

# GRANT REVIEW CHECKLIST

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## A REFERENCE GUIDE FOR GRANT REVIEW

This generic checklist covers key elements of most proposal applications submitted through the Medical School. Use of the document is most effective after the project team has completed the entire research application and PAF and is using the information to review the packet prior to routing.

Questions & comments are welcome. Please email to the Grant Review & Analysis Office ([msgrants@umich.edu](mailto:msgrants@umich.edu)). Future iterations based on feedback are expected.

Check [here](#) for updates!



OFFICE OF RESEARCH

OFFICE OF RESEARCH | MEDICAL SCHOOL | MICHIGAN MEDICINE | UNIVERSITY OF MICHIGAN  
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# GRANT REVIEW CHECKLIST

## USE GUIDE



This checklist serves as a high-level guide for Medical School departments/units when reviewing research grants *prior to* routing for approval. This is not intended to be a replacement of sponsor directions or specific sponsor requirements for sections of the application.

### General information:

- Start with the sponsor directions! We have provided given a place to capture key elements on this checklist.
- Unfortunately, not all sponsors organize application elements in the same way or order. You may be jumping around the checklist in order to review. Be patient! and use the check boxes to locate typical circumstances to be reviewed.
- We have included a Topic List of issues that arise on some projects. Check through the topic list (page 9) to see if there are any more areas that may need additional attention. Hyperlinks to our website are included to help if you need more information.
- The PAF should always reflect the proposal as submitted. Check through the proposal first and then work through the PAF to make sure the latest information is captured.

### How to use the document:

In this document, you will find check boxes in two colors:

-  Medical School will review for accuracy and data integrity as part of the routing process
-  Departments/units are responsible to ensure accuracy and these areas will (generally) not be re-reviewed by the school.

*Departments may also wish to review yellow check boxes to ensure fewer questions about the content in the routing and review process.*

 Useful information (included in green boxes); and

 Helpful tips (included in gray boxes)

### Abbreviations

- **GR&A** = Grant Review & Analysis, the Dean's Office Review step.
- **Dept** = Any administrative home department / unit / center

# GETTING STARTED

## KNOW THE SPONSOR EXPECTATIONS

Step 1. Read the Directions / Request for Applications. Note the following items:

- Did you check for additional directions in the
  - Application Form Pages
  - Sponsor bylaws/grant award rules
  - Extended pages by clicking through provided hyperlinks
  - Updated announcements
- Did you check the sponsor's required eligibility / [Limited Submission?](#)

- Grant period (specific begin / end dates)

- Budget Restrictions (maximum amount; [indirect cost rate](#))

- Sponsor required components and whether it is part of the [Medical School administrative shell](#).

Required by sponsor & for Med Review?	Any Page Limits
<input type="checkbox"/> Sponsor Guidelines_____	
<input type="checkbox"/> All Form Pages_____	N/A
<input type="checkbox"/> Project/Performance Site Location(s)_____	N/A
<input type="checkbox"/> Facilities & Other Resources_____	_____
<input type="checkbox"/> Equipment Description_____	_____
<input type="checkbox"/> Budget Pages_____	_____
<input type="checkbox"/> Budget Justification / Additional Narrative_____	_____
<input type="checkbox"/> Consortium/Contractual Agreements_____	_____
<input type="checkbox"/> Multiple PD/PI Plan_____	_____
<input type="checkbox"/> Letters of Support_____	_____
<input type="checkbox"/> _____	_____
<input type="checkbox"/> _____	_____



Additional sections for specific types of projects follow on next page.

- Career Development Awards
  - Environment & Institutional Commitment to the Candidate
  - Draft of the Training Plan
  - Mentored Awards
    - Modified Other Support of Mentor
    - Statement from Mentor
  
- Training Grants
  - Program Plan sections that address administrative structure and any time commitment
  - Letters of Environment / Institutional Commitment
  - Tables that list Participating Faculty Members
  - Tables that list Grant & Contract Support of Participating Faculty Members
  
- Fellowships
  - Fellowship Supplemental Forms
  - Activities Planed Under this Award
  - Sponsor and Co-Sponsor Information
  
- Clinical Trial Site Activity
  - Draft Agreement
  - Copy of Protocol
  - Revenue Budget

Deadline (date? specific time? time zone (EST vs. CST), e.g.)

Sponsor: \_\_\_\_\_

Medical School (click [here](#) for the deadline calculator): \_\_\_\_\_

Routing and submission process (submitted by ORSP vs. by applicant, system submission requirements, registrations required?)

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# REVIEWING THE PROPOSAL

## DID YOU DO WHAT THE SPONSOR ASKED AND WHAT THE UNIVERSITY EXPECTS?

### Step 2. Review Sections of the Proposal Document

#### General

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- Does the applicant meet the **eligibility requirements of the sponsor**?
- Are **Project Start Date** and **End Date** within sponsor guidance?
- If an NIH application
  - Division** = Medical School?
  - Department** = PI's primary appointment unit?
  - Type of application** correct? If a renewal/resubmission, the grant number (2 letters + 6 #s) has been included.

#### Personnel

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##### Senior/Key Personnel

- Contact information
- Correct eRA Commons ID (if applicable)
- Correct project role
- Biosketch/CV in the required format
- Other Support, if required, is included with correct elements, and effort reflected accurately

##### Other Programmatic Personnel

- Contact information

##### Administrative Personnel

- Correct eRA Commons ID (if applicable)

#### Budget

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- Are **Budget Start / End Dates** in each period consistent with the project?

Are **budget and justification** compliant with the costing policies and expectations of

##### Sponsor -

- Overall budget is under maximum request amounts allowed
  - Sponsor general limits are met (e.g. NIH's \$499,999 rule)
- Limitations applied to certain categories (e.g. salaries)
- Correct categories (e.g., NIH equipment:  $\geq$  \$5,000 AND > 1-year lifetime)

- Ineligible items (e.g. tuition for some sponsors) are not included
- Sufficient and compliant justification of expenses
  - Uniform Guidance items are appropriately justified

#### University of Michigan -

- Consistent application of [salary cap](#)
- Consistent treatment with cost accounting practices / Uniform Guidance, if federal
- Consistent treatment of [salary calculation](#)
- Review of budget categories of special interest? (See Topic List on page 9)
- Do budget #s match the **Budget Justification**?
- Does the budget calculation tie by item and line?
- Per the UM [Patient Care Agreement](#), **patient care** includes only Hospital charges for inpatient or outpatient care that has built in overhead charges. When submitting to the NIH, if you use the MBECT tool, the costs do not go in patient care.
- Medical School has specific requirements on expected IDC recovery. See the [Budgeting/Costs](#) page for more information.

#### Indirect Costs *Contact the GR&A Office if there are questions on appropriate rates.*

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- [Indirect cost rate](#) expected based on activity in the abstract / class code
- Indirect cost base, federally sponsored projects or projects that use full federal rate:
  - Only the first \$25,000 of each subcontract is included
  - Equipment items have been excluded
  - Tuition has been excluded
  - Appropriate patient care has been excluded
  - Alterations and renovations have been excluded
  - The [approval date](#) for the most recent indirect cost rate agreement is included.
- Foundation/Non-Profit Sponsored Projects: Indirect costs have been
  - Included at the maximum rate allowed by the sponsor
  - Determined whether to be a % of direct or % of total costs
  - The rate has been applied with no exclusions unless sponsor regulations specifically exempt particular charges
- The information above is correctly entered for all budget periods



Click [here](#) to see an example of how to calculate modified total direct costs (i.e., indirect cost base) from our federal checklist.

## Subcontracts

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- The entire amount to be subcontracted, including indirect costs at the subcontractor's rate, is included in U-M's direct cost amount.
- Attached institutional letter(s) of commitment signed by an authorized official
  - The indirect cost rate at the contracted institution is included
  - If a [PHS sponsor](#), or another sponsor following PHS guidelines, the letter should cover FCOI regulations.
- Check approved \$\$\$ at sub site agree with budget request in UM budget

## Budget Justification

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- The role of all persons listed in the budget is described.
- There are no '0 calendar month' or '0% effort' references for personnel in the budget. 'No Salary Requested' is acceptable.
- All amounts stated in the justification, or further breakdowns of amounts on the budget, agree with the amounts on the budget itself.
- All increases/decreases in years subsequent to the first year are explained fully, so that a reviewer will be able to arrive at the same figures as are in the budget for each year.
- Any statements as to University "policy" are true according to the U-M Standard Practice Guide.
- When submitting an NIH modular application with subcontracts the subcontractor's justification should state whether it is a domestic or foreign institution, as well as the total dollars requested per period rounded to the nearest \$1,000.
- For NIH modular applications, use an 'Additional Narrative Justification' to justify uneven modules, equipment or other indirect cost exclusions. Ensure it is attached in its own field separate from the personnel justification.

## Compliance Items

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- Human subjects:**
  - Human Subject Assurance # 00004969
  - Supporting documents included?
- Select agent/toxin**
- Vertebrate animals:**
  - Animal Welfare Assurance # A3114-01
  - Supporting documents included?

## Facilities / Institutional Environment

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- Facilities to be used (labs, animal, computer, office, clinical and other) are described.
- If specific types of rooms (e.g. lab or clinic) are referenced, similar space should be found on the PAF. Remember room numbers are not required and mean little to the reviewer. The description may be square footage or bench space instead.
- If multiple performance sites, each site is described.
- Section highlights the breadth of resources available to the project and may talk about context of collaborators, access to core facilities, support for investigators.
- Any listing that sounds as if there is a dedicated resource commitment, should be documented on the PAF with an indication of the providing source.

## Letters of Support / Commitment

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- All letters of institutional commitment should be final and included for review if there are stated commitments to be met.
- Any outlined resource commitments should be documented on the PAF with an indication of the providing source.

## Other Support & Biosketches

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- Other Support:** If required by sponsor,
  - Must contain accurate information
  - Must address any effort, financial, or scientific overlap
  - Does not add to more than 100% (usually 12 months)
- Biosketch:** Not required for administrative shell review, but should adhere to sponsor requirements.
  - No effort should be listed on most Biosketches



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## LAST CHECK – ADMINISTRATIVE SHELL

Are all the required documents/components complete before routing for administrative review?

- Abstract (at least a “good” draft)
- Sponsor-required Forms Set completed
- Budget
- Justification
- Facilities/Other Resources/Equipment
- Other Support, if required
- Consortium/Contractual/Subcontract Agreements
- Any other sponsor-required sections with institutional commitments (funds, effort, space, access) not listed above
- Resubmission/Revision Information
- Research Compliance Sections
- Multiple PD/PI Leadership Plan (if applicable)
- Letters of Commitment / Sections of Environment & Institutional Commitments
- Fellowships: Activities planned under the award

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## LAST CHECK – FINAL PROPOSAL

Do the documents meet the format requirements before you finalize for submission?

- Do you have all sponsor-required sections?
- Do the documents meet the format and naming requirements?
- Appendix (questionnaire, consent form, publications, etc.), if allowed
- Have you included instructions on submission for ORSP?

# DOES YOUR PROPOSAL INCLUDE....?

## A TOPICAL LIST OF ITEMS THAT MAY NEED SPECIAL REVIEW IN YOUR PROPOSAL

[Partial appointments](#): How to calculate effort of those with partial appointments.

[VA appointments](#): How to calculate efforts of those with UM/VA split appointments, in the context of different sponsors and programs.

[K awards](#): List of specifics for Career Development (K) awards.

[Use of recharge rates / representation of personnel](#): How to budget when recharging core activities only, and recharging core activities along with other project specific activities.

[Budgeting industry studies and clinical trials](#): Tips on budgeting industry studies and clinical trials.

[Industry-sponsored agreements](#): Suggestions on determining the costs, budgeting, negotiation, routing on a PAF, etc.

[Medical School Letter of Support](#): Information on obtaining the letter.

[Other Support](#): reflect any potential overlap in effort, funding, or research plans. Click [here](#) for NIH format, instructions and samples.

[Biosketch](#): provides information on the credentials and qualifications of participants. Click [here](#) for NIH format, instructions and samples.

# REVIEWING THE PAF

## HOW TO REVIEW THE PROPOSAL APPROVAL FORM (PAF)



A Proposal Approval Form (PAF) should reflect what is being sent to the sponsor. All information on the PAF should match and reflect what is in the proposal. Even if partially completing the PAF prior to filling out the application, a cross check back through the PAF is necessary to verify that the final information is represented.

### General

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- Does “**Project Long Title**” EXACTLY match the title in the proposal? The “Project Title” (separate field) may be anything the project team prefers.
- Renewal/Continuation or Supplemental Request:** Is Parent Project/Grant Number entered?
- If the application is in response to a specific funding opportunity announcement, is **Sponsor Solicitation Number** entered?
- Is **Direct Sponsor** (and **Prime Sponsor**, if applicable) correct?
  - If a contract agreement, only those listed as contracting parties should be listed.
- Are the **deadlines** correctly entered?
  - [Medical School deadline](#) is required for all School proposals
  - Is the sponsor deadline in the future?
  - Is the sponsor deadline listed as a workday, not weekend or holiday?
- [Class code](#) is appropriate for the proposed activity.

### Personnel

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- Are all faculty at U-M listed in **PROJECT PERSONNEL**?
- If the sponsor follows **FCOI rules**, the **PROJECT PERSONNEL** section must reflect all faculty PLUS all Investigators (any role with the word Investigator, PD/PI, Co-I, Research Investigator, Mentor) & those listed as Key Personnel.
- Effort:** Not required; if information provided, must match details in the application.
- Are all Investigators **NOT** affiliated with U-M and not on a subcontract listed in **INVESTIGATORS NOT AFFILIATED WITH THE UNIVERSITY OF MICHIGAN**?
- Will Students Work on this Project?**
  - Includes students regardless of whether they are receiving compensation.
  - Check if this is reflected in the budget forms or justification.

## Compliance

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- Is the field **Project Abstract/Statement of Work** completed? (Required on all Medical School administrative home proposals)
- Human Research/Human body parts and substances/Stem cells:** Answers should match proposal. If there is an IRB approval, does the approval date match that listed in the application?
- Vertebrate animal:** Answers should match proposal. If there is an IACUC approval, does the approval date match that listed in the application?
- Select Agent and Toxin:** Answers should match proposal.

## Space

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- All unique, non-core space represented in the proposal (e.g. resources) are listed on the PAF
- For space within Michigan Medicine:
  - list space details (building, room #) OR
  - List as "Adequate Space and indicate Medical School or Hospital space for each line."
    - If hospital, list whether it is hospital clinic or hospital office.
    - If hospital clinic, CDA will either need to sign the PAF or space approval needs uploaded.
- For other campus units' space, listed at the preference of that unit
  - VA Space Use: Is the VA agreement attached to the PAF?

## Budget

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Check Points	Total Project	Initial Period
Do <b>Start Date</b> and <b>End Date</b> match the dates in the proposal?	<input type="checkbox"/>	<input type="checkbox"/>
Is the <b>indirect cost rate</b> correct?	<input type="checkbox"/>	<input type="checkbox"/>
Check <b>Direct Costs</b> and <b>Indirect Costs</b> against the application.	<input type="checkbox"/>	<input type="checkbox"/>

- Budget comments: special circumstances or procedure have been notified.
  - NIH modular: Have all exclusions been listed by item and by year?
  - If other sponsored projects are listed as sources of funds (e.g. Career Awards providing effort) list a university description of the source (PAF or P/G number) / dates of funding / and description of what it will provide.

- Review special budget considerations. If **yes**, verify supporting documentation.
  - Indirect cost waiver
    - Has it been approved by the Department
    - All documentation routed?
  - University detailed cost sharing – captures quantified commitments to the sponsor that will be tracked in post-award
    - Does it reflect what is represented in the proposal?
    - Are IDCs calculated with the same rules as the sponsor calculation of IDC?
  - Other UM commitments – captures descriptions of commitments made to sponsor
    - Do the comments / characterization mirror what is in the proposal?
  - Non-UM cost sharing – captures commitments made by a non-UM entity
    - VA Cost Sharing: Is the sign-off on salary support attached?
  - Anticipated subaccount distribution – each unit may request funds listed, but not a Medical School requirement
  - Subcontracts – if yes, for each:
    - Check for the institutional letter of commitment.
    - Check the total costs of EACH subaward.

### **PI/Listed Investigators**

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- Has PI(s) signed for approval and indicated whether there is a COI?
- If an FCOI submission, have all listed on PAF done their financial disclosure?

### **Routing**

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- Have you consulted with participating units prior to routing to see if they have special considerations?
  - Required info on PAF for people or space
  - Documentation of Subaccounts?
- Have you included specific directions for ORSP?