GUIDANCE REGARDING FEDERAL CONTRACT PROPOSAL REQUIREMENTS
(\*Including when Duke is a sub to another entity on a federal contract submission)

CONTACT ORA IMMEDIATELY WHEN YOU ARE CONSIDERING A
FEDERAL CONTRACT SUBMISSION

*If the solicitation requests these documents, ORA requires submission of these documents/items in final form 7 work days in advance of contract submission deadline:

1) Technical Proposal Cost Summary - do not list hours; list percent of effort
2) Summary of Related Activities – one page for each key personnel (word or excel document)
3) NIH Form 2043 (Proposal Summary and Data Record) - completed for ORA signature
4) Breakdown of Proposed Estimated Costs with Excel Summary of Proposed Costs – these are two separate items – do not show hours; show percent of effort
5) Offeror's Points of Contact – Marianne Ward is the business representative
6) Certificate of Current Cost or Pricing Data
7) Complete Business Proposal - do not list hours; list percent of effort
8) If subcontractors are included: Subcontractor Excel Summaries of Proposed Costs, Summaries of Related Activities for key personnel, Business Proposal Cover Page, NIH Form 2043, Commitment Letter and Statement of Work including duties, timeline and milestones
9) SPS record, with completed DPAF

ITEMS TO CONSIDER – Items to be submitted to ORA are dependent on specific Request for Proposal (RFP) requirements. Please read the RFP. This may not be an all-inclusive list.

1) Federal Information Security Management Act (FISMA) requirements: When FISMA is identified in the RFP, immediately contact Rosemary Herhold, DU SOM/SON IT Security Officer. The PI will include costs for FISMA compliance in the contract budget or provide a written commitment from the Dept Chair/Business Manager to absorb the costs if funded. The PI will also have to declare at the time of submission if the project will request a waiver of the FISMA standards.

2) Language in the RFP that restricts Duke's freedom to publish or use of foreign nationals must be reviewed by Mark Stomski, Director of Export Controls.

3) Small Business Subcontracting Plan (SBSP) and Extent of Small Disadvantaged Business Participation: If the RFP requires these two items, immediately contact Connie Hemric in Procurement prior to building the budget. Procurement will assist identifying appropriate Small Businesses for the project. ORA has standard language developed by Procurement that discusses the Extent of Small Disadvantaged Business Participation for the business proposal. If Duke is a sub to another entity and the Duke budget exceeds the FAR threshold (currently set at $650,000), then inquire if a SBSP is required at time of submission or during contract negotiations.

4) The SPS budget and the Excel Summary of Proposed Costs should closely match. Small discrepancies are allowed due to rounding issues.

5) Duke University’s Negotiated Indirect Cost Rate Agreement is on the Financial Services website. Use the negotiated F&A rate in the proposal. Since this is subject to change, check for current rates. The rate agreement also contains Duke University’s Negotiated Fringe Benefit rate. The fringe benefit rate stays at the federally negotiated rate all years of the contract. Do not escalate fringe benefit rates in outlying years (unless rates are escalated as outlined in the negotiated rate agreement).

6) Business Proposal: The sections regarding costs can come directly from the Excel Summary of Proposed Costs. Copy the pages into the appropriate sections in the Business Proposal. You must include language that justifies every expense in the budget in the same order as the category is listed in the Summary of Proposed Costs. Note that contracts are very different than grants in that the federal agency will require very detailed budget justifications. Specifically, they expect a price per item, which requires us to identify how we derived the cost (I-forms for salary, current purchasing contracts, specific catalog, vendor quotes, etc). Be prepared to provide copies of specific documentation that supports the costs listed in the budget.

7) Most RFP’s require an Annual Financial Report and a Travel Policy. Both of these can be found on the Financial Services website.

8) ORA has the following documents to assist you: Standard Contract Cover Letter to accompany the proposal; Sample Business Proposal Cover Page and Table of Contents; language discussing Total Compensation Plan; Electronic Funds Transfer Information; Section K, Reps and Certs

Contact Marianne Ward, Research Administration Manager-Federal Contracts, Office of Research Administration, 684-3968, or email: Marianne.ward@duke.edu and contracts.management@mc.duke.edu for a consultation regarding federal contract submissions.

*Not all documents apply when Duke is a sub to another entity on a federal contract submission.

Current as of 9/23/11