:**

|  |  |
| --- | --- |
|  | **Compliance and Other** |

**Protocols related to this proposal:**

**Check the following research compliance and other items are involved in this proposal:**

[ ]  Human subjects

[ ]  Vertebrate animals

[ ]  Biohazards

[ ]  Radiation/radioactive materials

**Comments:**

**Other:**

 [ ]  Selection has been made - Affiliation with University-Level Research Institute

 [ ]  Intellectual Property / Publication Restrictions

 [ ]  Export Controls / Unmanned Aerial Systems

 [ ]  Capital Equipment / Space Renovation / Construction

**Comments:**