

Office of Sponsored Programs (OSP)

BA 110 Questions: (801) 863-6084

UTAH VALLEY



**Important:** This form must be downloaded and saved to your computer and then opened and completed in Adobe. If the form is completed in a web browser, the data will not save.

**Notification of Intent to Prepare a Grant Proposal (NOI)**

Purpose: In compliance with University policy to assure campus-wide coordination and appropriate oversight; to avoid multiple requests from the same funding source; allow collaborative opportunities to be explored; and to provide internal quality assurance of written proposals. Please submit this form before proposal preparation.

**Proposal Submission Deadline** \_\_\_\_\_ (If no submission deadline is required, identify the anticipated submission date.)

Note: All proposals MUST be submitted to OSP five (5) business days prior to the proposal submission deadline. Additional time may be required to address funding for research, new curriculum construction, external sub-awards, contractual relationships, revenue generating activities, cost sharing or match, or indirect cost modifications. Please note that failure to comply with this policy may result in your proposal NOT being submitted.

**Principal Director/Investigator (PD/PI)**

**Phone**

Are you a full-time, exempt UVU employee? Yes No Faculty Yes No Tenure Track Yes No

Job Title \_\_\_\_\_ Email \_\_\_\_\_

Department \_\_\_\_\_ Academic School/College \_\_\_\_\_

Co-PD/PI (1) \_\_\_\_\_ Phone \_\_\_\_\_

Are you a full-time, exempt UVU employee? Yes No Faculty Yes No Tenure Track Yes No

Job Title \_\_\_\_\_ Email \_\_\_\_\_

Department \_\_\_\_\_ Academic School/College \_\_\_\_\_

Cooperating PD/PI (2) \_\_\_\_\_ Phone \_\_\_\_\_

Are you a full-time, exempt UVU employee? Yes No Faculty Yes No Tenure Track Yes No

Job Title \_\_\_\_\_ Email \_\_\_\_\_

Department \_\_\_\_\_ Academic School/College \_\_\_\_\_

Funding Type: Federal, CFDA # \_\_\_\_\_ State Foundation Other

Sponsoring Agency/Foundation \_\_\_\_\_ Phone \_\_\_\_\_

Agency Contact Name \_\_\_\_\_ Email \_\_\_\_\_

Sponsoring Agency Program Name \_\_\_\_\_

Sponsoring Agency Program Name Website \_\_\_\_\_

**Program Title**

**Project Description**

Approximate amount of funds being requested \$ \_\_\_\_\_

Expected grant duration (number of years) \_\_\_\_\_

If your project will involve surveying individuals or performing human research on human subjects, contact IRB immediately at [IRB@uvu.edu](mailto:IRB@uvu.edu)

Will international activities be involved?      Yes      No

Does the proposed project possess the potential for patentable ideas or intellectual property?      Yes      No

Should portions of the proposed project be identified as proprietary?      Yes      No

Does this project pose any potential conflict(s) of interest?      Yes      No

**USE OF PROJECT:**      Fellowships      Scholarships      Instruction      Student Engagement      Public/Student Service  
Community Development      Capital Equipment or Facilities      Research (If research is selected, check appropriate:  
applied      medical      biological      educational)      extensive data collection      off-site location      travel  
student travel – how many?      None of these Categories apply. Please Describe:

**INSTRUCTION:** Does the project involve for-credit instruction?      Y      N

Does the project require creation or revision of curriculum?      Y      N

Is cost sharing required? (Matching, leveraging, institutional resources, etc.)      Yes      No  
Cost sharing requires Dean/Chair approval:      Dean initials      Chair initials

Does the proposed project require a reduction or elimination of standard indirect costs rates?      Yes      No  
If yes, please explain:

*\* Reduction or elimination of standard indirect cost rates is only allowable when required by the sponsoring organization; institutional approval is mandatory.*

**Required Signatures – OSP will route this document for signatures after it has been submitted to OSP.**  
*As PI/Co-PI, I attest that I understand the definition of the word plagiarism, and confirm that the research and/or written content that will be contained in this grant proposal will be my own original work and/or the original work of a team of writers under my coordination, and will not be copied from any other published or unpublished work without full acknowledgement and appropriate citation of the contribution.*

Principal Investigator	Name Required
Department Chair/Area Supervisor	Name Required
Dean/ AVP/VP	Name Required
Co-Principal Investigator Co-PI	Name If Applicable
Department Chair /Area Supervisor	Name If Applicable
Dean/ AVP/VP	Name If Applicable

# STOP HERE

Thank you for filling out the three pages above

At this point, you will need to contact one of the following people:

- For government grants, please contact Carlos Cortez, Program Director Sponsored Research ([carlos.cortez@uvu.edu](mailto:carlos.cortez@uvu.edu))
- For non-government grants or contracts, Laura Holden, Program Director of Contracts and Foundation Grants ([holdenla@uvu.edu](mailto:holdenla@uvu.edu)).

Don't worry about the pages below at this point. They deal with later steps in OSP's grant process.



# Grant Approval Routing Form

Please submit this form with a copy of the full proposal (narrative, budget, attachments, etc.) to OSP at least 5 business days prior to any submission deadline. If completed proposal materials are not received by this date, the PI assumes the risk that there may be insufficient time for adequate proposal review and the proposal may not be submitted by UVU.

### Office of Sponsored Programs

MS 224; BA 110; 801-863-6084

Please submit to: [OSP@uvu.edu](mailto:OSP@uvu.edu)

Date Received: \_\_\_\_\_

App. # \_\_\_\_\_

AGENCY/SPONSOR SUBMISSION DEADLINE: \_\_\_\_\_

Submission Method:  Mail  Electronic  Hand Delivery

Request the proposal be marked "Confidential":  Y  N

TITLE OF PROPOSAL/ GRANT: \_\_\_\_\_

AGENCY/SPONSOR ORGANIZATION: \_\_\_\_\_

AGENCY CONTACT: \_\_\_\_\_ PHONE: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

WEBSITE: \_\_\_\_\_

Federal CFDA Number: \_\_\_\_\_

Please submit a copy of the Grant Guidelines/Instructions with your submission.

PROJECT TYPE:  New  Resubmission  Non-Competing Continuation  Competing Renewal  Supplemental  Other

PERFORMANCE SITE: \_\_\_\_\_

Will the proposed project duplicate existing programs, projects, or services currently available at UVU?  Y  N If yes, please explain: \_\_\_\_\_

USE OF PROJECT:  Fellowships  Scholarships  Instruction  Student Engagement  Public/Student Service  Community Development  Capital Equipment or Facilities  Research (If research is selected, check appropriate:  applied  medical  biological  educational  extensive data collection  off-site location  travel  student travel, how many? \_\_\_\_\_  
 None of these Categories apply. Please Describe: \_\_\_\_\_

REQUIRED RESOURCES: Please select additional resources needed that are NOT available from the sponsoring organization. If selected, please explain:

- Additional classroom, laboratory, or office space: \_\_\_\_\_
- Tuition, scholarship, or additional funding not being requested from the grant: (amount) \$ \_\_\_\_\_
- Additional computing resources or computer software: \_\_\_\_\_
- Additional data storage: \_\_\_\_\_
- Substantial assistance from other departments – e.g.: IT, Internships, Career Services, etc.: \_\_\_\_\_
- Additional library resources: \_\_\_\_\_
- New construction: \_\_\_\_\_
- Remodeling of existing space: \_\_\_\_\_
- Other: \_\_\_\_\_

INSTRUCTION: Does the project involve for-credit instruction?  Y  N

Does the project require creation or revision of curriculum?  Y  N

**Program Title**

**Project Description**

**EXTERNAL RELATIONS:** Please identify and describe any external relationships or agreements necessary:

- Government, for-profit, non-profit, or external educational relations: \_\_\_\_\_
- Sub-contracts, sub-awards, sub-recipient, commitments or agreements: \_\_\_\_\_
- Letters of Support/Commitment/Collaboration: \_\_\_\_\_
- Memorandum of Agreement/Understanding: \_\_\_\_\_

**DOES THE PROJECT INVOLVE ANY OF THE FOLLOWING?**

HUMAN SUBJECTS	ANIMAL SUBJECTS	BIOSAFETY	RECOMBINANT DNA	RADIOACTIVITY
___ Data ___ Specimens	___ Data ___ Specimens		___ Data ___ Specimens	
IRB approval date:	IACUC approval date:	IBC approval date:	RDBC approval date:	Sublicense under name:
IRB number:	IACUC number:	IBC number:	RDBC number:	
<input type="checkbox"/> Approval Pending	<input type="checkbox"/> Approval Pending	<input type="checkbox"/> Approval Pending	<input type="checkbox"/> Approval Pending	Attach copy of sublicense
Date submitted:	Date submitted:	Date submitted:	Date submitted:	
	Custom antibodies? Y N	List materials:		

For CITI IRB training and registration, go to [www.citiprogram.org](http://www.citiprogram.org). For further guidance, contact IRB at [IRB@uvu.edu](mailto:IRB@uvu.edu).

**BUDGET SECTION:**

**PROJECT START DATE:** \_\_\_\_\_ **PROJECT END DATE:** \_\_\_\_\_

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Personnel Costs	\$	\$	\$	\$	\$	\$
Equipment	\$	\$	\$	\$	\$	\$
Travel	\$	\$	\$	\$	\$	\$
Participant Support Costs	\$	\$	\$	\$	\$	\$
Materials & Supplies	\$	\$	\$	\$	\$	\$
Contractual	\$	\$	\$	\$	\$	\$
Construction	\$	\$	\$	\$	\$	\$
Other	\$	\$	\$	\$	\$	\$
Sub Awards	\$	\$	\$	\$	\$	\$
<b>Total Direct Costs</b>	\$	\$	\$	\$	\$	\$
Indirect Costs %	\$	\$	\$	\$	\$	\$
<b>Total Costs</b>	\$	\$	\$	\$	\$	\$

**Cost Share/Matching:** \_\_\_ Y \_\_\_ N \$\_\_\_\_\_ In-Kind: Source(s): \_\_\_\_\_

**APPROVAL:** \_\_\_\_\_ Chair/Dept. Admin Initials \_\_\_\_\_ Dean/Exec. Administrator Initials

**Sub-contracts involved?** \_\_\_ Y \_\_\_ N How many? \_\_\_\_\_

If yes, a sub-recipient form needs to be submitted for EACH sub-award at the time of application submission.

**PROJECT-RELATED INCOME (PRI):** Is PRI expected from sources other than the agency/sponsor? \_\_\_ Y \_\_\_ N

If yes, please explain:

**Sponsored Project Interest Disclosure:**

Do you have a conflict of interest form filed with UVU? If yes, please attach the UVU Conflict of Interest Management Plan. Contact University Compliance for more information.

Do any participating faculty, staff, or students (or their spouse or dependent children) have any financial interest such as royalty, equity, or any other payments (e.g., consulting, salary, etc.) in the sponsor or the other entities having a financial interest in intellectual property, products or services which are the subject of the *proposed project*? \_\_\_ Y \_\_\_ N

**PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR ASSURANCES**

My signature below certifies that: 1) I understand the definition of the word plagiarism, and confirm that the research and/or written content contained in this grant proposal is original work and is not copied from any other published or unpublished work unless the contribution is properly and fully acknowledged and sited. I also understand that failure to comply with this expectation would violate UVU policy and my professional obligations as a faculty member and may lead to disciplinary action, up to and including suspension of my ability to submit grants on behalf of UVU and/or termination of my employment; 2) the information submitted within the application is true, complete and accurate to the best of the PD/PI's knowledge; 3) that any false, fictitious or fraudulent statements or claims may subject the PD/PI to criminal, civil, or administrative penalties; 4) that the PD/PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application; 5) that the personnel or organizations involved in this project are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from any federal department or agency and I agree to be bound by the terms and conditions of the external funding agency/source.

Project Director/Principal Investigator Signature	Printed name	Date
Department, School / College _____		
Annual % Effort (time commitment): _____ Calendar _____ Academic Year _____ Summer _____		
Does the project involve course reassignment for faculty or overload for staff?    Y    N		
Faculty    Y    N	Tenure Track    Y    N	
Department Chair / Area Supervisor Signature	Printed name	Date
Dean / AVP / VP	Printed name	Date

Co – PI Signature	Printed name	Date
Department, School / College _____		
Annual % Effort (time commitment): _____ Calendar _____ Academic Year _____ Summer _____		
Does the project involve course reassignment for faculty or overload for staff?    Y    N		
Faculty    Y    N	Tenure Track    Y    N	
Department Chair / Area Supervisor Signature	Printed name	Date
Dean / AVP / VP	Printed name	Date



Co – PI Signature	Printed name	Date
Department, School / College _____		
Annual % Effort (time commitment): _____ Calendar _____ Academic Year _____ Summer _____		
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Faculty    Y    N	Tenure Track    Y    N	
Department Chair / Area Supervisor Signature	Printed name	Date
Dean / AVP / VP	Printed name	Date

Co – PI Signature	Printed name	Date
Department, School / College _____		
Annual % Effort (time commitment): _____ Calendar _____ Academic Year _____ Summer _____		
Does the project involve course reassignment for faculty or overload for staff?    Y    N		
Faculty    Y    N	Tenure Track    Y    N	
Department Chair / Area Supervisor Signature	Printed name	Date
Dean / AVP / VP	Printed name	Date

Co – PI Signature	Printed name	Date
Department, School / College _____		
Annual % Effort (time commitment): _____ Calendar _____ Academic Year _____ Summer _____		
Does the project involve course reassignment for faculty or overload for staff?    Y    N		
Faculty    Y    N	Tenure Track    Y    N	
Department Chair / Area Supervisor Signature	Printed name	Date
Dean / AVP / VP	Printed name	Date

**UVU ENDORSEMENTS**

The attached proposal has been examined by the officials whose signatures appear below and it is found to be consistent with the department and school policies and objectives. These signatures indicate that the signers are familiar with the proposal and the department has the available resources to support this project, except as expressly described on this form.

_____	_____
Sr. Vice President – Academic Affairs Signature	Date
_____	_____
Printed Name	

_____	_____
Impacted Area Responsible Administrator Signature	Date
_____	_____
Printed Name	

**Signature required by VP Planning Budget & HR if Budget amount is over \$100,000 or Cost Sharing amount is over \$10,000**

_____	_____
VP Planning Budget & Human Resources Signature	Date
_____	_____
Printed Name	

_____	_____	_____	_____
Chief International Officer	Date	Associate Vice President Academic Programs	Date
_____	_____	_____	_____
Printed Name		Printed Name	

_____	_____
UVU Authorized Official	Date
Curtis Pendleton	
Senior Director, Office of Sponsored Programs	

# Conflict of Interest at Proposal Submission

## UTAH VALLEY UNIVERSITY RESEARCH/SPONSORED PROGRAM ASSURANCE CONFLICT OF INTEREST DISCLOSURE STATEMENT Pursuant To and In Compliance with Utah Code 57-16-1

Name: \_\_\_\_\_ UVU ID#: \_\_\_\_\_

Title: \_\_\_\_\_ Award #: \_\_\_\_\_

Funding Source: \_\_\_\_\_

Each investigator shall fill out this Disclosure Form (“form”) in order to disclose any potential conflicts no later than the time when he/she is awarded outside funding from the federal or state government or private entities. The form shall be updated during the period of the award if new reportable significant financial interests are obtained. The form will be considered confidential information and will only be shared with University official on a need to know basis. In all instances, University Compliance shall maintain forms, memos reflecting conflict resolutions, and appeals determinations for a period of at least three years after the date of submission of the final expenditures report to the external entity.

The purpose of the UVU policy on Conflict of Interest (see UVU Policy #114) is to establish standards and procedures to be followed by UVU to identify, manage, reduce or eliminate any conflicts of the investigator(s) or project director(s) responsible for the research or project which could directly and significantly affect the design, conduct, or reporting of the externally-funded research or project. The definitions below shall be followed in completing this form.

1. *Investigator* means the principal investigator, co-principal investigators, and any other person involved in the research who is substantively responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by an external entity.
2. *Administrator* means the direct supervisor of the investigator, which may include the Department Chairperson, Dean of the School, Sr. Vice President, etc.
3. *Research* means a systematic investigation designed to develop or contribute to generalizable knowledge in any academic discipline. The term also encompasses all studies conducted at the University, including basic and applied research and product development.
4. *Significant financial interest* means anything of monetary value, including, but not limited to salary or other payments for services (e.g., consulting fees or honoraria), equity interest (e.g., stocks, stock options or other ownership interest), and intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term does not include:

- Salary, royalties or other remuneration from the University;
  - Income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities;
  - Income from service on advisory committees or review panels for public or nonprofit entities;
  - An equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity;
  - Salary, royalties or other payments that, when aggregate for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 during the next twelve month period.
5. *Any entity related to the proposed sponsored project* includes the following non-UVU business or individuals: suppliers of equipment, materials, or services related to the research; business commercializing a product that the research is intended to evaluate or further develop; or party whose financial interests would seem to be directly and significantly affected by the research.

**Assurance Statement**

Information pertinent to Utah Valley University's (UVU's) policies regarding Conflict of Interest are found in the following documents:

- UVU Policy 114 Conflict of Interest
- UVU Policy 136 Intellectual Property
- UVU Policy 323 Guidelines for Consulting
- UVU Policy 635 Academic Freedom, Professional Rights, and Responsibilities
- Utah Code 67-16-1
- Title 42 CFR 50.601

Faculty and academic researchers are required to assure their compliance with these policies. To do this, please answer the questions below.

If you have any questions or are unsure about how to respond to any of the items below, you should discuss your concerns with your direct supervisor or UVU's Compliance Officer.

**Screening Questions**

1. Do you, your spouse, or any of your family have any involvement or financial interest that is, or could be perceived to be, in conflict with the discharge of your duties at the university?  
 YES       NO
2. Do you spend beyond two days per month or 24 days per year on external professional or commercial activities (e.g., external consulting, intellectual property development, or sponsored projects that you re performing for a commercial purpose) during periods of university obligation?

- YES       NO
3. Do you have a significant financial interest or serve as a director or officer in a commercial organization that is directly related to your research interest (or is affected by your research) or directly related to a business decision you are participating in involving university or sponsored funds? For this purpose “significant financial interest” means an interest which annually exceeds \$10,000 in value (such as salary, consulting fees, honoraria, fees for seminars, lectures, or teaching engagements, royalties or intellectual property rights) or an ownership interest (including stocks, stock option or warrants) in the firm which exceeds 5% when aggregated with the interest of your spouse and dependent children?  
 YES       NO
  4. In university courses you teach or for which you have direct responsibility, do you require the use of a textbook or course materials which you have authored or compiled, and from which you receive a royalty or other sales proceeds?  
 YES       NO
  5. Do you use or propose to use university facilities or personnel to conduct research, testing, or work for your outside interests excluding university-administered sponsored projects? (For purposes of this assurance, you may check “no” if your only non-university use of university facilities is of an incidental nature.)  
 YES       NO
  6. Do you consult, otherwise work for, or have a significant financial interest in any commercial funding source that also sponsors research at the university for which you have responsibility for designing, conducting or reporting of the research, or with which are otherwise involved?  
 YES       NO
  7. Have you, or has your program, received gifts of \$50 or more (cumulative over the year) from any commercial entity in which you have a significant financial interest, or whose business is directly related to your research interest?  
 YES       NO
  8. Do you supervise students in any research effort that is directly related to your outside financial interest (e.g., external consulting, intellectual property development, equity or stock option, or sponsored project that you are doing for a commercial purpose)?  
 YES       NO
  9. Are there any non-faculty staff on your project, including students and technicians, who are funded by a commercial sponsor in which either your or they have a significant financial interest and who are also responsible for the design, conduct, or reporting of research activities?  
 YES       NO
  10. Please provide the names of any personnel for whom you answered “yes” on question 8 and/or 9 above.

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### Assurance Options

I have answered truthfully and fully and to the best of my ability. I agree to update this Disclosure Form upon any relevant changes in my circumstances. Sign below and the Office of Sponsored Programs will return this form to University Compliance.

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Email Address: \_\_\_\_\_

Department/Division: \_\_\_\_\_

Date: \_\_\_\_\_

NOTE: If your answer to any of the questions changes during the next year, you are responsible for modifying your assurance of compliance and submitting the necessary disclosure form.

If you answered “**Yes**” to one or more questions, sign below, return this form to your immediate supervisor for development of a proposed management plan. In turn, your supervisor will forward the form and the draft management plan to University Compliance. You and your supervisor will be contacted by the Compliance Officer for more information.

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_ UVU ID#: \_\_\_\_\_

Email Address: \_\_\_\_\_

Department/Division: \_\_\_\_\_

Date: \_\_\_\_\_

Please submit this form (pages 5-14) with a copy of the full proposal (narrative, budget, attachments, etc.) to OSP **at least 5 business days prior to any submission deadline.** If completed proposal materials are not received by this date, the PI assumes the risk that there may be insufficient time for adequate proposal review and the proposal may not be submitted by UVU.

\*\*\*Please email this completed form and your completed proposal application to OSP **at least 5 business days prior to any submission deadline.**

For government grants, please contact Carlos Cortez, (carlos.cortez@uvu.edu)

For non-government grants or contracts, please contact Laura Holden, (holdenla@uvu.edu).

# STOP HERE

Thank you for filling out all the pages above!

At this point, you will need to contact one of the following people:

- For government grants, please contact Carlos Cortez, Program Director Sponsored Research ([carlos.cortez@uvu.edu](mailto:carlos.cortez@uvu.edu))
- For non-government grants or contracts, Laura Holden, Program Director of Contracts and Foundation Grants ([holdenla@uvu.edu](mailto:holdenla@uvu.edu)).

Don't worry about the pages below at this point. They deal with later steps in OSP's grant process.

**UTAH VALLEY UNIVERSITY  
New Award Orientation  
Federal & State Grant/Contract Checklist**

<b>Grant Information</b>	
Agency:	
OSP File/Tracking #:	Award #:
Project Title:	Award Amount:
PI/PD:	
Performance Period:	Financial Reporting Deadline:
Progress Reporting Deadlines:	Index #:

<b>PRE-AWARD CONFIRMATION:</b>		<b>Date</b>
Notification of Intent to Prepare a Grant Proposal (NOI)		
Grant Proposal Submission Approval Form (GPSR)		
IRB Approval #/Review Panel Letter		

<b><u>NEW AWARD ORIENTATION (NAO)</u></b>	<b>Covered During NAO</b>	
Award Documentation.		
Review terms and conditions/special requirements.		
Review approved budget/justification.		
Discussed allowability of costs (allocable, reasonable, consistent) – PI is ultimately responsible.		
PI will contact and work with OSP if any deviation from the approved award budget is needed, and OSP will receive a copy of the sponsor approved modifications.		
All expenses and receipts should be in the system. Maintain documentation and reconcile funds in a timely manner. Financial receipts and documentation must be kept for 7 years beyond expiration of the grant.		
All items must be purchased and received prior to the ending performance date.		
PI is responsible to ensure against underspending or overspending – you or your department will be responsible for overages. <b>Note: Work with the OSP Accountant to expend funds. It is the PI's responsibility to keep a ledger and be aware of available funds.</b>		
PI is responsible to comply with procedures for ethical conduct of research.		
Export Control Approval.		
Assurances (human subjects, animal subjects, biosafety, etc.).		
Cost Share/Match required.		
Effort Certification required.		
Course Release.		
Indirect Fund Capture.		
Send copies of all progress reports to the Office of Sponsored Programs.		



Sabbatical or absence of 3 months or longer? (If yes, explain.)		
The PI is responsible for completing and submitting required report(s) on time to the sponsoring agency. Contact Troy James in the Business Office for the financial aspects of reporting. <b>Please submit the report at least 5 days prior to the deadline.</b>		
I have completed and submitted a Conflict of Interest form to OSP.		
I have received information regarding over-commitment of time and/or effort. I understand it is my responsibility to inform OSP if any changes occur during the performance period of this grant related to my teaching appointment status, administrative appointments (such as Chair, Assistant Dean, etc.), any commitment to another grant, or receive payment for other projects/services above my annual salary or teaching assignment.		

I received the New Award Orientation. \_\_\_\_\_

PI Signature Date

Sponsoring Agency:	
Program Title:	
Department or School:	
PI/PD:	

**Project Summary**

**Performance Reports Due**

**Performance Measures and Outcomes**

**Budget**

**Award Amount: \$**



## Notes on Salaries, Wages, and Fringe Benefits

There may be many reasons that a PI/PD would not receive the full budgeted salary amount as part of a grant award. These reasons include, but are not limited to the following:

1. Estimated base salary may not be accurate for the actual period of performance. OSP uses a standard estimation for cost of living increases as 3% per year when we initially project and create budgets prior to proposal submission. However, if over the years that follow an initial award the PI/PD receives less than the projected amount in annual salary increases (which is often the case), OSP projections end up reflecting an approved budget amount higher than the actual eligible amount for compensation. OSP tends to slightly overestimate this projection because it is preferred that if it should happen in error, that the PI/PD will have a little extra budget to spend on other grant activities rather than to have insufficient funding to cover an annual increase in the base salary.
2. PI/PD proposed to work for a defined period of time but was unable to do so. Please note that a reduction in effort by the PI/PD of at least 25% and/or a leave of absence of more than three months needs to be approved in advance by the sponsor.
3. PI/PD's salary was being paid in part or in whole by another funding source to the maximum institutional base salary (IBS) allowable, e.g. teaching summer classes, performing additional administrative assignment, or working on a sponsored project. (IBS of an employee is the potential contracted compensation amount available for a full 12-month employment appointment. Employees with appointments of less than 12 months are typically eligible to work during uncommitted time. Full-time faculty who have 12-month appointments are usually not eligible for additional salary compensation. Most funding sources further limit employee compensation to no more than the two months of IBS-equivalent salary.)
4. PI/PD does not produce the sponsor-required or UVU-required deliverables in a timely and compete manner.
5. PI/PD does not put forth at least the estimated time and effort toward the project as submitted in the initial proposal.

# Post-Award Conflict of Interest

## UTAH VALLEY UNIVERSITY RESEARCH/SPONSORED PROGRAM ASSURANCE CONFLICT OF INTEREST DISCLOSURE STATEMENT Pursuant To and In Compliance with Utah Code 57-16-1

Name: \_\_\_\_\_ UVU ID#: \_\_\_\_\_

Title: \_\_\_\_\_ Award #: \_\_\_\_\_

Funding Source: \_\_\_\_\_

Each investigator shall fill out this Disclosure Form (“form”) in order to disclose any potential conflicts no later than the time when he/she is awarded outside funding from the federal or state government or private entities. The form shall be updated during the period of the award if new reportable significant financial interests are obtained. The form will be considered confidential information and will only be shared with University official on a need to know basis. In all instances, University Compliance shall maintain forms, memos reflecting conflict resolutions, and appeals determinations for a period of at least three years after the date of submission of the final expenditures report to the external entity.

The purpose of the UVU policy on Conflict of Interest (see UVU Policy #114) is to establish standards and procedures to be followed by UVU to identify, manage, reduce or eliminate any conflicts of the investigator(s) or project director(s) responsible for the research or project which could directly and significantly affect the design, conduct, or reporting of the externally-funded research or project. The definitions below shall be followed in completing this form.

1. *Investigator* means the principal investigator, co-principal investigators, and any other person involved in the research who is substantively responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by an external entity.
2. *Administrator* means the direct supervisor of the investigator, which may include the Department Chairperson, Dean of the School, Sr. Vice President, etc.
3. *Research* means a systematic investigation designed to develop or contribute to generalizable knowledge in any academic discipline. The term also encompasses all studies conducted at the University, including basic and applied research and product development.
4. *Significant financial interest* means anything of monetary value, including, but not limited to salary or other payments for services (e.g., consulting fees or honoraria), equity interest (e.g., stocks, stock options or other ownership interest), and intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term does not include:

- Salary, royalties or other remuneration from the University;
  - Income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities;
  - Income from service on advisory committees or review panels for public or nonprofit entities;
  - An equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity;
  - Salary, royalties or other payments that, when aggregate for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 during the next twelve month period.
5. *Any entity related to the proposed sponsored project* includes the following non-UVU business or individuals: suppliers of equipment, materials, or services related to the research; business commercializing a product that the research is intended to evaluate or further develop; or party whose financial interests would seem to be directly and significantly affected by the research.

### **Assurance Statement**

Information pertinent to Utah Valley University's (UVU's) policies regarding Conflict of Interest are found in the following documents:

UVU Policy 114 Conflict of Interest  
 UVU Policy 136 Intellectual Property  
 UVU Policy 323 Guidelines for Consulting  
 UVU Policy 635 Academic Freedom, Professional Rights, and Responsibilities  
 Utah Code 67-16-1  
 Title 42 CFR 50.601

Faculty and academic researchers are required to assure their compliance with these policies. To do this, please answer the questions below.

If you have any questions or are unsure about how to respond to any of the items below, you should discuss your concerns with your direct supervisor or UVU's Compliance Officer.

### **Screening Questions**

1. Do you, your spouse, or any of your family have any involvement or financial interest that is, or could be perceived to be, in conflict with the discharge of your duties at the university?  
 YES       NO
2. Do you spend beyond two days per month or 24 days per year on external professional or commercial activities (e.g., external consulting, intellectual property development, or sponsored projects that you re performing for a commercial purpose) during periods of university obligation?

- YES       NO
3. Do you have a significant financial interest or serve as a director or officer in a commercial organization that is directly related to your research interest (or is affected by your research) or directly related to a business decision you are participating in involving university or sponsored funds? For this purpose “significant financial interest” means an interest which annually exceeds \$10,000 in value (such as salary, consulting fees, honoraria, fees for seminars, lectures, or teaching engagements, royalties or intellectual property rights) or an ownership interest (including stocks, stock option or warrants) in the firm which exceeds 5% when aggregated with the interest of your spouse and dependent children?  
 YES       NO
  4. In university courses you teach or for which you have direct responsibility, do you require the use of a textbook or course materials which you have authored or compiled, and from which you receive a royalty or other sales proceeds?  
 YES       NO
  5. Do you use or propose to use university facilities or personnel to conduct research, testing, or work for your outside interests excluding university-administered sponsored projects? (For purposes of this assurance, you may check “no” if your only non-university use of university facilities is of an incidental nature.)  
 YES       NO
  6. Do you consult, otherwise work for, or have a significant financial interest in any commercial funding source that also sponsors research at the university for which you have responsibility for designing, conducting or reporting of the research, or with which are otherwise involved?  
 YES       NO
  7. Have you, or has your program, received gifts of \$50 or more (cumulative over the year) from any commercial entity in which you have a significant financial interest, or whose business is directly related to your research interest?  
 YES       NO
  8. Do you supervise students in any research effort that is directly related to your outside financial interest (e.g., external consulting, intellectual property development, equity or stock option, or sponsored project that you are doing for a commercial purpose)?  
 YES       NO
  9. Are there any non-faculty staff on your project, including students and technicians, who are funded by a commercial sponsor in which either your or they have a significant financial interest and who are also responsible for the design, conduct, or reporting of research activities?  
 YES       NO
  10. Please provide the names of any personnel for whom you answered “yes” on question 8 and/or 9 above.

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**Assurance Options**

I have answered truthfully and fully and to the best of my ability. I agree to update this Disclosure Form upon any relevant changes in my circumstances. Sign below and the Office of Sponsored Programs will return this form to University Compliance.

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Email Address: \_\_\_\_\_

Department/Division: \_\_\_\_\_

Date: \_\_\_\_\_

NOTE: If your answer to any of the questions changes during the next year, you are responsible for modifying your assurance of compliance and submitting the necessary disclosure form.

If you answered **“Yes”** to one or more questions, sign below, return this form to your immediate supervisor for development of a proposed management plan. In turn, your supervisor will forward the form and the draft management plan to University Compliance. You and your supervisor will be contacted by the Compliance Officer for more information.

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_ UVU ID#: \_\_\_\_\_

Email Address: \_\_\_\_\_

Department/Division: \_\_\_\_\_

Date: \_\_\_\_\_

# Final Post-Award Acknowledgement Checklist

This checklist will be completed by the principal investigator or primary grant recipient during new-award orientation with the OSP Director of Post-Award Services.

1. I have verified that every person who is substantively responsible for the design, conduct, or reporting of the activities in this grant has completed a [Conflict of Interest Disclosure Form](#) and submitted it to OSP (the OSP Director of Post-Award Services can provide direction in completing this form).  
 YES       NO
2. I have performed an [Excluded Parties Review](#) on SAMS.gov for the names of every person who will receive salary, scholarship, or other financial benefit from these grant funds (the OSP Director of Post-Award Services can provide direction in completing this review).  
 YES       NO
3. I have accurately completed the University Commitments Form and submitted it to OSP (the OSP Director of Post-Award Services can provide direction in completing this review).  
 YES       NO
4. I understand that if my effort commitment changes during the life of the grant, it is my responsibility to notify the OSP Director of Post-Award Services immediately.  
 YES
5. Was the awarded amount different than the proposal requested amount?  
 YES       NO
6. I have received information regarding the UVU Research Ethics and Compliance Policy ([UVU Policy 636](#)) and I understand that I must share this policy with everyone who is working on sponsored projects that I manage (the OSP Director of Post-Award Services can clarify OSP's adherence to this policy).  
 YES       NO
7. Does this award have Subawards/Subcontracts?  
 YES       NO  
If yes: Who is the subaward/subcontract with (person or organization name)?  
  
\_\_\_\_\_

[checklist continued on next page]



8. I understand that UVU faculty and staff working on sponsored projects are expected to charge their time to their projects in accordance with the approved budget of the awarding sponsor.

YES

I understand that Payroll charges to sponsored awards and cost sharing time and effort must be accurately recorded for faculty and staff involved in the sponsored project.

YES

I understand that I am responsible to verify and certify the time and effort of all project personnel. Additionally, my immediate supervisor is required to verify and certify any time and effort that I expended on this award.

YES

I understand that no project personnel may be paid for work under a sponsored award unless their efforts are supported by a sponsor-approved budget, and their time and effort are verified and certified by an appropriate supervisor.

YES

I understand that all employees that work on and charge payroll costs to a sponsored program must complete and submit to OSP one of the forms listed below at least once per semester or summer term within two weeks of the end of the semester or term:

- All FLSA-exempt employees must complete the OSP Time & Effort Activity Reporting Certification form;
- All FLSA non-exempt employees must complete the UVU Time Information Management System (TIMS) daily data entry.

YES

9. I understand that a Principal Investigator or Project Director (PI/PD) and a Co-PI on a grant or contract may only serve at the discretion of their UVU supervisor and executive administrator.

YES

10. I understand that Only a full-time FLSA-exempt employee may serve as a PI or PD. Additionally, UVU does not allow adjunct faculty or full-time Lecturer or Instructor positions to serve as a PI/PD.

YES

[checklist concluded on next page]

11. I understand that in most instances, UVU lecturers and instructors are not allowed to serve as employees on grants or contracts. Exceptions to this rule may only be granted by obtaining approval from these three offices:

- the Senior Director of the Office of Sponsored Programs,
- the lecturer's/instructor's Dean or executive administrator, and
- the Office of Human Resources.

YES

12. Does this award involve scholarships for students?

YES       NO

13. I understand that I can be away from campus and remain engaged in this sponsored project. However, prior approval must be obtained from both the sponsor and OSP for the following:

- Change in scope or objective of the project;
- Change in a key person identified in grant application; or
- Disengagement from the project for more than three months or a 25% reduction in committed time.

YES