# Grant Proposal Guide

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INTRODUCTION

The Krieger School of Arts and Sciences is providing the following guide as a useful tool for the processes used when preparing proposals for the submission to obtain funding. A workgroup consisting of Departmental Administrators, Research Service Analysts and Sponsored Projects Officers have developed the content. All members in the workgroup are involved with the proposal process as it relates to their own and similarly functioning departments.

The goal has been for all the Krieger School of Arts and Sciences departments to have a common source of information for the grant proposal process. This guide was developed for Principal Investigators (PIs), Departmental Staff – primarily Department Administrators (Admins) and Research Search Analysts (RAs) – as well as Sponsored Research Officers (SPOs). The content provides a comprehensive source for those both new to and our established users of the intricacies of Sponsored Projects and provides a general guideline for all to use during the grant submission process. Templates that may be altered to fix grant specific needs have been included. For those staff and faculty who are new, please be sure to read the next section entitled “New to Doing Proposals” to give you some basic background.

This guide may also be viewed in Sponsored Projects section of the Krieger School of Arts and Sciences Pathway to Electronic Resources (more commonly known as KASPER) website at http://www.jhu.edu/kasper/sponsored_projects/. Each section of this guide is accessible as an individual .pdf document but the Guide in its entirety was also made as an all-inclusive .pdf document that has active links and bookmarks for easy navigation.
NEW TO DOING PROPOSALS?

What is a Proposal?
A proposal is a document used to apply for sponsored program funds. Most agencies have specific requirements for proposals being submitted for funding. Program announcements for specific programs often include detailed requirements. Although there is no such thing as a generic proposal, a number of major components do recur throughout most proposals. These major elements are: project specific aims and research strategy, personnel capabilities, duration of project, environment of work, facilities available and funds requested with justification.

Where do I find information about the sponsor?
Use your search engine of choice to find the sponsor online. A sponsor’s website will contain the most up to date information about how to prepare and submit a proposal to the organization. A sponsor’s website should also provide pertinent information for any restrictions or regulations on a particular proposal (such as no or limited Facilities & Administration (F&A) costs, equipment limitations, allowable types of personnel, etc).

Where do I find information about the Proposal/Program Announcement?
If the proposal you are working on has a specific Proposal/Program Announcement (PA) number, do an Internet search for that announcement number and you will get a link to the appropriate document. If not, try the sponsor’s website and there should be specific announcements there.

What departments will I work with when I prepare the proposal?
Aside from your own Department, the only other Department who needs to be involved is the Krieger School of Arts & Sciences (KSAS) Business and Research Administration (BARA) office. They can be contacted at:

BUSINESS AND RESEARCH ADMINISTRATION
Mergenthaler Hall, Suite 225, 3400 N. Charles Street
Baltimore MD 21218-2685
Phone: (410) 516-8841 (Research)
Phone: (410) 516-8218 (Business)
FAX: (410) 516-5063
EMAIL: KRA@resource.ca.jhu.edu

Use their website or contact the BARA office directly to find out who is your specific Sponsored Projects Officer (SPO). Each department in KSAS is assigned a point of contact.

Need additional resources?
Check out the Useful Links page in this guide.
NEW TO COEUS?

What is Coeus?
The Coeus® system, named after the Greek titan of intelligence, was originally designed and developed by MIT in the early 1990s to manage proposal and award information. As the success of the system grew, additional modules were developed, including Proposal Development, Conflict of Interest, Subcontracts, Person, Institutional Review Board (IRB), and Negotiation.

Coeus is a Java® J2EE application with an Oracle® database backend; this technology enables users on any operating platform to access the application via their web browser. The client graphical user interface found in Coeus Premium provides all the tools users need for research administration. With the new web interface, CoeusLite™, users can easily create, route, and submit proposals to federal agencies.

Coeus contains comprehensive Sponsor and Organization tables that can be used across the software system’s many modules. Within Coeus, application-defined user roles restrict or provide access to Coeus modules and functions, based on the roles and rights assigned to the individual. Those roles and rights can be associated with organizational units.

How does Johns Hopkins University use Coeus?
The Coeus system is how we record proposals internally as well as for submission of certain grant applications. After the Principal Investigator (PI), Department Administrator (Admin) and/or Research Service Analyst (RSA) load and route all documents of the proposal to Business and Research Administration (BARA), your Sponsored Projects Officer (SPO) will need to approve the submission. Your SPO will then directly submit documents that we load into Coeus to the sponsor for system-to-system proposals. When one is not doing a system-to-system proposal, certain proposal information needs to be entered into Coeus for approval by BARA before submission of the proposal, regardless of the fact that it will not be submitted to the sponsor via Coeus.

How do I know if it is system-to-system or otherwise?
Currently, Coeus is primarily integrated with the Federal Government’s single portal Grants.gov (see further details in the Glossary), therefore allowing system-to-system submissions for most types of proposals. Fastlane, another major governmental grant submission system (see more details in the Glossary), is not yet compatible with Coeus and therefore not a system-to-system submission. If the sponsor is a small foundation, it probably has its own submission system or requires submission via email. Generally, ask your SPO for advice.

If not system-to-system, what do I need to enter into Coeus?
Within the section of the Appendices are the instructions on how to enter the pertinent information for a proposal that is Non-Coeus.
Why do we need to record proposals internally?
This is how your SPO checks your proposal data for accuracy. The Johns Hopkins Enterprise also runs campus wide reports, which are created using the information from Coeus to gain statistical information on research proposed by the University.

For more information...
For staff members, classes will most likely be required and you will need to be given permission to access Coeus. Speak to your supervisor to ascertain what courses are best for you. For faculty who may be interested in learning more about the systems Johns Hopkins University uses for grant submissions, speak with your Department Chair or Administrator for additional information.
PRINCIPAL INVESTIGATOR RESPONSIBILITIES
PRINCIPAL INVESTIGATOR (PI) RESPONSIBILITIES

A. When you are planning to submit a Proposal to an agency:

1) Be sure this is the most appropriate agency to apply for funding; look at all the options in your field. Always feel free to talk to your Department Chair, senior faculty members, the appropriate vice dean, and former mentors or collaborators for advice and directions. Try to stay aware of new opportunities. You do not need to apply to only one agency your entire career as agencies and funding mechanisms change and frequently overlap.

2) Once the appropriate agency or agencies are chosen, talk to the Program Officer at the agency from whom you would like to seek funding and speak to them about the appropriateness of your proposal, availability and likelihood of funding, and any other questions or concerns you may have. You should also seek their advice about any decisions you may have to make about the appropriate review panel to suggest and/or the identity of appropriate reviewers. It is desirable that you form a relationship with this person since this will be your point of contact at the agency.

3) Read Program Announcement and subsequent notices, revisions or updates, and know your agencies current regulations. Read announcement with special attention to:

   a) Due Date
   b) Budget Limitations/Requirements
   c) Text Requirements/Formatting
   d) Allowable Costs
   e) Method of Submission
   f) Import/Export Law Application
   g) Use of foreign nationals/collaborators
   h) Restrictions on publications
   i) Access requirements to agency secure websites
   j) Human Subject/Animal requirements

4) Inform your Department Administrator (Admin) and/or Research Service Analyst (RSA) who will be handling your proposal, your intent to submit a proposal at least two (2) to six (6) months prior to the due date of the submission.

5) The Admin/RSA will send you the Initial Proposal Questionnaire (IPQ). Review and answer the Initial Proposal Questionnaire that the Admin/RSA sends you then return it as soon as possible.

6) Based on your answers to the Initial Proposal Questionnaire, you will receive a Proposal checklist. You are responsible to produce all of the documents listed on the Proposal checklist.
7) Set up an “in person” meeting with your Admin/RSA to further discuss any proposal issues and/or concerns.

B. Meet with the Admin/RSA:

1) Review the budgetary information on the IPQ.
   A standard, non-modular budget requires a thorough breakdown of your budget. Please keep the following items in mind when proposing a non-modular budget:

   a) Personnel and their effort
   b) Graduate students and tuition
   c) Equipment and supplies
   d) Special review, animal costs, human subject costs
   e) Travel, domestic and foreign
   f) Participant costs (where applicable)
   g) Compliance, export, conflict of interest
   h) Subawards
   i) Consultants
   j) Data management costs, as necessary (predominantly for NSF proposals)
   k) Facilities and Administrative Costs (F&A)
   l) Cost sharing

   A modular budget establishes specific modules or increments in which direct costs must be requested, as well as a maximum level for requested budgets of $250,000 direct costs (excluding any consortium F&A costs). The modular grant application does not require a categorical breakdown of direct costs requested in the application; however, other requirements may still apply. Application directions should be reviewed for specific modular instructions. Regardless that the agency may not need a breakdown, you should ensure your budgetary needs fit within each module you propose and some departments may require a general budget breakdown to verify this. Please keep the following items in mind when proposing a modular budget:

   a) Justification of personnel costs
   b) Justification of consortium costs
   c) If modules vary, provide an additional budget justification.

2) Discuss items from the program announcement/solicitation that need clarification.

3) Discuss and agree on the proposal timeline that the Admin/RSA will provide. The Admin/RSA will email an updated approved timeline. Following the timeline will result in adequate time for everyone involved to review the information, upload proposal documents into Coeus (the routing software for grants; see explanation in “What is Coeus”) or any other electronic submission site. Most importantly this
will ensure that the sponsor receives all documentation required in a timely manner.

4) Complete the blank copy of the Research Compliance Questions, Yes/No Questions and Certifications as per University policy. Sign and date the form.

5) If there are subawards for this proposal, provide the subawards PI contact information and the person at the subaward institution that will be responsible to get the required information to the Admin/RSA.

**Note:** If not available for an in person meeting, you can accomplish the above steps through email. Let your Admin/RSA know that your schedule prohibits a meeting.

C. Proposal Development tasks:

1) The Admin/RSA will send you a budget for approval.

2) Ensure that you and critical collaborators are registered in the submission system of the agency from where you seek funding. Check that all profile information in the submission system is up to date. Your profile online with the agency must match your Biosketch and it is particularly important to ensure that your degree information is in the agency specific submission system.

3) Send completed documents as identified in the Proposal Checklist to the Admin/RSA as soon as they are ready. Ultimately the application must adhere to all required criteria and the format, page restrictions, supplemental material or appendices must be formatted correctly prior to submission.

4) The Admin/RSA will check in with you periodically in regard to the approved timeline and verify whether the timeline dates can be met.

5) The Admin/RSA will update you on which documents are still needed.

6) All documents are due to the Admin/RSA seven (7) business days before submission. Let the Admin/RSA know of any problems.

7) As documents are reviewed by the Sponsored Projects Officer (SPO), there may be changes needed. The changes need to be provided as quickly as possible.

D. If the sponsor awards your grant:

1) When you receive notification from the agency that you have been awarded let your Admin/RSA know.
2) The grant will be set up in the SAP system (the internal software system for all finances at the University; see the Glossary) and the Admin/RSA and SPO will provide the grant and Internal Order (IO) number for your records. Ensure that the appropriate person(s) receives the new IO number so expenses will be charged to the appropriate account.

3) The Admin/RSA will contact you if any salary changes need to be made.

4) If there are subawards on the grant you will need to sign the subaward form that will be filled out by the Admin/RSA. This will allow an IO to be set up for the subaward.

E. If the sponsor does not award your grant:

1) If not awarded, inform your Admin/RSA as soon as possible. The Coeus record will need to be updated to reflect the current status.

2) If you withdraw the proposal, again, inform your Admin/RSA as soon as possible. The Coeus record will need to be updated to reflect the current status.
RESEARCH SERVICE ANALYST
RESPONSIBILITIES
RESEARCH SERVICE ANALYST (RSA) RESPONSIBILITIES

Do note: In some departments, there may only be a Department Administrator (Admin) handling grant submissions. The instructions written for both the Principal Investigators (PI) and the Sponsored Projects Officer (SPO) references steps involving the Admin and/or RSA. For this particular set of instructions, we are directing the entire set of instructions towards the RSA of the department, since typically that is who will be submitting grant proposals rather than an Admin. However these responsibilities are, overall, the responsibility of the Department as a whole regardless of position.

A. When contacted by a PI of their intention to submit a proposal:

1) The PI may have questions about most appropriate agency to apply for funding; particularly if they are new faculty members, be sure they know to look at all the options in your field. Ensure that the PI can always feel free to ask the Department Chair, senior faculty members and former mentors or collaborators for advice and direction. The PI does not need to apply with only one agency his or her entire career as agencies and funding mechanisms change and frequently overlap.

2) Send the PI the Initial Proposal Questionnaire (IPQ). Ask the PI to complete and return it to you as soon as possible.

B. When IPQ is returned:

1) Read the program announcement/solicitation and be aware of any additional current regulations for the agency.

2) Send the PI the “Proposal Checklist: Documents Needed for Proposal” of the documents that will be required for their Proposal, specific to that agency. Proposal Checklists are available for National Institutes of Health (NIH), National Science Foundation (NSF), National Aeronautics and Space Administration (NASA), as well as a Generic version in the Templates section (the generic version can be modified by the RSA as needed for any other agencies, but all checklists can be modified to be used as needed).

3) Begin a Coeus record with the information that the PI gave you on the IPQ. Depending on your department’s practices, you will want to start a paper file and/or a virtual file for this proposal.

4) Email the Sponsored Projects Officer (SPO) that you have started a Coeus Proposal. Include the following information:
   a. Coeus Proposal Development (PD) number
   b. Name of PI
   c. Agency/sponsor
   d. Due date
5) Develop and send the PI a timeline for proposal submission and set up a meeting with the PI.

C. Meet with the PI to:

1) Review the budgetary information that the PI has given you on the IPQ.

2) Review items from the program announcement/solicitation that need clarification for the RSA or the PI.

3) Discuss the timeline and adjust accordingly to the PI’s input and reach an agreement. The RSA should email the PI the approved timeline.

4) Have a blank Research Compliance Questions, Yes/No Questions and Certification Questions form ready for the PI to fill out, date and sign.

5) If there are to be Subawards, obtain the PIs’ name and addresses for the Subaward institutions and the name, email and telephone number of the person responsible for the paperwork they will be sending us. For more information, review the Subaward section.

Note: If the PI is not available for an in person meeting, you can accomplish the above steps through email.

D. Proposal Development tasks:

1) Create the budget, and then send it to the PI for review and approval. You may develop several budget scenarios with the PI.

2) When budget is approved, enter the budget into either Coeus Premium or Coeus Lite.

3) When you have the PI’s signed Research Compliance Questions, Yes/No Questions and Certification, manually answer the questions in Coeus and UPLOAD the PI’s signed copy of the questions in Coeus under “Upload Institutional Attachments” as a single Adobe PDF document.

4) Check in with the PI regarding the Timeline and to ensure they will be able to get the documents in to you in a timely manner.

5) If you are getting closer to the due date and there is a substantial difference from the approved timeline, check with the PI and ask for the expected dates of completion for the remaining documents. Send an updated “Proposal Checklist: Documents Needed for Proposal” indicating which documents are still needed.
6) As documents are received from the PI:
   
a. Review documents sent by PI for margins, fonts, etc... for adherence to agency guidelines. Ultimately the PI and RSA are responsible for ensuring that the application adheres to all required criteria and that the format, pages restrictions, supplemental material or appendices are formatted correctly.
   
b. As documents are reviewed and found to be in compliance, upload them into Coeus.
   
c. Indicate on your Proposal Checklist when you received the document from the PI and when you uploaded it into Coeus.
   
d. As you load documents into Coeus, notify SPO so they can review them and can then alert you to any errors or changes in a timely fashion.
   
E. To Complete the Proposal:
   
1) The completed Proposal should be to your SPO at least five (5) business days before the submission due date.
   
2) Work with SPO to make any changes or updates that are needed to bring the proposal into compliance with agency guidelines.
   
3) Let the SPO know that the complete proposal is ready for final review.
   
4) When SPO has let you that everything is correct, route the proposal to your Approver. Let the Approver know that you have sent them a proposal to approve and let them know that it has been reviewed by SPO.
   
5) SPO will let you know that the proposal has been submitted and whether there are any errors that need to be fixed.
   
6) If the PI notifies you that their Proposal has been declined, notify the SPO.

F. When the sponsor awards your grant:
   
1) Check with your SPO contact and make sure they receive a copy of the award notification.
   
2) Your SPO will complete the appropriate paperwork to have Sponsored Projects Shared Services (SPSS) set up or modify your award. Your award should be set up in approximately two (2) business weeks. Contact your SPO contact if you do not receive notification of your new grant number and Internal Order (IO) number.
   
3) When your award is set up your SPO will provide the grant number, IO, amount awarded, Grant Projects dates. Please check this information and review the grant in GMGrantD to make sure that your grant has been properly set up.
GMGrantD can be accessed through ERP Central Component (ECC) in your SAP (the internal software system for all finances at the University; see the Glossary) menu. Report any discrepancies to SPO immediately.

4) Be sure and let the PI know that their grant has been set up and give them the IO number so they can begin to use it for purchases. Find out if they will need to make any changes to the payroll for their personnel and complete the appropriate eforms needed or let the person in your department that handles eforms know what changes are needed.

5) If you have subawards on your new grant please refer to the Subawards section of the proposal guide for proper procedures.
SPONSORED PROJECTS OFFICER RESPONSIBILITIES
A. Proposal Development tasks:

1) Provide guidance to faculty, staff and research personnel regarding proposal preparation, referencing agency guidelines and University policy.

2) Provide guidance regarding Coeus and other internal requirements.

3) Acknowledge receipt of email from the Department Administrator (Admin) and/or Research Service Analyst (RSA) regarding new proposal set up and provide routing guidance if needed (Coeus number, timeline).

B. Preliminary Review

1) Review program announcement and/or agency guidelines.

2) Review Statement of Work (SOW) or Project Summary, budget, budget justification and Principal Investigator (PI) certifications. Request changes to bring documents into compliance with all applicable requirements.

C. Final Review

1) Review the proposal documents and notify the Admin/RSA when there are errors, missing items or document problems. Ultimately the PI and RSA are responsible for ensuring that the application adheres to all required criteria and that the format, page restrictions, supplemental material or appendices are formatted correctly.

2) Review proposal for compliance considerations such as Internal Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Conflict of Interest, Export Controls and Safety concerns.

D. To Complete the Proposal

1) Johns Hopkins University policy requires that the complete proposal will be available to the Sponsored Projects Officer (SPO) five (5) business days prior to the proposal deadline.

2) The SPO will work with the Admin/RSA regarding any changes or updates that are needed to bring into compliance with the agency guidelines.

3) Acknowledge notification from the Admin/RSA that the proposal is ready for final review.

4) Sign a Letter of Intent, if applicable. Provide a signed copy to the Admin/RSA.
5) If proposal is correct, notify the Admin/RSA so the proposal may be routed.

6) Submit the proposal to the agency if applicable (system-to-system).

7) Notify Admin/RSA of submission. Let them know if the agency has identified any errors (if applicable, system-to-system). Correct and resubmit.

E. When the sponsor awards your grant:

1) The SPO will notify the Admin/RSA and make sure they receive a copy of the award notification.

2) The SPO will complete the appropriate documentation for Sponsored Projects Shared Services (SPSS) to have the new account set up or modified in SAP (the internal software system for all finances at the University; see the Glossary). Award set up should take approximately two (2) weeks.

3) The RSA will submit the subaward checklist if applicable, so the SPO can complete the procedures needed to set up the Subaward IO’s accounts in SAP.

4) If notified by the agency that JHU will not be funded/awarded, the SPO will inform the RSA/Admin so the records can be updated.
APPENDICES
**Program Announcement:** Principal Investigator (PI) reviews opportunity and plans submission.

4-6 months  
DATE:__/__/____

---

**PI informs Financial Manager and Research Service Analyst (RSA) of intent to seek funding and fills out Initial Proposal Questionnaire (IPQ).**

2-6 months  
DATE:__/__/____

---

**RSA prepares Coeus record. RSA informs Sponsored Projects Office (SPO) of the planned submission and discusses timeline or guideline concerns with SPO.**

1-2 months  
DATE:__/__/____

---

**PI finalizes all documents and has them to the RSA at least 7 business days prior to the submission deadline.**

2 weeks  
DATE:__/__/____

---

**RSA prepares budget and routes to PI for approval. RSA also reviews documents for correct format.**

1 month  
DATE:__/__/____

---

**PI meets with RSA to develop budget and proposal timeline. PI completes Research Compliance Questions, Yes/No Questions, and Certifications.**

1-2 months  
DATE:__/__/____

---

**RSA routes proposal to SPO at least 5 business days prior to the submission deadline.**

1 week  
DATE:__/__/____

---

**SPO reviews guidelines, proposal documents, and Coeus record.**

1-5 business days  
DATE:__/__/____

---

**SPO works with RSA to bring proposal into compliance with agency guidelines, in addition to ensuring the accuracy of the Coeus record.**

1-5 business days  
DATE:__/__/____

---

**SPO negotiates award terms and conditions, updating the RSA and PI as needed. SPO endorses agreements and ensures that they are processed internally for an active award.**

DATE:__/__/____

---

**PI, RSA, and SPO all inform each other on award status (award or decline) in addition to agency requests for additional information.**

DATE:__/__/____

---

**SPO provides institutional endorsement and submits the proposal (if applicable).**

1-5 business days  
DATE:__/__/____

---

**SPO negotiates award terms and conditions, updating the RSA and PI as needed. SPO endorses agreements and ensures that they are processed internally for an active award.**

DATE:__/__/____
PROPOSAL-TO-AWARD WORKFLOW

How your grant proposal is processed by the Office of Research Administration (ORA) and is assigned any internal order numbers (IOs) by Sponsored Projects Shared Services in SAP (SPSS-SAP), once the Notice of Award (NoA) is received.
What Kind of Application Is It?
During a grant submission, you'll need to know what is the proposed grant's application type. Use this flowchart to find out!
FOR NON-COEUS SUBMISSIONS IN COEUS LITE

What to know for entering proposal information necessary to produce an official University record.

When you log into Coeus Lite, click on “My Proposals”, then “Create New Proposal”. Please make note of the proposal number. You will need to enter the Proposal Number or the Principal Investigator’s (PI) name if you have logged out of Coeus before approving the record.

A. General Information

1) General Proposal Information:

- Proposal Type
- Activity Type
- Start Date
- End Date
- Agency/Sponsor – Please search for the sponsor – highlight sponsor, click, and it will automatically fill in the field
- Proposal Deadline Date
- Anticipated Award Type
- Sponsored Proposal # (if renewal or resubmission)
- Title
- Funding Opportunity # (if applicable)

Click “SAVE”

B. Investigator / Key Persons

Search for PI (“Employee Search”) – click on PI’s name and it will automatically fill in the field. Add the percent effort – just need to put in total effort for first year. You must “certify” the PI, when finished, print the certification. **PI must sign certification.**

Click “SAVE”

C. Special Review

If applicable, enter all those considered (Human Subject, Animal Usage, Recombinant DNA, etc).

Click “SAVE”

D. Others

The Responsible Cost Center for the PI should be entered.
Click “SAVE”

E. YNQ

Answer all questions (save and print questionnaire when completed).

F. Research Compliance Questions

Answer all questions (save and print questionnaire when completed).

G. Upload Attachments

1. Upload Proposal Attachments
   a. Narrative (also known as Project Summary)
   b. Budget Justification
   c. Other – in description type, write “Budget” and upload the budget being submitted to the agency, could also be a spreadsheet.
   d. Other – use “other” again and in description type, write “Subaward”, upload the Subaward budget and justification (if applicable).

2. Upload Institutional Attachments (Internal Documents)
   a. Investigator Certifications – combine all three certifications (PI certification, Yes / No Questionnaire & Research Compliance Questionnaire) into one document. Again, have the PI sign each Certification page. The PI’s signature is to ensure that the PI has reviewed and verified these three forms. When complete, upload the all Certifications as one PDF document under the category, “Investigator Certifications”.
   b. Cost Sharing – if applicable, upload the Dean’s approval document.

H. Budget

In order to populate the Budget Summary, it is advisable to use Coeus Premium, following these steps:

1. Go to “Coeus Home” (top left hand side of screen)
2. Launch Coeus Premium
3. After logging into Coeus Premium, click on Maintain then Proposal Development
4. “Select Development Proposal” will appear – either enter the proposal # or the PI’s last name (use “*” before and after PI’s last name)
5. Make certain proposal is highlighted – go up to bottom row of icons and click on “Edit”
6. Go to top line in pull down menu, click on “Edit” then “Budget”
7. “Select Budget” will pop up – click on “New”
8. Toward the bottom of the screen, type in Total Costs, Direct Costs and Indirect Costs (IDC) for each period; check “Final” and in “Budget Status” choose “Complete” (to the right of the screen).

9. Go up to the bottom row of icons and click on second icon from right (SAVE – looks like a floppy disk)

I. Approval

When all the above areas are entered, click on verification to find any errors or other issues. Once the proposal has been verified and there are no issues or errors, the proposal is ready for routing. You may do this from Coeus Premium or Coeus Lite. Look for “Submit for Approval” and click, then follow the screens, which will route the proposal.

The proposal may be routed to the Department Administrator and/or Department Chair prior to being received in the Sponsored Projects Office. Please communicate within your department when the proposal is completed.
GENERAL BUDGET FORMAT

While this General Budget Format outlines non-modular budget expectations for most types of grant submissions, this list can be applied to a NIH modular budget (applicants request funds in lump sums of $25,000 intervals) when you are trying to estimate costs. These are all areas that one should think about when developing a modular budget, along with using the modular spreadsheet, located in the templates of this guide.

To determine whether to use a detailed versus modular budget for your NIH application, see the flowchart below.

**Direct Costs:**

Direct costs are the expenses directly associated with a specific research project. The sponsor is expected to provide for all direct costs, which may include:

- **Salaries and Wages:** List professional personnel to be involved along with a percentage of effort. Next, list staff required and the estimated number of calendar months to be devoted to the project each year. On federally funded projects, administrative salaries are generally unallowable. If they are to be included, it is essential that sufficient justification for clerical and administrative
staff be provided. Refer to the university policy regarding administrative support on proposals; the web page address is www.finance.jhu.edu. Remember to deduct staff vacation charges prior to calculating effort.

- **Fringe Benefits**: Varying fringe benefits are associated with different personnel categories.
- **Materials and Supplies**: These are normally expendable items with a useful life of less than one year. It is generally unacceptable to include office supplies. Provide details for all materials and supplies required.
- **Capital Equipment**: Identify the piece of equipment including the model number, manufacturer, name of the vendor, contact person and telephone number on a separate budget explanation page. Capital equipment must be directly related to the proposed research, have a useful life of more than one year, and cost in excess of $5,000. General purpose equipment, such as desks and typewriters, is generally not allowed. Consult agency regulations or call the Business and Research Administration (BARA) Office for more specific information.
- **Travel**: Describe separately domestic and foreign travel associated with the project. Provide a breakdown of costs according to destination, reason for travel, number of travelers, number of trips, etc. When appropriate, use Federal Travel Regulations (FTRs) as a guideline to allowable travel costs.
- **Consultants**: Identify the names of consultants, specialty, daily rate, and justification for their use.
- **Printing and Publication Costs**: Estimate the number of pages, page charges, and name(s) of journal(s).
- **Subawards / Subcontracts**: List the names and addresses for all subcontractors. Also submit a letter of intent from the subcontractor (signed by an authorized representative) along with a detailed cost estimate and rate agreement. If the subcontractors' work is not described in detail in Johns Hopkins's proposal, have the subcontractor submit a separate statement of work.
- **Alterations and/or Renovations**: Itemize the requirements and costs. These changes must be approved by the appropriate dean prior to submission of the proposal.
- **Other Direct Costs**: Includes direct costs not specifically described by the general headings above, such as 20% tuition, and health insurance fees for graduate students on research grants.

**Facilities and Administrative (F&A) Costs:**

Previously known as Indirect Costs, are the expenses incurred for general University operations while conducting the research project, such as library services, administrative costs, and building use and maintenance. F & A costs are calculated as a percentage of direct costs and are set by the Federal Government.

The Federal Government, in particularly the Office of Management & Budget (OMB), provides rules (OMB Circular A-21) governing the calculation of F & A cost rates and periodically audits the costs supporting the rates we have negotiated. Some items, such as capital equipment and tuition/stipends, are excluded from the F&A cost calculation.
Known as Modified Total Direct Costs (MTDC), this formula entails deducting the following direct cost items prior to calculating F&A: Equipment exceeding $5,000; Subcontracts (amounts in excess of $25,000); Tuition; Patient Care Costs; Rental of off-site facilities; Capital Expenditures; and Fellowships and Scholarships.

F&A cost rates may vary according to the type or location of the research project. Consult Standard Proposal Information for current rates, and contact BARA for updates and rates not covered by the information sheet.

Application of F&A Rates to Sponsored Projects

F&A cost rates are applicable to all sponsored projects (grants, contracts, cooperative agreements, subgrants and subcontracts) funded by federal, state or private sponsors. The application of these rates allows Johns Hopkins University (JHU) to recover certain costs (e.g. facilities, utilities, libraries, administration, student services, etc.) associated with externally funded training and research activity that, although they are true costs, cannot be identified specifically with a particular project or activity. The Federal Government determines the rate that is necessary to collect these costs from sponsored awards. Therefore, any reduction in the allowable rate is considered cost sharing, and JHU must cover those costs from other sources.

The first step in determining the proper F&A rate is to read the sponsor’s program guidelines. If there is a limit on F&A, the program guidelines or announcement will list the rate that should be used. If the guidelines do not mention F&A or do not indicate that something other than the applicable Federal negotiated rate should be used, the appropriate full rate should be used.

The next step in determining the appropriate rate is to establish what type of project you are proposing. (OMB Circular A-21) describes the different types of awards – Organized Research, Instruction and Training or Other Sponsored Activities.

On vs. Off Campus

Based on the planned activity and statement of work, determine if your project qualifies for an off campus rate. In order for a project to be considered off campus, the following qualifications must be met:

1. The Principal Investigator (PI) will be away from his or her campus facilities (i.e. office and laboratory) for a minimum of three consecutive months;
2. The PI’s on campus facilities will be made available for use by other faculty and/or students during the PI’s absence; and
3. The PI will be performing work in accordance with the statement of work of the proposed and funded project while at the off campus location.
These qualifications are a fiscal determination based upon space utilization and are not simply a definition of where some of the project work is being performed.

**Procedures to Request Off Campus F&A**

A letter describing the justification for the off-campus F&A rate should be sent to the Vice Dean for Research. This request is required for all stages of sponsored activity, i.e., primary proposals, continuations, etc. The request should be made prior to the proposal’s submission to BARA for signatures. This will allow for timely review and approval of the proposal.

Off campus rates can only be used relative to the effort of a University employee. The performance of non-university personnel must be handled via a subcontract to another institution, which takes on campus F&A for the first $25,000, or a consulting agreement, which takes full F&A for the entire amount. The University must bear a responsibility for the work being done by non-JHU personnel, and the individual must be responsible to JHU for the integrity of the work performed.

Once the project type and location are determined, the proper federal negotiated rate should be applied. Federal rates can be used with state and private sponsors, and must be used if JHU will be a subcontractor on a federal prime award. Questions may be directed to your Sponsored Projects Office (SPO) contact.

**Cost Sharing**

Some agencies require that the University share a percentage of the research costs. Cost sharing represents a financial commitment to a research project. Whenever the full costs of a project are not recovered (direct or F&A), the University is, in fact, sharing a percentage of the research costs and it is considered cost sharing. University cost sharing should not be included in a proposal unless it is mandatory by statute, regulation or written policy.

No cost sharing, waiver or modification can be accepted without the approval of the Krieger School of Arts and Sciences (KSAS) Vice Dean for Research. The School of Arts & Sciences generally will not approve voluntary cost sharing, and requires that all cost sharing be approved in advance and documented by written approval of the Vice Dean for Research.

Cost sharing may take the form of outright, in-kind or matching.

- Outright cost sharing generally constitutes a cash contribution coming from University sources.
- Matching usually refers to a third-party cash contribution through gifts or grants specifically earmarked for participation on a project.
• In-kind contributions may include University or third-party contributions of efforts, services or goods.

To be acceptable as cost sharing, expenditure must:

• Be verifiable from the official University records;
• Not be used as cost sharing for any other sponsored program;
• Be necessary and reasonable for proper and efficient accomplishment of the project;
• Be allowable under the University governing cost principles and policies (OMB Circular A-21) and Johns Hopkins University Charging of Departmental Administrative Costs Policy;
• Be incurred during the effective dates of the award; and
• Not be paid by the Federal Government under another sponsored project.

It is important to remember that all types of cost sharing must be accounted for, even if only mentioned in the proposal text and not specified in the budget. See the Office of the Controller’s Accounting for Cost Sharing Policy for further information on accounting and tracking cost sharing.
SUB AWARDS AND SUBCONTRACTS

Subaward: An award of financial assistance in the form of money made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services.

Subcontract: Transfers a portion of the research or substantive effort of a prime award to a third party (another institution or organization) to fulfill prescribed activities or functions under an award. It is written under the authority of, and consistent with, the terms and conditions of a prime award (grant, contract or cooperative agreement). The award document functions just as a contract when received by Johns Hopkins University (JHU), except the terms and conditions will include those required by the flow-through activity.

A. When Initial Proposal Questionnaire (IPQ) is received:

1) Subawards and Subcontracts need to be indicated on the IPQ. For each subaward or subcontract, we need to collect the following information:
   a) Principal Investigator(s) (PI) Name
   b) PI address
   c) Name of contact for the subaward institution
   d) Contact information for Department Administrator (Admin) and/or Research Service Analyst (RSA) from the subaward institution

2) Be sure to include subawards in your timeline.

B. Meet with the PI to:

1) Verify with the PI that there will be subawardees.

2) Obtain the Statement of Work (SOW), budget and budget justification for each subawardee.

3) Obtain from your PI, the contact information from each subawardee, as listed above.

C. Proposal Development Tasks:

1) When putting together the budget for the proposal, you will need to contact the Admin/RSA person at the subawardee institution for their budget.
2) Use the budget information from the subawardee’s to prepare a consolidated budget. Prepare a separate budget just for your PI to be added to the consolidated budget.

3) Prepare a Proposal Checklist for each subawardee so they know what documents they must provide to JHU.

4) Subawardees should provide the needed documents two (2) weeks before the proposal submission date.

5) Subawardees may not need to provide all of the documents as the JHU PI. Contact your Sponsored Projects Office (SPO) to make sure what is required for Coeus for your particular subaward. A typical subaward packet will include:

   a) Signed Face Page / Letter of Intent
   b) Statement of Work
   c) Budget
   d) Budget Justification
   e) Facilities & Administration (F&A) Checklist

D. When the sponsor awards your grant:

1) When you have been notified about your award you will need to complete the Subaward form. The form can be found in Kasper through the following link: http://www.jhu.edu/kasper/sponsored_projects/pre_proposal.html#subaward

This form should be signed by the PI and the originals need to go to your SPO contact (it is permissible to scan & email). Your 96xxxxxx Internal Order (IO) number should be added to your grant in approximately two (2) weeks. Contact your SPO if you do not receive notification of your new subaward IO number.
RESEARCH COMPLIANCE CONTACTS AT JOHNS HOPKINS UNIVERSITY

Always check your specific application and agency for compliance requirements:

**Johns Hopkins University’s Animal Care and Use Committee (ACUC)**
Website: [http://web.jhu.edu/animalcare](http://web.jhu.edu/animalcare)
Email: acuc@jhmi.edu
Location: 1620 McElderry Street, Reed Hall, Room B122, Baltimore, Maryland 21205-1911
Telephone: 443-287-3738
Fax: 443-287-3747

**Johns Hopkins University’s Classified Research**
Policy Website: [http://jhuresearch.jhu.edu/JHU_Classified_Research%20Policy.pdf](http://jhuresearch.jhu.edu/JHU_Classified_Research%20Policy.pdf)
Committee on Research Information Practices Site: [http://jhuresearch.jhu.edu/compliance-classified-committee.htm](http://jhuresearch.jhu.edu/compliance-classified-committee.htm)

**Johns Hopkins University’s Conflict of Interest**
Website: [http://jhuresearch.jhu.edu/compliance-conflict.htm](http://jhuresearch.jhu.edu/compliance-conflict.htm)
Information based website with links to several University Offices

**Johns Hopkins University’s Controller’s Office**
Website: [http://finance.jhu.edu](http://finance.jhu.edu)
Location: 1101 East 33rd Street, Baltimore, Maryland 21218 (Eastern High School)
Information based website with links to several internal Controller offices

**Johns Hopkins University’s Effort Reporting**
Website: [http://jhuresearch.jhu.edu/compliance-effort.htm](http://jhuresearch.jhu.edu/compliance-effort.htm)
Information based website with links to several University Offices, training courses, and relevant OMB circulars

**Johns Hopkins University’s Exports Control Office (ECO)**
Website: [http://jhuresearch.jhu.edu/compliance-export.htm](http://jhuresearch.jhu.edu/compliance-export.htm)
Location: JHU Research Projects Administration, Suite W-400, Wyman Park Center
Telephone: 410-516-0415 (6-3295)
Fax: 410-516-7775

**Johns Hopkins University’s Financial Management**
Website: [http://jhuresearch.jhu.edu/compliance-financial.htm](http://jhuresearch.jhu.edu/compliance-financial.htm)
Information based website with links to JHU Controller’s Office, OMB circulars, and NIH policies

**Johns Hopkins University’s Health, Safety & Environment (HSE)**
Website: [http://jhu.edu/safety](http://jhu.edu/safety)
HSE Website: [http://www.hopkinsmedicine.org/hse](http://www.hopkinsmedicine.org/hse)
Location: 3100 Wyman Park Drive, Suite G04
Telephone: 410-516-8798
Fax: 410-516-4314

Johns Hopkins University’s Human Participants
Website: http://jhuresearch.jhu.edu/compliance-human.htm
Information based website with links to university policy, review boards, training, and professional organizations

Homewood Specific: Institutional Review Board (IRB)
Website: http://web.jhu.edu/Homewood-IRB
Email: hirb@jhu.edu
Location: AMR 007
Telephone: 410-516-0150

Johns Hopkins University’s Institutional Compliance Oversight Committee (ICOC)
Website: http://jhuresearch.jhu.edu/compliance-committees-icoc.htm
List of ICOC members and their contact information

Johns Hopkins University’s Research Misconduct
Website: http://jhuresearch.jhu.edu/compliance-research.htm
Information based website with links to university contacts and policies along with professional and federal policies

Johns Hopkins University’s Responsible Conduct of Research Website:
http://jhuresearch.jhu.edu/compliance-responsible.htm
Information based website with links to University contacts, guidelines, and professional organizations

Johns Hopkins University’s Research Oversight Committee
Website: (under revision, general description of oversight committees is here: http://jhuresearch.jhu.edu/compliance-committees.htm)
List of Research Oversight Committee members and their contact information

Johns Hopkins University Technology Transfer (JHTT)
Website: http://www.techtransfer.jhu.edu
Email: JHTT-Communications@jhu.edu
Location: 100 N. Charles Street, 5th Floor, Baltimore, Maryland, 21201
Telephone: 410-516-8300
Fax: 410-516-4411
USEFUL LINKS:

American Recovery and Reinvestment Act (ARRA) Reporting Tool
http://ssc.jhmi.edu/sponsoredprojects/arra.html

Coeus User Guides
http://jhuresearch.jhu.edu/COEUS/user_guides.htm

Effort Reporting System
http://www.it.johnshopkins.edu/services/applications/administrative/ers.html

Electronic Research Administration (eRA) for the National Institutes of Health (NIH)
http://era.nih.gov/

Facilities and Administrative (F&A) Cost Agreement
http://finance.jhu.edu/depts/cost/index.html

Finance Document Search – you may have to request have permission for this application. You can access your proposal and any Notice of Grant Awards.
http://finance.jhu.edu/apps/fds/index.html

Hopkins One
https://portalcontent.johnshopkins.edu/buttons/hopkinsone.html

Johns Hopkins University
http://www.jhu.edu/

Kasper – website for Sponsored Projects Business Office.
http://www.jhu.edu/kasper/sponsored_projects/index.html

Maryland State Dept. of Health and Mental Hygiene – Division of Drug Control – form for Application for Controlled Dangerous Substance Registration.
http://dhmh.maryland.gov/drugcont/

Johns Hopkins Enterprise Authentication (JHED AKA myJHED) -
https://my.johnshopkins.edu/uPortal/render.userLayoutRootNode.uP

National Aeronautics and Space Administration (NASA)
Website: www.nasa.gov

National Institutes of Health (NIH)
Website: www.nih.gov

National Science Foundation (NSF)
Website: www.nsf.gov
National Science Foundation’s (NSF) Fastlane
https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp

Office of Management & Budget (OMB) Circulars – Instructions or information issued by OMB to Federal agencies.
http://www.whitehouse.gov/omb/circulars_default

OMB Circular A-110 – uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations.
http://www.whitehouse.gov/omb/circulars_a110

OMB Circular A-133 – audits of state, local governments and non-profit organizations.
http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf

OMB Circular A-21 – cost principles for educational institutions.
http://www.whitehouse.gov/omb/circulars_a021_2004

ORIS - Office of Research Information Systems
http://jhuresearch.jhu.edu/oris.htm

Research Administration @ Johns Hopkins University – the Tools page is particularly useful, with updated forms and sample agreements
http://jhuresearch.jhu.edu/index.htm

Space Telescope Science Institute (STSci)
Website: www.stsci.edu

United States Department of Justice, Drug Enforcement Administration (DEA), Office of Diversion Control – website to apply for or renew DEA Drug Control Certificate.
http://www.deadiversion.usdoj.gov/index.html

United States Department Of Health and Human Services (DHHS), Office of Extramural Research: National Institutes of Health (NIH) – everything you need to know about NIH grants.
http://grants.nih.gov/grants/oer.htm
FREQUENTLY USED ACRONYMS

**ACUC** – Animal Care & Use Committee (internal)

**ADMIN/RSA** – Department Administrator and/or Research Service Analyst

**ARRA** – American Recovery and Reinvestment Act

**BARA** – Business and Research Administration

**CCR** – Central Contractor Registration

**CFR** – Code of Federal Regulations

**Co-PI(s)** – Co-Principal Investigator(s)

**DEA** – Drug Enforcement Administration

**DHHS** – Department Of Health and Human Services

**DOD** – Department of Defense

**DUNS** – Data Universal Numbering System

**ECO** – Exports Control Office

**eRA** – Electronic Research Administration

**FARS** – Federal Acquisition Regulations

**F&A** – Facilities & Administration

**FTRs** – Federal Travel Regulations

**HSE** – Health, Safety & Environment

**IACUC** – Institutional Animal Care and Use Committee (external)

**IDC** – Indirect Cost (recovery)

**IO** – Internal Order (number)

**IPQ** – Initial Proposal Questionnaire

**IRB** – Institutional Research Board

**JHED** – Johns Hopkins Enterprise Authentication

**JHTT** – Johns Hopkins Technology Transfer

**JHU** – Johns Hopkins University

**JIT** – Just In Time

**KASPER** – Krieger School of Arts and Sciences Pathway to Electronic Resources

**KSAS** – Krieger School of Arts and Sciences

**LOI** – Letter of Intent

**MOU** – Memorandum of Understanding

**MTA** – Material Transfer Agreement

**MTDC** – Modified Total Direct Costs
GLOSSARY

A

Abstract. A brief summary of the statement of work.

Account. A record that is established to monitor the revenue and expenditures related to a particular project or program. Various types of accounts can be created, such as general funds, endowment income, private designated gifts, discretionary accounts, revolving accounts, auxiliary enterprises, service centers, sponsored projects (for grants and contracts), capital project accounts, or clinical services.

Account Period. Set up in conjunction with program/project period. See program/project period.

Affiliates. Organizations existing at Johns Hopkins University (JHU) that are not part of the legal entity of Johns Hopkins or Johns Hopkins Medical Institutions but are closely linked to JHU. Therefore, these organizations have a level of responsibility to adhere to some or all of the policies and procedures regarding sponsored projects. Examples include the Kennedy Krieger Institute, Bayview Medical Center, and the Carnegie Corporation.

Agreement. A document having legal force and effect. A contract executed by two or more parties.

Allocable Cost. One that can be charged to a project in accordance with relative benefits received. An allocable cost can be a direct cost or an indirect cost (IDC).

Allocation Account. Represents the secondary account in a multidiscipline/multi account activity.

Allowable Cost. Project costs comprise the allowable costs necessary for the performance of the grant activities, plus the allocable cost portion of allowable Facilities & Administration (F&A) costs of the granting agency. An important component in all grants administration is identification of pre-award, award, and post-award allowable costs. Allowable direct costs are also mandated by the Office of Management & Budget (OMB) Circulars A-110 and A-21.

through funding federal contracts, grants and loans. To achieve the transparency goal, the Act requires recipients of Recovery funds to report every January, April, July, and October on how they are using the money. All of the data is posted on Recovery.gov so the public can track the Recovery funds. See under Useful Links where to submit this information.

**Application.** A formal request for financial support of a specific project or activity, also known as a proposal.

**Award.** An agreement with an external party that obligates funds for a specific time period for a particular research project or other activity based on an approved proposal. The sequence is as follows: (1) after a sponsor receives a proposal, a review is conducted. Based on the merit of this review, a proposal is selected for funding; (2) generally, a proposal is reviewed for criteria of significance, approach, investigator's/project director's expertise, and project environment; (3) funding a proposal can take the form of a grant, contract, or cooperative agreement.

**Award Types.** Various types of vehicles, which may be used to award funds to a recipient as listed below:

- **Grant.** Financial assistance mechanism received from a Federal, State, Local Government or private sponsor that provides support or stimulation to accomplish a purpose. The University is required to provide financial or technical reporting back to the grantor on the status of funds and progress of the specific activity that was funded.
- **Contract.** A legal binding agreement between two parties that require the University or an Affiliate to provide goods or services in exchange for payment. Contain financial or technical reporting requirements, as well as procurement requirements that must be adhered to.
- **Cooperative Agreement.** A financial assistance mechanism from a Federal, State, Local Government or private sponsor for the collaboration of efforts where the Sponsor and University or Affiliate share responsibility for programmatic management of the project.
- **Subcontract/Subaward.** Collaborative arrangements written under the authority of and consistent with, the programmatic activity and terms/conditions of an award.
- **Fellowship.** Awarded specifically in support of an individual(s) to advance or continue education in a given area of research.
- **Donation/Gift.** Monies given to the University that can be used for a specific purpose or not. These monies are not considered sponsored funds due to the fact that don’t mandate formal reporting requirements on how the funds were expended.
**Base.** The amount on which Facilities and Administrative (F&A) is calculated. [F&A is also referred to as Indirect Cost Recovery (IDC)]. In the case of Total Direct Cost calculations, the Base would simply be total direct costs. In instances where Modified Total Direct Cost (MTDC) is used, the Base is total direct costs less individual categorical items that the sponsor has determined are not subject to F&A.

**Bayh-Dole Act.** Also known as the Patent and Trademark Law Amendments Act (P.L. 96-517), was enacted into law in 1984. This law permits universities and small businesses to elect ownership of inventions made under Federal funding.

**Budget.** A detailed and concise plan that outlines and allocates estimated costs related to the execution of a project or program.

**Budget Detail.** A detailed and concise plan that allocates costs related to execution of a project or program. Also, line-by-line expected costs that make up the total direct costs of the project. Normally these costs are broken-out by category, such as: personnel, fringe benefits, travel, equipment, supplies, etc. (see Definition of “Direct Costs”).

**Budget Narrative/Justification/Notes.** Provides written information for reviewers of the sponsor or other committees to determine whether all items of the budget are realistic and justifiable in terms of the aims and methods of the project and currently available resources.

**Budget Period.** Usually 12 months long (although shorter or longer Budget Periods may be established for compelling programmatic or administrative reasons). With NIH grants, the Budget Period is the period for which funding is assured. This is not to be confused with the "Project Period", which may be several years (see definition for "Project Period").

**C**

**Capital Equipment.** An article of non-expendable, tangible property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Machinery, furniture, office machines, vehicles (cars, trucks, etc.), scientific instruments or other apparatus that may be used repeatedly without material impairment of its condition, is not highly perishable, costs $5,000 or more per unit, and has a useful life of more than one year is defined as equipment.

**Clinical Investigation or Clinical Research.** Has as its aim the production of new knowledge that can be used to support or negate a theory or practice.

**Coeus.**

**Collaborative Organization.** A subawardee responsible for meeting its particular scope of work and having responsibility for its own programmatic decision-making. Is
awarded funds to carry out a project within its own organization as compared to providing goods or services for JHU’s program.

**Community of Science.** An Internet site ([www.cos.com](http://www.cos.com)) that enables scientists and researchers to locate sponsored funding and access experts at institutions around the world.

**Competing Continuation.** A request for an additional term of support based on a funded previous project; must compete for available funds. Same as Renewal.

**Compliance.** Refers to the effective management of public funds to maximize research outcomes. Compliance is adhering to the rules, regulations, and policy of both the sponsor and JHU to avoid fraud, institutional mismanagement, and poor management of funds.

**Component.** Any item supplied to the Government as part of an end item or of another component.

**Component Parts.** Individual parts to be used in the fabrication of an item of equipment defined as equipment since the total cost for all would be $5,000. Purchase requests should be coded using equipment object codes and should contain the alert message “COMPONENT PART.”

**Conflict of Interest.** Conflict of interest exists when external commitments made by JHU employees threaten or impair independent scholarly inquiry, compromise one’s freedom of thought or action, or impede an employee’s ability to capably perform the duties of his/her JHU position. To minimize the likelihood of such conflicts, JHU and its respective divisions, in accordance with federal regulations, have developed institutional policies affecting faculty and students.

**Consortium Agreement.** A collaborative arrangement in support of a research project in which some portion of the programmatic activity is carried out through a formalized agreement between the grantee and another organization that is a separate legal entity, administratively independent of the grantee. This is used as a mechanism to transfer support to another organization for support of the project’s co-investigator.

**Consultant.** An individual or entity that offers services, advice and assistance, on a limited basis. Consultants are usually paid a fee for their service.

**Continuation.** A project approved for multiple-year funding, although funds are typically committed for only one budget period at a time. At the end of each budget period, progress on the project is assessed and reported. If satisfactory, an award is made for the next budget period subject to the availability of funds. Continuations do not compete with new proposals and are not subjected to peer review beyond the initial project approval.
**Contract.** An agreement between two or more parties, usually for acquiring property or services, for the direct benefit of the sponsor. Characteristics of a contract are: (1) A research topic and the methods for conducting the research are generally provided in detail by the sponsor and the study may be designed or controlled by the sponsor; (2) Requires JHU to provide goods or services in exchange for payment; (3) The method of award is an agreement, documenting detailed specifications, clauses, regulations, and expected performance obligations, including deliverables. Federal contracts are governed by Federal Acquisition Regulations (FARS) as well as specific terms and conditions incorporated into each contract document.

**Contract for Computer/Technical Services.** Constitutes a work-for-hire arrangement in which JHU owns the work product developed pursuant to the agreement. It is implemented by the departmental preparation of a requisition and the issuance of a Purchase Order by the Purchasing Department.

**Contract for Personal Services (Consultant/Independent Contractor).** Covers activities performed by private individuals who are not employees of JHU. May be described as an individual or non-corporate business entity that provides personal services to the University and meets the criteria as established by the Internal Revenue Service. To be classified as independent contractors, individuals generally have a separate workplace, are not supervised when they are working within the organization, have a separate set of skills not available to the organization, and have other clients.

**Contractor.** A person or entity that agrees to furnish materials or perform services at a specified price.

**Cooperative Agreement.** Financial assistance similar to a grant, but where the sponsor has substantial involvement in the research project. May also be called Memorandum of Understanding (MOU) and has the following characteristics: (1) The Sponsor and JHU share responsibility for programmatic management of the project; (2) Award stipulates the responsibilities of both parties; (3) Requires technical and financial reporting from JHU to the sponsor on the results of the activities; (4) Federal cooperative agreements are governed by the same regulations as Federal grants.

**Cost Principles.** Those rules set in place by an institution that ensure that costs charged to a sponsored agreement are allowable, allocable, and reasonable under the appropriate Cost Principles.

**Cost-Share.** Involves the grantee accepting responsibility for a portion of the expense estimated to complete a given objective. It may be covered by in-kind contributions or a portion of the costs matched by the grantee or a third party.
Data Universal Numbering System (DUNS) number. The 9-digit number assigned by Dun and Bradstreet, Inc. (D&B), to identify unique business entities.

Data Universal Numbering System +4 (DUNS +4). The Duns number assigned by D&B plus a 4-character suffix that may be assigned by a business concern to establish additional Central Contractor Registration (CCR) records for identifying alternative Electronic Funds Transfer (EFT) accounts for the same concern.

Direct Costs. Costs that can be specifically identified with a particular project, such as personnel salaries and wages, personnel benefits, equipment, supplies, travel, communication, computer use, alterations and renovations, and patient care costs.

Disallowed Costs. Those charges to an award that the Federal awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.

Division of JHU. All academic schools or administrative entities are considered divisions of JHU. Examples are: Krieger School of Arts and Sciences and the Homewood Office of Student Affairs.

Effort. The proportion of time spent on any activity and expressed as a percentage of the total professional activity for which an individual is employed by JHU.

Equipment. A tangible nonexpendable item of personal property, including exempt property charged directly to an award. According to the University’s capitalization policy, equipment is defined as an acquisition or fabrication item costing $5,000 or more per unit, with a useful life of more than one year.

Escalation (of future costs for budgeting). The accepted practice of adding a percentage of cost growth to future years, due to anticipated increases in the cost of living and other inflationary practices.

Estimating Costs. The process of forecasting a future result in terms of cost, based upon information available at the time.

Excluded Costs. Those costs not included in a proposal due to being “unallowable,” or the desire to absorb costs through other measures.

External Consultants. Individuals who are not on the University payroll. They usually have a separate skill or knowledge not available within the organization.
Facilities and Administrative Costs. (F&A) (Also known as Indirect Costs). F&A costs are incurred by JHU for a common or joint objective and cannot be identified specifically with a particular project or activity. They are expenses incurred for general JHU operations while conducting the research project, such as library services, administrative costs, and building use and maintenance. Special characteristics are: (1) F&A costs are calculated as a percentage of direct costs; (2) F&A rates are negotiated with the Federal Government; (3) With few exceptions, these rates must be used; (4) The Federal Government provides rules governing the calculation of F&A cost rates and periodically audits the costs supporting the negotiated rates; (5) F&A rates are based on the function of the project and are classified as research, training/instruction, or other sponsored projects. While the overall F&A cost rate may fluctuate between agreements, 26% of the rate is always capped for Administrative costs.

Federal Acquisition Regulations (FAR). Title 48 of the Code of Federal Regulations (CFR). As the primary regulation used by Federal agencies when requesting supplies and services (contracts), it is intended to provide coordination, simplicity, and uniformity in Federal acquisitions. Most Federal agencies also have supplements to the FAR that implement or supplement the FAR.

Fastlane. National Science Foundation (NSF) electronic forms submission, from proposals to technical reports, via the World Wide Web. NSF Fastlane can be found at www.fastlane.nsf.gov.

Federal Funds Authorized. The total amount of Federal funds obligated by the Federal Government for use by the recipient. This amount may include any authorized carryover of unobligated funds from prior funding periods when permitted by agency regulations or agency implementing instructions.

Fellowship. A grant awarded specifically in the support of an individual postgraduate to advance or continue education in a given area of research. Training grants and other graduate student fellowships are considered sponsored funding and are handled according to the sponsored projects policies of JHU.

Fiscal year. A 12-month period for which an organization plans the use of its funds. At JHU, the fiscal year is July 1 to June 30. A grant’s fiscal year may differ from this.

Fixed Cost. A cost that remains constant, regardless of any change in an enterprise’s activity (as opposed to a variable cost, which varies in relation to changes in the enterprise’s activities.) A lease is an example of a fixed cost. The cost of supplies in a medical clinic is an example of a variable cost.
**Fixed Price Contract.** A contract or grant where the sponsor agrees to pay a predetermined price, regardless of actual costs, for services rendered. Includes fee-for-service agreements.

**Funding.** Financial resources (funds) provided by a government or organization to make a project possible.

**Funding Period.** Means the period of time when Federal funding is available for obligation by the recipient.

**Government Funding.** Any executive agency or any independent establishment in the legislative judicial branch of the government in the Federal, State or Local level that provides financial support for the purpose of performing, analyzing, integrating, and supporting activities in applied research, development, and training.

**Grant.** Financial assistance received from a sponsor that provides support to accomplish a purpose or objective. Characteristics are as follows: (1) Designates a purpose but does not require a definite service or product; (2) Does not require substantial involvement between the sponsor and JHU; (3) Generally requires technical and financial reporting from JHU and/or Principal Investigator (PI) to the Sponsor on the results of the activities; (4) Is governed by assistance authority of the Federal agencies, the Office of Management and Budget (OMB) Cost and Accounting Circulars and by each individual awarding agency’s grants policy document.

**Human Subjects.** A living individual about whom an investigator (either professional or student) conducting research obtains (1) data through intervention with the individual or (2) identifiable private information."

**Institutional Animal Care and Use Committee (IACUC).** Provides for verification of approval of animal use in Public Health Service (PHS)-funded research as required by IACUC.

**Incremental Funding.** Financial resources (funds) provided in a series of amounts (increments), as determined by a government or organization, to make a project possible.
**Indirect Costs.** Costs incurred by the recipient organization that cannot be identified specifically with a particular project or program. Also known as F&A costs. These costs include:

- Facilities for Plant Operations and Maintenance – utilities, janitorial services, routine maintenance and repairs.
- Depreciation or Use Allowance for buildings and equipment, excluding buildings and equipment paid for by the federal government.
- Libraries. Expenses for books, library staff, etc.
- Administration
  - General
  - Research
  - Departmental
  - Student Services

**Infectious Agents/Biohazardous Materials.** When used on campus must be examined and approved for handling, storage and disposal of any materials in this category. These approvals are obtained by contacting the Office of Environmental Health and Safety (OEHS).

**Institutional Review Board (IRB).** All human subjects research conducted under the auspices of the University is evaluated by one or more Institutional Review Boards. The IRB is charged with the responsibility for reviewing, approving the initiation of, and conducting periodic review of human subjects research conducted by Hopkins faculty, students, and staff. The primary purpose of the IRB is to ensure that the rights and welfare of subjects are protected.

**Instruction and Training.** The teaching and training (except for research training) activities at JHU funded by grants and contracts from Federal or non-Federal sponsors. Sponsored Instruction includes agreements which support curriculum development as well as all types of teaching/training activities, whether offered for credit toward a degree or certificate, on a non-credit basis, or through regular academic departments or by separate divisions, summer school or external division. Sponsored Instruction includes:

- Any project for which the purpose is to instruct any student at any location; recipients of this instruction may be JHU students or staff, teachers or students in elementary or secondary schools, or the general public.
- Curriculum development projects at any level, including projects that involve evaluation of curriculum or teaching methods. Note that such evaluation may be considered “research” when the preponderance of activity is data collection, evaluation and reporting
- Projects which involve JHU students in community service activities for which they are receiving academic credit
• Activities funded by awards to departments or schools for the support of students
• Fellowship support for pre-doctoral and post-doctoral training activities, which may include grants to fund dissertation work and travel in relation to a dissertation
• General support for the writing of textbooks or reference books, video or software to be used as instructional materials.

**Internal Budget.** Those budgets created for internal purposes and not available for public viewing or distribution.

**J**

**Just in Time (JIT).** An initiative of the National Institutes of Health (NIH) Extramural Reinvention Laboratory under the auspices of the National Performance Review and government-wide efforts to create a government that works better and costs less. JIT postpones the collection of certain information that currently must be included in all competing applications when submitted. The information for the applications with a likelihood of funding is submitted "just-in-time" for awards to be made. This delayed exchange of information significantly relieves the administrative burden for the 75 to 80 percent of applicants who will not receive an award. In addition, the information that is exchanged "just-in-time" for award will be current, rather than several months old as is currently the case (which often necessitates a request for updated information, e.g., for other support).

**K**

**Key Personnel.** All individuals who contribute in a substantive way to the scientific development or execution of the project, whether or not salaries are requested. Typically, these individuals are listed in the proposal as “key” and have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of key personnel. Consultants should also be included if they meet the definition of "key personnel."

**L**

**Laboratory Animals.** Any live, vertebrate animal used or intended for use in research, research training, experimentation or biological testing or for related purposes.

**Legal Purpose.** A contract must have a lawful purpose in order to be enforceable.

**Letter of Inquiry.** A letter initiated by an applicant to determine if a proposed project is within a private agency's fundable program areas and to request agency policy and program information, as well as instructions and forms.
**Letter of Intent.** A letter advising a funding agency that an application will be submitted in response to its solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.

**Level of Effort.** A statement of total professional effort that can only equal 100%, no matter how many hours are worked. Effort includes not only research and clinical practice, but also time devoted to teaching, administration, committee service and other professional activities. All research grants or contracts must demonstrate some “professional effort” to perform the project.

**Loaned Equipment.** Property provided by an outside party for use by the institution for sponsored project or research related activities; title to the property does not pass to the university.

**Master Account.** This type of account represents the primary account in a multi discipline/multi account activity.

**Material Transfer Agreement (MTA).** Is designed to: (a) Transfer biological research materials created by a JHU investigator to an interested party at another university or for-profit company or (b) provide a JHU investigator with biological materials created by an investigator in another university or a for-profit company. A MTA for outgoing materials are designed to protect JHU from any liabilities associated with the recipient’s use of the material and to ensure that the recipient institution or company will not use the material for commercial purposes without a license from JHU. An authorized official of JHU must review and sign these agreements.

**Memorandum of Understanding (MOU).** A document which is used as a “letter of intent” to perform in a contractor/subcontractor relationship in the event of a future award and which normally sets out preliminary understandings regarding the scope, duration and terms of a prospective collaboration.

**Modified Total Direct Cost (MTDC).** The portion of direct costs on which the indirect costs are based, namely: salaries and wages, fringe benefits, materials and supplies, services, travel, and up to $25,000 on each subaward and subcontract.

**Modular Grants.** A type of grant in which support is requested in specific increments (commonly referred to as “chunks”), without the need for detailed supporting categorical budget information.

**Multi-year.** All sponsored projects are considered multi-year and financial information is maintained on an “inception to date” basis.
New Proposal. A request for support of a project that has not yet been funded and/or is being submitted for the first time. This type must compete for research funds.

No Cost Extension (NCE). Provides for an additional period of performance to accomplish project goals with no additional funding. May be handled internally via University Prior Approval System (UPAS) in certain circumstances or sought externally from the sponsor.

Noncompeting Continuation. A request to pay the next budget increment of a current award; does not compete for available funds.

Noncompliance. Lacking conformity in fulfilling official requirements.

Non-disclosure Agreement (NDA). An agreement by which the recipient agrees to hold in confidence and not to publish, transfer or otherwise disclose any confidential information, directly or indirectly. It may be issued either unilaterally (only one party disclosing) or bilaterally (both parties disclosing) confidential or proprietary information in oral or written form. An NDA is typically intended to preserve unfiled patent rights, trade secrets, or business plans. An NDA typically outlines terms of publication, a description of the confidential information to be disclosed, intellectual property, and use of the parties' names. An authorized official of JHU must review and sign all NDAs.

Off-campus Projects. Will take place in space provided at no cost by another organization or space costs are included as a direct cost item in the project budget.

Office of Management and Budget (OMB). The core mission of OMB is to serve the President of the United States in implementing his vision across the Executive Branch. OMB is the largest component of the Executive Office of the President. It reports directly to the President and helps a wide range of executive departments and agencies across the Federal Government to implement the commitments and priorities of the President. As the implementation and enforcement arm of Presidential policy government-wide, OMB carries out its mission through five critical processes that are essential to the President’s ability to plan and implement his priorities across the Executive Branch:

1. Budget development and execution, a significant government-wide process managed from the Executive Office of the President and a mechanism by which a President implements decisions, policies, priorities, and actions in all areas
(from economic recovery to health care to energy policy to national security);

2. Management — oversight of agency performance, Federal procurement, financial management, and information/IT (including paperwork reduction, privacy, and security);

3. Coordination and review of all significant Federal regulations by executive agencies, to reflect Presidential priorities and to ensure that economic and other impacts are assessed as part of regulatory decision-making, along with review and assessment of information collection requests;

4. Legislative clearance and coordination (review and clearance of all agency communications with Congress, including testimony and draft bills) to ensure consistency of agency legislative views and proposals with Presidential policy; and

5. Executive Orders and Presidential Memoranda to agency heads and officials, the mechanisms by which the President directs specific government-wide actions by Executive Branch officials.

**OMB Circulars.** Regulatory circulars issued by the Office of Management & Budget (OMB). JHU, as a nonprofit educational institution, is governed by the following circulars:

- A-21 - Cost Principles for Educational Institutions;
- A-110 – Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations;
- A-133 – Audits of States, Local Governments, and Non-Profit Organizations; and
- (4) Congressional Authorization language for Federal agencies and appropriation bills (approvals by Congress).

**On-campus projects.** Will take place in space owned or leased by the University or Affiliate without recovery of space rental as a direct cost item in the project budget.

**Option.** A unilateral right in a contract or grant by which, for a specified time, the Government may elect to purchase additional supplies or services called for by the contract or grant, or may elect to extend the term of the agreement.

**Organizational Conflict of Interest.** That because of other activities or relationships with other persons, a person is unable, or potentially unable, to render impartial assistance or advice to the Government, or the person’s objectivity in performing the contract or grant work is, or might be, otherwise impaired, or a person has an unfair competitive advantage.
Organized Research. All research and development activities that are sponsored by federal and non-federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. Research activities include rigorous inquiry, experiment, or investigation to increase the scholarly understanding of the involved discipline. Examples of sponsored research include:

- Awards to JHU faculty to support research activities
- External funding to maintain facilities or equipment and/or operation of a center or facility which will be used for research
- External support for the writing of books, when the purpose of the writing is to publish research results
- Data collection, evaluation, analysis and/or reporting

Other Sponsored Activities. Means programs and projects financed by Federal and nonfederal agencies and organizations that involve the performance of work other than instruction and organized research. Since most projects in this category do not directly involve students and gain little, if any benefit from libraries, the F&A rate applicable to Other Sponsored activities is less than the rate for Organized Research or Sponsored Instruction. Examples of Other Sponsored Activities include:

- Travel Grants
- Support for conferences, seminars or workshops
- Support for University public events such as “lively arts”
- Publications by the JHU Press
- Support for student participation in community service projects which do not result in academic credit
- Support for projects pertaining to library collections, acquisitions, bibliographies or cataloging
- Programs to enhance institutional resources, including computer enhancements, etc.
- Health services projects

When the institution without outside support undertakes any of these activities, they may be classified as other institutional activities.

Patient-care Costs. Research patient care costs are the costs of routine and ancillary services provided to patients participating in research programs.
**Per Diem** (for Lodging and Meals & Incidental Expenses (M&IE). The phrase is Latin for ‘per day’, and is often used when referring to daily employee expenses or reimbursements commonly for meals and travel.

**Personal Property.** Property of any kind except real property. It may be tangible, having physical existence, or intangible, having no physical existence, such as copyrights, patents, or securities.

**Post-award.** Administrative activities conducted after receiving an award to include: new account set-up, account monitoring, effort reporting, billing, financial report development and submission, and final account closeout.

**Pre-award.** Functions related to obtaining an award, including: identifying an award, preparing the proposal, submitting the proposal to the agency, and receiving the award.

**Pre-award Costs.** Costs that are incurred before the beginning dates of an award or budget period, but which can be associated directly with the research project.

**Primary Award.** Is made in support of a project issued directly from the sponsor to a recipient.

**Principal Investigator/Program Director/Project Director (PI).** An individual designated by the University or Affiliate to direct and oversee a project or program being supported by the Agreement. The PI has the primary obligation to see that the terms and conditions of the award are fulfilled.

**Prior Approval.** Written approval by an authorized official evidencing prior consent.

**Private Funding.** Funding provided for research or other University objectives by any source other than federal government, state government, agencies or established sources governed by regulations applicable to and flowed down to the recipient.

**Private Gifts.** The classification of an agreement as either a private gift or sponsored agreement has important accounting and tax related implications. Revenue recognition and net asset classifications are substantially different depending upon its classification in the University accounting system. The classification affects the University and divisional research base impacting the allocations of facilities and administrative (F&A) cost to government and non-government agreements and the distribution of University and Divisional F&A recoveries. The effort and resources consumed in the solicitation of private gifts must be recorded and reported as fund-raising expenses. All private gifts over $250 must be properly receipted by the University to protect the tax deductibility of a gift for a donor.
Program Income. Gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed, the use or rental or real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Interest earned on advances of Federal funds is not program income.

Program Period/Project Period. The total time for which support of a project has been programmatically approved. The total project period is comprised of the initial competitive segment, any subsequent competitive segment(s) resulting from a competing continuation award(s), and noncompeting extensions.

Program Year. The annual period of performance designated in the award document during which Sponsorship (usually Federal) begins and ends.

Project Costs. All allowable costs, as set forth in the applicable Federal cost principles, incurred by a recipient, including the value of contributions made by third parties in accomplishing the objectives of the award during the project period.

Project Manager. Usually the Principal Investigator, but in large and complex projects, may be an additional person designated by the Principal Investigator.

Project Period. That period established in the award document during which Sponsorship (usually Federal) begins and ends.

Project Year. The annual period of performance designated in the award document for a specific project.

Property. Unless otherwise stated, real property, equipment, intangible property and debt instruments.

Proposal. An application to a sponsoring agency for funding that contains all information necessary to describe project aims and objectives, staff capabilities, scope, duration, environment and funds requested.

Proprietary Information Agreements. Nondisclosure agreements that are generally used to outline an individual or company's legal obligations with respect to confidential or proprietary information received from another individual or company.

Real Property. Land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.
**Receipt Rate.** The application of a negotiated F&A rate to new receipts as they are deposited into an account. Certain fixed fee contracts allow for the upfront application of F&A recovery. The rate is computed by converting the negotiated F&A rate applied to MTDC to an equivalent rate applied to the total receipts. Used predominantly by the School of Medicine.

**Recompete of Award** – Peer reviewed proposal; competes with other proposals.

**Renewal of Award.** A request for an additional term of support based on a funded previous project; must compete for available funds.

**Request for Application (RFA).** Solicits proposals for a narrowly defined area for which the sponsor has set aside funds. Usually one receipt date is specified in the RFA. Resulting award usually takes the form of a grant.

**Request for Proposals (RFP).** A solicitation for proposals for a specific sponsored project. One receipt date is specified in the RFP. Resulting award usually takes the form of a contract.

**Revision.** A non-funded proposal that is resubmitted for a new round of peer review, or a new proposal being revised before funding is released (often referred to as “Revised Budget”).

**S**

**Systems, Applications, and Products in Data Processing (SAP).** Johns Hopkins University and Heath System (when referenced as one, commonly called Johns Hopkins Enterprise or the Enterprise) runs a complex SAP environment that includes financial, supply chain, and HR solutions and more than 10,000 users. In its unique structure, it has merged two separate corporations, Johns Hopkins University and Johns Hopkins Health System, into a single, unified, and stable SAP environment. Prior to its introduction to the community in January 2007, a system called CUFS (College & University Financial Systems) was in place, which functioned similarly for financial purposes but was not web-based nor used with consistency throughout the Enterprise. As part of the HopkinsOne Project, the site is managed by the Enterprise Business Solutions (EBS) team and contains information contributed by SAP users and stakeholders throughout the Johns Hopkins business community. It is a perpetual “work in progress” with new content being added and updated regularly.

**Single Account.** This type of account has no allocations and stands alone to represent the expenditure activity for its intended purpose.

**Small Awards.** A grant or cooperative agreement not exceeding the small purchase threshold fixed at 41 U.S.C. 403(11) (currently $25,000).
**Solicited Proposals.** A RFP issued by agencies or private funding sources for a specific research project. These RFPs are generally subject to open bidding to any qualified researcher. Deadlines are specified in the announcement and must be adhered to.

**Sponsor.** An agency, institute, foundation or individual who provides funds to selected researchers, either competitively or by application and approval, for clearly defined research projects.

**Sponsored.** Relates only to a research, service, or instruction program that is conducted with support provided by some entity outside the campus (the sponsor). A sponsored project, grant, cooperative agreement or contract, is based on a commitment from the University to carry out the project(s) in keeping with terms agreed upon by both parties. The sponsored project will always require some use of university resources and the sponsor will receive some benefit (which could range from a single technical and financial report through substantial material benefits.)

**Sponsored Program.** May be used interchangeably with Sponsored Project. It is a financial assistance mechanism that provides money, property, or both, to carry out an approved project or activity (e.g., patient care, teaching, research). In some instances it is referred to as a larger scale research endeavor comprised of several projects. It can be distinguished from a private gift by any one of the following criteria, in that the sponsor has:

- Control or approval of work scope;
- A requirement for a defined deliverable in terms of a report on results of research, or financial accounting for the expenditure of funds;
- Pre-publishing review rights; or
- Licensing rights of products resulting from the research

**Sponsored Project.** Incorporates the definition of “sponsored” and is sometimes used interchangeably with Sponsored Program. It is a financial assistance mechanism that provides money, property, or both, to carry out an approved project or activity (e.g., patient care, teaching, research).

**Sponsored Research.** All research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

**Spreadsheet** (typically using Microsoft Excel). Commonly used by the University for the production of proposals and internally.
Statement of Work (SOW). Also called Specification for Services. Describes the work or services to be performed and may enumerate the goals and methods to be used. It is the contractual vehicle for expressing exactly what the contractor is agreeing to.

Stipends. Reimbursement to help defray the costs of personal maintenance while participating in a conference or training activity in conformance with the usual policy of the grantee organization

Subaward. An award of financial assistance in the form of money made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services.

Subcontract. Transfers a portion of the research or substantive effort of a prime award to a third party (another institution or organization) to fulfill prescribed activities or functions under an award. It is written under the authority of, and consistent with, the terms and conditions of a prime award (grant, contract, or cooperative agreement). The award document functions just as a contract when received by JHU, except the terms and conditions will include those required by the flow-through entity.

Subcontractor. A person, firm or corporation supplying labor and materials or equipment, or labor only, for work supporting the project under separate contract or agreement with the Contractor.

Subrecipient. The legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided. May also be called a subgrantee, subcontractor, or third-tier institution.

Supplement. A request for additional funds for a current award, to cover increased costs (noncompeting) or to expand the scope of work (competing).

Supplemental Agreement. An award modification that is accomplished by the mutual action of the parties.

Suspension. Means an action by a Federal awarding agency that temporarily withdraws Federal sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award by the Federal-awarding agency. Suspension of an award is a separate action from suspension under the Federal agency regulations implementing E.O.s 12549 and 12689, “Debarment and Suspension.”
Task Order. An order for services placed against an established contract or with Government sources.

Taxpayer Identification Number (TIN). The number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

Teaming Agreement. Often used as a more formal “letter of intent” in which an entity is seeking funding from a sponsor via a contract, and “teams” with a potential subcontractor in the development of a response to the RFP. Normally the agreement contains language, which promises that the contractor will use its best efforts to secure the teaming partner as its subcontractor should an award be made. It sets out preliminary understandings regarding the scope, duration and terms of a prospective collaboration.

Third Party In-Kind Contributions. The value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

Time and Materials (T&M). Utilized for small projects and "rush" jobs. This method of pricing is based upon the actual cost of labor, materials, and equipment used on the project, plus an overhead charge. T&M projects are normally billed in monthly increments as charges are accumulated until the project is completed. Used when it is not possible at the time of placing the contract to estimate accurately the extent or duration of the work or to anticipate costs with any reasonable degree of confidence.

Total Direct Costs. All costs that can be specifically identified with the particular project or activity (Examples: personnel, fringe benefits, travel, equipment, supplies).

Total Project Costs. Total allowable costs (both direct costs and F&A costs) incurred by the grantee to carry out a grant-supported project. Total project costs include costs charged to the Sponsor, as well as costs borne by the grantee to satisfy a matching or cost-sharing requirement.

Training Grants. The NIH will award a National Research Service Award (NRSA) (F31, F32), and Intuitional Training Grants (T32s, T34s, and T35s) to eligible institutions to develop or enhance research training opportunities for individuals, selected by the institution, who are training for careers in specified areas of biomedical and behavioral research. The purpose of the NRSA program is to help ensure that highly trained scientists are available in adequate numbers and in the appropriate research areas and fields to carry out the Nation’s biomedical and behavioral research agenda. The NRSA program supports both pre-doctoral and
postdoctoral research training as well as limited specialized support at the pre-baccalaureate level.

**U**

**Unallowable Cost.** Any cost that, under the provisions of any pertinent law, regulation, or contract, cannot be included in prices, cost-reimbursements, or settlements under a Government award to which it is allocable.

**University Research.** All research and development activities that are separately budgeted and accounted for by the institution under an internal application of institutional funds.

**Unliquidated Obligations.** The amount of obligations incurred by the recipient that have not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the recipient for which an outlay has not been recorded.

**Unobligated Balance.** Means the portion of the funds authorized by the awarding agency that has not been obligated by the recipient and is determined by deducting the cumulative obligations from the cumulative funds authorized.

**Unrecovered Indirect Cost.** The difference between the amount awarded and the amount that could have been awarded under the recipient’s approved negotiated indirect cost rate.

**Unrelated Business Taxable Income (UBTI).** Income earned by a tax-exempt entity that does not result from tax-exempt activities. The entity may owe taxes on this income.

**Unsolicited Proposal.** A written proposal for a new or innovative idea that is submitted to an agency on the initiative of the offeror for the purpose of obtaining an award from the Government, and that is not in response to a request for proposals, Broad Agency Announcement, Small Business Innovation Research topic, Small Business Technology Transfer Research topic, Program Research and Development Announcement, or any other Government-initiated solicitation or program.

**V**

**Value (Value of Award).** The expected outcome of the award, which provides the greatest outcome benefit in response to the requirement.

**Variable Cost.** The variable cost principle accounts for overall variations in your project budget direct costs during administration of the program and execution of the project work plan and aims.
Workbook. A Microsoft software product in spreadsheet form commonly used by JHU researchers and administrative staff in the development of budgets for proposals and internal analysis. Generally, it is one or more spreadsheets that in total roll up to a workbook usually displaying multiple years of a proposal.
TEMPLATES
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<thead>
<tr>
<th>Question</th>
<th>Answer</th>
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<tbody>
<tr>
<td>What is the Deadline Date for submission? (All materials should be to Research Service Analyst 5 days before Submission date)</td>
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<td>Who is the Sponsor?</td>
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<td>Note: If it’s the National Science Foundation, consider Post Doc Mentoring and Data Management Plan</td>
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<td>Is Proposal new or a resubmission?</td>
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<td>If it is a resubmission, what is the date of the previous submission and title of proposal?</td>
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<td>What is the Announcement Number?</td>
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<td>What type of funding are you trying to get?</td>
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<td>How many years will this grant run?</td>
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What is the anticipated Start Date and End Date?

What is the Proposal Title?

Is there going to be anyone else on this grant with you? Any Co-Principal Investigators?

Will you have any Subawards?

If Johns Hopkins University is the subaward, who is the Prime Sponsor?

What type of activity will this be?
Organized Research, Instruction, Other Sponsored Activity, or Clinical Research

Do you anticipate the need for Cost Sharing, including a reduced Facilities & Administration rate?
What is your budget information?

Any other information needed to get the proposal started:
## Proposal Checklist - Documents Needed

### For Proposal

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<td>JHU Letterhead Certification 5 Questions</td>
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NSF Proposal Checklist

☐ Single-Copy Documents
  GPG II.C.1
  ☐ Information about PI/PDs and Co-PI/co-PDs – auto populated in Fastlane
  ☐ Authorization to Deviate from NSF Proposal Preparation Requirements (if applicable)
  ☐ List of Suggested Reviewers or Reviewers Not to Include (optional)
  ☐ Proprietary or Privileged Information (if applicable)
  ☐ Collaborative Proposals – electronically signed and submitted by AOR
  *reference: GPG II.4

☐ Cover page
  GPG II.C.2.a
  Awardee Organization
  ☐ Johns Hopkins University/DUNS
  ☐ Primary Place of Performance
  *Auto-populated in Fastlane with PI login information
  Program announcement
  ☐ Announcement Number (11-1)
  ☐ Division (choose Division from drop down)
  ☐ Programs (select program from drop down)
  *If unsolicited: choose “Grant Proposal Guide” (Announcement NSF 11-1)
  Remainder of Cover Sheet
  ☐ Title
  ☐ Budget/Duration
  ☐ Announcement/Consideration
  *Target Date (Auto-populated if unsolicited)
  ☐ PI Information (Auto-populated by Fastlane)
  ☐ Co-PI info (if applicable)
  ☐ Renewal (Y/N)
  ☐ Is this being considered by any other Federal Agencies?
  ☐ Other information?

☐ Project Summary (1 page)
  GPG II.C.2.b: "(...) a self-contained description of the activity that would result if the proposal were funded. The summary should be written in the third person and include a statement of objectives and methods to be employed"
  Must include Headings
  ☐ Intellectual merit
  ☐ Broader Impacts

☐ Project Description (15 pages)
  GPG II.C.2.d: "The Project Description should provide a clear statement of the work to be undertaken and must include: objectives for the period of the proposed work and expected significance; relation to longer-term goals of the PI’s project; and relation to the present state of knowledge in the field, to work in progress by the PI under other support and to work in progress elsewhere"
  Must include:
  ☐ Merit Review Criteria
  ☐ Results from prior NSF Support (only applicable to PI that have received NSF support within the past 5 years)
  ☐ Human-resource information (if applicable)

☐ References Cited
  GPG II.C.2.e
  Upload Bibliography

☐ Biographical Sketches (2 pages each)
  GPG II.C.2.f
  *Senior personnel only
Sections:
- Professional Preparation
- Appointments
- Publications (5 most closely related to the proposed project, and 5 other significant publications)
- Synergistic Activities
- Collaborators & Other Affiliations:
  - Collaborators and Co-Editors
  - Graduate Advisors and Postdoctoral Sponsors
  - Thesis Advisor and Postgraduate-Scolar Sponsors

- Budget
  GPG II.C.2.g
  Complete budget for each year that support is requested.

- Budget Justification (3 pages)
  GPG II.C.2.g
  Each line item in the budget should be justified. Consult the GPG for line outline and detail.

- Current and Pending Support
  GPG II.C.2.h: “All current project support from whatever source (…) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, even if they receive no salary support from the project(s)”
  For each award/proposed award:
  - Project/Proposal Title
  - Source of Support
  - Project Location
  - Total Award Amount for the entire award period (including indirect)
  - Start and End dates
  - Person-months per year to be devoted to the project
  *Upload pdf or enter each project individually in Fastlane

- Facilities, Equipment, and Other Resources
  GPG II.C.2.i: “Proposers should describe only those resources that are directly applicable. Papers should include an aggregated description of the resources that the organization will provide to the project, should it be funded”
  *No quantifiable financial information should be included.

- Mentoring Plan (1 page per Postdoc)
  GPG II.C.2.j: “In no more than one page, the mentoring plan must describe the mentoring that will be provided to all postdoctoral researchers supported by the project (…)”
  *Examples of mentoring activities are listed in the GPG section on Postdoctoral Researcher Mentoring Plan

- Data Management Plan (2 pages)
  GPG II.C.2.j: “This supplement should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results”
  Topics to consider:
  - Types of results to be produced on the project (i.e. data, samples, physical collections, etc)
  - Standards for data and metadata format and content
  - Policies for Access and Sharing
  - Policies and provisions for re-use, re-distribution, and the production of derivatives
  - Plans for archiving
  *Data Plan can consist of a statement that no detailed plan is needed if provided with adequate justification.

- Other supplementary Docs
  GPG II.C.2.j
  Please consult the NSF GPG and program solicitation for additional supplementary document necessity and requirements.
# Proposal Checklist - Documents Needed for Proposal

<table>
<thead>
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<th>Coeus</th>
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<td>Biographical Sketches (for Co-PI / Investigators)</td>
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<td>Budget</td>
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<td>Including - Summary of Personnel, Effort, Facilities, Equipment</td>
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Tutorial and Help Desk - visit their website:
# Proposal Checklist - Documents Needed for Proposal

## Other Proposal (check agency requirements and edit as needed)

- **Proposal Number:**
- **Proposal Title:**
- **Due Date:**
- **Agency:**

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*NOTE 1: Administrative salaries charged as “direct” must be justified for Federal Agencies or Federal Subrecipients.

**NOTE 2: Requires graduate student salary and 20% tuition on all proposals when allowable and feasible. Proposals with no graduate student support must be justified.

http://www.jhu.edu/kasper/sponsored_projects/pre_proposal.html#forms
COEUS PREMIUM PROPOSAL DEVELOPMENT CHECKLIST

Before submitting your proposal for approval, use this checklist as a guide to make sure you have included all the necessary components of the proposal. Refer to Coeus Help online (http://jhuresearch.jhu.edu/COEUS/user_guides.htm) for detailed instructions or clarification.

PROPOSAL TAB
- Does the Narrative have a check beside it?
- Does the Budget have a check beside it?
- Is the Lead Unit Number correct for the PI?
- Is the PI’s Descriptive Title less than 81 characters, and without special characters? (NIH specific)
- Do the Start and End Dates reflect the full project period?
- Is the Proposal Type correct? This is critical for proper routing of the proposal.
- Is the Activity Type correct? This is critical for correct calculation of overhead.
- Is the Anticipated Award Type correct?
- Is the Sponsor (Sponsor Code) correct?
- Is the Prime Sponsor field complete if JHU will be a sub-awardee?
- Did you enter Sponsor Proposal Number, if applicable? Required field for NIH / NSF Resubmission, Revision, Renewal, and Change/Corrected.
- Did you enter prior Award No., if applicable? Required for Revision, Renewal, or Continuation submissions.
- Did you enter Original Proposal No., if applicable? Required for Changed/Corrections, Revisions, Resubmissions or Progress Reports.
- Is the Notice of Opportunity / Special Program selection correct?
- Is the Subcontract checkbox marked if applicable?
- Is the Funding Opportunity Number or CFDA Number correct?
- Is the proposal connected to Grants.Gov? Do you see the logo?
- Did you enter the Agency Program Code and Agency Division Code? For NSF submissions only: https://www.fastlane.nsf.gov/pgmanounce.jsp

ORGANIZATION TAB
- Are additional Performance Sites (Locations) entered?
- Is the address completed for each entered Location?
- Is the Congressional District and DUNS number entered for each additional performing organization?

MAILING INFO TAB
- Is the date entered the date the proposal is due to the sponsor?

INVESTIGATOR TAB
- Are all PIs, Co-PIs & Co-Investigators listed on the Investigator Tab? All should be JHU employees.
- Is the lead unit correct?
- Did you enter the percent effort for the total project period for each Investigator?
- Are all the Investigators certified?

KEY PERSON TAB
- Are all key people listed, including PI/PD/or Co-PI external to JHU, other significant contributors, consultants, and mentors?
- Are Key Person roles entered?
- Did you enter the percent effort for the total project period for each Key Person? Only use 999% if submitting a PAPER 398 application to NIH, otherwise enter the appropriate % effort.

PROPOSAL PERSONNEL SCREEN
- Did you attach the required Personnel documents (Biosketches, Other Support, etc.) for all Investigators and Key Personnel?
- Did you verify there are no special characters in the file name?
- Are the Biosketches in the correct format? (Refer to sponsor requirements)
- Did you verify the Person Details? (eRA Commons User Ids, e-mail addresses, directory title, address, citizenship)
- For NIH Submissions – Does PI’s eRA Commons User ID in Coeus match their eRA Commons ID in Commons?
- For NSF Submissions – Does PI’s e-mail address in Coeus match their e-mail address in their Fastlane Profile?
- Did you verify the Degree information for each person? (Rolodex entered persons require manual entry of degree info)

SPECIAL REVIEW TAB
- If your proposal has Human Research Participants or Laboratory Animal Care did you include them in this tab?
- If the Human Research Participants or Laboratory Animal Care protocol is approved, did you enter the approval date in the Appr. Field?
- If the Human Research Participants protocol is exempt, did you include the appropriate exemption code in the comments box?

SCIENCE CODE TAB
- Is the correct code/description filled out? Choose any applicable terms to assist in administrative data collection.

OTHER TAB
- For NASA submissions only. Use NSPIRES user name or Authorized Organization Representative (AOR). This is typically the person in Research Administration who submits the proposal to grants.gov.

GRANTS.GOV SCREEN
- For Change / Corrected applications, is that Submission Type selected on the Opportunity Tab?
- Are all the appropriate forms on the Forms Tab checked to "Include?” (i.e. Modular Budget, Sub award Budget, Cover Letter)
- Does the proposal pass the Grants.gov Validation?
- Do all the Uploads attach to the forms in the appropriate fields? Choose print to review.
- Does the R&R Budget form display Senior and Other personnel correctly? Choose print to review. (# of professionals, person months, salary, and fringe benefits)
ABSTRACT SECTION

☐ For NSF Submissions – If required by the notice of opportunity, did you list Suggested Reviewers or Reviewers Not to Include in the respective Abstract types?

*Note: this section is used mainly for old PHS forms, most of this information should be uploaded as Narratives.

NARRATIVE MODULE

Note – Please refer to the Sponsor instructions for which Narrative Types to include with your proposal submission.

☐ Did you upload the final and correct versions of all the narratives necessary for business review?
☐ Did you verify that the correct narratives were attached to the corresponding Narrative Type?
☐ Are all narratives marked as “Complete?”
☐ Are all narratives in the sponsor required format? (i.e. word or PDF, margins, header/footer, etc.)
☐ If the submission is a Special Program, did you upload the sponsor instructions?
☐ Did you make sure there are no special characters in file names?

IF COPIED PROPOSAL

☐ Application type adjusted?
If necessary, be sure to change the grants.gov submission type as well. For example: a change/corrected resubmission.
☐ If NIH modular budget, check box filled in on Budget Summary Tab?
☐ All narratives copied and marked complete?
☐ Checked YNQs to see if any new questions have been added since last submission?

BUDGET MODULE

Detailed Budget

☐ Are Direct, Indirect, and Total costs entered for each period of the budget?
☐ Did you review/confirm the F&A rates applied to the proposal?
☐ Did you review the Budget Persons Table/Window?
   ☐ Does each individual have the appropriate Appointment Type selected and the correct Effective Date, Calc. Base Salary & Salary Anniversary Date entered?
   If no salary anniversary date is entered, default is July 1st.
   ☐ Has the Effective Date on budget Persons screen been updated to reflect effective date of salary listed?
☐ Are all NAMED and TBA personnel entered correctly in the Personnel Budget Details of Salary Line items?
   ☐ Are Start & End Dates correctly entered for the period of the work?
   ☐ Is the correct Period selected?
   ☐ Was both the % Charged & % Effort entered for each individual paid under that line item?
   ☐ Have the budget salaries been reviewed and confirmed accurate?

*Note – To populate the Grants.gov forms appropriately, all personnel must be included in the Personnel Budget Details of the Personnel Line Item and the valid cost center that they will be paid from.

☐ Does the budgeted personnel effort match the stated amount in the budget justification?
☐ Is the Budget Justification uploaded in the Narrative Module?
☐ Did you review each period of the budget?
☐ Is there Cost Sharing indicated?
   ☐ Have you checked with Research Administration to confirm business rules?
☐ Are any equipment purchases of $5,000 or more broken out onto separate lines?
   ☐ If so, is there a description and justification in the line item detail?
☐ If there are subcontracts, are the sub award budgets appropriately uploaded in the Sub Award section of the budget?
☐ Have you verified that uploaded subcontractor forms populate forms properly/are actually in correct format?

Modular Budget

☐ Did you mark it as Modular on the Budget Summary Tab and save immediately?
☐ Did you sync the Modular budget to the Detailed Budget?
☐ Are all of your modules correct and consistent?
☐ Did you recalculate the IDC base using the Modular Total Direct Cost if need be?
☐ Did you include the Modular Budget justifications in the Narrative Module?

General Budget Items

☐ Did you mark a budget version as Final?
☐ Did you mark the selected final budget as complete?
☐ Did you select the appropriated Budget Forms to be included in the Grants.gov submission?

RESEARCH COMPLIANCE QUESTIONNAIRE

☐ Did you complete the research compliance questionnaire?
☐ Did you complete other questionnaires, if listed?

YES/NO QUESTIONS

☐ Are all of the questions reviewed & answered?
☐ Are the Explanation fields complete for questions that require explanations?
☐ Are the answers appropriate to this sponsor/submission?

PREPARE FOR ROUTING

☐ Did you run validation checks? Coeus and Grants.gov.
☐ Create a pdf of application to review form set and verify that all information appears correctly.
BUDGET NARRATIVE JUSTIFICATION

Do note: A non-modular budget narrative will include most if not all of the components below. However a modular budget justification will only require:

- **Personnel Justification:** The Personnel Justification should include the name, role, and number of person-months devoted to this project for every person on the project. Do not include salary and fringe benefit rate in the justification, but keep in mind the legislatively mandated salary cap when calculating your budget. [When preparing a modular budget, you are instructed to use the current cap when determining the appropriate number of modules.]

- **Consortium Justification:** If you have a consortium/subcontract, include the total costs (direct costs plus F&A costs), rounded to the nearest $1,000, for each consortium/subcontract. Additionally, any personnel should include their roles and person months; if the consortium is foreign, that should be stated as well.

- **Additional Narrative Justification:** Additional justification should include explanations for any variations in the number of modules requested annually. Also, this section should describe any direct costs that were excluded from the total direct costs (such as equipment, tuition remission) and any work being conducted off-site, especially if it involves a foreign study site or an off-site F&A rate.

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Proposal Title:
Principal Investigator:
Sponsor:
Starting date:
Ending date:

**Salaries - Johns Hopkins University (JHU) Personnel**

Principal Investigator (PI) - PI requests funds to cover ___ Person/M of his salary for ___ years. The PI is responsible for all aspects of the project. He ensures that research goals are met in a timely manner, with scientific integrity, and completed within budgeted amounts. He makes certain that project activities and expenditures are in compliance with Federal regulation, Johns Hopkins University policies and procedures and the terms and conditions of any resulting award.

Other positions - This ___-year budget requests funds to cover ___ person/M of the team member, ___ Person/M of an Assistant Research Scientist, and one full time graduate student. All positions are under the direction of the PI. The graduate student’s effort is 50% during the academic year (September-May) and at 100% during the summer (June-August).

The salaries requested total is $___________. An annual salary increase of ___% is included in the calculations.

**Fringe Benefits**
We request funds to cover fringe benefits totaling $______ based on the approved JHU rate for fringe benefits of ___% for JHU staff. The benefits’ cost is included in direct costs.

**Other Direct Costs**

We request $_______ to cover Other Direct Costs which includes Materials & Supplies, Tuitions, Publications, and Travel. An annual salary increase of ___% is included in the calculations.

**Materials & Supplies:**
We request $______ to cover the costs of Materials & Supplies (for example, miscellaneous small purchases, poster for conferences); $______ to cover mandatory student health Insurance; and $_____ for publications.

**Tuition Fees:**
We request funding to cover 20% of the full tuition for the graduate student for ___ years.

**Publications:**
We request funds to cover two publications.

**Travel**

Funds are requested to support domestic travel for the PI, JHU collaborator and student. Total request for travel is $______.

**Domestic Travel:**
We request funds to cover travel costs between JHU and _____ located in _____ for the PI, a JHU researcher and a student to support collaboration. ____ trips per year are projected, ____ per trip. Total request is $____ for ___ years.

We also request funds to cover the travel costs for the PI and one collaborator to attend one conference each per year expected to be in __________, for ___ years. The travel costs include airfare, registration cost, and the maximum allowable per diem for five days, estimated total of $______ for ___ years.

Estimates for travel are obtained from search engines and the per diem costs are obtained from [http://www.gsa.gov](http://www.gsa.gov) and based on experience planning other trips with similar specifications.

**Equipment**

We request funds to cover the purchasing of various components as described on the equipment list included in the budget. We also request funds to cover access costs to the JHU Cleanroom, storage space in the Cleanroom, and Machine Shop costs. The estimated total is $__________ for ___ years and is based on the following estimated rate:
Cleanroom: ___ hrs @ $___/hrs
Cleanroom Storage: ___ months @ $___/month
Machine Shop: ___ hrs @ $___/hrs

**JHU Facilities and Administration Costs (F&A)**

The Modified Total Direct Cost (MTDC) base for this proposal includes salaries, fringe benefits, other direct costs and travel expenses. Note that the Johns Hopkins University Facilities & Administration rate is not applied to the tuition and equipment costs.

The current indirect cost rate is ___% and the F&A is calculated using the Modified Total Direct Cost base. This rate is expected to remain at the same level for the duration of this proposal. We request funding to cover a total of $________.

Total funding requested is $________.

The Indirect costs rates are per an agreement negotiated with the Department Of Health and Human Services (DHHS) dated ______ and are subject to change upon future review and evaluation by the federal cognizant agency.
## Multi-Year Proposal Budget Template, Sample 1

<table>
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<tr>
<th>Expense Category</th>
<th>Description</th>
<th>Add'l Info</th>
<th>Base Salary</th>
<th>% Effort</th>
<th>Person months</th>
<th>Other</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Total</th>
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<td><strong>Subtotal F&amp;A</strong></td>
<td></td>
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<tr>
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### Travel Calculator

#### Domestic Travel

<table>
<thead>
<tr>
<th>Notes</th>
<th>UPY12</th>
<th>UPY13</th>
<th>UPY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of trips</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Number of days</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Mileage</td>
<td>0.555</td>
<td>0.555</td>
<td>0.555</td>
</tr>
<tr>
<td>Mileage Expense (miles X mileage rate)</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Per Diem</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subtotal</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Airfare</td>
<td>$0</td>
<td>$0</td>
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</tr>
<tr>
<td>Total Domestic Travel</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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#### Foreign Travel

<table>
<thead>
<tr>
<th>Notes</th>
<th>UPY12</th>
<th>UPY13</th>
<th>UPY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of trips</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Number of days</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Mileage</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mileage Expense (miles X mileage rate)</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Per Diem</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subtotal (# trips X days X per diem)</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Airfare</td>
<td>$0</td>
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<tr>
<td>Total Foreign Travel</td>
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79
### Total Direct Costs

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<tr>
<th>Category</th>
<th>Percent</th>
<th>FY1</th>
<th>FY2</th>
<th>FY3</th>
<th>FY4</th>
<th>FY5</th>
<th>FY6</th>
<th>FY7</th>
<th>FY8</th>
<th>FY9</th>
<th>FY10</th>
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<tbody>
<tr>
<td>Salary</td>
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<td>Total</td>
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<td></td>
<td></td>
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</tr>
</tbody>
</table>

**Notes:**
- Always check rates per grant or proposal.
- As of July 1, 2011.
- COLA Y1: 1.0208
- COLA Y2: 1.0000
- COLA Y3: 1.0000
- COLA Y4: 1.0000
- COLA Y5: 1.0000
- Total Direct Costs accounting against NI Limit
- Total Indirect Costs

**Interpreted Values:**

<table>
<thead>
<tr>
<th>Year</th>
<th>Interpreted Values</th>
<th>FY1</th>
<th>FY2</th>
<th>FY3</th>
<th>FY4</th>
<th>FY5</th>
<th>FY6</th>
<th>FY7</th>
<th>FY8</th>
<th>FY9</th>
<th>FY10</th>
<th>FY11</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2.31</td>
<td>2.91</td>
<td>3.09</td>
<td>3.24</td>
<td>3.47</td>
<td>3.72</td>
<td>4.03</td>
<td>4.32</td>
<td>4.66</td>
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**Updated Values:**

<table>
<thead>
<tr>
<th>Year</th>
<th>Updated Values</th>
<th>FY1</th>
<th>FY2</th>
<th>FY3</th>
<th>FY4</th>
<th>FY5</th>
<th>FY6</th>
<th>FY7</th>
<th>FY8</th>
<th>FY9</th>
<th>FY10</th>
<th>FY11</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2.32</td>
<td>2.91</td>
<td>3.09</td>
<td>3.22</td>
<td>3.47</td>
<td>3.72</td>
<td>4.03</td>
<td>4.32</td>
<td>4.66</td>
<td>5.03</td>
<td>5.47</td>
</tr>
</tbody>
</table>

**Notes:**
- Use Revised IDC Rate (Salary Basis)
- Use Revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
- Use revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
- Use revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
- Use revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
- Use revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
- Use revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
- Use revised IDC Rate (Salary)
- Use revised IDC Rate (Salary Basis)
<table>
<thead>
<tr>
<th>Q</th>
<th>Description</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>H4</td>
<td>Have lobbying activities been conducted on behalf of this proposal?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P5</td>
<td>Are you currently debarred, suspended, proposed for debarment, declared</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>ineligible or voluntarily excluded from current transactions by a federal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>department or agency?</td>
<td></td>
<td></td>
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<tr>
<td>P2</td>
<td>Is there a potential for a real conflict of interest as defined in the</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>institution’s Policies and Procedures with regards to this proposal?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>P1</td>
<td>Can you certify that the information submitted within this application is</td>
<td></td>
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<tr>
<td></td>
<td>true, complete and accurate to the best of your knowledge? Please be</td>
<td></td>
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<tr>
<td></td>
<td>aware that any false, fictitious, or fraudulent claims may subject you as</td>
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<tr>
<td></td>
<td>the PI/Co-Investigator to criminal, civil or administrative penalties.</td>
<td></td>
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<tr>
<td>P3</td>
<td>Have you reported in accordance with the appropriate divisional COI</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>policy all financial interests and fiduciary relationships, you, your</td>
<td></td>
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<tr>
<td></td>
<td>spouse/domestic partner, and/or your minor dependents have in any</td>
<td></td>
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<tr>
<td></td>
<td>entity/entities that may sponsor this proposal, provide material for use in</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>this proposal, own or control technology used or studied in this proposal?</td>
<td></td>
<td></td>
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<tr>
<td>Z5</td>
<td>Do you agree to accept responsibility for the scientific conduct of the</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>project and to provide the required progress reports?</td>
<td></td>
<td></td>
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</tr>
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</table>

### Yes/No Questions for Coeus Proposals

<table>
<thead>
<tr>
<th>Q</th>
<th>Description</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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<tbody>
<tr>
<td>12</td>
<td>NSF Beginning Investigator?</td>
<td></td>
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<tr>
<td>13</td>
<td>NIH Beginning Investigator?</td>
<td></td>
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<tr>
<td>14</td>
<td>Is this an NSF Small Grant for Exploratory Research?</td>
<td></td>
<td></td>
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<tr>
<td>15</td>
<td>Is this proposal being submitted to other agencies? If so, please list</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>agency acronyms in explanation separated by commas.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Have all inventions or patents been previously reported? Answer N/A if there</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>are no inventions or patents.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>17</td>
<td>Is this a Phase III Clinical Trial as defined by NIH?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Are human embryonic stem cells used? If so, list the registration numbers</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>of the cell lines in the comment.</td>
<td></td>
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</tr>
<tr>
<td>19</td>
<td>Are you currently serving, or have you previously served, as a PI, co-PI,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>or Program Director on any Federally funded project?</td>
<td></td>
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</tr>
<tr>
<td>20</td>
<td>Does the proposal contain high resolution graphics or other graphics where</td>
<td></td>
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<tr>
<td></td>
<td>exact color representation is required for proper interpretation (PAPPG,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chapter I.G.1)?</td>
<td></td>
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<tr>
<td>21</td>
<td>Is the proposal a full application related to submission of a preliminary</td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>application?</td>
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<tr>
<td>22</td>
<td>Is the principal investigator changing with this application? If so, please</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>enter last and first names of previous investigator in explanation. Please</td>
<td></td>
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<tr>
<td></td>
<td>enter LAST NAME, FIRST NAME.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>23</td>
<td>Has the grantee institution changed with this application? If so, enter</td>
<td></td>
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<tr>
<td></td>
<td>name of previous institution in explanation field.</td>
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<tr>
<td></td>
<td>Question</td>
<td>Answer</td>
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<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
<td>--------</td>
<td></td>
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</tr>
<tr>
<td>24</td>
<td>Is the principal investigator participating in this project as an employee of the U.S. Government? If so, please click on “More” for instructions.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>25</td>
<td>Is the principal investigator participating in this project as an employee of a foreign organization?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>26</td>
<td>For Dept. of Education, Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, check “Not Applicable”.</td>
<td></td>
<td></td>
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<tr>
<td>27</td>
<td>If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? If yes, please explain in comments.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>28</td>
<td>Is this a clinical trial?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>29</td>
<td>Is the Government permitted to disclose the project title, and the contact information of the signing official, to organizations that may be interested in contacting you for further information?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Is this proposal an NSF Accomplishment Based Renewal?</td>
<td></td>
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<tr>
<td>31</td>
<td>Is this proposal subject to review by state Executive Order 12372 process?</td>
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<tr>
<td>FG</td>
<td>Application is Certified</td>
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<tr>
<td>G3</td>
<td>Hazardous Materials are Used or Produced</td>
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<tr>
<td>G4</td>
<td>Genetically Engineered organisms are Used or Produced</td>
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<tr>
<td>G6</td>
<td>Historical Sites are Affected</td>
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<tr>
<td>G8</td>
<td>Proprietary or Privileged Information will be contained in the Application</td>
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<td></td>
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</tr>
<tr>
<td>G9</td>
<td>Does this Project have an actual or potential impact on the environment? If yes, please explain. (Goes with Y/N #27)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>H1</td>
<td>Project Involves the International Cooperative activities</td>
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**Research Compliance Questions**

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<thead>
<tr>
<th></th>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Does this project involve the use of human subjects via contact, data/records, and/or survey, or the use of human tissue, serum, or other fluids? <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Does this project involve disclosure/receipt of protected health information?</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Does this project involve the use of any of the following: human embryonic stem cells (hESCs), somatic cell nuclear transfer (SCNT) involving human cells or other human pluripotent stem cells (hPSCs) that are already subject to oversight by the JHU Institutional Stem Cell Research Oversight (ISCRIO) Committee?</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>If Yes, have you obtained review and approval from the Stem Cell Research Oversight Committee (JHU ISCRO)? <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>---</td>
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<td></td>
</tr>
<tr>
<td>5</td>
<td>Does this project involve the use of live vertebrate animals? <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Does this project involve the use of bio-hazardous materials, radioactive materials, hazardous chemicals, or recombinant DNA? <strong>If you answer no, please skip to question 10. If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Does this project involve the use of bio-hazardous materials? <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Does this project involve the use of radioactive materials? <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Does this project involve the use of hazardous and highly-toxic chemicals (e.g., carcinogens, mutagens, chemicals NIOSH IDLH level?) <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Does this project involve the use of recombinant DNA? <strong>If yes, be sure to complete the Special Review tab.</strong></td>
<td></td>
</tr>
</tbody>
</table>
| 11 | Will the project necessitate alterations or renovations?  
A. Please provide an explanation of the required alternations.  
B. Have the alterations/renovations been approved by the Dean's Office? |
| 12 | Will additional space be needed in any project location?  
A. Please add an explanation of the additional space request.  
B. Has space request been approved by the Dean's Office? |
| 13 | Are any administrative costs included in your budget?  
A. Please provide an explanation for the administrative costs requested. |
| 14 | Do you anticipate that program income will be generated under this project?  
A. Please provide an explanation for the anticipated program income. |
| 15 | If this proposal is funded, will you need multiple accounts? |
| 16 | Is cost sharing or matching required by sponsor?  
A. Has cost sharing been approved by the department and/or dean, as appropriate?  
B. Please provide cost centers and/or internal orders that will be used for cost sharing. |
| 17 | Has the principal investigator completed the required effort reporting training? |
| 18 | Will the project include subawards or subcontracted effort to other organizations? |
| 19 | Will human subjects be involved in research by the subcontractor, via contact, data/records, and/or survey, or the use of human tissue, serum, or other fluids? |
| 20 | In this project, will you be utilizing information provided under a confidentiality agreement with a third party? |
| 21 | In this project, will you be utilizing materials provided under a Material Transfer Agreement (MTA) with a sponsor and/or third party? |
| A. Please provide the name(s) of the company or institutions with whom you have or may have the material transfer agreement. |

| 22 | Do you anticipate that the project will involve existing JHU intellectual property (yours or another investigator's), such as an invention, copyright, etc.? |
| A. Please identify the JHU disclosure number, if applicable. |

| 23 | Has the proposed use been approved by Johns Hopkins Tech Transfer? |

**EXPORT CONTROL QUESTIONS**

| 24 | Will your project require the involvement of any foreign countries, their citizens, or organizations? |
| 25 | Will any of the proposed project activity take place within a foreign country? |
| 26 | Do you need to list more than 5 countries? If so, please indicate the number of countries in the box provided. |

| 27 | Please list the foreign countries. |

| 28 | Please select the type of project activity that you expect will occur in this country. Circle all that apply: 1. A subcontract with a foreign university or entity; 2. Hiring independent contractors or employees; 3. Opening a foreign bank account; 4. Leasing space; 5. An American or foreign national receiving project-related items including, but not limited to, equipment, information, and/or data; 6. Participating personnel traveling to sponsor an activity in a foreign country (e.g., a conference or meeting); 7. University employee or students working in a foreign country for more than ninety (90) days; 8. Other (describe in text box). |

| 29 | Please describe the type of activity that you expect will take place in Country. |

| 30 | Do you need to select another country? |

| 31 | During your project, will you provide foreign nationals with access to devices, materials, source code or technical data while they are in the United States? |

| 32 | Please provide as much of the following information as you can about any foreign national or foreign organization to which you expect to provide access to project-related devices, materials, source code, or technical data during the course of the project. |
You indicated that foreign countries, their citizens or organizations will play some role in the completion of the proposed project, but you have also indicated that no project activity will take place in a foreign country AND that no foreign nationals will play a role in the project in the United States. Did you enter Yes to "will any of the proposed project activity take place within a foreign country" when the answer should have been No? If so, please return to the question and change your answer. If your answers to the questions are accurate, please describe how foreign countries, their citizens or organizations will play some role in the completion of the proposed project.

To the best of your knowledge, will there be any restrictions upon a) the publication of project results, or b) the inclusion of foreign nationals in some or all project activities?

A. Please describe the kind of restrictions that you believe will apply to the conduct of your project or to the publication of its results.

Is any item or information that will be used or developed during the proposed project the product of defense funding or specifically designed, developed, configured, adapted, or modified for a military or space application?

Are any foreign countries associated with your project subject to sanctions listed by the Office of Foreign Assets Control (OFAC)?

Personnel Number of PI (to be filled out by analyst):

PI Signature               Date

***The PI(s) name(s) above attest(s) to the following:
1. That the information submitted within the application is true, complete and accurate to the best of the PI’s knowledge;
2. That any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and
3. That the PI(s) agree(s) to accept responsibility for the scientific conduct of the project if an award is made.