Common DSS/Proposal Questions

1. What is the document summary sheet (DSS)?

   The University uses the DSS to collect needed information about proposals and to document the necessary approvals of the proposal.

2. When is a DSS required?

   A DSS is required for all new proposals and submissions, including letters of intent and preproposals that require University's authorization. A new DSS may also be required if: There are any significant changes in the scope of work or research plan on an existing project, new assurances are required , there is a gap on the project period end date on an existing project and the start date on the supplemental award, carry-over is not allowed. **OSP should be contacted if there is any uncertainty about whether a new DSS will be required. At this time an REU supplement request does not require a DSS, if the statement of work is not changing significantly.

3. How do I begin the DSS process?

   Visit the CS website www.cs.utah.edu, click on Faculty Information (left side tool bar) and click on proposal submission for DSS form. Complete all of the necessary fields and submit. The completed form will be sent to the School of Computing accountant team. One of the SoC accountants will reply to your email and begin working on your DSS.

4. What other paperwork does OSP require in addition to the DSS?

   A final budget with justification, a proposal summary, and all completed subcontract forms and approvals, if applicable. Note: Multiple signatures are required when a Co-PI is from another department and/or college. Once the DSS is complete and all of the required documents are present then the DSS packet is ready for approvals. After the necessary approvals have been obtained, the signed DSS is then given to OSP either electronically or in hard copy format.

5. What signatures are necessary for the DSS?

   The following signatures are required on the DSS. The principal investigator (PI) and any Co-PIs. The department chair (or equivalent) and the department dean (or equivalent). Currently , in the SoC Ellen Riloff is signing for the department chair and Eric Eddings is signing for the department dean.

6. What is involved in the signature process?

   In the School of Computing the approvals are obtained electronically. When the DSS packet is complete email will be used to obtain all of the required signatures. The approval process begins with an email being sent to the PI, once the PI's approval is received then an email will be sent to the Co-PIs, chair and dean. After the electronic approvals are obtained the DSS packet with the email chain of approvals is sent to OSP.

7. What are the deadlines for handing in the completed DSS to OSP?

   OSP requires the signed DSS packet (DSS, budget, justification and proposal summary) 5 business days before the agency's deadline. It is recommended that the DSS packet be completed and ready for signatures at least 7 business days before the deadline because it can take up to two days to obtain all of the necessary approvals.

8. Before OSP submits a proposal how much time is required for an adequate review of the proposal?

   OSP prefers 3 days to review an NSF proposal before submission and 5 days to review a grants.gov proposal. However by working with the SoC contact at OSP: Laurel Duncan, Tel: 801-581-3006 Laurel.Duncan@osp.utah.edu other arrangements can be made IF you contact her ahead of time to understand her schedule (yours is not the only proposal being submitted!) OSP is quite helpful as long as advance notice is given. **Please keep in mind that proposals that are given to OSP with less

time for review jeopardize a thorough review and risk being rejected by the sponsor for incomplete or improper information and/or format; or simply outright failure to proposal submissions.

9. Does each proposal submission need to go through OSP for review?

Yes, each proposal must be reviewed and submitted by OSP. The primary reasons for this are: 1. To assist the PI in creating and submitting a proposal that is within sponsor guidelines by ensuring that the proposal is complete and it represents the University and the investigator in a positive way. 2. That the award is made to the University, not the Principal Investigator and therefore OSP has the legal and the fiduciary responsibility to ensure that all University, sponsor, state and federal regulations, laws and policies are met.

9. What is necessary when submitting a single proposal with subcontracts?

The lead institution is responsible for submitting the complete proposal to the funding agency. A section should be included in the project narrative that describes the role of the collaborating institution. The lead should collect the following from the collaborators for inclusion in the proposal:
1. A cover sheet (usually the funding agency's cover form) signed by the collaborator's principal investigator and authorized organizational representative. Collection of the fully-signed cover sheet is important because by signing this form, the collaborator makes a number of assurances and certifications that are required of a recipient of Federal funds. In addition, the signature of the authorized organizational representative indicates that appropriate officials of the collaborator have reviewed the proposal and have committed the organization to participating in the project.
2. Assurances/Certifications if the funding agency has forms containing these separate from the cover sheet
3. A budget (preferably on the funding agency's budget form) for each project year and a cumulative, including the collaborator's indirect costs.
4. A current curriculum vitae for each of the collaborator's principal personnel
5. A list of current and pending support for each of the collaborator's principal personnel
6. A scope of work describing the role and tasks to be conducted by the collaborator. This should be included in the main project narrative. If an award results from the proposal, the collaborator's scope of work will be attached as an exhibit to the sub award agreement
7. The National Institutes of Health requires, in addition to the items above, a completed checklist page containing the collaborators indirect cost calculations and a letter of collaboration signed by the principal investigators and authorized organizational representatives of the lead and collaborating organization(s). The letter must include the following statement: "The appropriate programmatic and administrative personnel of each institution involved in this grant application are aware of the NIH consortium grant policy and are prepared to establish the necessary inter-institutional agreement(s) consistent with that policy." Specific instructions are included in a document called "NIH Grants Policy Statement" issued by NIH.

10. What is necessary when collaborators submit separate proposals simultaneously to NSF?

The National Science Foundation has established procedures for simultaneous submission of proposal via FastLane.

1. The project title must begin with "Collaborative Research:" and be identical to the lead.
2. Each of the institutions involved must initiate their own proposal in FastLane.
3. On the cover sheet, the writer should identify only those PI's and co-PI's affiliated with their institution
4. The lead institution prepares, in FastLane, all required forms for that institution (cover sheet, budgets and justification, current and pending support, facilities description, and bio sketches) and the project summary, project description, all supplementary documents, and references cited.
5. Each collaborator prepares in FastLane its own cover sheet, budget and justification, current and pending forms, facilities description, and bio sketches specific to their institution. Collaborators do not include the project summary, project description, or references cited.
6. Non-Leads assign their proposal a PIN via the "Proposal Actions" page.
7. Before the lead organization transmits the proposal to NSF, each collaborator provides the FastLane Temporary Proposal ID number of their proposal to the lead organization. The lead enters in the main proposal the Temporary Proposal ID number for each collaborator using the "Link Collaborative Proposals" function located on the "Form Preparation" screen.
8. Each institution (lead and non-lead) then hits the "Allow SRO Access" button to submit their proposal to their respective Grants & Contracts Officer.
9. Once this has been accomplished, the lead organization and each collaborator may transmit their proposals to NSF. The main proposal and each collaborator proposal are assigned an "NSF Proposal Number" which appears in the upper right corner of the cover sheet following electronic transmission.
10. Each collaborator should provide this number to the lead organization which will include a list of collaborators and their NSF Proposal Numbers with the hard copy of the original certification form that must be mailed to NSF within 5 days after electronic transmission of the proposal

11. When are F&A waivers necessary?

A waiver is required when there is a difference between the University's approved F&A rate and the sponsor's F&A rate. Waivers are rarely given except in exceptional circumstances. Before a waiver can be used, it must be reviewed by OSP, to be sure the project is applicable and follows the guidelines of the waiver, and approved by the Vice President for Research.

12. What F&A waivers have been approved by the V.P. for Research?

Institutional F&A waivers that have been approved by the Vice President for Research include:
1. Undergraduate wages and research support projects (i.e. NSF Research Experiences for Undergraduates). Note: The proposal budget to the sponsor should include all applicable F&A.
2. Project transfers in cases where the prior institutions F&A rate is lower than that of the University.
3. Written universal policy. "Written and universal" policies of paying a specific Facilities and Administrative (F&A) rate for all similar agreements regardless of which institution or site is the recipient of the funds, the University will accept that rate. A "written and universal" policy means the Sponsor has as a matter of organizational policy or procedure, a single F&A rate that applies at all times for all similar awards, situations, or conditions.
In these cases, the principal investigator or sponsor will need to supply a copy of the sponsor's policy and/or guidelines at the time of proposal review or agreement negotiation. This policy, if not published in a request for proposal or sponsor guidelines, must be on the sponsor's letterhead and signed by the sponsor's authorized official.

13. When is the interdepartmental/Intercollegial F&A distribution agreement required?

If investigators on a proposed project, including the principal investigator, come from more than one college or department . The F&A Distribution Agreement provides a vehicle for all centers, institutes, departments and colleges represented by project staff to agree upon a method of distributing the funding and sharing F&A payments made to the University.
In addition to overhead, this agreement dictates the percentage of the total award to be distributed to other colleges and/or departments. This agreement should be submitted as part of the DSS packet.
**If a PI decides to establish a separate project number for, what is essentially an internal sub-recipient, and assign a project executive (PE) to administer and oversee funding separately, the F&A distribution agreement is unnecessary.

14. After a grant/contract is awarded how is the project set-up?

When all negotiations are complete and the Office of Sponsored Projects (OSP) receives the signed award notice/contract, OSP will complete a Project Information Sheet (aka Bucksheet). A copy of the award notice/contract will be sent to the PI and to Grants and Contracts Accounting.
The information that is required to complete the Project Information Sheet is usually available to the administrator either on the Document Summary Sheet submitted at the time of the proposal or in the award notice/contract.

15. Is a new DSS required if additional or incremental funding is received or if there is a change in the award information (i.e.. Budget modification, amendment, etc)?

A new Document Summary Sheet is generally not needed for adding funding or making changes to an existing project. Multiple projects may be established for any award at the request of the Principal Investigator. However, multiple projects do not exonerate the named Principal Investigator of the overall responsibility of the entire sponsored project.

16. What if the PI would like to have the project set-up prior to the receipt of a complete award document?

A preliminary project can be established. The PI initiates the preliminary project request by completing a preliminary project form. Contact OSP prior to requesting a preliminary project to discuss pre-award spending and potential risks.