

Internal Review Form Instructions and Definitions

Purpose: The Internal Review Form (IRF) is a comprehensive overview of a grant, contract, or agreement prior to submission or execution. All final supporting documents associated with the grant, contract, or agreement must accompany the IRF for internal approvals.

NOTE: *If submitted for internal approvals after submission to the sponsor, UW Oshkosh reserves the right to not accept an award or to withdraw the proposal if objections are raised during the required internal review process.*

General Information

Date Proposal Submitted for Internal Approvals: This should be the date you began routing the Internal Review Form (i.e. submitting to Office of Sponsored Programs).

Proposal Submission Deadline: Latest date/time the proposal can be submitted to the Sponsor.

Project Director/Principal Investigator: The person responsible for submitting and ensuring the deliverables associated with the project are accomplished. This person is also responsible for following federal, state, sponsor, and University guidelines as applicable. The Project Director/Principal Investigator is often referred to as the PI.

Co-PI/PD or Co-author(s): Other personnel sharing the responsibility of the Project Director/Principal Investor. These can be personnel at other institutions or collaborative partners.

Department: A faculty or staff member's home department or office.

College: List which college the Project Director/Principal Investigator is associated with (i.e. College of Letters and Science, College of Business, College of Education and Human Services, College of Nursing). If the Project Director/Principal Investigator is not associated with a college please put N/A.

Project Title: The title associated with the final proposal under review for submission to the designated sponsor.

Project Dates: These are the dates associated with the duration of the project including the project start and end dates. These should match the project dates in the proposal and/or application to the sponsor.

Funding Source: Select the type of funding source the Project Director/Principal Investigator is applying to (i.e. Federal (NSF), State (WDNR), Private non-profit (foundations-most common), Private for-profit (corporations-less common), or Other (If other specify the source of funding).

Sponsor: List the name of the sponsor the PI is applying to.

Amount Requested

A. Direct: According to the National Institutes of Health, a direct cost is any cost that can be specifically identified with a particular project, program, or activity or that can be directly assigned to such activities relatively easily and with a high degree of accuracy. Direct costs include, but are not limited to, salaries, travel, equipment, and supplies directly benefiting the grant-supported project or activity.

B. Indirect: see “Indirect Costs” section for definitions and explanation. This line should contain the total indirect costs of the entire project.

Total (A+B): This is the total direct costs plus indirect costs associated with the entire project (not just a single budget year). These totals must match the totals listed in the budget and budget justification.

Project Type: Select which type of project is being submitted (i.e. Grant, Sub-Award, Cooperative Agreement, Contract)

Grant: A grant is a way the government, state, or private organization funds your ideas and projects to provide public services and stimulate the economy. Grants support critical recovery initiatives, innovative research, and community impact, teaching, program development, and many others.

Sub-Award: legally binding agreement issued when a substantive portion of the sponsored project will be performed by another entity. When another entity wants UW Oshkosh to assist them in fulfilling a substantive portion of their externally funded sponsored research, they will issue a subaward to UW Oshkosh. UW Oshkosh issues subawards to other entities when they will be working in collaboration with a UW Oshkosh PI to perform a substantive portion of a grant or contract’s programmatic effort.

Cooperative Agreement: reflects a relationship between the U.S. Government and a recipient and is used when the government's purpose is to assist the intermediary in providing goods or services to the authorized recipient.

Contract: UW-Oshkosh defines a contract as any agreement that satisfying the following conditions: A mutual exchange of promises with reasonable, understandable terms and

conditions that binds the parties to performance of the responsibilities described. A contract could also be a “memo of understanding”, “agreement” or named something other if it binds two parties to a set of specified outcomes and does not necessarily have to have the word “contract” as a descriptor.

Cost Sharing

Select No or Yes if Cost-Sharing is associated with the project. If “Yes” is selected, please describe the cost-sharing utilized during the project and include the total cost-share for the entire duration of the project.

Cost-Sharing: is that portion of total project costs that are paid from sources other than the sponsor. Typically, cost sharing is a concept used to signify recipient’s willingness to share in the project’s expenses. Some agencies make a distinction between “cost sharing,” “in-kind” and “matching.” Generally, all these terms refer to the sharing of costs not charged to the sponsor. A cost share can include cash contributions, donated services or facilities. Some sponsors have mandatory Cost Sharing included as a proposal requirement and the FOA or solicitation will outline the Cost Sharing requirement(s). Other agencies, such as the NSF, do not allow voluntary Cost Sharing and therefore proposals should not include voluntary Cost Sharing as a line item. For federal grant programs, voluntary committed cost sharing is not expected. It cannot be used as a factor during merit review but may be considered if it is both in accordance with the federal sponsor’s regulations and specified in a notice of funding opportunity.

Staffing

Select which type of staffing will be included in the project. This can include any of the following or a combination there of:

Faculty CAS (9-month contract): Summer salary is typically paid as Compensation for Additional Service (CAS), which represents an extension of contract to add one or more new calendar period(s) outside of a faculty member’s normal 9-month contract. CAS is restricted to 22.2% per fiscal year. Institutional CAS generally is awarded in increments of 11.1% per month, not to exceed two summer months per PI of base salary (for the equivalent of one-month full-time equivalent work).

Note: CAS payments in excess of 22.2% of base salary require approval by the Provost and Vice Chancellor.

Overload: Overload payments are for work of an unusual, short-term and non-recurring nature. The additional work requirements create a workload exceeding 100% of the

employee's time. Overload compensation may not exceed the higher of 20% of the employee's base appointment salary or \$18,000 unless the Provost determines good cause exists to exceed this threshold and issues an exception. Federal rules normally do not permit payment for work in excess of 100% of one's assigned workload. Use of the overload pay mechanism for grant-related work is strongly discouraged and should only be used with approval from the associated Dean, Provost, and Controller in Administrative Services.

Reassigned Time: Reassigned time constitutes a portion of faculty workload that is reassigned from teaching during the academic year to work on a sponsored project. Typically, reassigned time is calculated in terms of a percentage of teaching load, using student credit hours (SCH) as the unit of measure. A 3-credit hour course-equivalent reassignment, therefore, would be calculated at 12.5% of academic year base salary if the faculty member taught a full course load of 24 SCH.

Course Buyout: this is typically associated with reassigned time. If the PI is selecting "Reassigned Time" and buying out of courses to conduct research, also select "Course Buyout".

Rate: insert the rate being used for course buyout which requires approval by the PI's College Dean. Please contact the designated Dean prior to circulating the Internal Review Form.

Full Recovery: full share of salary reassigned to the sponsored project to cover a replacement instructor to teach the course the PI will no longer be teaching for the designated time period specified in the proposal.

Replacement: is strongly discouraged. Please confer with the designated College Dean prior to using this mechanism in a grant or contract budget.

NOTE: Reassigned time is not normally an option for instructional academic staff. Please consult with the Office of Sponsored Programs in such cases.

Detail: describe the staffing requirements for each member of the project.

Indirect Costs

Indirect Costs (a.k.a "overhead" or F&A) are expenses incurred by the University which are not directly related to your project. These include general administration expenses, building maintenance and operation, equipment depreciation, grant administration expenses, library expenses, and departmental and college expenses. Extramural grant proposals **must request for**

reimbursement of indirect costs consistent with agency policies. Indirect costs are a real cost to the University, whether the financial support is from general or program revenue sources. The inclusion or exclusion of indirect costs cannot be used as a bargaining point to secure extramural support. Indirect cost rates are periodically negotiated by the University of Wisconsin System and the federal government for federal programs.

- UW Oshkosh indirect costs are calculated using Modified Total Direct Costs (MTDC) as the base.*
- **On-campus rate (>50% of project takes place on campus)**
- **Off-campus rate (<50% of project takes place on campus)**
- **See the OSP website for the indirect cost rates: [UWO Indirect Cost Rates](#)**

NOTE: If the sponsor specifically states Indirect Costs cannot be applied and documentation is provided to the Office of Sponsored Programs, these indirect costs could be waived.

*Modified Total Direct Costs (MTDC) – consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

Institutional Commitments

Describe any institutional commitments required as a deliverable of the project. Some examples include the following:

Institutional commitments of the University include, but are not limited to, staffing (course buyout, new positions from institutional and grant funds), additional office or laboratory space, renovation, remodeling, and alteration. There can also be space assigned that will require additional electrical service for equipment/computers, travel to foreign countries, transfer of materials between collaborating institutions or field sites, proprietary information/other confidentiality agreements, or commitments of resources from third-party organizations.

Research Compliance

Select all that apply under research compliance, which includes human subjects, animal subjects, recombinant DNA, synthetic nucleic acids, hazardous biological agents/toxins, and bloodborne pathogens. Please describe how these subjects or materials are being used in the proposed research.

Institutional Review Board (IRB): All research involving human participants (subjects) must be reviewed and approved by the University's IRB before you begin collecting data. This peer review ensures that adequate measures are used to protect the individuals who volunteer to participate in your study. All human research must be approved by the IRB. No research is exempt from review. The Institutional Review Board (IRB) reviews all proposed human subjects research in which the institution is "engaged" that involves research: (1) Intervention or interaction with human subjects (2) Collection of identifiable private data on living individuals and/or; (3) Data analysis of identifiable private information on living individuals

Institutional Animal Care and Use Committee (IACUC): UW Oshkosh is committed to the humane care and use of animals for educational and research purposes. The utilization of animals is a privilege and the responsibility involved in the care and use of animals is a shared act. The Institutional Animal Care and Use Committee (IACUC) oversees the use of all vertebrate animal use sponsored by any unit of UW Oshkosh. The Animal Care and Use Program is accredited by the Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC International) and is managed in accordance with the Guide for the Care and Use of Laboratory Animals, the Animal Welfare Act Regulations, and the PHS Policy. The IACUC's oversight keeps UW Oshkosh in compliance with federal Animal Welfare Act regulations and PHS Policy.

Institutional Biosafety Committee (IBC): The mission of the Institutional Biosafety Committee (IBC) at the University of Wisconsin Oshkosh is to ensure, regardless of funding, that activities with biohazardous materials are conducted safely and responsibly. To fulfill this commitment, the IBC is charged with reviewing and monitoring all research and teaching activities by faculty, staff, and students that utilize biological infectious agents, toxins of biological origin, human or nonhuman primate products (cell lines, tissues, blood products), and recombinant or synthetic nucleic acid molecules. The IBC will maintain compliance with the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines) and will use the Biosafety in Microbiological and Biomedical Laboratories (BMBL), 5th Edition, as an advisory guide.

If any of these categories are selected, please contact Kelly Schill at schillk@uwosh.edu for further assistance.

Approval Process

A completed Internal Review Form must be submitted by the Project Director/Principal Investigator with all final proposal documents (application, narrative, budget, supporting documents). **These documents should be uploaded to your shared folder at least seven (7) business days prior to the submission deadline and an email should be sent notifying your pre-award contact person that the final documents have been uploaded and are ready for review.**

All approvals by authorized individuals will be done through DocuSign. **The OSP will route the Internal Review Form through DocuSign.**

PI Approval: is responsible for understanding all applicable federal, state, sponsor, and University policies associated with the sponsored project. The PI is responsible for the completion of the project and abiding by all guidelines associated with it.

Grants Accountant: is responsible for approving the budget and budget narrative of the proposal. The Grants Accountant should ensure the budget adheres to federal, state, sponsor, and University policies regarding budgetary spending and procurement. If “Not Approved” or “Approved with Conditions,” comments should be provided in the document.

OSP Director: is responsible for ensuring all documents adhere to the sponsor and University requirements for proposal submission. This also includes research compliance expectations of the institution. If “Approved with Conditions,” comments should be provided in the document.

Department Chair: is responsible for reviewing any institutional commitments (i.e. staffing, course buyout, office and lab space, etc.). If “Not Approved” or “Approved with Conditions,” comments should be provided in the document.

College Dean: is responsible for reviewing any institutional commitments (i.e. staffing, course buyout, office and lab space, etc.) and oversight of the department chair. If “Not Approved” or “Approved with Conditions,” comments should be provided in the document.

Controller: is responsible for the final financial approval of the sponsored project (budget, justification, match, indirect rates approval) and the appropriate nature of the budgetary request. If “Not Approved” or “Approved with Conditions,” comments should be provided in the document.

Signing the Internal Review Form certifies the applicable responsibilities above. The DocuSigned IRF will be saved by the Office of Sponsored Programs in the project electronic file.