

Internal Summary Form for Proposals

Routing, Review and Approval

Please complete and submit this form and all attachment/links to the Office for Sponsored Programs and Research Activities (OSPRA) or University Advancement's Office of Corporate and Foundation Relations (CFR) **at least five business days in advance of the funding organization's deadline.**

1. ROUTING: *Let's get the information to the right office*

- ☐ The funding source is a federal, state, or local government agency (submit to OSPRA)
- ☐ The funding source is a corporation or external entity requiring a contract (submit to OSPRA)
- ☐ The funding source is a corporate or private foundation (submit to CFR)
- ☐ The funding source fits neither category, or you are unsure (submit to OSPRA or CFR)

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2. GENERAL INFORMATION: *Getting Started*

a. Type of Request (Check all that apply)

- ☐ Research
- ☐ Training Grant
- ☐ Instruction
- ☐ Community Service/Outreach
- ☐ Program Support
- ☐ Academic Support
- ☐ Student Services
- ☐ Scholarships
- ☐ Sponsorship
- ☐ Other (please specify):

b. Type of Submission

- ☐ New
- ☐ Renewal or Continuation

c. Proposal Title

d. Funding Entity

Name:	Contact Name:
Mail Address 1:	Email:
Mail Address 2:	Phone:

3. PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR/CO-PI: *Who will be accountable?*

Name:	Office Phone:
College/Unit:	Cell Phone (Optional):
Department:	Email:
Percent of Time:	Role: <input type="checkbox"/> PI/PD <input type="checkbox"/> Co-PI <input type="checkbox"/> Other:

Name:	Office Phone:
College/Unit:	Cell Phone (Optional):
Department:	Email:
Percent of Time:	Role: <input type="checkbox"/> PI/PD <input type="checkbox"/> Co-PI <input type="checkbox"/> Other:

Name:	Office Phone:
College/Unit:	Cell Phone (Optional):
Department:	Email:
Percent of Time:	Role: <input type="checkbox"/> PI/PD <input type="checkbox"/> Co-PI <input type="checkbox"/> Other:

** Cut and paste table to add personnel as necessary.*

4. PROJECT PERIOD: *How long will I need and/or what are the sponsor's dates?*

From:	To:
Duration (Months):	Multi-Year Budget: <input type="checkbox"/> Yes <input type="checkbox"/> No

5. SUBMISSION DEADLINE: *Have I checked the sponsor's guidelines - date and time?*

Electronic Submission: <input type="checkbox"/> Yes <input type="checkbox"/> No	Mail: <input type="checkbox"/> Yes <input type="checkbox"/> No
Deadline:	Who Will Submit?: <input type="checkbox"/> OSPRA <input type="checkbox"/> CFR
RFP Attached?: <input type="checkbox"/> Yes <input type="checkbox"/> No	Link to Sponsor Guidelines:
Proposal Attached (CFR)?: <input type="checkbox"/> Yes <input type="checkbox"/> No	Link to Sponsor Budget Format:

6. PLEASE RESPOND TO ALL OF THE FOLLOWING QUESTIONS: *Am I committing Detroit Mercy Resources?*

- ☐ Yes ☐ No Does the proposal require any matching funds? If so, are the funds currently budgeted or will the match require new resources? Please list the specific accounts and amounts on the attached budget summary.

**Please note that matching funds require administrative approval*

- ☐ Yes ☐ No Some activities require approval from separate University departments. Does this proposal involve any of the following?

- Creation of a new organizational unit within the University?
- A new degree program?
- Alterations to existing space?

**If any of the above apply, please attach a copy of the appropriate University approval(s).*

- ☐ Yes ☐ No Is space, other than the investigator's current office and/or laboratory, necessary for the completion of this project? If YES, has the space been identified and committed?
- ☐ Yes ☐ No Do you anticipate any patents, copyrights or licensing from this project?
- ☐ Yes ☐ No Does the sponsor limit recovery of indirect costs? If YES, indicate maximum amount or percentage of recovery 51.3% and attach the published indirect cost policy from the funder.
- ☐ Yes ☐ No Does this project involve more than one organizational unit? If YES, the dean/director of each unit must sign the budget form.
- ☐ Yes ☐ No Does the project include a subcontract, fiduciary arrangement, memorandum of understanding (MOU) or sub-award with another institution(s)? If YES, attach a copy of the subcontractor's signed letter of commitment and budget.

7. SAFETY AND PROTECTION: Does this project involve any of the following?

- ☐ Yes ☐ No Human Subjects ☐ Yes ☐ No Biohazards
- ☐ Yes ☐ No Animals ☐ Yes ☐ No Radioisotopes
- ☐ Yes ☐ No Recombinant DNA ☐ Yes ☐ No HIPPA or Other Privacy Concerns

*If you checked any of the above, please be aware that approval from IRB or another appropriate University oversight entity will be required prior to acceptance of award funds by the agency.

8. LAYMAN'S LANGUAGE ABSTRACT: Please include a short descriptive paragraph below.

*Keep the language as simple as possible and appropriate for promotional purposes.

9. BUDGET SUMMARY

- ☐ Yes ☐ No Completed Internal Summary Form Budget – Attached <https://www.udmercy.edu/academics/academic-affairs/ospra/forms.php>
- ☐ Yes ☐ No Additional Years are Complete – See Tabs 1-5

☐ Yes ☐ No Budget Narrative – Attached?

10. AUTHORIZED SIGNATURES AND ROUTING

☐ Yes ☐ No All Appropriate Signatures are on the Internal Summary Form Budget

☐ Yes ☐ No Signatures are not Complete – Please Route (OSPRA or CFR)

11. SIGNIFICANT FINANCIAL INTEREST DISCLOSURE: Will I derive benefit from this?

☐ Yes ☐ No All Appropriate Signatures are on the Significant Financial Interest Disclosure Form – Attached

☐ Yes ☐ No Signatures are not Complete – Please Route (OSPRA or CFR)

What Is Required?

Federal regulations require institutions to have policies and procedures in place to ensure that Investigators disclose any significant financial interest that may present a conflict of interest in relationship to externally sponsored projects. Such disclosures must be made **prior to the submission of a proposal** for funding, and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to award or acceptance of an award. The Director of the Office for Sponsored Programs and Research Activities will manage this process, assure adherence to the policy and act as a liaison between federal agencies and the PI(s).

NOTE: *If a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the dates of the award, the filing of a disclosure is required to be submitted to OSPRA within 30 days and reported to the federal agency within 60 days with plan for management of any conflicts.*

Who is covered?

"Investigator" means the principal investigator/project director, co-principal investigators, and any other person at the University who is responsible for the design, conduct, or reporting of research or educational activities funded, or proposed for funding, by an external sponsor. This includes subrecipient Investigator(s), students and consultants, if applicable. In this context, the term "Investigator" includes the Investigator's spouse and dependent children as well.

What must be disclosed?

Each Investigator shall disclose all **significant financial interests**:

1. That would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or
2. In entities whose financial interests would reasonably appear to be affected by such activities.

What is covered?

"Significant financial interests" means anything of monetary value, including but not limited to:

1. With regard to any publicly traded entity, a *significant financial interest* exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.
2. With regard to any non-publicly traded entity, a *significant financial interest* exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest).
3. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
4. Investigators also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities, provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by excluded sources provided in regulation.

The term **does not include:**

1. Salary, royalties, or other remuneration from the University of Detroit Mercy; Intellectual Property Rights assigned to the Institution and agreements to share in royalties related to such rights. Any ownership interest in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization.
2. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles.
3. Income from seminars, lectures, or teaching engagements sponsored by a federal, state or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.
4. Income from service on advisory committees or review panels for a federal, state or local government agency, Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

How do I disclosure my interests?

1. All investigators must disclose their significant financial interests utilizing this form and attaching all required supporting documentation. The completed form and packet are to be submitted with the proposal and the University's *Internal Summary Form for Proposal Review and Approval* to the Office for Sponsored Programs and Research Activities. Supporting documentation should be submitted in a sealed envelope marked *Confidential*.
2. In accordance with Federal regulations, a complete disclosure must be made by Investigator(s) prior to the submission of the proposal.
3. Resolution Plans for potential conflicts of interest will be incorporated into a signed management plan that is executed between the Investigator(s), Provost and Vice-President of Academic Affairs, Director of OSPRA, Dean or Unit Leader and Vice-President for Finance (CFO) prior to making any expenditures of sponsored project funds.

What if a bias is discovered in the design, conduct or reporting of NIH-funded research?

1. Contact the Director of OSPRA, who will promptly notify the NIH of the nature of the bias and its impact on NIH-funded research.
2. A Mitigation Report will be submitted to the NIH within 30 days of notification to be signed by the Provost and Vice-President of Academic Affairs, Director of OSPRA, Dean or Unit Leader and Vice-President for Finance (CFO) prior to making any expenditures of sponsored project funds.
3. The Conflict of Financial Interest Committee will meet to determine if any disciplinary action is necessary, establish a ruling and set forth a corrective action plan which will then be reported to the NIH within 30 days.

How are records maintained and for how long?

1. The OSPRA office will maintain all records regarding FCOI for federal and State of Michigan grants for a period of seven years past the end date of any award in a secure file backed up on Detroit Mercy's server daily.
2. This includes other dates as specified in 45 CFR 75.361, where applicable.
3. Reports will also be kept for a period of 10 years past the submission of a Final Expenditure Report of any NIH-funded project.

A complete copy of related policies and procedures, entitled *Conflict of Interest Policy and Procedures Pertaining to Sponsored Projects*, is available on the OSPRA web site at:

<http://www.udmercy.edu/academicaffairs/ospra/compliance/conflict/index.htm>

Significant Financial Disclosure Form

Faculty/Staff Name: _____

Title: _____

College/Unit: _____

Department: _____

I have read and understand the University of Detroit Mercy's policies and procedures as presented in the document entitled *Conflict of Interest Policy and Procedures Pertaining to Sponsored Projects*, found on the website at <http://www.udmercy.edu/academicaffairs/ospra/compliance/conflict/index.htm>, and:

☐ I, nor my spouse and/or dependent children do not have any significant financial interests, as defined, to report at this time.

☐ I am disclosing the following significant financial interests and attaching supporting documentation (in an envelope marked confidential) that identifies the business enterprise or entity involved and the nature and amount of the interest:

- Salary or other payment for services (e.g., consulting fees or honoraria)
- Equity interests (e.g., stocks, stock options, or other ownership interests)
- Intellectual property rights (e.g., patents, copyrights, and royalties from such rights)
- Travel funds in any amount
- Other significant financial interest of the Investigator that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding

NOTE: *Significant financial interests are defined as **interests valued at greater than \$5,000 or an equity or ownership interest of more than five percent** held by an Investigator and the Investigator's spouse or dependent children, or travel funds in any amount.*

Further, I agree:

- To update this disclosure during the period of the award, and on an annual basis (in accordance with the schedule stated on the official award documents), or within 30 days that a new reportable significant financial interests is discovered.
- To develop a resolution for approval by the Conflict of Interest Review Committee and cooperate in the development of a Management Plan based upon this the findings to mitigate or reduce the conflict of interests.
- To comply with any conditions or restrictions imposed by the University to manage, reduce, or eliminate conflicts of interest or forfeit the award.
- To have a fully-executed Management Plan in place and signed by the Provost and Vice-President of Academic Affairs, Director of OSPRA, Dean or Unit Leader and Vice-President for Finance (CFO) prior to making any expenditures of sponsored project funds.
- ALL PIs are required to submit to the FCOI training prior to engaging in research related to any NIH-funded grant and at least every four years, and immediately under the designated circumstances: 1. Institutional FCOI policies change in a manner that affects Investigator requirements; 2. An Investigator is new to an Institution and; 3. An investigator is found noncompliant with Institution's FCOI policy or Management Plan.
- If applying for PHS funding, to complete the Financial Conflict of Interest training offered by CITI program. Instructions can be found at <http://www.udmercy.edu/academicaffairs/ospira/compliance/conflict/index.htm>
- Also see the National Institutes for Health website for more information: <https://grants.nih.gov/grants/policy/coi/index.htm>

Signed: _____

Date: _____

***Endorsements (necessary only if a significant financial interest is disclosed)**

I have reviewed the significant financial interest disclosure and believe it will be possible to develop and execute, prior to expenditure of award funds, an MOU to manage, reduce, or eliminate any conflict of interest; and, therefore, I recommend that the proposal be submitted to the agency at this time.

Signed College Dean: _____

Print Name: _____

Date: _____

Signed Department/Unit Head: _____

Print Name: _____

Date: _____