

The Brown University Proposal Summary and Approval Form (PSAF) is an internal routing document created by the Office of Sponsored Projects (OSP) to collect and track information regarding proposals being submitted by faculty, students and staff. This document serves as the official institutional record for the University. The information is used to create reporting for Federal agencies, senior officers and internal departments. It is critical that the information provided on this form is true, complete and accurate to the best of the Principal Investigator's (PI) knowledge.

The form is broken up into several sections, each section pertaining to different parts of the proposed project and its financial/budgetary aspects and any regulatory and institutional issues it may affect. There is a final section with information regarding approvals and certifications. This guide will break down the sections individually and give definitions for fields and terms.

Investigator Data:

The Principal Investigator (PI):

The Principal Investigator is the individual responsible for all scientific or technical aspects of the project and for the overall day-to-day management of the project or program. This person may be any member of the Brown faculty, or, with special permission and the signature of the senior officer for their division, a graduate student, medical student, or an exempt staff member. Undergraduate students are not permitted to be PIs on grants and other sponsored projects.

Department Number and Name (for PI):

The department number is the 5-digit number assigned to the unit responsible for the direct oversight and financial reporting for the project or program. The department name is the official unit name for the department as assigned by the University.

Percentage of Effort:

This is the percentage of effort, based on 100% annualized effort, that the Principal Investigator and Co-Investigator(s) will be expending towards this project. [The Percentage of Effort Chart](#) on the OSP website to assist with the calculation of effort. This is a mandatory field for the Principal Investigator and for each Co-Investigator. A level of effort greater than zero is required for all Principal Investigators of organized research projects. There are instances (e.g., non-research projects, instrumentation or conference grants, etc.) where the level of effort may be zero, please work with your Contract Administrator in OSP to determine if zero effort is appropriate.

Co-Investigator (Co-I) / Co-Principal Investigator:

The Co-investigator(s) / Co-Principal Investigator(s) are key collaborators who share with the Principal Investigator responsibility for the scientific or technical aspects of the project and the overall day-to-day management of the project or program.

Department Contact:

This person is the departmental administrator who OSP may contact with questions regarding this proposal. This person should be able to answer questions regarding the PI, department and budget. Please provide a name and telephone number.

Project Information:

Proposal Type:

This information identifies the current stage of the project represented by this proposal. A selection must be chosen from the following list of pre-defined values:

- **New** - An application that is being submitted to an agency for the first time.
- **Continuation** - A non-competing application for an additional funding/budget period within a previously approved project period.
- **Revision** - (formerly "Supplement") – A Request for additional funds for a current award to expand the scope of work. Applicants should contact the awarding agency for advice on submitting any revision / supplement application.
- **Renewal** - (formerly "Competing Continuation") - An application requesting additional funding for a period subsequent to that provided by a current award. A renewal application competes with all other applications and must be developed as fully as though the applicant is applying for the first time.
- **Resubmission** - (formerly "Revised") - An application that has been previously submitted, but was not funded, and is resubmitted for new consideration.
- **Task order** - A proposal requesting funds for work or services to be conducted under an existing

Master Agreement (a Master Agreement is a type of contract for services that does not procure or specify a firm quantity of services except through the issuance of individual Task Orders)

• **Pre-proposal** – applies only to pre-proposals (white-paper) that require submission through OSP.
Complete pages 1 and 3 of PSAF.

Activity Type:

This field identifies among the following predefined values the most appropriate type of activity to be conducted by the proposed project or program:

- **Organized Research** - basic or applied research projects
- **Instruction (training grant)** - training grants (e.g., Institutional NRSAs), and support for curriculum development and educational programs, except for individual fellowships
- **Fellowship (Individual)** - funding exclusively for individual fellowships (e.g., Individual NRSAs)
- **Public Service** - projects which are intended to reach out to the greater community
- **Student Services** - projects that affect student life and services at Brown
- **Other** - projects which do not fit into any of the above categories

Current Account #:

The 5-ledger number associated with any previously awarded increments for this project. This should only be used for proposals with the “proposal type” of: continuation, renewal, revision, and task order.

Current Sponsor Award #:

The unique identifier, assigned by the funding agency or organization, for the most recent previous award for this project. This field should be completed only for proposals with the “proposal type” of: continuation, renewal, revision and task order.

Title:

This is the unique title associated with the project or program. This should match any/all forms submitted to the sponsor. For proposals to the federal government through Grants.Gov titles are limited to 81 characters (this includes spaces and special characters).

Activity/NSF Code:

This designation applies to all projects, not only those funded by the National Science Foundation. You must select a code which best describes the work being done on this project. A listing of the codes and an illustrative description is available at http://research.brown.edu/pdf/activity_code_definitions.pdf or on the OSP website.

Sponsor:

The organization from which Brown University will receive its funding for the proposed project.

Prime Sponsor:

Applies when Brown is a subcontractor under the above named sponsor’s proposal. List here the prime sponsor who is funding the project. For example, if Harvard issues a subcontract to Brown under an NIH award, Harvard is the Sponsor and NIH is the Prime Sponsor.

Proposal Due Date:

The date the proposal is due to sponsor, please indicate if that is a “received by” or “postmark by” deadline.

Notice of Opportunity:

If your project is in response to a Special Program identified on the drop-down list, please select the appropriate program. If none apply please select “None”. If the application is in response to a particular program announcement or RFP, please attach a copy of the program announcement to the proposal.

International Program:

Does your project include an international component or collaboration with an individual(s) from foreign countries or institutions? If so, select “Yes” [“No” is default]

Are there subcontracts to be issued by Brown University?:

Will we be awarding funds from this award to other institutions for collaborative efforts on this project?

Proposal Abstract:

A brief summary of the project or program being proposed, written in language understandable to an intelligent lay audience.

Keyword(s):

This selection of keywords was created for use specifically by the division of Biology and Medicine, a listing of the keywords and definitions is available on the web (<http://research.brown.edu/pdf/SPINkey15.pdf>). For all projects from the Division of Biology and Medicine, please select a word which best matches your project or program. Note that this field is **mandatory** for all proposals from the Division of Biology and Medicine. If no word exists, please leave this field blank and immediately notify BMRA.

Budget Information:

Please include information, from your prepared proposal budget, for the first period/year of work and the entire project period. Include dates when the first project period will begin and end, and the dates for the entire project. Include the amounts proposed, both the direct and indirect (F&A) costs for each period noted above. The form will automatically total those amounts for the “total all costs” field.

Proposal F&A Rate:

This is generally the negotiated Facilities and Administrative (indirect cost) rate in place for Brown University during the applicable periods covered by the proposed project or program. Please enter all rates that will apply to your project during the proposed project period. The current set of negotiated rates is available for review at http://research.brown.edu/pdf/proposal_preparation.pdf . Please take special care to use the rates appropriate to the type of project you are working on and whether this work will take place predominantly on or off campus.

Is this the maximum F&A rate allowed by sponsor?:

There are occasions, e.g., where we are proposing to private foundations, where the agency will only pay a predetermined maximum rate which is less than our currently negotiated amount. For Brown to accept this rate it must be explicitly stated by the funding agency or organization and applied consistently to all applicants. Please provide supporting documentation.

Cost Sharing:

If we are not recovering the full indirect cost rate allowed by the sponsor, then the difference between the University’s approved rate and the proposal rate is considered cost sharing and the lower rate must be approved by the Office of the Vice President for Research. It is the responsibility of the PI, their department and their division to (i) receive and document approval for use of the lower rate from OVPR and (ii) provide the documentation and source account(s) for cost sharing for this project to OSP. You should provide a University account number, the amount of cost sharing, and the name of the authorized person who approved the cost sharing. In addition, any direct costs noted in the proposal that will not be covered by the sponsor’s funds are considered cost-sharing and must be appropriately documented and approved. All Brown University cost-sharing must be listed on page 2 of the PSAF with an amount, account number, and who it was approved by. Attach any backup documentation of the approval(s) to the PSAF.

Regulatory Issues:

Will this project involve any of the listed regulatory items? If so, it is important to check off the appropriate fields. These items have specific laws and regulations regarding their use. It is the responsibility of this institution to insure that they are regulated appropriately, and that all necessary approvals are in place. Your answers to these questions allow us to coordinate with the appropriate offices on campus to insure compliance.

Institutional Issues:

Will your proposal require the University to add any of the following: additional personnel, space, equipment, alterations to existing facilities, or fabricated equipment? Your answers to these questions allow OSP to inform the parties who are affected by these issues.

Will your project contain any potentially patentable information?/Does your project contain any proprietary information?

Your answer to these questions allows us to insure intellectual or other intangible property from this project is properly protected. If you answer “yes” to either of these questions the Brown Technology Partnership will be notified and will receive a copy of the proposal. Proprietary/Confidential information should be appropriately identified and labeled within the proposal as “Confidential Information”.

Does this project support graduate or undergraduate students?

As an educational institution Brown’s first priority is the education and training of our students. To that end we encourage the participation of undergraduate and graduate students in research and other sponsored projects at Brown. The data collected on this form is used by the Dean of the College and the Graduate and Medical schools to target areas for improved collaboration with students.

When completing this section please provide the total number of undergraduate students to be supported. Please also provide the total number of graduate students; plus fees (other than health insurance); total stipends; and total tuition costs for the entire project period.

A new box has been added to collect data regarding the percentage of tuition to be charged for any graduate student Research Assistants in accordance with the new policy for RA tuition charges for grants and contracts. Please select the box applicable for the correct percentage to be charged or, if no such charges are proposed, select the box indicating no graduate RA tuition is applicable for this proposal.

Approvals and Certifications:

This final page of the PSAF gathers information on the PI and Co-Pi(s) and their compliance with certain university and governmental certifications and approvals.

The first part of this section contains the PI Assurance for Proposals Submitted to PHS and NSF. If the proposal will be submitted to either PHS or NSF, the PI must certify (by checking either yes or no) that he or she has filed their annual Conflict of Interest Assurance Form and if applicable, the Disclosure Form. The next two questions are specific to the particular proposal; that the PI disclose (yes or no) if there exist any significant financial interests related to this proposal; and, what other individuals meet the definition of “Investigator” as defined in this section. An additional Conflict of Interest Assurance Certification for National Science Foundation and Public Health Service must be signed and attached for each other individual identified by the PI as an “Investigator”.

The additional certifications in the next part of this section must be answered with the signature of each PI and Co-PI and each department’s authorized official (department Chair or their designate). These signed certifications are mandatory on the PSAF for every proposal. The document submitted to OSP must have original, dated signatures.