EGMS Proposal Preparation

Reference Manual

Leadership and Talent Development
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www.umn.edu/ohr/training

University of Minnesota
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This publication/material is available in alternative formats upon request. Please contact University of Minnesota Leadership and Talent Development, 612-624-8647 (4-UOHR).

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The University’s Electronic Grants Management System (EGMS) provides consistency that makes writing proposals more efficient and less error prone; it simplifies the communication of data from one user to the next; and it ensures compliance with federal requirements. This reduces the risk of costly errors and improves the University’s credibility with sponsors.

EGMS provides an internet-based system to aid principal investigators, departments, and grant administrators responsible for proposal preparation to assure compliance with the applicable sponsors’ requirements.

**Consistency**  
EGMS provides quick, accurate calculations for budget items including fringe benefits, indirect costs (F&A), and inflation because current rates are loaded into the system. Because budget data is entered just once for multiple uses, accuracy increases while keyboard labor decreases. In a process invisible to proposal writers, budgets are sorted, coded, and otherwise translated to help expedite account setup in the University’s financial system.

Staff of Sponsored Projects Administration (SPA) will not have to review and double-check EGMS documents as thoroughly as paper ones. The institutional details on proposal face pages will automatically be correct. When University administrators sign and take responsibility for an EGMS proposal, they can be confident the document’s information is correct.

Once a faculty member establishes his/her data in the Other Support database (detailing other sources of funding support) and the Expertise database (containing biosketch information such as education and publications), this information can be pulled into various proposals as needed. Information in the Other Support database is also accessible to departments and deans in a consistent format. Institutional data can be gathered in one place for consistent delivery across the University, from investigators, to deans, to SPA.
EGMS General Information (cont.)

Communication  Data entered into an EGMS proposal may be extracted into an electronic Proposal Routing Form (PRF) which can be electronically routed to the various University officials responsible for approvals. At almost every step of proposal writing, EGMS provides direct links to helpful instructions, definitions, forms, policies and procedures, and regulations—for example, University forms for biosafety, and federal documents from the Office of Management and Budget. Data regarding a Principal Investigator’s professional career, once entered into the Expertise database on EGMS, becomes available for future proposals.

Compliance  EGMS prompts proposal preparers when federal or University regulations require justification of or response to particular budget items or proposal data. For example, EGMS requires its users to answer questions that pertain to the use of animals, human subjects, and hazardous materials. EGMS also answers the concerns expressed by the National Institutes of Health that the University needs systems to better assist its staff in grants management and stewardship of federal funds.
Research Roles and Responsibilities

Overall responsibility for submitting proposals and executing and administering awards rests with the Regents of the University of Minnesota. However, many of these responsibilities are delegated to various units and individuals within the institution.

Below are some of the responsibilities for each role. A complete listing can be found at www.research.umn.edu.

**Dean**

The dean has overall programmatic, fiscal, and managerial responsibilities for the college. Responsibilities include:

- providing oversight for the categorized budget, justification, appropriate indirect cost rate, matching funds, cost sharing through contributed efforts and subcontracts
- ensuring that conflict of interest is addressed and resolved as necessary
- ensuring that policies and procedures, internal controls, and monitoring activities are documented and followed by staff

**Department Head**

The department head has overall programmatic, fiscal and managerial responsibilities for the department. Responsibilities include:

- providing local oversight for other support, program income, categorized budgets, and regulatory requirements
- ensuring that policies and procedures, internal controls, and monitoring activities are documented and followed by staff
- approving budgets, indirect cost rate, matching funds, cost sharing, and the PRF for each proposal affecting resources in their department

**Pre-Award Departmental Research Administrator (Pre-Award DRA)**

A Pre-Award Departmental Research Administrator (Pre-Award DRA) assists and advises the PI in locating and applying for external funding. Responsibilities include:

- preparing documents and gathering information needed for the proposal
- identifying and communicating department policy and procedures consistent with University policy and procedures
- preparing proposal budgets and editing proposal narratives
- working with SPA to submit the proposal
Research Roles and Responsibilities (cont.)

Principal Investigator (PI)/Project Manager

The primary researcher in charge of a research grant, cooperative agreement, training or public service project, contract or other sponsored project. Responsibilities include:

- monitoring and enforcing appropriate fiscal management on projects
- preparing the technical proposal, the proposal budget, and the PRF
- ensuring all regulatory requirements are met and appropriate approvals are applied to the proposal

Approver

Approvers are determined by department based on department procedures and the authorized signers list. Responsibilities include:

- approving, returning, or denying documents
- identifying alternate approvers for proposals
- ensuring documents are consistent with departmental, University, and sponsor policy and procedures
- determining the document’s accuracy and checking for compliance issues

Preparer

Preparers are assigned by the department based on the job function. Responsibilities include:

- preparing documents
- applying routing chains
- correcting returned documents
- ensuring documents are consistent with departmental, University, and sponsor policy and procedures

Initiator

Initiators start new proposals in the Proposal Preparation database in EGMS. Responsibilities include:

- selecting the appropriate settings for the new proposal
- setting up the workgroup that will be allowed access to the proposal
- assigning the appropriate level of access (view or update) for each member of the group
- updating the group or adding other group members to the proposal as necessary (The initiator is the only person who can change the composition of the group or add new groups.)

Note: Once a proposal has been initiated, any member of the user group with update access for a proposal can make changes to the proposal.
Federal Regulations

The Office of Management and Budget (OMB) uses federal regulations to issue instructions and important information to federal agencies. It is an expectation that PIs/departments applying for federal funding are aware of and adhere to all applicable federal regulations. While each proposal will have specific guidelines to follow, here are two of the most common regulations that set the framework for most federal funding opportunities:

### OMB Federal Regulations

#### 2 CFR 200

The Office of Management and Budget (OMB) has combined many federal circulars into a single guidance known as OMB Federal Regulations 2 CFR 200. These new federal regulations became effective on December 26, 2014. This Final Guidance, most often referred to as Uniform Guidance (UG), supercedes and combines the requirements of eight OMB circulars (A-21, A-50, A-87, A-89, A-102, A-110, A-122 and A-133) with the intent to streamline the federal grant-making and monitoring process, to ease administrative burden for grant applicants and recipients, and to reduce the risk of waste, fraud and abuse.

### Federal Acquisition Regulations (FAR)

These guidelines typically apply to federal contracts and Requests for Proposals (RFPs). Commonly referred to as the “FAR”, it lists the primary regulations used by all federal executive agencies to maintain uniform policies. These regulations apply to the purchase of supplies and services with appropriated funds. There are 53 parts to the FAR; with Part #52 being the largest section as it deals with contract clauses and solicitation provisions.

NOTE: Departments applying for federal contracts must be aware that certain agencies may have created their own additional, customized supplemental regulations that also must be followed throughout the proposal process. One of the best-known examples of an agency supplement is the Defense Federal Acquisition Regulation Supplement (DFARS), which is used by the Department of Defense.
University Policies

There are various policies that provide guidance to ensure consistency, communication, and compliance during the proposal budget creation process. The three primary policies during this phase of a sponsored project’s life cycle include: Openness in Research, Submitting and Accepting Sponsored Projects, and Education in the Responsible Conduct of Sponsored Research and Grants Management.

Openness in Research

This Board of Regents and administrative policy states that the University shall not accept restrictions on participation in University research nor on the dissemination of the results of University research. It includes these guidelines:

• Disclosure of the Research Relationship: The University shall not accept support from any source for research under a contract or grant that prohibits the disclosure of the existence of the project, the identity of the sponsor, and the purpose and scope of the project.

• University’s right to publish: The University reserves the right to publish and present research results, individually and in collaboration with other researchers.

Submitting and Accepting Sponsored Projects

This Board of Regents policy lists the following guidelines:

• Only the President or delegate (SPA) may submit a proposal on behalf of the Regents of the University of Minnesota.

• All PIs must meet eligibility requirements such as educational training requirements and employee classifications.

• Only the President or delegate (SPA) may accept an award on behalf of the Regents of the University of Minnesota.

• All sponsored projects are awarded to and owned by the University, not individuals such as a PI.
University Policies (cont.)

Charging Facilities and Administrative (F&A) Costs

This administrative policy and its procedures state that:

- PIs are responsible for including Facilities and Administrative (F&A or indirect) costs in proposals for sponsored projects funded by external entities unless an exception has been approved in advance.

- SPA sets F&A rates with the federal government based on formulas and negotiation processes set forth in OMB Federal Regulations 2 CFR 200 (a) must use the federally approved rates for all sponsored projects, unless an exception to policy has been granted in advance of proposal submission or it meets the criteria for a reduced rate; and (b) may not offer or promise a reduced rate to a sponsor in advance of receipt of an approved waiver. PIs can petition for such F&A reductions for an individual project. Colleges have the authority to approve most waivers; the vice president for research will make decisions on waivers that have broad institutional impact. See Administrative Procedure: Requesting Facilities and Administrative (Indirect) Cost Reductions for guidance. Waivers will not be approved for an entire type or class of project.

- Indirect Cost Recovery (ICR), generated by F&A rates applied to external funds, must be shared by the colleges substantially contributing to the work of a sponsored project and is typically also shared among departments contributing to the work of a sponsor project, usually in proportion to their contribution. Units must document ICR sharing arrangements at time of proposal review and submission.

OMB Federal Regulations 2 CFR 200

This administrative policy and its procedures state that:

- All PIs must complete the University’s Responsible Conduct of Research (RCR) curriculum in order to be eligible to serve as a PI.

- All PIs must complete continuing education requirements after the initial RCR requirements are completed.

- PIs who will be responsible for projects with specific outcomes such as research performed on animals and human subjects have additional educational requirements that must be completed.

- If the mandatory PI educational requirements are not completed at the time of proposal submission, the submission will not be delayed. However, if these requirements are still not completed once the award is made, the set up of the award’s financial account will be delayed.

Education in the Responsible Conduct of Sponsored Research and Grants Management

This administrative policy and its procedures state that:

- All PIs must complete the University’s Responsible Conduct of Research (RCR) curriculum in order to be eligible to serve as a PI.

- All PIs must complete continuing education requirements after the initial RCR requirements are completed.

- PIs who will be responsible for projects with specific outcomes such as research performed on animals and human subjects have additional educational requirements that must be completed.

- If the mandatory PI educational requirements are not completed at the time of proposal submission, the submission will not be delayed. However, if these requirements are still not completed once the award is made, the set up of the award’s financial account will be delayed.
EGMS Home Page

All of the EGMS databases can be accessed through the home page at http://egms.umn.edu. Log in with an Internet ID and password.

The options on the home page include:

**Quick Links**
A listing of links available to users for assistance with the system, including a training site where users can practice using the system.

**Help Options**
A listing of telephone and email help options.

**Related Links**
A listing of links to other resources available to users regarding policies and offices related to research.

**EGMS News**
Look here for system updates. News has an archive link to older previously posted information.
EGMS Databases and Forms

Proposal Form Preparation
This database is used to electronically create, store and audit information that will populate forms required for externally funded applications for sponsored activities. The forms required for the proposal will be printed from here. Completion of the electronic proposal will allow generation of a Proposal Routing Form (PRF) for the proposal.

Other Support Database
This database is used to generate Other Support pages in proposals. Users can create and update information about their institutional support, current funding and pending applications. This information may be used to populate proposals created in EGMS.

EGMS Forms
The primary function of this database is to electronically create, store and route the PRF for approvals. The PRF is informed by a completed electronic proposal in the Proposal Form Preparation database or can be created as a stand-alone form if necessary. The PRF provides authorized University approvers with basic information regarding the project and ensures that all compliance obligations have been considered.

Expertise Database
This database is used to create and update biosketch information for University personnel. This information may be used to populate proposals created in EGMS.
Groups

Groups are a way of establishing access for users in three of the databases in the EGMS system. Those databases (Proposal Form Preparation, Expertise, and Other Support) all use groups slightly differently. Groups must be established in each database individually by the user. The purpose of groups is to give others access to view or update proposal information entered into EGMS or to update Expertise and Other Support record information.

Proposal Form

Workgroups established in the proposal form preparation database indicate who can view and who can update the proposal information. A user can setup a separate group for each proposal they have or use the same group on all proposals. Consider the following when setting up workgroups in the proposal database:

- Anyone who will be preparing a portion of the proposal will need update access.
- The department accountant/administrator may need update access to complete the budget.
- Co-PIs may need update access, but should have view access at a minimum.

To create or select a workgroup:

1. Access the Proposal Form Preparation database in EGMS via the home page.
2. Click <Workgroups> at the top of the main screen.
3. Click <New Workgroup>.
4. Name the workgroup.
5. Create a new group by typing the X.500 address of the person who needs access in the blank box and indicate the type of access (update or view) in the drop down menu next to the box.
6. Indicate the type of access (Update or View) in the drop down menu next to the name.
7. Repeat steps 5-6 for all those needing access to this group in the Proposal Form Preparation database.
8. Click <Create Workgroup>.
Proposal Form Preparation Database

Purpose

The Proposal Form Preparation Database provides departments the opportunity to complete and download and/or print sponsored-required proposal forms. Using this database allows departments to access the University’s established rates for fringe benefits, F&A, and others so that they may easily be calculated and incorporated into their proposal budgets. In addition, departments may use this database to complete sponsor-specific forms such as NIH, NSF, and MnDOT specific forms. Departments may also use the standard “generic” type of proposal forms that is published in a standardize format acceptable to most sponsors.

Note: All new users will be prompted and required to enter their basic demographic information the first time this database is accessed. Once the information is entered and saved by clicking <Apply Settings>, the user will no longer be prompted to complete this form upon future entry into this database.

New User Registration

Welcome to EGMS! Please enter the following information to create your user account in EGMS.

Update Your Information

Complete the information below. Click Apply Settings to save this information in EGMS.

First Name:
Middle Name:
Last Name:
Address:
City:
State:
Zip Code:
Office Phone #:
Email:

Department:
History [471]

University Job Title:
Research Assistant [9321]
Proposal Selection

This page allows the user to create new EGMS proposals, find existing proposals, and to clone, hide, or delete proposals.

Note: For first time users, the only option is to create a new proposal.

This page will display existing proposals the user has access to, sortable by ID#, proposal name, or date modified.

A. New Proposal
   Create a new proposal (includes renewals and noncompeting continuations).

B. Search Options
   Performs searches for proposals by name or proposal ID number. Advanced search options such as Date, PI Name, Initiator Name, Proposal Title, or Proposal Status can be found by clicking <Advanced Search>.

C. Hide
   Hide a proposal. Hidden proposals can be retrieved by clicking <Show All>.

D. Delete
   Remove a proposal from the database. Deleted proposals cannot be retrieved.

E. List Hidden Proposals
   Retrieves all hidden proposals and places them back on proposal list. (Deleted proposals are not retrieved.)

F. Clone
   Copy an existing proposal to use in preparing a similar proposal.

G. Workgroups
   View, create, or update workgroup membership and access levels.
New Proposal Setup

This important page establishes the proposal’s framework. Users may select the proposal format, the funding source for the proposal, and the Principal Investigator. Completing this screen will trigger what sponsor and University rules EGMS will enforce to ensure compliance and drive the questions for the proposal.

New Proposal Setup

Use this page and the next two pages to enter the basic information (sponsor and title, for example) needed to set up the proposal. Enter the data below and use the Next or Finish button at the bottom of each page to continue proposal setup.

Form Style
Select the style of form for this proposal.
- NIH New (398 Kit)
  Use for NIH calculations only. See EGMS News
- NSF Kit
- MNDot Kit
- Standard Generic

What does Form Style mean?
What is this a Grants.gov proposal?
What if I need only the proposal’s budget pages to use a specific sponsor’s style?

Project Sponsor
If you have selected a Form Style other than Generic above, the most commonly associated sponsor appears in the box below. If you chose Generic or you wish to indicate another Project Sponsor, add or change the sponsor name below.

Sub-Agreement
Will this be a Sub-Agreement?
- No
- Yes - enter Primary Funding Source

What is a Sub-Agreement?
Who is the primary funding source for a sub-agreement?

Principal Investigator
- Training Member (tuser041) is the Principal Investigator on this project.
- Another individual is the Principal Investigator on this project.

Internet ID
ID Lookup

If the Internet ID is known, enter it here. Alternatively, click ID Lookup to search for specific Internet IDs.

Home Department (carried over to the facepage)
- None

Administrative Department (carried over to the Proposal Routing Form)
- None
Edit Department

### New Proposal Setup (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Form Style</strong></td>
<td>Current prime funding source formats available in EGMS are NIH, NSF, MNDOT, or Standard Generic. If NIH, NSF, or MNDOT is chosen, EGMS will generate forms tailored to the specific rules, restrictions, and regulations of those agencies. Use the generic choice for all other funding sources.</td>
</tr>
<tr>
<td><strong>Project Sponsor</strong></td>
<td>Provides the name of the funding source. This field can be modified.</td>
</tr>
<tr>
<td><strong>Sub-Agreement</strong></td>
<td>Select “yes” if funding received by the University is from a source other than the prime funding source.</td>
</tr>
<tr>
<td><strong>Primary Funding Source</strong></td>
<td>The organization from which funds will be received, if proposal is a sub agreement.</td>
</tr>
<tr>
<td><strong>Principal Investigator</strong></td>
<td>The PI’s name and X.500 username. If someone other than the PI is initiating the proposal, this information will need to be entered. If the PI has yet to establish an account in EGMS, see page 14.</td>
</tr>
<tr>
<td><strong>Home Department</strong></td>
<td>The PI’s home department. The system will default to the initiator’s department and will need to be changed if the initiator is not the PI.</td>
</tr>
<tr>
<td><strong>Administrative Department</strong></td>
<td>Department responsible for administration of the project.</td>
</tr>
</tbody>
</table>
New Proposal Type

This page provides basic information about the proposal such as the title and dates of the project and the type of proposal. Proposal types and additional options, if any, will depend on the form style selected on the New Proposal Set-up page.

### Proposal Title
Title of proposal.

### Project Dates
The entire period for the proposed support, not restricted to the initial funding period.

### Proposal Type
The type of submission for the proposal. The selections listed will be based on the Form Style selected on the New Proposal Set-up page and can include “Revision” or specific agency information such as SNAP (NSF) or Modular (NIH). It is possible to prepare an abbreviated EGMS proposal by selecting the “Budget Only” option from the Additional Options drop down menu.

<table>
<thead>
<tr>
<th>Proposal Type</th>
<th>Additional Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>No Options</td>
</tr>
<tr>
<td>Renewal</td>
<td></td>
</tr>
<tr>
<td>Non-Competing Continuation</td>
<td></td>
</tr>
<tr>
<td>Supplement</td>
<td></td>
</tr>
</tbody>
</table>

New Proposal Type

<table>
<thead>
<tr>
<th>XXXX</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiator:</td>
</tr>
<tr>
<td>Principal Investigator:</td>
</tr>
<tr>
<td>Home Department:</td>
</tr>
<tr>
<td>Administrative Department:</td>
</tr>
<tr>
<td>Status:</td>
</tr>
<tr>
<td>Form Style: Standard Generic</td>
</tr>
</tbody>
</table>

(To change any of these entries, click the Back button at the bottom of this page.)

Proposal Title and Dates

- **Proposal Title**
- **Project Dates**
  - Start Date: **mm/dd/yyyy**
  - End Date: **mm/dd/yyyy**

Proposal Type

- Select the Proposal Type and any additional proposal options.
New Proposal Workgroup

This page allows for assigning a workgroup to the proposal by selecting a pre-existing group, creating a new group, or using the default of “PI Only.” Workgroups can also be edited here. Workgroup access can be added, changed, or deleted at any time during the proposal preparation.

**Workgroups**

A listing of workgroups owned by the initiator of the proposal. Workgroups show names of individuals included in the workgroup. The initiator is assumed to be part of the workgroup and does not show on the list. Select the workgroup to have access to the proposal, or click <New Workgroup> to create a new group.
Section: Personnel Information

The Personnel Information section is where data for the key personnel such as the PI and Co-I, must be entered.

To complete this section, each key personnel identified must provide demographic information. In addition, each individual may have their information from the Expertise and Other Support databases extracted into this section.

About completing the Key Personnel subsection for University personnel first

You must list University personnel in the Key Personnel subsection before you can start entering data for those individuals in the other subsections in the listing to the left. EGMS uses the University employee names entered in the Key Personnel subsection for all the other Personnel Information subsections, without requiring data re-entry.

You can enter this data directly into the Key Personnel subsection or, if you have already completed the University Personnel subsection in the Budget Information Section, EGMS will have pre-populated this information from the Budget Information Section.

About completing the other subsections

Once University key personnel are listed in the Key Personnel subsection, you can complete the remaining Personnel Information subsections in any order.

About Biosketch and Other Support data entry

For U of M key personnel, you cannot enter data directly into the Biosketch or Other Support subsections; instead, EGMS requires that you retrieve data stored in the Expertise and Other Support Databases to prepare these subsections.

About EGMS BioSketch options

For both non-University key personnel who do not have data stored in EGMS and University personnel who choose not to create a proposal biosketch in EGMS, you can indicate the number of pages to be reserved for later insertion of biosketch pages created outside of EGMS.
Key Personnel

This subsection of Personnel Information indicates individuals who will contribute in a substantive way to the workscope of the project. Such personnel include the PI and Co-Is, and other essential people (usually determined by the PI or sponsor rules) who fill vital collaborative or leadership roles in the project.
Biosketch

This subsection of Personnel Information is used to add Biosketch information to a proposal for all individuals indicated in the Key Personnel subsection. Information from the Expertise database can be imported to this section to create a customized biosketch unique to a proposal. Saved Biosketches may also be used, or placeholders can be used to reserve pages for biosketches created outside the EGMS system.

To make a biosketch selection:

+ Click <Add Biosketch> appearing for the same line as the name for each individual listed in the Key Personnel biosketches.
+ Make a selection from the drop down menu in the Add Biosketch section.

To create a customized biosketch for this proposal only:

+ Select “Full Database Listing” from the drop down menu to have all data from the Expertise database displayed.
+ Check boxes next to the data to be included in the custom biosketch.
+ Click <Add Now> to save the biosketch data to the proposal.
This subsection of Personnel Information is used to add Other Support information to a proposal for University personnel indicated in the key personnel subsection. Information from the Other Support database is imported to this section for each key person listed in key personnel. This section allows preparers to view the list of Other Support data to be included in a proposal for an individual.

To add Other Support Information to a proposal:

- Click <Add Support Data> appearing on the same line as the name for each individual.
- Check boxes next to data to be included.
- Click <Load> to save Other Support Data to the proposal.

Audit all Sections:

- After all required data has been entered for this section, click <Audit All Sections> to the right of the proposal sections.
- If the audit is successful, the message “The subsection(s) that you have selected for auditing have passed audit” will appear.
- If the audit is not successful, EGMS will return to each portion that did not pass audit and provide an explanation for each error.
- Correct the error.
- If all corrections are successful, the entire proposal has been successfully audited and the “Pass Audit” message will appear.
- If there are additional errors, the system advance to the next screen with an error on it.
- Correct all errors until receiving the “Pass Audit” message.
This section of the proposal provides budget information for the project. The subsections appearing in this section will differ, depending on the form style selected on the New Proposal Set-up page (NIH, NSF, MnDOT). Subsections for the generic form style include: Budget Set-up, University Personnel, Consultant Costs, Equipment Costs, Supply Costs, Travel Costs, Patient Care Costs, Alterations & Renovations, Contractor Costs, and Other Expenses. This page gives general information about completing the budget section of the proposal.
Budget Setup

This subsection of the Budget Information is a required one-time set up that indicates the inflation and indirect cost (Facilities and Administrative) rates for the entire budget. This information can be edited at any point during the proposal preparation.
### Field Name

**Budget Period**

This field indicates the number of budget periods for the project. It will default to budget periods of 12 months each. This number can be changed using the drop down menu.

**Budget Settings**

**Indirect Cost Rate**

Also called Facilities and Administrative costs (F&A). The indirect cost rate to be used for the budget. The federally negotiated rate should always be applied, unless the sponsor has an established rate that is different. If Other MTDC or Other TDC base is selected, the rate must be indicated in the free form box for each budget period and a justification provided for the deviation from the negotiated rate.

**Default Inflation Rate**

The percentage to be applied to future year budget costs. Default rate varies by sponsoring agency. The default rate may be overridden for each proposal. The rate for individual items may also be changed, if necessary, later in the budget, otherwise, the rate set here will be applied.

**Project Type**

The type of project for the proposal. Choose the type of project, either Equipment, Research, Instruction, Clinical trial, or Other from drop down menu. Project type is used to determine the appropriate negotiated indirect cost rate.

**Project Location**

A project is considered an off-campus activity if more than 50% of the direct salaries and wages of personnel engaged on the project are incurred at a site neither owned nor leased by the University. On- or off-campus location is used to determine the appropriate negotiated indirect cost rate.

**Budget Form Style**

The format for the budget, depending on sponsor guidelines. For generic proposals only indicate Generic, NSF, or NIH.

**Justification**

Reasons for deviating from any of the default or negotiated rates for the project must be indicated here.

**Apply Settings**

Click to save information indicated on this page and make available the remaining budget subsections.
University Personnel

This subsection of Budget Information must be completed for each U of M employee working on the project, regardless of whether a salary is requested. Include all collaborating investigators, individuals in training, and support staff. For each individual listed, indicate their role on the project, their name, type of appointment, percent of their effort expended on the project (either paid or unpaid), their base salary, and fringe benefit rate. The Personnel subsection includes both regular appointments and, if applicable, summer appointments.
### University Personnel (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>View Calculations</td>
<td>This link will open a new window showing the breakdown of salary and fringe costs per budget item for each budget year of the proposal.</td>
</tr>
<tr>
<td>Role on Project</td>
<td>Indicate either Principal Investigator, Co-Investigator, Consultant, or other. If other, choose the title that best fits the individual’s job duties and/or responsibilities as they relate to the proposed project. Some examples include Principal Investigator, Collaborator, Co-Investigator, Program Director, Program Manager, Lab Manager, Technician, etc.</td>
</tr>
<tr>
<td>Personnel Cost; Annual University Salary</td>
<td>The base salary as indicated either by the individual’s hiring documents or by the salary base for the University job title.</td>
</tr>
<tr>
<td>Inflation Rate</td>
<td>The rate set to project yearly salary increases for individuals on proposals that span multiple fiscal years. Default rate varies by sponsor. When “Other rate” is chosen, the inflation rate must be indicated in order for EGMS to calculate the line item correctly.</td>
</tr>
</tbody>
</table>
University Personnel (cont.)
<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
</table>
| University Job Title | Individual's official University of Minnesota job title.  
*Note: To find the correct title, Click <Job Lookup> to perform a search to find a job title and class number. Once you find the correct title, click on that title and it will automatically fill in the field with the correct job class number.*                                                                                     |
| Summer Appointment | This information is only required for non-A-term employees who will be working on the project during all or part of the summer (when the main appointment is inactive).                                                                                                                                         |
| Primary Appointment | Information related to the individual’s main appointment at the University, such as job title, appointment term, fringe benefit rate, and effort.                                                                                                                                                                                                 |
| Appointment Term   | The appointment term as indicated on the individual’s hiring documents.                                                                                                                                                                                                                                                                            |
| Percent Appointment| The individual's annual appointment percentage for the appointment related to their work as indicated on the individual's hiring documents. This is NOT just the percentage they will be working on this project.                                                                                                           |
| Full Fringe/ Other Rate | The fringe rate to use for this individual. Default is Full Fringe. When “Other rate” is chosen above, the fringe percentage must be indicated in order for EGMS to calculate using the correct fringe rate.                                                                                                      |
| Effort per Budget  | Indicate the percentage of individual's annual appointment for paid and/or Period Paid/Unpaid unpaid effort that will be expended for the project during applicable years. Click <Paid vs. Unpaid Definition> for an explanation of those terms.                                                                                   |
| Show Periods       | Use this link to enter information for each budget period of the project if the effort will not be the same for every budget period of the project.                                                                                                                                                                                                     |
| Justification      | Use the Justification box to provide an explanation for any changes in the default inflation rate, other fringe rates or unpaid effort, to justify clerical or administrative positions, or to add any additional information pertinent to the individual's position.                                                                                          |
| <Add Now>          | Adds an individual's personnel information to the budget section of this proposal.                                                                                                                                                                                                                                                                  |
Consultant Costs

This subsection of Budget Information provides information for each consultant or organization that is on the project. A consultant is not responsible for completion of any portion of the work on the project. Consultants perform services involving specific, narrowly defined, expert advice.

Consultant Costs

Use the Consultants subsection to list non-University personnel or facilities involved as consultants on the proposed project.

What is a consultant?

Consultants currently listed

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
<th>Total ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add Consultant Cost

- List this individual as Key Personnel?  Yes  No

Inflation Rate

- Default (3%)  Other - specify (%)

Item Cost

Enter the Item Cost per budget period. If the cost is variable or does not appear in every period, click Show Periods to enter costs against individual budget periods

Periods 1-2 01/01/2005 - 12/31/2006  Cost: $ per Budget Period

To display Budget Periods click Show Periods

Justification

(include purpose or service provided, rate of compensation, length of time or number of days, travel, and per diem and other related costs.)
### Consultant Costs (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Name</td>
<td>The consultant’s name, if applicable.</td>
</tr>
<tr>
<td>Organization</td>
<td>The name of the consulting organization, if applicable.</td>
</tr>
<tr>
<td>Default Inflation Rate or Other Rate</td>
<td>If consultant service is going to be used for more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td>Item Cost</td>
<td>The estimated cost for the consulting services to be provided per budget period.</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if consultant costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information that includes the purpose of service provided, rate of compensation, length of time or number of days, travel, and per diem and other related costs, including inflation rates.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds the consultant to the budget section of this proposal database.</td>
</tr>
</tbody>
</table>
Equipment Costs

This subsection of Budget Information provides information about each piece of equipment purchased solely for the project. Items considered equipment are non-consumable items that cost $2500 or more and have a useful life of more than one year. If a piece of equipment is being fabricated, then the total cost of the materials needed to build the unit should be totaled to arrive at the cost of the unit.
<table>
<thead>
<tr>
<th><strong>Field Name</strong></th>
<th><strong>Field Description</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Item Description</td>
<td>The equipment item to be used in the project.</td>
</tr>
<tr>
<td>Type of Equipment</td>
<td>Indicate the type of equipment from the drop down menu to differentiate between computer and other project related equipment purchases.</td>
</tr>
<tr>
<td>Inflation Rate</td>
<td>If equipment is going to be used for more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td>Item Cost</td>
<td>The cost of the item, including materials if the equipment is being fabricated per budget period.</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if equipment costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information that includes the purpose of each equipment item or an inflation rate other than the default.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds each equipment item to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Supply Costs

This subsection of Budget Information provides an itemization of the supplies associated with the project that are allowable and allocable. Costs for services (such as phone, copies, etc.) should be included in the Other subsection.
### Supply Costs (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Item Description</td>
<td>A title for each expense item as appropriate.</td>
</tr>
<tr>
<td>Category of Supply</td>
<td>Indicate the type of expense to be added.</td>
</tr>
<tr>
<td>Inflation Rate</td>
<td>If expense is going to be for more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td>Item Cost</td>
<td>The cost of each item per budget period.</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if supply costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information for each expense that requires explanation (see Cost Accounting Standards) and to justify an inflation rate other than the default. Items over $1,000 need to be itemized.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds each expense type to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Travel Costs

This subsection of Budget Information provides information on all appropriate travel associated with the project in accordance with funding agency guidelines and University policy. You must provide the purpose and destination of each trip as well as the number of individuals for whom funds are requested.
## Travel Costs (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>View Entire Budget</strong></td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td><strong>Item Description</strong></td>
<td>Provide an abbreviated description/title for the trip.</td>
</tr>
<tr>
<td><strong>Type of Travel</strong></td>
<td>Indicate the type of travel for this trip from the drop down menu.</td>
</tr>
<tr>
<td><strong>Inflation Rate</strong></td>
<td>If travel will take place in more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td><strong>Item Cost</strong></td>
<td>The cost of each travel item per budget period.</td>
</tr>
<tr>
<td><strong>Show Periods</strong></td>
<td>Use this link to enter information for each budget period of the project if travel costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td><strong>Justification</strong></td>
<td>Use the justification box to provide information for the travel that includes the purpose, destination, and the number of individuals for whom funds are requested for each trip. Also, provide justification for an inflation rate other than the default.</td>
</tr>
<tr>
<td><strong>&lt;Add Now&gt;</strong></td>
<td>Adds each travel expenditure to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Patient Care Costs

This subsection of Budget Information provides information on in-patient and/or out-patient costs requested. Provide information, in detail, for each provider. If both in-patient and out-patient costs are requested for a single site, provide information for each type of cost separately.
### Field Name

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Provider</td>
<td>Fill in the provider. Provide the name of each hospital and/or clinic for each site.</td>
</tr>
<tr>
<td>Inflation Rate</td>
<td>If patient care is going to be used for more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>The total in-patient care cost and the total out-patient care cost amount requested for each provider site per budget period.</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if patient care costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information for each provider site. For research grants, state whether each hospital or clinic has a current DHHS-negotiated research patient care rate agreement in effect, and if not, what basis is used for calculating costs. If an applicant does not have a DHHS-negotiated rate, the PHS awarding component can approve a provisional rate. Indicate in detail the basis for estimating in this category, including number of days, estimated cost per day, and cost per treatment or test. Include information regarding projected patient accrual for the project/budget periods, and relate this information to the budget request for patient care costs. If patient accrual is anticipated to be lower at the start or during the course of the project, plan budget(s) accordingly. Provide specific information regarding anticipated sources of other support for patient care costs, e.g., third party recovery or pharmaceutical companies. Include any potential or expected utilization of General Clinical Research Centers.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds each provider site to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Alterations & Renovations Costs

This subsection of Budget Information identifies each expense of allowable, essential alterations and/or renovations that are requested. These costs include repairs, painting, removal or installation of partitions, shielding, or air conditioning.
Alterations & Renovations Costs (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Item Description</td>
<td>A description of each alteration and/or renovation.</td>
</tr>
<tr>
<td>Inflation Rate</td>
<td>If alteration and/or renovation is going to be for more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td>Item Cost</td>
<td>The cost of each alteration and/or renovation per budget period.</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if alterations and renovations costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information for the alteration and/or renovation. Where applicable, provide the square footage and costs. Costs for alterations and renovations are not allowed on grants made to foreign organizations. Also, provide the justification for an inflation rate other than the default.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds each alteration and/or renovation to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Contractor Costs

This subsection of Budget Information provides information about non-University personnel and each subcontracting organization that will be completing a substantial portion of the work/research/effort for the project and must provide a workscope and budget for their portion of the project.
### Contractor Costs (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Organization</td>
<td>The name of each subcontracting organization.</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>The total budget amount of direct costs and indirect costs for the subcontracting organization for the proposal's budget period(s).</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if contractor costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information for the contractors or consortium. If a modular proposal, add personnel names, role, percent effort and description of responsibility for each person. Also, provide the justification for an inflation rate other than the default.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds each consortium/subcontractor to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Other Expenses

This subsection of Budget Information includes all expenses associated with the project that are in addition to, or do not fit other subsection categories of, the budget. Generally, expense types in this subsection are services rather than consumable or disposable supplies. Many of the expense types in this category are subject to compliance with University policy and procedure and OMB Federal Regulations 2 CFR 200 also known as Uniform Guidance. This policy states that charges for general administrative services are normally considered unallowable as direct costs unless they fit within special circumstances as defined in the circular. Examples of such costs include photocopying, postage, recurring phone charges, membership dues, and subscriptions. When special circumstances such as the size, nature, or complexity of the project are justifiable, such costs may be allowable and allocable.
### Other Expenses (cont.)

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Entire Budget</td>
<td>This link will open a new window showing budget section totals for each budget period and for the entire project period, including total direct and indirect costs.</td>
</tr>
<tr>
<td>Item Description</td>
<td>A title for each expense item (or service) as appropriate.</td>
</tr>
<tr>
<td>Category of Expense</td>
<td>Indicate the type of expense to be added.</td>
</tr>
<tr>
<td>Inflation Rate</td>
<td>If expense is going to be for more than one budget year, choose either the Default Inflation Rate or Other Rate. If other, specify rate.</td>
</tr>
<tr>
<td>Item Cost</td>
<td>The cost of each item per budget period.</td>
</tr>
<tr>
<td>Show Periods</td>
<td>Use this link to enter information for each budget period of the project if other expenses costs will not be the same for every budget period of the project.</td>
</tr>
<tr>
<td>Justification</td>
<td>Use the justification box to provide information for each expense that requires explanation (see Cost Accounting Standards). Also, provide the justification for an inflation rate other than the default.</td>
</tr>
<tr>
<td>&lt;Add Now&gt;</td>
<td>Adds each expense type to the budget section of this proposal.</td>
</tr>
</tbody>
</table>
Section: Project Information

The subsections of Project Information provide descriptive information specific to the project and will differ based on the form style selected on the New Proposal Set-up page. Each subsection on this screen must be completed according to the instructions below.

Abstract

Provides information on the project’s goals and objectives.

- Concisely describe long term objectives, specific aims, research design, and methods of the project.
- Click <Add Now> to add Abstract information to the proposal.

Performance Sites

Provides information on location of proposed work. Complete this section for each separate site if work will be performed at multiple sites.

- Provide the name of the organization, whether on campus or off campus, where the work described will take place.
- Complete the City, State, and Country fields for each site.
- Click <Add Now> to save the data entered in this proposal.
**Section: Project Information (cont.)**

**Sponsor Solicitation**  Fill this subsection out if the proposal is in response to a Request for Application (RFA) or Program Announcement (PA).

- Indicate whether the proposal is in response to an RFA or a PA.
- Complete the RFA/PA number, if applicable.
- Complete the official title of the announcement or application.
- Click <Add Now> to add RFA/PA information to the proposal.

**Program Income**  Identifies all potential sources of income generated from the proposed project.

- Indicate if program income is anticipated for the project.
- If no, click <Add Now> to add response to the proposal.
- If yes, enter the amount and source of projected program income for each budget period, if applicable.
- Click <Add Now> to add the anticipated program income to the proposal.
Section: Project Resources

Each subsection of Project Resources identifies specific equipment, laboratory, clinical, animal, computer, office, or other resources to be used at each site for the proposed project. Resources describes each relevant facility's capacities, capabilities, relative proximity, and availability to the project. It also identifies the extent and availability of other relevant support services (such as machine shop, electronics, etc.) and lists the major equipment items already available for the project.

Complete each subsection of Project Resources as follows:

- Enter each relevant facility, resource, or item separately.
- Specify resources to be used and provide a detailed description.
- Click <Add Now> to save the resource information to this proposal.
Each subsection of Project Assurances must be completed whether or not the project involves the use of human subjects or vertebrate animals. Questions asked in this section will differ based on the form style selected on the New Proposal Set-up page.

Human Subjects

Federal laws and official Regents’ policy require that projects involving the use of human subjects be reviewed and approved to assure compliance with University policy, federal regulations, and guidelines of funding agencies. The Institutional Review Board (IRB) reviews and approves all proposed projects that involve humans.

- Indicate whether the proposal involves human subjects.
- If no, click <Save> to save the data entered in the proposal.
  OR
- If yes, indicate IRB status.
- If exempted or approved by the IRB, provide Study Code Number, approval date and exemption category (if exempt.)
- Click <Save> to save the data entered in the proposal.
Animal Subjects

Projects involving the use of live vertebrate animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) to assure compliance with the Regents’ policy on animal care, federal laws on animal welfare, and the guidelines of funding agencies.

- Indicate whether the proposal involves the use of live vertebrate animals.
- If no, click <Save> to save the data entered in the proposal.
  OR
- If yes, indicate IACUC status.
- If approved by the IACUC, provide study code number and approval date.
- Click <Save> to save the data entered in the proposal.
After the proposal budget and all of the proposal’s necessary components have been finalized, the entire proposal must adhere to the Board of Regents policy titled “Submitting and Accepting Sponsored Projects.” According to this policy, departments must create the mandatory Proposal Routing Form (PRF). The PRF is an internal document created in the Electronic Grants Management System (EGMS), which is the University’s online system used to complete proposal-related forms. The PRF captures a high level summary of the proposal and is the mechanism for capturing the required University approvals. Once the PRF is submitted by the department and received by SPA, various checks and balances are performed by SPA staff. Once the completed proposal and its PRF have been reviewed by SPA, SPA will submit the proposal on behalf of the University to the sponsor.

In general, the following steps will occur during the proposal submission process:

- Department creates the mandatory Proposal Routing Form (PRF), which includes the required University approvals.
- Department submits the proposal to SPA.
- SPA reviews the proposal to ensure budget items are allowable and properly justified.
- If errors or discrepancies exist, SPA and the PI/department will work together to resolve them.
- SPA submits the proposal on behalf of the Regents of the University.
- The sponsor reviews the proposal.
- If necessary, SPA works with the PI/department to facilitate award negotiations with the sponsor.
The Proposal Routing Form (PRF)

Per policy, departments must prepare and submit the University’s Proposal Routing Form (PRF) to SPA for review and authorization prior to the proposal's submission. The PRF is a mandatory internal document that accompanies all proposals submitted to SPA and triggers the proposal review and approval process.

Specific budgetary information listed on the PRF includes:

- Initial or current budget: reveals the initial and/or the current period for which the funds are being requested. This also reflects the initial period which may or may not reflect a year period.
- Entire budget: reflects the current awarded segment of the proposal or project period.

The primary purposes of the PRF are to:

- Provide basic information regarding the project for review by the department head and other central administrators, (e.g., F&A waiver or cost sharing requests).
- Act as a checklist to ensure that all assurance and compliance obligations have been considered and met, or are pending.
- Obtain the approvals that are required to submit a proposal.
- Serve as a communication tool to convey information on the proposal, i.e., space to be accessed if proposal is awarded.

Overview of PRF Approvals

The mandatory PRF must be prepared by the department using the University’s Electronic Grants Management System (EGMS). Upon completion, EGMS audits the PRF data to check that all required information has been provided and presented in the correct format. Once the PRF has passed audit, approval signatures must be obtained either electronically through EGMS or by printing and circulating the PRF for ink signatures. It is preferred that signatures be collected either all electronically or all in ink.

It is best practice to communicate with all required University approvers early on in the proposal budget creation process to ensure the approvers are available and have sufficient time to review the proposal budget. Always verify who the University approvers are for each proposal, as they may vary under certain circumstances.

In general, the following individuals are typically responsible for signing off on the PRF:
The Proposal Routing Form (PRF) (cont.)

- **PI**: certifies the PRF’s information is accurate and assumes all responsibility for the proposal’s contents, including compliance considerations.

- **Department Head**: certifies that the PI is eligible, and resources such as space are available. If applicable, determines whether cost sharing is appropriate.

- **Dean or Director**: ensures the proposal supports the college’s mission, determines whether requests for resources such as off-campus space, cost sharing, or F&A reductions are necessary.

- **Vice President or Chancellor (where appropriate)**: reviews proposals involving compliance considerations (infectious agents, narcotic agents, etc.) and requests for off-campus space. If applicable, reviews requests for indirect cost rate reduction or waivers.
SPA’s Proposal Submission Deadlines for Departments

It is important for departments to understand that the required time for processing and reviewing a proposal through departmental, collegiate, and SPA offices may vary considerably. As a result, it is the PI’s/department’s responsibility to allow sufficient time for SPA review. As a general guideline, SPA would like to receive the proposals at least three working days before the proposal’s determined deadline—more if at all possible.

Below are the established deadlines for the common submission methods:

- **Electronic submissions to Grants.gov**: To be considered on-time, proposals requiring electronic submissions via the Grants.gov system must be delivered to SPA at least 5 working days before the proposal must be submitted. For example, if an NIH grant is due to NIH on Thursday, it is due to SPA by 9 a.m. on the Friday the week before.

- **Other electronic submissions**: To be considered on-time, proposals requiring electronic submissions (NSF FastLane, NASA NSPIRES, FedConnect, email, etc.) must be delivered to SPA at least 24 hours before the proposal must be submitted to the funding agency. For example, if an NSF grant is due to NSF in Fastlane on Thursday, it is due to SPA by 5 p.m. on Wednesday.

- **Paper (via U.S. Mail)**: To be considered on-time, proposals requiring courier or mailing submissions must be delivered to SPA within 48 hours of the sponsor’s official deadline (24 hours before the proposal must be mailed). For example, if the proposal is due to the sponsor on Friday, SPA needs to receive it by 5 p.m. on the previous Wednesday, to ship it by Thursday. Local courier submissions are sent out by 10 a.m. to local sponsors meaning that the proposal is due at SPA by 10 a.m. the day before. **Important note**: Departments must work with SPA to plan ahead when a paper proposal must be delivered outside the Continental U.S., as this type of proposal requires extra time to arrive at its destination. For example, FedEx requires a minimum of two days to deliver proposals to Alaska, Hawaii, and Europe.

Important reminders for departments:

- Meeting SPA’s deadline allows the GA enough time to do a thorough review to catch any errors that might be embarrassing to the PI or the University, or that might affect the proposal’s success.

- Meeting SPA’s electronic proposal deadline gives an important cushion of time in case technical problems occur.

- If the proposal is delivered after the deadline, the applicant will have to arrange for delivery. In addition, SPA cannot guarantee that late proposals will be processed in time to meet the sponsor’s deadline.
Department Submits Proposal to SPA

After the department creates the PRF and it is authorized by all required approvers, the department must submit the proposal and all of its necessary components, including the proposal budget, within the deadlines established by SPA.

Before delivering the proposal to SPA, the department must verify that the proposal package, including the narrative, is complete and ready to be sent to the sponsor. SPA will not review an incomplete proposal. Departments must also include any supporting documentation such as the confirmation of agency-specific F&A rates or submission instructions.

The method of proposal submission to the sponsor will determine how the proposal must be delivered to SPA. Electronic proposals may be emailed or uploaded into an agency-specific electronic system. Paper proposals may be dropped off in person or mailed using campus or U.S. mail. Refer to the SPA website for the specific details regarding proposal submission, including SPA deadlines. In addition, refer to this manual’s section “Determine Method of Proposal Submission to Sponsor” for deadline information, helpful hints, and other resources regarding this topic.

Below is a departmental checklist for proposal submission to SPA:

- The PRF was signed by all required approvers.
- The proposal is complete (including the narrative) and ready to be sent to the sponsor.
- Someone from the department will be available between the SPA deadline and the sponsor’s deadline in order to answer questions and make any changes requested by SPA.
- All documents and forms required by the sponsor’s guidelines have been completed accurately and in full.
- The method of submission to SPA (email, hard copy, etc.) has been determined.
- If the proposal will be submitted in hard copy, the correct number of copies has been provided. In most cases, this is the number of copies required by the sponsor, plus one for SPA.
- SPA has been given all supporting documentation (e.g., the proof of agency-required F&A rates, specific submission instructions, or copies of agency guidelines) that is needed by SPA to review and submit the proposal.
Generate the PRF

After the entire proposal has been audited successfully, a PRF may be generated from the proposal by clicking <Export to PRF>. This will freeze the proposal so no further modifications may be made. If further changes need to be made, click on the appropriate section and subsection(s) and make changes. Keep in mind that any further changes will require auditing all proposal sections again before generating a PRF.

To create the PRF, click <Export to PRF> in the middle of the screen.

Preview Form

Preview Form provides the options to view and print aggregate data entered into the Proposal Form Preparation, Expertise, or Other Support databases for each proposal. Use Preview Form to download the entire proposal or a detailed budget and select printing options. Proposals will be formatted within the system to meet sponsor formatting requirements based on the form style selected on the Proposal Set-up page.
Appendix A: Create a PRF in the EGMS Form Database

The Proposal Routing Form (PRF), is the University’s form for obtaining all required approvals for a proposal. A PRF can be created starting from an electronic proposal in EGMS (see the Proposal Forms Preparation section) or as a stand alone electronic PRF that would be matched with a proposal that was not created in EGMS.

To create a PRF in the EGMS Forms database, complete the paper proposal as normal. Then complete the PRF in EGMS.

- Log into the EGMS Forms database (from EGMS home page).
- Go to the Make a Request menu.
- Select “PRF” and click <Make a Request>.
- Complete all information on the PRF as appropriate.
- Assign the approvers (if using electronic approvals).
- Click <Submit>.

The Make a Request screen will show only those documents for which access as a preparer has been granted.

**When to Use**
- Use to process a transaction using a blank document.
- Use to set up a document template for future processing.
- Highlight the document you want to create by clicking it.

**How to Use**
- Click <Make Request>.
- Complete the document.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

A template is automatically created for a user when the FormsNirvana Access (FNA) form is completed for each document requested (FNA or PRF), by division. Users can create more specific document templates to add to this list (instructions on the following page).

<table>
<thead>
<tr>
<th>Request Number</th>
<th>Date</th>
<th>Type</th>
<th>Status</th>
<th>Summary</th>
<th>Checkboxes selected items to hide</th>
<th>Hide Templates</th>
</tr>
</thead>
<tbody>
<tr>
<td>440304</td>
<td>(01-NOV-02)</td>
<td>FNA</td>
<td></td>
<td>Template for a FNA Form</td>
<td></td>
<td></td>
</tr>
<tr>
<td>440303</td>
<td>(01-NOV-02)</td>
<td>ROC</td>
<td></td>
<td>Template for From ROC Division</td>
<td></td>
<td></td>
</tr>
<tr>
<td>440302</td>
<td>(01-NOV-02)</td>
<td>PRF</td>
<td></td>
<td>Template for From PRF Division</td>
<td></td>
<td></td>
</tr>
<tr>
<td>440301</td>
<td>(01-NOV-02)</td>
<td>MTA RF</td>
<td></td>
<td>Template for From MTA RF Division</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**When to Use**
- The FNA form template should always be used when modifying access.

**How to Use**
- Click the document to be created.
- Click <Use Template>.
- Complete the document.

Warning: Once a request is hidden, it is removed from the user’s list.

**CREATE TEMPLATE**

Templates allow you to design partially completed documents and save them online. Instead of starting a document each time from scratch, it is possible to retrieve a template, finish inputting the information and submit it. Templates can be a vital time saver once created.

**Where to Find**
Templates are found under the Use Template to Make a Request option on the main menu. Regardless of what information is on the template when retrieved, anything can be changed when you complete the document for an actual transaction.

**Creating a Template**

From a blank document:
- Select the document from the main menu under Make a Request.
- Input all the information to be included in the template.
- Use the Summary of Request field to name the template.
- Click <Create Template>.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

From a completed document:

- Retrieve the document from Status of Requests.
- Scroll to the processing buttons and click <Use as Template>; this will retrieve a new picture of the document.
- Change whatever is necessary, and name the template in Summary of Request.
- Click <Create Template>.

From an established template:

- Pull up the template from Use a Template to Make a Request under the main menu options.
- Change whatever is necessary, and rename the template in Summary of Request.
- Click <Create Template>.

Requirements

The only required field when creating a template is Summary of Request. This becomes the template name.

When to Create a Template

Create a template for anything that will be entered repeatedly for each transaction, or for anything helpful.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

STATUS OF REQUESTS

Status of Requests lists all the documents that a user has prepared in EGMS FormsNirvana.

<table>
<thead>
<tr>
<th>Request Number</th>
<th>Date</th>
<th>Type</th>
<th>Status</th>
<th>Summary</th>
<th>Hide Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>912</td>
<td>06-JUN-05</td>
<td>PRF</td>
<td>Samsara</td>
<td>Fungal growth in cottage cheese</td>
<td></td>
</tr>
<tr>
<td>911</td>
<td>06-JUN-05</td>
<td>FNA</td>
<td>Pending</td>
<td>Forms for User Request</td>
<td></td>
</tr>
</tbody>
</table>

Data Listed

- **Request Number** is the assigned EGMS FormsNirvana document number.
- **Date** is when the document was created.
- **Type** indicates the kind of document.
- **Status** may appear as one of the following: Approved, Pending, Denied, Returned, or Samsara.
- **Summary** displays what was entered in the Summary of Request field.
- **Hide** allows a user to “hide” or remove old documents from this list. Once hidden, they cannot be retrieved.

Sorting Options

Sort prepared documents by clicking on the column heading. For example, click <Status>; documents group by status starting with approved.

- **Request Number** sorts lowest to highest.
- **Date** sorts oldest to newest.
- **Type** sorts alphabetically by document type.
- **Status** sorts approved, pending, denied, returned, posting.
- **Summary** sorts alphabetically by verbiage.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

Features

- Preparers can monitor their documents.
- Preparers can identify where the document is in the processing stream.
- Samsara, pending, or approved documents can be accessed and printed from the Status of Requests menu.
- Changes to documents can be made.

How to Use

- Identify the document needed.
- Click on the summary of that document to access it.
- Review or take action on the document displayed.

VIEW REQUESTS

Features

- Allows an EGMS user to review all EGMS documents created.
- Ability to search documents on specific criteria.
- Search for one document type at a time.
- Anyone can “add a note” to the document.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

Search Options

Searching can be done using any criteria, however, the Start Date and End Date fields are required for any View Requests search. The criteria available in View Requests will vary depending on the type of document being requested.

Start date: Start of time period to search. Will search for documents with an originating date on or after the start date specified.

End date: End of time period to search. Will search all documents with an originating date on or before end date specified.

Request number: The system assigned document number.

Status: Click on box for a drop down menu. The status can be: In process, Pending, Approved, Returned, Denied, Template, Samsara, Posting, or All.

Proposal PI user name: X.500 ID of the Principal Investigator listed on the Proposal Routing Form.

Approver user name: X.500 ID of the person(s) who approves the document.

Preparer user name: X.500 ID of the person who prepared the document.

Proposal contains: The title of the proposal or keyword(s) in the proposal title.

Department contains: The name of a department listed on the Proposal Routing Form.

OK/DENY REQUESTS

An approver’s list of documents waiting to be approved.* This screen will display the list of documents for which the user is a primary approver. If the user is also an alternate approver, a second list can be accessed via the main menu selection <Alternate Approver OK/Deny Requests>.

What is listed

OK/Deny: The clickable field to pull up the document.

Request number: The last digits of the assigned document number.

Date: The date the document was created.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

From: Indicates the X.500 user ID of the person who prepared the document. This is a clickable link to the X.500 directory of this user which allows an email link.

Type: Indicates what kind of document this is.

Status: Indicates where the document is in the approval chain. Should be pending for electronic approvals. Documents that are not receiving electronic approvals will not be listed here.

Summary: Description entered in the Summary of Request field on the document.

For Alternate Approver only:
Primary approver: Indicates the X.500 user ID of the primary approver. This is a clickable link to the X.500 directory of this user which allows an email link.

Notification

Primary approvers:

• FormsNirvana will send email notification of documents awaiting approval, unless the approver turns off the FormsNirvana email feature in the User Preferences menu.

• Daily checking of OK/Deny Requests list by approver.

• Notification from the preparer that a document awaits approval.

Alternate approver:

• Notification from the primary approver to approve document.

• Will not be notified by FormsNirvana email.

* For approval instructions see the following page. Approval Instructions

Note: Do not approve documents on the alternate list unless notified by the primary approver.

From the main menu:

• Click <OK/Deny Requests>.

• Select the document to be approved from the appropriate list.

• Click <OK/Deny> highlighted in blue for the document to be approved.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

- When the document comes up, review it for accuracy and acceptability.
- Note any comments the approver wishes to make in the Comments box at the bottom of the document.

<table>
<thead>
<tr>
<th>Process this Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments</td>
</tr>
<tr>
<td>OK Request</td>
</tr>
<tr>
<td>Return Request</td>
</tr>
<tr>
<td>Deny Request</td>
</tr>
</tbody>
</table>

- Select the appropriate choice to route the document:
  - <OK Request> — to approve the request and send on to the next step in the approval chain.
  - <Return Request> — to return the request to the preparer to correct, change, or hold the document.
  - <Deny Request> — the request is not approved and the form is returned to the preparer for their information. No changes or resubmission of the document can be made once a request has been denied.

Approvers cannot change anything on a document. For changes, return the document to the preparer. When the document is returned to the preparer, the process of collecting approval signatures must be started over.

Note: Regardless of the selection chosen, the Comments box is a method for the approver to communicate to the preparer and subsequent approvers of any issues with the form. It also provides an audit trail for the document as the comments will follow the document throughout its life in FormsNirvana.
Appendix A: Create a PRF in the EGMS Form Database (cont.)

USER PREFERENCES

Send email notifications to me
Select “no” to turn off the email function of EGMS FormsNirvana. Email notifications notification of documents waiting to be approved will no longer occur.

Note: Sending and receiving emails while in FormsNirvana is still possible. It also does not cancel the email notifications of any access modifications to the account.

Alternate Approvers*
Allows a user to indicate up to four alternate approvers. All four alternate approvers will receive documents in their Alternate Approver OK/Deny Requests lists.

Description to appear in...
(30 characters) Changes the description of what can be approved in EGMS FormsNirvana. Purpose is to assist preparers in selecting appropriate approvers for each transaction.

* These options are only available for users who are approvers.
## Terminology

The following terminology is intended to help pre-award and post-award departmental research administrators understand the basic sponsored terminology that is commonly associated with their responsibilities.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accelerated Work Request</td>
<td>Expenses that need to be charged to a project because work planned for a future budget period is begun in the current budget period.</td>
</tr>
<tr>
<td>Advance Account</td>
<td>A financial Chartfield string (project) that is established in the financial system, after the start date and before the award negotiations have been completed in order to facilitate the administrative establishment of a project.</td>
</tr>
<tr>
<td>Allocable</td>
<td>A cost that can be assigned to a project that meets a specific project objective based on relative benefits received. A cost may be allocable to a specific project but paid for by the University, depending on what the sponsor determines is allowable for a particular type of project.</td>
</tr>
<tr>
<td>Allowable</td>
<td>A cost that can be charged to a project per sponsor’s guidelines. A cost may be allowable per sponsor’s guidelines, but if it does not meet any specific project objectives, it is not allocable.</td>
</tr>
<tr>
<td>Budget Period</td>
<td>Internal funding period of an award, usually 12 months. The project period is divided into budget periods for budgetary and funding purposes.</td>
</tr>
<tr>
<td>Carry Forward</td>
<td>Unexpended funds carried from one budget period to another.</td>
</tr>
<tr>
<td>Collaborator</td>
<td>An individual involved with the principal investigator in the scientific development or execution of the project. This individual would typically devote a specific percent of effort to the project and would be identified as key personnel. The collaborator may be employed by, or affiliated with, either the grantee organization or an organization participating in the project under a consortium or contractual agreement.</td>
</tr>
<tr>
<td>Competing Proposal</td>
<td>Proposal for funding that is not guaranteed. This application is pooled with other proposals for review.</td>
</tr>
<tr>
<td>Conflict of Interest</td>
<td>Occurs when an employee compromises professional judgment in carrying out University teaching, research, outreach, or public service activities because of an external relationship that directly or indirectly affects the financial or business interests of the employee, an immediate family member, or an associated entity.</td>
</tr>
</tbody>
</table>
### Terminology (cont.)

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultant</td>
<td>An individual contracted to provide professional advice or services for a fee, normally not as an employee of the hiring organization. In order to prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants may also include firms that provide paid professional advice or services.</td>
</tr>
<tr>
<td>Continuation Application</td>
<td>An application for continued support on current projects already funded by the sponsor.</td>
</tr>
<tr>
<td>Contract</td>
<td>Agreement where the sponsor has more involvement and uses the project to achieve a specific outcome or deliverable. The PI typically applies for funding through the sponsor’s Request for Proposal (RFP). In addition, the project’s work scope is typically conceived by the sponsor and the sponsor typically exercises direction or control of the project’s work scope.</td>
</tr>
<tr>
<td>Cooperative Agreement</td>
<td>Agreement where the sponsor has substantial involvement in determining and completing the project’s work scope and deliverables. The PI typically applies for funding through the sponsor’s Request for Application (RFA). In addition, the project’s work scope is typically conceived by the sponsor and the sponsor partners with the PI/University to produce tangible goods and/or services to the sponsor.</td>
</tr>
<tr>
<td>Copyright</td>
<td>Protects an original work, set down in a fixed form or medium of expression, e.g., texts, computer software, visual and audio materials. It protects the embodiment of an idea, as opposed to the idea itself. A copyright term is 75 years from the date of publication or 100 years from the time the work was created.</td>
</tr>
<tr>
<td>Cost Overrun/Deficit</td>
<td>Direct costs incurred and charged to a sponsored project in excess of the awarded amount.</td>
</tr>
<tr>
<td>Cost Reimbursable</td>
<td>An agreement in which the sponsor funds the project to the extent described in the award notice. The University is reimbursed by the sponsor only for actual costs incurred; any unspent funds revert to the sponsor.</td>
</tr>
<tr>
<td>Cost Sharing</td>
<td>Refers to that portion of the total project costs not borne by the sponsor. Generally, the University of Minnesota refers to labor-related items as cost sharing, while non-labor items as matching.</td>
</tr>
<tr>
<td>Cost Transfer</td>
<td>A direct charge expense transferred from one financial expense account to another after the charge has been posted in a financial accounting record. The most common reasons why cost transfers occur are due to errors or to change an employee’s effort devoted to a sponsored project.</td>
</tr>
</tbody>
</table>
### Terminology (cont.)

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direct Costs</strong></td>
<td>Costs that are identified specifically for a sponsored project. These costs exclusively benefit the sponsored project and its deliverables, and they are generally not costs included in the F&amp;A rate.</td>
</tr>
<tr>
<td><strong>Effort</strong></td>
<td>Work or the proportion of time spent on any activity and expressed as a percentage of total time.</td>
</tr>
<tr>
<td><strong>Effort Certification</strong></td>
<td>An Internet-based system that tracks and reports effort certification data at the University of Minnesota.</td>
</tr>
<tr>
<td><strong>Encumbrance</strong></td>
<td>Funds set aside for outstanding expenses such as payroll/fringe costs, purchase orders, and other commitments for materials or services not yet received.</td>
</tr>
<tr>
<td><strong>Equipment</strong></td>
<td>Any item purchased by a unit consistent with University policies for capitalization. (The capitalization level is $5,000 and greater and a useful life of at least one year.)</td>
</tr>
<tr>
<td><strong>External Sales</strong></td>
<td>An exchange of tangible or intangible property or services between the University and external customers for monetary consideration.</td>
</tr>
<tr>
<td><strong>Facilities and Administrative (F&amp;A) Costs</strong></td>
<td>F&amp;A Cost Rate (or Indirect Cost Rate) - Composite rate applied to sponsored projects as a percentage of the sponsored project’s direct costs for the purpose of charging the sponsored project its share of the University’s indirect/F&amp;A costs. The federally negotiated Indirect/F&amp;A Cost Rates for research and other sponsored activities are developed by the University in accordance with the Uniform Guidance 2 CFR 200 and negotiated with the Department of Health and Human Services (DHHS), the University’s federal cognizant agency. Example: “The indirect costs for a project are computed by multiplying the applicable direct costs by the indirect cost rate.” The University uses the term F&amp;A cost rate on its forms. The Federal Government requires that certain costs are excluded before the rate is calculated; other sponsors may allow all direct costs or only certain costs to be included before the rate is calculated – see “MTDC”.</td>
</tr>
<tr>
<td><strong>Fast Lane</strong></td>
<td>An interactive real-time system used to conduct NSF business over the Internet – from completing proposal forms to inquiring about the status of proposals to submitting reports.</td>
</tr>
</tbody>
</table>
Terminology (cont.)

Fiscal Year (FY) Any 12-month period for which the institution monitors its annual accountability. At the University, this period is July 1 through June 30.

Fixed Fee In a fixed fee award, the PI agrees to accomplish project objectives within a specific time frame for a set dollar amount per patient, per hour, or other unit. The total award amount is based on an estimated number of units and is subject to downward adjustment based on the actual number of units completed. Sponsor approval is required to exceed the estimated number of units. The fee per unit remains constant, even if the actual cost per unit is above or below that amount. Any overexpenditures are the responsibility of the department, and earned unspent revenue does not revert to the sponsor. If the deliverables are not completed within the award period, the contract must be extended.

Fixed Price In a fixed price award, the PI agrees to accomplish project objectives within a specific time frame for a set dollar amount. If the deliverables are not completed within the award period, the contract must be extended. The award amount also remains constant, even if actual costs for the project are above or below it. Any overexpenditures are the responsibility of the department, and unspent funds do not revert to the sponsor.

Gift Money or property transferred to the University via a recognized University foundation that is not intended to result in direct economic benefit, goods, or services to the donor.

Grant Awarded to the University as additional resources to support instruction, research or public service. The PI typically requests funding from the sponsor through an application kit or the sponsor’s guidelines for receiving funding. In addition, the project’s work scope is typically conceived by the PI and the sponsor typically has little or no involvement in carrying out the work scope.

Indirect Costs (IDC) See “Facilities and Administrative (F&A) Costs.”

IDC Rate or F&A Cost Rate A composite rate applied to sponsored projects as a percentage of the sponsored project’s direct costs for the purpose of charging the sponsored project its share of the University’s F&A/IDC’s.

In-Kind The University considers “in-kind” to be interchangeable with “matching” or “cost sharing,” but the term may refer to costs borne by
Terminology (cont.)

an external organization, for example, when individuals at another organization volunteer their time.

**Invention**
A patentable invention is any new and useful process, machine, article of manufacture, or composition of matter, or new and useful improvement thereof (35 United States Code 101).

**Inventor**
All personnel who produce a development that must be disclosed to the Office for Technology Commercialization in accordance with the Regents’ Patents and Technology Transfer Policy.

**Late Charge**
Expenses for items or services that are received after the project end date.

**License**
Legal permission from a patent owner to practice an invention. The license term is negotiated with the licensee.

**Mandatory Cost Sharing**
Cost sharing that is required by the sponsor, is stated on the Notice of Grant/Contract Award (NOGA), must be documented, and must be reported to the sponsor.

**Mandatory Matching**
Matching that is required by the sponsor, is stated on the Notice of Grant/Contract Award (NOGA), must be documented, and must be reported to the sponsor.

**Matching**
The terms “cost sharing,” “matching,” and “in-kind,” refer to that portion of the total project costs not borne by the sponsor. The University generally refers to matching when looking at nonlabor items. Cash funds are usually required by sponsors for equipment acquisition programs, specialized research centers, or other multi-disciplinary programs. Typically these funds are provided by the institution.

**Material Transfer Agreement (MTA)**
A contract between institutions that dictates the terms of transfer of research materials from the donor institution to the recipient. The purpose of the MTA is to protect the intellectual property rights, as well as other rights, of the provider while permitting research with the material to proceed. Unlike other types of sponsored projects, the agreement does not involve an exchange or payment of dollars.

**Modified Total Direct Costs (MTDC)**
Total direct costs less certain budget categories. Budget categories to be subtracted from total direct cost for the federally negotiated (MTDC) IDC rate are as follows: equipment, capital expenditures, charges for patient care and tuition remission, rental costs,
scholarships, and fellowships, participant support costs and the portion of each subaward and subcontract in excess of $25,000 (OMB Federal Regulations 2 CFR 200 section 200.68).

**Modular Budget**  
Modular application form to be used for NIH proposals applications with direct costs of $250,000 or less per year. Totals are calculated by taking the total direct cost for the project, dividing the total by the number of project years to find the average yearly cost, and then rounding the average amount up to the nearest $25,000.

**Non-Competitive Renewal**  
For multi-year projects, sponsors may require annual applications for continued funding. These applications do not compete for funds.

**Notice of Award (NOA)**  
A sponsor’s official notification that an award was made to the applicant.

**Notice of Grant Award (NOGA)**  
An internal University document that provides information regarding the award’s important terms and conditions. It should be referred to by PIs and departments to provide guidance in managing the project.

**Other Support**  
All financial resources, whether federal, nonfederal, commercial, or institutional, available in direct support of an individual’s research endeavors, including but not limited to research grants, cooperative agreements, contracts, or institutional awards. Training awards, prizes, or gifts are not included.

**Patent**  
A grant of property by the United States government to the inventor giving the owner the right to exclude others from making, using, offering for sale, or selling the invention in the U.S. or importing it to the U.S.

**Pre-award Account**  
A financial Chartfield string (project) that is established in the financial system to facilitate administrative establishment of project and to allow for work to begin before the project start date.

**Pre-award Costs**  
Costs incurred prior to the start date of an award.

**Program Income**  
Gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award.

**Project Period**  
The total time for which support of a project has been programatically approved. A project period may consist of one or more budget periods.
## Terminology (cont.)

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal</td>
<td>A complete document that contains all the information necessary to describe proposed project plans, staff capabilities, and requested funds.</td>
</tr>
<tr>
<td>Proposal Routing Form (PRF)</td>
<td>Used by the University for the internal proposal review and approvals process and is not transmitted to a sponsor.</td>
</tr>
<tr>
<td>Rebudgeting</td>
<td>Shifting or rebudgeting dollars among budget lines within the same financial account.</td>
</tr>
<tr>
<td>Request for Application (RFA)</td>
<td>Announcement that indicates the availability of funds for a topic of interest to a sponsor. Examples include: Public Announcement (PA) and Funding Opportunity Announcement (FOA).</td>
</tr>
<tr>
<td>Request for Proposal (RFP)</td>
<td>Announcement that specifies a research topic, methods to be used, product to be delivered, and appropriate applicants sought.</td>
</tr>
<tr>
<td>Sponsor</td>
<td>Individual or organization that provides funds to support a project.</td>
</tr>
<tr>
<td>Sponsored Project</td>
<td>An externally funded activity that is governed by specific terms and conditions. Sponsored projects must be separately budgeted and accounted for subject to terms of the sponsoring organization. Sponsored projects may include grants, contracts, and cooperative agreements for research, training, and other public service activities.</td>
</tr>
</tbody>
</table>
### Terminology (cont.)

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Subaward</strong></td>
<td>An agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. In this arrangement, the grantee contracts for the performance of a substantial or a significant portion of the activities, to be conducted, under the award. These agreements typically involve a specific percent of effort from the consortium organization's principal investigator and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including facilities and administrative costs.</td>
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<tr>
<td><strong>Supplemental Proposal</strong></td>
<td>A proposal requesting additional funds to complete an already approved project.</td>
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<tr>
<td><strong>Total Direct Cost (TDC)</strong></td>
<td>All of the project’s direct costs.</td>
</tr>
<tr>
<td><strong>Total Project Costs</strong></td>
<td>The total allowable direct and indirect costs of a project.</td>
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<tr>
<td><strong>Trademark</strong></td>
<td>A name, work, symbol, or device which allows the trademark owner to dictate its use in identifying a product, e.g., logos and brand names.</td>
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<tr>
<td><strong>Unallowable Cost</strong></td>
<td>A cost that cannot be charged to a project per the sponsor’s guidelines.</td>
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<tr>
<td><strong>Unrestricted Funds</strong></td>
<td>Funds having no requirements or restrictions as to use. Grants, contracts, and cooperative agreements are considered to be restricted funds.</td>
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<tr>
<td><strong>Unsolicited Proposal</strong></td>
<td>Investigator initiated proposal submitted to a sponsor that is not in response to a RFP, RFA, or program announcement.</td>
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<td><strong>Voluntary Cost Sharing</strong></td>
<td>Cost sharing/matching that is not required by the sponsor, is stated in the application and noted on the Notice of Grant/Contract Award (NOGA), and although not reported to the sponsor, must be documented through established procedures.</td>
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## Resources

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<th>Service</th>
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<tr>
<td>Academic and Distributed</td>
<td>612-301-4357</td>
<td><a href="http://www.umn.edu/adcs">www.umn.edu/adcs</a></td>
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<tr>
<td>Computing Services</td>
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<td>Accounting Services</td>
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<td>Audits</td>
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<td><a href="http://www.umn.edu/audit">www.umn.edu/audit</a></td>
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<td>Budget and Finance</td>
<td>612-625-4517</td>
<td><a href="http://www.budget.umn.edu">www.budget.umn.edu</a></td>
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<tr>
<td>Controller’s Office</td>
<td>612-624-1617</td>
<td><a href="http://www.finsys.umn.edu/controller/controllerhome.html">www.finsys.umn.edu/controller/controllerhome.html</a></td>
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<tr>
<td>Disbursement Services</td>
<td>612-624-1617</td>
<td><a href="http://www.finsys.umn.edu/disbursement/disbursementhome.html">www.finsys.umn.edu/disbursement/disbursementhome.html</a></td>
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<tr>
<td>Duluth Campus</td>
<td>218-726-7582</td>
<td><a href="http://www.d.umn.edu/spa">www.d.umn.edu/spa</a></td>
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<tr>
<td>(Sponsored Projects Office)</td>
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<tr>
<td>Effort Certification and Reporting Technology (ECRT)</td>
<td>612-624-1600</td>
<td>ecrt.eresearch.umn.edu</td>
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<td><a href="http://www.ospa.umn.edu/effort">www.ospa.umn.edu/effort</a></td>
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<td>612-624-8044</td>
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<tr>
<td>Electronic Grants Management System (EGMS)</td>
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<td><a href="http://www.egms.umn.edu">www.egms.umn.edu</a></td>
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<td>Environmental Health &amp; Safety, Dept. of</td>
<td>612-626-6002</td>
<td><a href="http://www.dehs.umn.edu">www.dehs.umn.edu</a></td>
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<td>Fastlane (National Science Foundation)</td>
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<td><a href="http://www.fastlane.nsf.gov">www.fastlane.nsf.gov</a></td>
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<td>Guide to Research Compliance</td>
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<td><a href="http://www.research.umn.edu/complianceguide">www.research.umn.edu/complianceguide</a></td>
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<td>Human Resources/ Payroll Call Center</td>
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<td>Information Technology, Office of</td>
<td>612-301-4357</td>
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<td>Institutional Biosafety Committee (IBC)</td>
<td>612-626-2161</td>
<td><a href="http://www.ibc.umn.edu">www.ibc.umn.edu</a></td>
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<td>Institutional Compliance, Office of Code of Conduct</td>
<td>612-624-3446</td>
<td><a href="http://www.instcomp.umn.edu">www.instcomp.umn.edu</a></td>
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<tr>
<td>International Student and Scholar Services</td>
<td>612-626-7100</td>
<td><a href="http://www.isss.umn.edu">www.isss.umn.edu</a></td>
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<td>Morris Campus (Grants Development Office)</td>
<td>320-589-6465</td>
<td><a href="http://www.morris.umn.edu/grants">www.morris.umn.edu/grants</a></td>
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<td>Payroll</td>
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<td>Records and Information Management</td>
<td>612-625-3497</td>
<td>recmgmt.finop.umn.edu</td>
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<td>Regulatory Affairs, Office of</td>
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<td>Animal Welfare</td>
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<td>Conflict of Interest</td>
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<td>Controlled Substances</td>
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<td>Human Research (Clinical Monitoring)</td>
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<tr>
<td>Research Education &amp; Oversight</td>
<td>612-625-9057</td>
<td><a href="http://www.research.umn.edu/reo">www.research.umn.edu/reo</a></td>
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<td>Certified Approver Program</td>
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<td>Research Subjects Protection Program</td>
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<td>Institutional Animal Care &amp; Use Committee (IACUC)</td>
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<td>Institutional Review Board (IRB)</td>
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</table>
Resources (cont.)

Sponsored Projects 612-624-5599 www.ospa.umn.edu
Administration

SPIN (Sponsored Programs Information Network)

UReport 866-294-8680 www.ureport.ethicspoint.com
(EthicsPoint: confidential service for reporting policy violations)

University Financial Helpline 612-624-1617 www.finsys.umn.edu/helpline.html

U-Wide Libraries www.policy.umn.edu

- Delegations Library
- Financial One Stop (Process Flow)
- Forms Library
- Policy Library
- Standard Contracts Library

Vice President for Research, 612-625-3394 www.research.umn.edu
Office of the

- Fostering Integrity in Research, Scholarship, & Teaching (FIRST)
- Oversight, Analysis, and Reporting
- Research Subjects’ Protection Programs
- Sponsored Projects Administration
- Technology Commercialization, Office for
- Licensing Center
- Venture Center