

Instructions for completing the SP01

These instructions pertain to the latest version of the SP-01 published by the Sponsored Programs Office. Please note that all prior versions of the SP-01 become obsolete upon the publication of a newer version of this form. The date on the Sponsored Programs Office website indicating when the form was last updated should match the revision date in the bottom right corner of the current form you are using. If these dates do not match please navigate to our website to use the most current version of the form. (<https://spo.usu.edu>)

1. **USU Control Number:** This number will be used to identify your proposal and subsequent award in the Banner system. This is filled out by the Sponsored Programs Office (SPO) if the Proposal has never been assigned a control number. If this proposal is a continuation, revision or augmentation, the Principal Investigator should fill in the current or existing control number to assure prompt setup and review.
2. **Related Proposal:** If this proposal is related to an existing proposal please list the existing control number in this box.
3. **Proposal submittal Due Date:** This should be filled in with the date that the proposal is due to the Sponsor. Please remember that the Sponsored Programs Office has a 2 full business day deadline policy that all proposals need to be submitted to the sponsored programs office prior to the sponsor's submission deadline. This applies to the electronic application for electronic submissions also. Application packages for Grants.gov and NSF Fastlane, etc. need to be available along with the SP-01, budget, budget narrative, etc. in hard copy to allow time for review and corrections if necessary.
4. **Application type:** Please check one box that best describes your proposal:
 - **New** – check this box if the proposal is being submitted to a sponsor for the first time.
 - **Revision** – check this box if this is a revision or a modification to a previously submitted proposal that has not been awarded or was declined by the sponsor.
 - **Continuation** – check this box if this is an extension of time and/or an increase in funding for a contract/grant that has been previously awarded.
 - **Augmentation** – check this box if this is a modification to the scope of work for a previously awarded contract/grant, and the time period of the performance of work will not change.
- 4a. **Continuation Budget Period:** If this proposal is a continuation as checked in “4” above; please fill out which continuation budget period it is.
- 4b. **On/Off Campus Designation:** See [On vs. Off Campus F&A Definition](#) under Policies and Procedures on the SPO web page
5. **Solicitation Status:** If this project is funded with American Recovery and Reinvestment Act (ARRA) funds be sure to check the appropriate box. Check the SBIR/STTR box if the proposal is an SBIR (Small Business Innovation Research) or STTR (Small Business Technology Transfer Research) Proposal. If these funds are provided as federal “Earmark” funds also put a check in the Earmark box. Also check the appropriate box indicating if this proposal is in response to a solicited RFP (Request for Proposal) or if it is unsolicited. If solicited enter the solicitation number in the appropriate space and attach a copy of the solicitation to this proposal.

6. Type of Assistance. Please check only one box that illustrates the overall emphasis of your project:

Organized Research: This category should include all activities specifically organized to produce research outcomes, whether commissioned by an agency external to the institution or separately budgeted by an organizational unit within the institution.

Instruction: This category is for all activities that are part of an institution's instruction program. Activities for credit and noncredit courses, for academic, vocational, and technical instruction, for remedial and tutorial instruction, and for regular, special, and extension sessions to be included. Activities for departmental research and public service that are not separately budgeted should be included in this classification.

Public Service: This category includes activities that are established primarily to provide non-instructional services beneficial to individuals and groups external to the institution. These activities include community service programs (excluding instructional activities) and cooperative extension services. Included in this category are conferences, institutes, general advisory services, reference bureaus, radio and television, consulting and similar non-instructional services to particular sectors of the community.

Academic Support: This category includes activities primarily to provide support services for the institution's primary missions – instruction, research, and public services. It includes: the retention, preservation, and display of educational materials – for example, libraries, museums, and galleries; the provision of services that directly assist the academic functions of the institution, such as demonstration schools associated with a department, school or college of education; media such as audiovisual services and technology such as computing support; academic administration (including academic deans but not department chairperson) and personnel development providing administration support and management direction to the three primary missions; and separately budgeted support for course and curriculum development.

Institutional Support: This category includes activities for: (1) central executive-level activities concerned with management and long-range planning of the entire institution, such as the governing board, planning and programming and legal services, (2) fiscal operations, including the investment office; (3) administrative data processing; (4) space management; (5) employee personnel and records; (6) logistical activities that provided procurement, storerooms, safety, security, printing, and transportation services to the institution; (7) support services to faculty and staff that are not operated as auxiliary enterprises; and (8) activities concerned with community and alumni relations, including development and fund raising.

Operations and Maintenance of Plant: This category should include all activities of current operating funds for the operation and maintenance of physical plant, in all cases net of amounts charged to auxiliary enterprise and independent operations. It does not include activities made from the institutional plant fund accounts. It includes all activities for operations established to provide services and maintenance related to grounds and facilities. Also included are utilities, fire protection, property insurance, and similar items.

Scholarships and Fellowships: This category should include activities for scholarships and fellowships from restricted or unrestricted funds in the form of grants to students, resulting either from selection by the institution or from an entitlement program. It also should include trainee stipends, prizes and awards, except trainee stipends awarded to individuals who are not enrolled in formal course work, which should be charged to instruction, research or public service as appropriate. Recipients of grants are not required to perform service to the institution as consideration for the grant, nor are they expected to repay the amount of the grant to the funding source. When services are required in exchange for

financial assistance, as in the federal College Work-Study Program, the activities should be classified as activities of the department or organizational unit to which the service is rendered. Aid to students in the form of tuition or fee remissions also should be included in this category. However, remissions of tuition or fees granted because of faculty or staff status, or family relationship of students to faculty or staff, should be recorded as staff benefit activities in the appropriate functional activity category.

Student Services: This category includes activities for offices of admissions and registrar and those activities whose primary purpose is to contribute to the student's emotional and physical well-being and to his or her intellectual, cultural, and social development outside the context of the formal instruction program. It includes student activities, cultural events, student newspaper, intramural athletics, student organizations, intercollegiate athletics (if the program is operated as an integral part of the department of physical education and not as an essentially self supporting activity, counseling and career guidance (excluding informal academic counseling by the faculty), student aid administration, and student health service (if not operated as an essentially self-supporting activity).

7. **The Proposal Long Title** should be the same title that was used in your proposal.
8. **Give a brief (50 Word Maximum) layman's statement of the project.** The information provided is reported to the USU Board of Trustees. Please use layman's language and be concise in your explanations.
9. **Complete the Agency Name.** Whoever is going to actually send a check to Utah State University should be the Agency. [example, the award may be from the National Science Foundation, but the University of Utah will be sending us the money (using a subcontract), the University of Utah would be the Agency]
10. **Type of Agency.** Check one box that best describes the type of agency you are submitting to (This will be in reference to the Agency listed in item 9 above:
 - Federal
 - State of Utah Government Agency/Department/Division
 - Utah City/County Governmental Agency
 - International / Foreign Entity/Government/Business, etc.
 - Private; or
 - Other State Agency (Governmental agency from another state besides Utah)
11. **Investigators:** Name of the Principal Investigator (PI), the PI's Banner Index No., the Percentage of effort being proposed on this project (If a PI is not taking salary on this project he should still show 1 to 2% effort as he/she will be responsible for oversight of the project), telephone number, UMC, email address, USU College (First select from the drop down list in order to populate the department drop down list) , USU Academic Department (after choosing a college this list will become populated and you can select the appropriate department), and Research Center (Select from the drop down list) if there is not a specific research center tied to this proposal choose University Research and Training as the Research Center for this project. If there are any additional Co-Investigators, please include the above information for each individual. Please include the name of a Business Manager, if Principal Investigator has such an individual assigned to them or their office, or if there is Department Business Manager.
12. **Initial, Continuation Year or Augmentation Budget Period:** Enter the first year or the current year continuation information only.

Start Date: Beginning date requested for first year or continuation period.

End Date: Completion date for the first year or continuation period.

Amount Requested: Enter amount requested from the sponsor for the first year (or continuation period of multi-year agreements).

13. Total Performance Funding Period:

Start Date: Should be the same beginning date as listed under “Initial, Continuation Year, or Augmentation Funding Period”.

End Date: Completion date for the last year on multi-year proposal

Amount Requested: Enter the total amount of funds requested for the life of this project.

14. Budget: Submit a full budget and budget narrative with the SP-01 form. A template for completing your proposal budget can be found at: <https://spo.usu.edu/html/forms-other-info/forms>

15. Program Income: Will program income be collected under the scope of work for this proposal. (i.e., If hosting a conference will registration fees be assessed and collected.) If yes check this box and give a brief description of the nature of the program income.

16. Facilities and Administrative (F&A) Cost: This section formerly comprised the SP-10 form. Enter the amount of direct costs included in the proposal and the corresponding federally negotiated percentage rate of F&A in the boxes in the first line to indicate how much F&A Costs would normally be included in the proposal. These numbers can be taken from the budget template as noted in Item 14 above. (Note: F&A percentages should be entered as a decimal, i.e. 40% should be entered as .40) In the next line the direct cost box will be auto populated based on the amount put in this category in the first line. In this line enter the F&A percentage allowed per the sponsors RFP or percentage as outlined in the categories in the Justification section in the bottom half of this box. If collecting USU’s full federally negotiated rate the F&A percentage on the second line should be the same as the rate on the first line.

A. F&A Costs Restricted by the Sponsoring Agency: Usually the sponsors RFP will spell out any restrictions to the amount of F&A/Indirect Costs that can be charged. Some sponsors have a flat fee that they allow on all projects, i.e. CESU agreements restrict F&A to 17.5% on all of their agreements. Documentation detailing any restrictions on the charging of F&A should be attached to the SP-01 form when it is submitted to the Sponsored Programs Office. (NOTE: our Federally Negotiated F&A Rate is based on Modified Total Direct Costs (MTDC). MTDC does not include F&A calculated on items such as sub-award dollars after the first \$25K of each sub, equipment over \$5K, stipends, tuition assistance, etc. Unless directed to do otherwise in the RFP or per sponsor directions, whenever our F&A is restricted to a percentage less than our Federally Negotiated Rate, use Total Direct Costs (TDC) to calculate the F&A for this project. This will include the categories filtered out of MTDC when calculating F&A to be charged using TDC.

B. Grant/Contract less than \$50,000 to support Graduate and/or Undergraduate Student: If this box is checked all funds in this proposal must be used for student support. No salary or benefits can be collected by the PI. The F&A rate for any proposal in this category needs to be a minimum of 8%. If the project is to support graduate and/or undergraduate students, but the sponsor does not allow any F&A to be charged on the project box A should be checked instead of this box. The \$50,000 threshold is a per year amount.

C. Approval by VPR: In the rare occasions that the Vice President for Research (VPR) approves waiving any or all F&A Costs on a project check this box and submit the SP-01 form to his office for signature once the form is completed. Allow one full week in addition to the SPO 2 day deadline prior to the sponsors submittal due date to allow time for his review and signature.

D. USURF Agreement: Check this box for USU Research Foundation projects that have restrictions on the amount of F&A that can be charged because administrative funds of USURF are being used to fund the project.

17. Sub-Awards: If this proposal will have sub-awards please complete the section detailing the name of the sub-award recipient, the period of performance covered by each sub-award and the amount of payment that each sub-award will receive. A scope of work and budget for each sub-award is to be attached to the SP-01 form prior to submission to the SPO.

18. Source of Cost Sharing: If the Sponsor requires the proposal budget to include cost sharing (Matching Funds provided by USU or Third Party In-Kind Match, etc.), please check all boxes that apply to the source of cost share. If any of these boxes are checked the Cost Sharing Budget Section must be completed.

Cost Share Unit Name: Enter the name of the unit providing cost share, i.e. Department, College, Third Party Name, etc. (Please note that all match that comes from a Third Party must have a letter of support detailing what the match will be, and how much will be charged for said match. The letter of support should be submitted with the SP-01 on letterhead from the organization supplying the cost share and should be signed by an authorized representative of the organization.)

Budget: Enter the budget into the appropriate categories. Totals will be automatically calculated. This form does not calculate the amount of benefits or F&A. The budget template found at: <https://spo.usu.edu/htm/forms-other-info/forms> will do these calculations and has a cost share tab to help calculate cost share, including waived F&A.

Cost Share Banner Index No.: A banner number needs to be provided at the time of proposal for which the cost share funds will be provided.

19. Compliance and Environmental Health: Check yes or no for each question in this section. If IRB or IACUC protocol approvals are needed complete the boxes as to where you are at in this process. If you have submitted a protocol for approval and are awaiting word from IRB or IACUC put a check in the appropriate protocol pending box. If you have received your protocol approval from the committee enter the approval date and protocol number on the appropriate lines. If you answer yes to Question 19.B., and the proposal contains NIH Prime or flow through funds the PI must initial the provided line to indicate that the protocol being used on this proposal matches what was included in the proposal to the sponsor. Please note that there have been a couple of new questions added to this section. The first relates to export controls, a link to our webpage that provides information related to export controls has been provided to help you determine if export control regulations may apply to this project. Question J asks if any portion of the project will be performed in a foreign country. Question K of this section applies to a new NIH directive to provide copies of publications on all of their funded projects whether they are the sponsor directly funding USU or are a flow through sponsor on projects that we are sub-awardees on. The public access policy will provide an online library of all publications in which NIH is the sponsor. If you check yes in this box you must initial that you have read and understand the policy found at the link provided on the form.

20. Kickbacks: This section defines the University's policy regarding kickbacks as mandated in federal FAR Clause 52.203-7

21. Conflict of Interest: Please review and answer each of the questions asked. The Sponsored Programs Office is required by federal law to inquire as to the conflict of interest status for each proposal. If any of the questions in this section are answered yes the PI must contact the Federal Compliance Officer for follow up.

- 22. Recognition and F&A Distribution:** This is a new section added in the version of this form originally published 11/21/08. For reporting purposes this section will capture the amount of recognition that should be attributed to each of the Investigators involved in this proposal. Please note Recognition does not equal Effort expended on this project. Effort as defined in section 11 of the SP-01 defines how much actual time or effort will be put forth by each Investigator on this project. Recognition should define how each participant will share in the recognition for this project. This item may be tracked and used to help determine items like promotion and tenure, etc. This section also provides a place to indicate how Investigators, their respective colleges, departments and any research centers used on this proposal will share collected F&A generated by this project should it be awarded. Please note that should this proposal be awarded and Recognition &/or F&A is to be shared among the Investigators a separate budget for each investigator receiving credit will need to be provided to the Sponsored Programs Office at the time of award.
- 23. Concurrence:** This section indicates what those who sign the SP-01 form are agreeing to. For Deans, Department Heads, and Research Center Directors this section details that you have reviewed and approve of the proposal, and feel that it's content and accompanying budget are appropriate and that the proposal is of good quality and will further the mission of the University. You are also stating by your signature that you approve the use of the resources needed to complete the scope of work defined in the proposal. The Sponsored Programs Office recommends careful review of all proposals prior to signature.
- 24. Signatures:** The Principal Investigator and their Department Head, Dean and any applicable Research Center Director's signature is required before the proposal can be authorized by the Sponsored Programs Office. If included in the proposal Co-Investigator's signature along with their Department Head, Dean and applicable Research Center Director's signature is also required prior to submission. Please note that if Investigators &/or Co-Investigators are in the same College, Department, &/or Research Signature the Dean, Department Head, and/or Research Center director only need to sign the SP-01 one time.