Introduction to Sponsored Research at Boston University

PRE AWARD, DAY 1

November 27, 2018
• Introduction to Research Support
• Sponsor Requirements: How to Review an RFA
• BU Requirements: Proposal Development
• Lunch (Q&A)
• Just in Time (JIT) requests
• Account setup
• Ongoing award management: Subawards, IPAR actions, Progress reports
The matrix provides detailed expectations for each role (PI, DA, SP, and PAFO) at each stage of the Research lifecycle.

Refer to the link on the website:
Research Support Website

- **Project Lifecycle**: Covers all stages of the process from Finding Funding to Close Out
- **Forms & Policies**: Find worksheets, policies, and procedures regarding effort, subawards, F&A, cost share, capital equipment, service center rates, etc.
- **Training & How To**: Find FAQs, financial report “how tos,” and informational videos on related topics
- **Tools & Services**: Find out about Service Centers, F&A cost and analysis, Property Management (i.e. Capital Equipment), and more
- **News & Calendar**: Upcoming events and training opportunities
- **Contact**: Find useful contacts including the Department and Research Administrator Directory
- **Search**: Use the search bar or magnifying glass in the top-right corner to find relevant information or forms
- **Recommendations**: These tabs at the bottom include quick links to popular content by role

![Research Support Website](http://www.bu.edu/researchsupport/)
How to Review an RFA for Administrators

Renna Lilly
What is an RFA

RFA, Request for Application
PA, Program Announcement
PAR, Program Announcement (with special receipt, referral and/or review considerations)
RFP, Request for Proposal

*Officially, there is a difference in the terminology, but this is what we’ll use for the sake of this presentation
Reviewing and Understanding the KEY Administrative Requirements is the FIRST step in Proposal Preparation

Elements of Sponsor Guidelines to focus on:

**Eligibility**
- PI
- Institution
- Limited Submission

**Budget**
- Budget limits
- F&A limits
- Cost-sharing requirements

**Deadline**

**Submission Method**

**Formatting**
- Sponsor specific forms
- Font
- Margins

How to find Sponsor Guidelines
- From the PI
- Google
- Contact Sponsor Programs RA
Federal Example: NIH R21 PA-18-489


Eligibility: PI

Page 8 of PA-18-489

Eligible Individuals (Program Director/Principal Investigator)

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the Program Director(s)/Principal Investigator(s) (PD(s)/PI(s)) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support.

For institutions/organizations proposing multiple PDs/PIs, visit the Multiple Program Director/Principal Investigator Policy and submission details in the Senior/Key Person Profile (Expanded) Component of the SF424 (R&R) Application Guide.
Section III. Eligibility Information

1. Eligible Applicants

Eligible Organizations

Higher Education Institutions

- Public/State Controlled Institutions of Higher Education
- Private Institutions of Higher Education

The following types of Higher Education Institutions are always encouraged to apply for NIH support as Public or Private Institutions of Higher Education:

- Hispanic-serving Institutions
- Historically Black Colleges and Universities (HBCUs)
- Tribally Controlled Colleges and Universities (TCCUs)
- Alaska Native and Native Hawaiian Serving Institutions
- Asian American Native American Pacific Islander Serving Institutions (AANAPISIs)

Nonprofits Other Than Institutions of Higher Education

- Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education)
- Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education)
3. Additional Information on Eligibility

Number of Applications

 Applicant organizations may submit more than one application, provided that each application is scientifically distinct.

The NIH will not accept duplicate or highly overlapping applications under review at the same time. This means that the NIH will not accept:

- A new (A0) application that is submitted before issuance of the summary statement from the review of an overlapping new (A0) or resubmission (A1) application.
- A resubmission (A1) application that is submitted before issuance of the summary statement from the review of the previous new (A0) application.
- An application that has substantial overlap with another application pending appeal of initial peer review (see NOT-OD-11-101).
### Key Dates

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Posted Date</td>
<td>December 6, 2017</td>
</tr>
<tr>
<td>Open Date (Earliest Submission Date)</td>
<td>January 18, 2018</td>
</tr>
<tr>
<td>Letter of Intent Due Date(s)</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Application Due Date(s)</td>
<td>January 16, 2018</td>
</tr>
<tr>
<td>AIDS Application Due Date(s)</td>
<td>February 16, 2018</td>
</tr>
<tr>
<td>Scientific Merit Review</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Advisory Council Review</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Revisit Start Date</td>
<td>January 9, 2018</td>
</tr>
<tr>
<td>Expiration Date</td>
<td>January 8, 2021</td>
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### Activity Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Cycle I Due Date</th>
<th>Cycle II Due Date</th>
<th>Cycle III Due Date</th>
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<tbody>
<tr>
<td>R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3</td>
<td>Other Research Grants and Cooperative Agreements</td>
<td>February 16</td>
<td>June 16</td>
<td>October 16</td>
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<tr>
<td>R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3 renewal/resubmission/revision</td>
<td>Other Research Grants and Cooperative Agreements</td>
<td>March 16</td>
<td>July 16</td>
<td>November 16</td>
</tr>
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</table>

### Section II. Award Information

<table>
<thead>
<tr>
<th>Funding Instrument</th>
<th>Grant: A support mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.</th>
</tr>
</thead>
</table>
| Application Types Allowed| New  
Resubmission  
Revision

The OER Glossary and the SF424 (R&R) Application Guide provide details on these application types. |
| Clinical Trial?          | Not Allowed: Only accepting applications that do not propose clinical trials  
Need help determining whether you are doing a clinical trial? |
| Funds Available and Anticipated Number of Awards | The number of awards is contingent upon NIH appropriations and the submission of a sufficient number of meritorious applications. |
| Award Budget             | The combined budget for direct costs for the two-year project period may not exceed $275,000. No more than $200,000 may be requested in any single year. |
| Award Project Period     | The total project period may not exceed 2 years. |

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2. Cost Sharing

This FOA does not require cost sharing as defined in the NIH Grants Policy Statement.
Federal Example: NIH R21 PA-18-489

Submission Method

Page 4 of PA-18-489

**Required Application Instructions**

It is critical that applicants follow the Research (R) Instructions in the SF424 (R&R) Application Guide, except where instructed to do otherwise (in this FOA or in a Notice from the NIH Guide for Grants and Contracts). Conformance to all requirements (both in the Application Guide and the FOA) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in Section IV. When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions. Applications that do not comply with these instructions may be delayed or not accepted for review.

There are several options available to submit your application through Grants.gov to NIH and Department of Health and Human Services partners. You must use one of these submission options to access the application forms for this opportunity.

1. Use the NIH ASSIST system to prepare, submit and track your application online.

   ![Apply Online Using ASSIST](image)

2. Use an institutional system-to-system (S2S) solution to prepare and submit your application to Grants.gov and eRA Commons to track your application. Check with your institutional officials regarding availability.

3. Use Grants.gov Workspace to prepare and submit your application and eRA Commons to track your application.
Section IV. Application and Submission Information

1. Requesting an Application Package
   Buttons to access the online ASSIST system or to download application forms are available in Part 1 of this FOA. See your administrative office for instructions if you plan to use an institutional system-to-system solution.

2. Content and Form of Application Submission
   It is critical that applicants follow the Research (R) instructions in the SF424 (R&R) Application Guide, except where instructed in this funding opportunity announcement to do otherwise. Conformance to the requirements in the Application Guide is required and strictly enforced. Applications that are out of compliance with these instructions may be delayed or not accepted for review.

For information on Application Submission and Receipt, visit Frequently Asked Questions – Application Guide, Electronic Submission of Grant Applications.

Page Limitations
All page limitations described in the SF424 Application Guide and the Table of Page Limits must be followed.

Instructions for Application Submission
The following section supplements the instructions found in the SF424 (R&R) Application Guide and should be used for preparing an application to this FOA.

SF424(R&R) Cover
All instructions in the SF424 (R&R) Application Guide must be followed.

SF424(R&R) Project/Performance Site Locations
All instructions in the SF424 (R&R) Application Guide must be followed.

SF424(R&R) Other Project Information
All instructions in the SF424 (R&R) Application Guide must be followed.

SF424(R&R) Senior/Key Person Profile
All instructions in the SF424 (R&R) Application Guide must be followed.

R&R or Modular Budget
All instructions in the SF424 (R&R) Application Guide must be followed.

R&R Subaward Budget
All instructions in the SF424 (R&R) Application Guide must be followed.

https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm#filenames
Non Federal Example: AHA Established Investigator Award

https://professional.heart.org/professional/ResearchPrograms/ApplicationInformation/UCM_321935_Established-Investigator-Award.jsp

Eligibility: PI

Target Audience

At the time of application must:

- Have M.D., Ph.D., D.O. or equivalent doctoral degree
- Be a faculty/staff member
- Have current national-level funding as a principal investigator (or co-PI) on an R01 grant or its equivalent. R01-equivalent awards include DP2, R01, R23, R29, R37 and RF1 activity codes; (e.g., VA Merit Award; NSF Grant; or PI of a project on a NIH Program Project Grant from NIH). NIH "K" series awards are not considered equivalent to R01.

To encourage submissions from clinical investigators, epidemiologists, and translational scientists, individuals with significant funding from national-level peer reviewed clinical and multicenter trials and/or other clinically-oriented grants will be considered (e.g., U01, UL1, and equivalent awards).

At the time of award activation must:

- Be at least four (4) years but no more than nine (9) years (i.e., eight years and 12 months) since the first faculty/staff appointment at the assistant professor level or equivalent (including, but not limited to, research assistant professor, research scientist, staff scientist, etc.)
Citizenship

At the time of application, must have one of the following designations:

- U.S. citizen
- Permanent resident
- Pending permanent resident. Applicants must have applied for permanent residency and have filed form I-485 with the U.S. Citizenship and Immigration Services and have received authorization to legally remain in the United States (having filed an Application for Employment Form I-765).
- H-1B Visa - temporary worker in a specialty occupation
- J-1 Visa - Note: You must have an H-1B or equivalent by the award activation date. If the H-1B or equivalent is not received by the award activation date, the award must be relinquished.
- O-1 Visa - temporary worker with extraordinary abilities in the sciences
- TN Visa - NAFTA professional
- E3 - specialty occupation worker
- G-4 Visa - family member of employee of international organizations and NATO

Awardee must meet American Heart Association citizenship criteria throughout the duration of the award.
Location of Work

American Heart Association research awards are limited to U.S.-based non-profit institutions, including medical, osteopathic and dental schools, veterinary schools, schools of public health, pharmacy schools, nursing schools, universities and colleges, public and voluntary hospitals and other non-profit institutions that can demonstrate the ability to conduct the proposed research. Applications will not be accepted for work with funding to be administered through any federal institution or work to be performed by a federal employee, except for Veterans Administration employees.

An investigator may be allowed to request approval to conduct work outside the United States temporarily.
Sponsor Guidelines are silent on proposal number limits but includes this additional eligibility guideline:

**Restrictions**

- An individual may hold more than one AHA award concurrently, but may only hold one career development/recognition award (Career Development Award, Established Investigator Award, Merit Award).
- Strategically Focused Research Network personnel may hold individual AHA awards.
- Applications from current or past recipients of AHA advanced investigatorships (such as the Established Investigatorship or Established Investigator Grant) are not eligible. An awardee may hold the Established Investigator Award only once. This award is non-renewable.
Letter of Intent Deadline (required): Tuesday, October 23, 2018

View the LOI Instructions

Application Deadline for invited applicants only: Tuesday, January 15, 2019

The application must be submitted by 5 p.m. Central Time in Grants@Heart on the deadline date. The application will be submitted to the designated grant officer, who will submit it to the American Heart Association (AHA).

Award Activation: April 1, 2019
Budget

*Award:* $80,000 per year, including 10 percent indirect costs (Indirect costs are not to exceed $7,273 per year)

Aside from the cap on indirect costs, there is no limit on budget categories. Funds may be used as the principal investigator deems necessary, in accordance with institutional and AHA policies.

Budget items may include:

- salary and fringe of the principal investigator, any collaborating investigators, and other participants with faculty appointments
- salaries of technical personnel essential to the conduct of the project
- supplies
- equipment
- travel
- volunteer subject costs
- publication costs

No minimum effort requirement. Special consultative services from individuals may be requested, provided the circumstances are fully described in the application. International travel is permitted without prior AHA approval.

*Award Duration:* Five years; non-renewable

*Total Award Amount:* $400,000
Step 1: LOI, see separate instructions

Letter of Intent Deadline (required): Tuesday, October 23, 2018

View the LOI Instructions

8. Submit to Grants Officer
The LOI Application must be submitted to your institution’s Grants Officer. Allow your Grants Officer enough time to review and submit it to the AHA by the stated deadline.

Step 2: Full Proposal-if invited

Toggle between the Applicant and Third Party Personnel tabs below to view a complete list. Instructions are contained in the Application Instructions (PDF) for items below that are not hyperlinked. All required documents must be uploaded to Grants@Heart by the applicant before the application can be submitted to the Grants Officer. The Grants Officer is responsible for sign-off and submitting the application to AHA.
Uploaded documents, including your LOI, must comply exactly with the AHA’s format/type requirements and page limits. Failure to comply will result in the administrative withdrawal (disqualification) of the application.

- Only Portable Document Format (PDF) files will be accepted.
- LOI must be single-spaced.
- No more than 15 characters per inch (cpi) or an average of no more than 15 cpi (cpi includes symbols, punctuation and spaces).
- No less than ¾” margins allowed.
- Sixty lines per page are the maximum allowed. The average number of lines per page using the font and point size below will be approximately 50-55 lines.
  - Windows users: Arial Font style, 12 point font size
  - Macintosh users: Helvetica Font style, 12 point font size
- Figures, charts, tables, graphics and legends may be smaller in size but must be clear and legible.
- Three-page limit, after converting your document to a pdf.
Non Federal Example: AHA Established Investigator Award

Formatting full proposal

Page 1, Link to detailed application instructions

- Supporting Documents (opens in a new window) lists the required uploads for each program.
- View the detailed Applications Instructions (PDF).
- **NEW** Each applicant must be an AHA Professional Member. Join or renew when preparing an application in Grants@Heart, online, or by phone at 301-223-2307 or 800-787-8984. Membership processing takes 3-5 days, do not wait until the application deadline to renew or join.
- Supported Web Browsers (PDF)
6. Formatting and Page Requirements

All uploaded documents must follow the AHA's format and type requirements below:

- Document must be single-spaced.
- No more than 15 characters per inch (cpi) or an average of no more than 15 cpi (cpi includes symbols, punctuation and spaces).
- No less than ¾” page margins on all four sides.
- Maximum of 60 lines per page. (The average number of lines per page using the font and point size below will be 50-55 lines.)
- Arial Font style, 12-point font size for Windows users; Helvetica Font style, 12-point font size for Macintosh users.
- Only Portable Document Format (pdf) files are accepted by the Grants@Heart system.

It is not necessary to number your pages or to put your name on every page.
On your own locate the following for the Charles Hood Foundation

- Eligibility
  - PI
  - Institution
  - Limited Submission

- Deadline

- Budget
  - Budget limits
  - F&A limits

- Submission Method

- Formatting
  - Sponsor specific forms
  - Font
  - Margins
Key Takeaways

- Read instructions thoroughly
- Reach out to your SP RA with questions
BU Requirements: Proposal Development

FORMS and APPROVALS

Suzanne Rocha

&

Tony Moy
Preparing a proposal

Dept should notify RA as soon as intent to submit is known and/or minimum 10 business days before sponsor deadline

Dept pulls together the required documentation, including Proposal Summary Form (PSF)

Proposal package sent to RA for review 5 days prior to deadline

This helps RAs manage workload and expectations during heavy review periods.

Also useful to consult with Sponsored Programs staff early in the process of developing your proposal if you have questions or need help interpreting guidelines.

PSF acts as cover letter to Proposal documents, and includes the necessary signature approvals.

PSF accompanied by budget, budget justification and scope of work at the very least, as per Proposal Submission Policy (more on this in the next section)
Roles & Responsibilities

**PI Responsibilities**

The PI is ultimately responsible for the entirety of the proposal, including all documents and forms, the budget, any subaward materials, and any other materials requested by the solicitation guidelines or required internally, as well as compliance with all internal and external deadlines.

**DA Responsibilities**

All administrative components of the proposal including but not limited to: the budget, required internal forms, forms and documents required by the solicitation guidelines. The DA is also responsible for gathering the required departmental/dean/other signatures on the PSF and submitting to the appropriate RA in compliance with all internal and external deadlines.

**SP Responsibilities**

Complete review of the proposal, including all required internal forms, the budget, all documents and forms required by the solicitation guidelines, and compliance with all sponsor and institutional guidelines. In the cases where the sponsor requires submission of the proposal be done by the institutional official, the RA will ensure that the proposal has been successfully submitted and accepted by the sponsor.
Proposal Summary Form (PSF)
PSF – PI Status

Prepare a Proposal

<table>
<thead>
<tr>
<th>Principal Investigator</th>
<th>Project Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Name</td>
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<tr>
<td>Cost Center Name</td>
<td>Cost Center Number</td>
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<td>School</td>
<td>Department</td>
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<td>Proposal Contact Name</td>
<td>Proposal Contact Phone Number</td>
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<tr>
<td>Proposal Contact Email</td>
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**PI Status Approval Required?**

- [ ] YES
- [ ] NO

If yes include PI Status Approval form.

**OTHER PIs & CO-PIs**

<table>
<thead>
<tr>
<th>Role</th>
<th>Last Name</th>
<th>First Name</th>
<th>School/Dept.</th>
<th>UID</th>
</tr>
</thead>
</table>

Note: All BU PIs, Co-PIs, and associated department Chairs and/or Deans must sign this form.

**FACULTY MENTOR**

<table>
<thead>
<tr>
<th>Mentor Last Name</th>
<th>Mentor First Name</th>
<th>Email</th>
<th>Department / Division</th>
</tr>
</thead>
</table>

Please attach another page if you need more space.

Prepare a Proposal

PSF – Application Information

New, Renewal, Resubmission, Revision, Supplement, Transfer, Non-Competing Continuation

Activity Type dropdowns: Research, Research Training, Training, Other

PI, Sponsored Programs

Select Application Type

Select Activity Type

Deadline: If BU is subrecipient, deadline is direct sponsor, not prime

Select Submission Method

Select Sponsor Type

Solicitation Number

Internal SAP Grant Number (if applicable)

Prime Sponsor (who is awarding funds to sponsor?)

Sponsor/Prime Sponsor MUST be accurate for internal system purposes

Federal, University, Foundation, Hospital, Industry, Foreign, Other

Request for Application (RFA) number

Only need to fill out Prime Sponsor if this is a subaward

BOSTON UNIVERSITY
**PSF – Project Period & Budget**

### Proposed Project Period & Budget

<table>
<thead>
<tr>
<th>First Year</th>
<th>Entire Project</th>
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<tbody>
<tr>
<td><strong>Effective Project Dates (mm/dd/yyyy)</strong></td>
<td><strong>Effective Project Dates (mm/dd/yyyy)</strong></td>
</tr>
<tr>
<td><strong>Funds Requested</strong></td>
<td><strong>Funds Requested</strong></td>
</tr>
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<td>Start Date</td>
<td>Start Date</td>
</tr>
<tr>
<td>End Date</td>
<td>End Date</td>
</tr>
<tr>
<td>Direct Costs, Y1</td>
<td>Total Direct Costs</td>
</tr>
<tr>
<td>F&amp;A Costs, Y1</td>
<td>Total F&amp;A Costs</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>Totals</strong></td>
</tr>
<tr>
<td>Total Costs, Y1</td>
<td>Total Costs</td>
</tr>
<tr>
<td>automatically calculates</td>
<td>F&amp;A Rate(s) %</td>
</tr>
</tbody>
</table>

*If the entire project is one year then the fields on both sides are the same*
Check RFA to see what is required for cost sharing

Resources on the website:
https://www.bu.edu/researchsupport/forms-policies/treatment-of-cost-sharing-for-sponsored-awards/
BU has a Negotiated Indirect Cost Rate Agreement (NICRA) which stipulates F&A rates for all proposals. If proposed F&A rate differs from our NICRA, follow these guidelines:

If a Sponsor has a documented F&A rate policy, that is the rate applied to the proposal. Waiver would not be required. If the PI/Dept. wishes to apply a lower rate than BU’s established rates, Waiver IS required.

http://www.bu.edu/researchsupport/forms-policies/guidelines-on-facilities-and-administrative-fa-reductions-or-waivers/

If yes:
• Attach a copy of the sponsor indirect cost stipulation/policy to the PSF
• Use ‘Comment Field’ on the PSF, to justify the reduced rate.
It is important to indicate where the research is taking place to assist with identifying the correct F&A Rate to use.

On Campus: Office, Labs, etc.
Off Campus: In the ‘field’, off-site location
Prepare a Proposal

PSF - Compliance

http://www.bu.edu/researchsupport/compliance/

<table>
<thead>
<tr>
<th>Institutional Review Board (IRB)</th>
<th>Human subjects</th>
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<tbody>
<tr>
<td>Institutional Animal Care and Use Committee (IACUC)</td>
<td>Animal Subjects</td>
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<tr>
<td>Institutional Biosafety Committee (IBC)</td>
<td>Biosafety</td>
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</table>

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<tr>
<th>Radioisotopes</th>
<th>Radiation Safety</th>
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<tr>
<td>Laser</td>
<td>Radiation safety</td>
</tr>
<tr>
<td>Stem cells</td>
<td>Use of Human Embryonic Stem Cells</td>
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<tr>
<td>SCUBA</td>
<td>Scientific diving and small boat safety</td>
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</tbody>
</table>
Prepare a Proposal

PSF - Other

Requires Subaward Package, which includes:
- Letter of Commitment
- Scope of Work
- Budget
- Budget Justification

Such as a consultant or outside vendor
Prepare a Proposal

PSF – Export Control

<table>
<thead>
<tr>
<th>Export Control</th>
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<tbody>
<tr>
<td>Does the sponsor’s funding announcement/solicitation indicate that any of the following restrictions or limitations be applied to the eventual award?</td>
</tr>
<tr>
<td><strong>Check all that apply:</strong></td>
</tr>
<tr>
<td>- [ ] Not Applicable</td>
</tr>
<tr>
<td>- [ ] Prior approval for dissemination/publications</td>
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<tr>
<td>- [ ] Restrictions on access or participation by foreign nationals</td>
</tr>
<tr>
<td>- [ ] Export control restrictions [International Traffic Arms Regulations (ITAR), Export Administration Regulations (EAR), Nuclear Regulations]</td>
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</table>
# PSF – International Activity

## INTERNATIONAL ACTIVITY

<table>
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<th>NO</th>
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**Percent of the overall effort that will be performed in another country**

**Country or countries involved**
Prepare a Proposal

PSF – Financial Interest Disclosure

FINANCIAL INTEREST DISCLOSURE & CERTIFICATION | PI/PD SIGNATURES

PI/PD ASSURANCE: I certify that: (1) in conducting the proposed program, I am familiar with and will adhere to applicable Boston University/Boston Medical Center policies including, but not limited to, human and animal research, conflict of interest, misconduct in research, and patents and technology transfer as well as sponsor requirements and applicable Federal regulations; (2) the information submitted within the application is true, complete, and accurate to the best of my knowledge; (3) any false, fictitious, or fraudulent statements or claims may subject me (as the PI) to criminal, civil, or administrative penalties; (4) I (as the PI) agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application; and (5) I will abide, as applicable, by the Federal clinical trials (ClinicalTrials.gov) and NIH Public Access (publicaccess.nih.gov) regulations.

PI signature below certifies that s/he has made this subrecipient/contractor determination for any subrecipient or contractor included in the project budget. Guidance for making this determination is available at bu.edu/researchsupport/project-lifecycle/preparing-a-proposal.

The PI must ensure that all those responsible for the design, conduct, or reporting of the proposed program have completed the financial interest disclosure forms as directed at bu.edu/researchsupport/compliance/conflicts-of-interest.

All disclosures for this project were submitted online or via coi@bu.edu by (date): __________

PI/PD Signature (ink or electronic)

Printed name (if not e-signing) Date

PI/PD Signature (ink or electronic)

Printed name (if not e-signing) Date

PI(s) needs to click on this link and complete online COI prior to routing PSF for final signatures.
**PSF – Approvals & Signatures**

Your signature provides approval for any and all commitments outlined in the proposal (i.e., cost share, space, equipment, purchases, F&A waiver) and for Sponsored Programs to submit. If more approvals/signatures are required, attach additional signature pages.

<table>
<thead>
<tr>
<th>Approvals &amp; Signatures</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Department Chair</strong></td>
<td></td>
</tr>
<tr>
<td>Department Chair Signature (ink or electronic)</td>
<td></td>
</tr>
<tr>
<td>Printed name (if not e-signing)</td>
<td>Date</td>
</tr>
<tr>
<td><strong>Center Director</strong> if applicable</td>
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<tr>
<td>Center Director Signature (ink or electronic)</td>
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<tr>
<td>Printed name (if not e-signing)</td>
<td>Date</td>
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<tr>
<td><strong>Dean</strong></td>
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<td>Printed name (if not e-signing)</td>
<td>Date</td>
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<tr>
<td><strong>Department/Staff Review</strong></td>
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<td>Department/Staff Review Signature (ink or electronic)</td>
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<tr>
<td>Printed name (if not e-signing)</td>
<td>Date</td>
</tr>
<tr>
<td><strong>Dean/VP for Research</strong></td>
<td></td>
</tr>
<tr>
<td>Dean/VP for Research Signature (ink or electronic)</td>
<td></td>
</tr>
<tr>
<td>Printed name (if not e-signing)</td>
<td>Date</td>
</tr>
</tbody>
</table>

If a Co-PI is listed on the first page, they also need to sign and their Dept Chair needs to sign.

Form is a fillable PDF and electronic signatures are preferred.
Resources for writing the proposal and budget
http://www.bu.edu/researchsupport/project-lifecycle/preparing-a-proposal/
http://www.bu.edu/researchsupport/project-lifecycle/preparing-a-proposal/writing-your-proposal/
http://www.bu.edu/researchsupport/project-lifecycle/preparing-a-proposal/developing-a-budget/
http://www.bu.edu/researchsupport/forms-policies/proposal-submission-policy/

Forms (PSF and PI Status)
http://www.bu.edu/researchsupport/files/2017/05/Proposal-Summary-Form-PSF.pdf
http://www.bu.edu/researchsupport/forms-policies/policy-on-principal-investigator-pi-status/

Cost Sharing and F&A Waivers
https://www.bu.edu/researchsupport/forms-policies/treatment-of-cost-sharing-for-sponsored-awards/
http://www.bu.edu/researchsupport/forms-policies/guidelines-on-facilities-and-administrative-fa-reductions-or-waivers/

Compliance links
http://www.bu.edu/researchsupport/compliance/
Key Takeaways

- Critical for information on PSF to be accurate first time, otherwise it can cause problems down the line
- Important that PSF and proposal documents are submitted to SP timely and in accordance with the proposal submission policy
BU Requirements: Proposal Development

REVIEW AND SUBMISSION

Danielle Van Vooren
Sponsored Programs is authorized to submit proposals on behalf of BU

SP reviews proposals to:
• confirm that the applicant meets all of the sponsor’s requirements
• ensure that the proposal complies with University policies and procedures for sponsored activity

Due 5 days before sponsors’ deadline
• Proposal package, including all administrative components

Due 3 days before deadline
• All technical components

For additional information please visit the Research Support site: http://www.bu.edu/researchsupport/project-lifecycle/proposal-review-and-submission/

In FY18, SP submitted 2,000+ proposals
What’s in the Proposal Package

**To SP 5 business days before sponsor deadline**
- A completed and signed BU Proposal Summary form
- Copy of the sponsor’s proposal guidelines
- Administrative info, biosketches, subaward docs, facility/equipment pages, project summary, and draft technical narrative
- Final budget and budget justification in correct format

**To SP 3 business days before sponsor deadline**
- Final Technical components:
  - Final Narrative, Abstract, Bibliography, Specific Aims, Milestones, etc.

AND if applicable, required 5 business days prior to the deadline:
- Consultants letters
- Cost share approval
- F&A Waiver
- Investigators with joint VA-BU MED campus appointment
- PI Status Request
- Subawards
What SP RA reviews for – Preliminary review

Usually done within 24 hours of first documents to SP

High level overview of the application package to ensure it is complete and ready for full SP review
• Verify all necessary proposal documents required by the sponsor per the solicitation guidelines are included and complete
• Verify the required BU documents including the PSF and any additional internal documents are included, complete, and signed

If the package is incomplete, the SP RA will email the DA and/or PI to request the missing items
Initiated when the full Reviewable Package has been received by SP

Review sponsor solicitation for overall proposal requirements, including but not limited to:

- Formatting standards
- Required proposal components
- Eligibility restrictions
- Sponsor deadlines
- Cost sharing requirements
The SP RA will match compliance information checked “yes” on the PSF against compliance attachments in the proposal to confirm expected documents are included.
• **Review Salaries** - Does the sponsor want person months or a percentage of effort? Does the salary cap (HHS) apply?
• Correct fringe being used per dates/fed or non-fed/position?
• **F&A rate** correct per dates/type of project, allowable? If F&A is limited we need that in writing from their website.
• Is it **TDC, MTDC** or a variant? Is there equipment, a sub over 25k, tuition or stipends?
• Confirm **cost share** is documented and approved (NO voluntary committed cost share for NSF)
• Does the **justification** match the budget?
• Costs are **allowable, reasonable, allocable**?
• If included, is M&IE reasonable given that the most expensive cities are $76/day?
• If included, is animal per diem correct?
• Office supplies and administrative personnel are usually considered F&A
**Review and Submission**

**What SP RA reviews for - Attachments**

**Biosketch / CV**
- Page limits, margins, all sections present and labeled correctly
- NIH: Only up to 5 contributions and up to 4 publications associated with each contribution, current awards and past awards under correct heading. Don’t list effort or money.
- Page numbers? Chronological/reverse chronological
- Use of hyperlinks (usually limited to citing relevant publications)

**Facilities**
- No dollar values, make sure all sites are included
- Purpose is to demonstrate that the project can work at the designated location

**Research**
- Page limit, font, margins, required sections
- Project title includes anything sponsor requires (NSF)
- Check EIN, DUNS, address, E.O., resubmission?

**References**
- Refer to sponsor guidelines. NSF wants all authors listed, so no “et al.”

**Animals or humans**
- Check assurance number, required attachments

**Preliminary high-level review**

**Sponsor Application Guidelines**

**Compliance**

**Budget**

**Required forms and components**

**Subawards**
What SP RA reviews for – Subawards

Minimally need from the subrecipient: LOI, SOW, budget, justification, also CVs of key personnel, maybe C&P, facilities, rate agreement helpful.

From ASSIST generate a budget and send to the subrecipient, upload what they give you. Make sure the cognizant officer is listed in the F&A section of the ASSIST budget.

Make sure the sponsor budget template amounts match the internal excel budget amounts, if applicable.

Make sure dates are correct.

If a sub has cost share, their institution approves, not BU
**Font:** Use recommended fonts and size. (NSF recommends Times New Roman, NIH does not.) Careful when converting to PDF (font sizes can change!)

**Margins:** Usually 1” or ½”. Make sure tables don’t break the margin.

**Headings:** Any specifications around headings

**Spacing:** Single or double, or single with double spacing between paragraphs.

**Page numbers.** NIH adds them, NSF needs each attachment numbered, others want the entire proposal paginated in order despite separate attachments. Is a specific location for the page number or any headers/footers required?
Resources and NIH sponsor guidelines

Table of page limits

Formatting
https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm#filenames

Application by type
https://grants.nih.gov/grants/how-to-apply-application-guide.html#inst

BU Research Support site
http://www.bu.edu/researchsupport/project-lifecycle/proposal-review-and-submission/
Keeping in mind the NIH requirements, we will now look at this example biosketch. Please mark the errors that you see.

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (if applicable)</th>
<th>Completion Date MM/YYYY</th>
<th>FIELD OF STUDY</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Athens (Greece) School of Medicine</td>
<td>MD</td>
<td>11/1970</td>
<td>Medicine</td>
</tr>
<tr>
<td>University of Texas, Austin</td>
<td>PhD</td>
<td>01/1978</td>
<td>Oncology</td>
</tr>
</tbody>
</table>
Proposal Submission

**Sponsor submission sites**

- ASSIST eRA Commons – NIH
- WORKSPACE grants.gov – most other federal agencies
- FastLane/Research.gov – NSF

[Sponsor System Registration](#) (information on how to gain access)
## Roles & Responsibilities

### PI Responsibilities
- Address any submission errors resulting from electronic systems
- If required/desired, view submitted applications within the sponsor system to confirm submitted proposal appears as intended
- Submit proposals through any systems, including hard copy submission, requiring direct entry by the Principal Investigator

### DA Responsibilities
- Assist the Principal Investigator in addressing any submission errors resulting from electronic systems
- Assist the Principal Investigator in any Principal Investigator-submitted applications, including data and information entry

### SP Responsibilities
- Recommend edits when proposal documents are incorrect or not compliant
- Submit proposals through sponsor-required electronic systems
- Verify successful submissions
- Follow-up with the investigator and DA when any submission errors occur
When SP RA submits proposal

1. DA informs SP RA that proposal is ready for submission
2. SP submits proposal through the federal website
3. Workspace and ASSIST generate a grants.gov tracking number
4. If NIH, SP RA checks Commons for errors
5. SP RA will verify that any proposal submitted electronically has been successfully received by the sponsor in time to meet the sponsor’s deadline

For resubmitting:
- **NIH**: Use grants.gov tracking number from previously submitted proposal and mark as correction
- **NSF**: Immediately goes to submitted tab, PI initiates file update if any changes required
When PI submits proposal

- SP RA confirms approval with PI and DA

**PI or DA submits in the sponsor website**
- PI or DA should provide submitted version of online application and attachments to RA for their file

**PI or DA submits via email to sponsor**
- RA should be cc’ed into email to sponsor with attached proposal
Less time to review = more risk
• Because it’s now a cursory review, might result in rejection, or agency might come back with questions prior to award
• If rejected based on not meeting standard requirements then agency won’t even see the science

SP RAs review is first in, first out
• If late, the RA may not be waiting for this one proposal and be ready to review right away. There may be many other proposals that need to be reviewed for the same deadline, etc.
Key Takeaways

- If not sure what to do regarding a proposal, always search the solicitation or sponsor specific general guidelines.

- BU policy specific information is on the Research Support website

- If still not sure, ask your SP RA
Just-in-Time (JIT)

Maria Costa
To view a sample JIT email request from eRA Commons:  
Who can submit JIT

All JIT documentation must be submitted via eRA Commons using the JIT module.

PIs can upload and save JIT information into eRA Commons.

Only Signing Officials/Authorized Organization Representatives may submit JIT to NIH.

Sponsored Program RA submits documentation.
When and why should I submit JIT

Timely submission of JIT enables NIH Staff to expedite your award

When to Send?

- After you receive an email from eRA Commons
  and / or
- After you receive a JIT email from the IC grants management specialist
What is required for JIT – Other Support

Other Support

**REQUIRED for all JIT Submissions**
- For all senior/key personnel
- Not required for those individuals who are considered “other significant contributors”

Includes all financial resources (federal, non-federal, commercial or institutional) available in direct support of an individual's research endeavors, including but not limited to:
- research grants, cooperative agreements, contracts, institutional awards.
- Training awards, prizes, or gifts do not need to be included.

All Other Support includes active and pending support in Person Months (PM)

Reviewed to ensure
- There is no scientific, budgetary, or commitment overlap
- You cannot have “zero/none” commitment on any active/pending support listed

Who | What | Why
For each project, list the following
- Project Number
- PI name
- Sponsor
- Project title
- Dates of Approved/Proposed Project
- Annual Direct Costs
- Effort in Person Months
- For each key personnel, summarize any Overlap, whether scientific, budgetary, or commitment (effort)

- Review Other Support pages for accurate actual effort (for active grants) and committed effort (for pending grants)
- Review other support to ensure that total active effort does not exceed 12 person months (100% effort)
<table>
<thead>
<tr>
<th>Certification of IRB Approval</th>
<th>Human Subjects Education Requirement</th>
<th>Human Embryonic Stem Cells (hESCs)</th>
<th>Genomic Data Sharing Institutional Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the proposed project involves human subjects research, the <strong>certification date of IRB review and approval</strong> must be submitted. Out-of-date approvals are not acceptable. Pending approvals will result in a restricted NOA if accepted and awarded by NIH.</td>
<td>If the proposed project involves human subjects research, <strong>certification</strong> that any person identified as senior/key personnel involved in human subjects research has <strong>completed an education program in the protection of human subjects</strong> must be submitted.</td>
<td>If the proposed project involves hESCs and the applicant did not identify a <strong>hESC line</strong> from the NIH Human Embryonic Stem Cell Registry in the application, the line(s) should be included in the Just-in-Time submission.</td>
<td>If the proposed project involves a Genomic Data Sharing plan. The <strong>certification form</strong> and directions for completing it are available on the GDS Data Sharing website: <a href="http://gds.nih.gov/Institutional_Certifications.html">http://gds.nih.gov/Institutional_Certifications.html</a>. This certification should be submitted as an “Other Upload” in the eRA Commons Just-in-Time module.</td>
</tr>
</tbody>
</table>
Institutional Animal Care and Use Committee (IACUC)

Verification of IACUC Approval
If the proposed project involves research with live vertebrate animals, verification of the date of IACUC approval of those sections of the application that involve use of vertebrate animals along with any IACUC-imposed changes must be submitted.

Out-of-date approvals are not acceptable.

Pending approvals will result in a restricted NOA if accepted and awarded by NIH.
Occasionally, NIH asks for a revised budget at JIT stage

- Most NIH institutes only request a revised budget if there is a substantial (25% or more) reduction of the budget from what was proposed.

- If a revised budget is requested, it should be uploaded into eRA commons as a separate JIT attachment.

- Please note, if budget changes are requested by the sponsor, a revised internal budget must be routed to SP for review and approval. Link to PHS 398: https://grants.nih.gov/grants/funding/phs398/phs398.html

- NIH may also ask that we submit our current federal F&A rate agreement with the JIT information. Link to rate agreement: http://www.bu.edu/researchsupport/?s=rate+agreement
JIT step-by-step submission in eRA Commons (PI)

The PI is responsible for the initiation of the JIT submission by uploading the documents in eRA Commons.

1. Log on to eRA commons at https://commons.era.nih.gov/commons/
2. Access the Just in Time screen through the JIT link on the Status result screen(s) Action column.
3. Select Status in the menu bar at the top of the page. In the PIs account, all of his/her applications will appear.
4. Select the JIT hyperlink on the right side of the screen corresponding to the application in which the information is being submitted.

**Upload the appropriate file types**
- Other Support File
- Budget Upload
- Other Upload
- Human Subject Education
- Genome Data Sharing Certification

**Enter IACUC approval date if applicable**

**Enter IRB information as appropriate:**
- IRB Date
- Assurance Number (Med Campus-000002457/ CRC-00000301)

**Enter Human Subjects Education date(s)**

*Note*: option to enter dates is only available when animals and/or humans are being used.

5. Press the SAVE button (Click “View Just In Time Report” to make sure everything looks as intended
6. **Submit**
   After saving the information, a confirmation message displays indicating that the information was saved and that a user with the required authority must still submit the information. Only an SO can submit JIT.
If the grant application has a consortium/subcontract, these requirements also apply to the subrecipient site. JIT information will be required from that performance site including compliance (IRB, IACUC, Biosafety, etc) approvals if applicable.

SP reviews information
- Ensures Other Support pages listing of current support dates are active (does not include expired grants)
- Reviews support pages for current grants to ensure effort does not exceed 12 calendar months
- If NIH request Budget, OSP reviews

Upon approval SP submits JIT electronically to NIH

An email is automatically generated from the Commons and sent to the PI and SP indicating receipt of the JIT
Other federal sponsors including the Department of Defense Grants Specialist responsible for negotiating the award will also occasionally require the submission of JIT documentation that will include some or all of the following:

- Other Support documentation (current and pending)
- IRB approval
- IACUC approval
- Cost documentation including but not limited the following
  - Documentation of salaries and fringe (payroll documentation)
  - Equipment quotes
  - Elaboration of travel and supply costs
  - Subcontractor cost documentation
  - Purchasing policies
  - Rate Agreement
As a consortium / subcontractor, the prime institution may reach out directly to the PI or Sponsored Programs to request JIT information.

- PI/Dept & SP work closely together to provide the requested information
- SP communicates with the prime institution
- SP submits the JIT documentation to the prime institution

⭐ Always follow sponsor guidelines
Resources

Uploading JIT Information as a PI
https://era.nih.gov/erahelp/commons/default.htm#cshid=1001

JIT Procedures
https://grants.nih.gov/grants/policy/nihgps/HTML5/section_2/2.5_completing_the_pre-award_process.htm#Just-in-

REQUEST FOR JUST-IN-TIME INFORMATION

Instructions on how to submit JIT
https://era.nih.gov/erahelp/commons/Commons/status/jit.htm
Account Setup

Michaela Gillis
Nicole Nocera
Meera Rangarajan
Notice of Award/Contract typically received by SP via email

SP compares award to proposal (Budget amount and details, project/budget period, scope of work)

Prior to accepting Award, SP ensure all terms and conditions are compatible with University policy

Business Official signs/approves award indicating acceptance

Award then routed to SP award setup team

Negotiate problematic terms if needed
- Intellectual Property rights
- Confidentiality clause
- Publication rights
Account Setup Process

The Award setup team processes the awards on a first in, first out basis.

Dept will get an email when their award enters the queue, along with NoA.

Receipt of email should trigger to the Dept to provide any final budgets or rebudgets before account setup.

SP uses info from PSF to set account up in Kuali, gets transmitted to SAP and feeds over night to BW.

Dept will receive Award Notice email with SAP account number to start spending on.

Dept should review the account on BW to check the budget is as expected.

Contact your SP RA if you have any questions about account.
When setting up an award in the system, some of the things we're looking at are
• project dates
• funding amounts
• terms and conditions of the award
• reporting requirements
• any outgoing subawards

ISSUES

Budget is the **#1 thing** that holds things up
• Dept didn’t send in rebudget or final budget
• Can’t set up account if budget changes more than 20% from proposal
Q: Why was my grant killed?

Information on the PSF is what is used by Account Setup team (so it should be accurate). Some things can’t be changed if set up incorrectly, these fields need to be correct, otherwise account needs to be “killed” and a new one created.

**SAP Kill Fields for Parent (GRANT) are:**
- Sponsor / Prime Sponsor
- Account type
- DHHS LOC
- Payment basis (billing rule)

**SAP Kill Fields for Child (IO) are:**
- Child Type
- Campus (Business Area)
- Activity Type (Functional Area)
- Lead Unit (Fund Center)

Find Business Warehouse training here: [https://www.bu.edu/tech/about/training/classroom/buworks/](https://www.bu.edu/tech/about/training/classroom/buworks/)
Q: Why does my award have a new Internal Order Number (IO), or multiple IOs?

Typically, if the sponsor allows automatic carryforward, BU will issue one IO for the life of the award.

You will typically get a new IO for each budget year in the following circumstances:

- Segregating funds for a continuation year when (a) an award is authorized year to year and (b) the sponsor requires an annual financial report or an annual invoice and (c) carryforward requires sponsor approval.
- Segregating funds for each core and/or project within a multi-project award.
- Segregating funds representing individual tasks under a master agreement.
- Segregating funds for fabricated equipment.
- Segregating funds for participant support costs.
- Segregating funds for management by individual Principal Investigators on an award with more than one named PI (for example, NIH Multiple PD/PI award).
- Segregating funds in a holding account for later distribution to an active child award.
- Segregating funds for a supplement when the supplemental funds can’t be co-mingled with existing funds.
Roles & Responsibilities

PI Responsibilities
• Review budget in Business Warehouse (BW), or with Department/School Administrator, to ensure accuracy
• Ensures compliance approvals (human and animal subjects) are in place (when applicable) before work starts

DA Responsibilities
• Review budget and award set up fields (Cost Center, Sponsor Award Number, etc.) in Business Warehouse to ensure accuracy
• Answers administrative questions as needed

SP Responsibilities
• Establishes account in the system of record and sends Award Notification (AN) to PI, DA, and related parties
Key Takeaways

- If the information is correct at the start, account can be set up quickly and without issues.

- Ensure the PSF is filled out correctly since that information is used in the system and information in specified “kill fields” must be correct.

- Avoid delays in account set up by checking that the budget amount on the Notice matches the budget that was supplied to SP (if they don’t match send SP an updated budget).
Ongoing Award Management: Subawards

Jenny Smacher
What is a Subaward?

A portion of the work completed under a sponsored research award can be subcontracted out to a third party (subrecipient).

As prime grantee, BU bears the ultimate responsibility for the conduct and completion of a project.

Usually used because resources or skills for completing specific tasks are not readily available at the University.
BU Subawards at a Glance

3 person subaward team in SP covering 103 CRC/MED departments

2018 STATS
• 61 sub actions received per month
• Avg turnaround of 31 days from Award Notification (AN) email to Executed Subaward
• Avg of 50 days from BU’s receipt of NoA to Executed Subaward

All sub actions triaged first-in, first-out (based on date of AN)
The first point of contact for subaward questions should be your usual pre-award SP RA, who will answer your question or direct you to the correct person.

For questions such as:

- Has this sub action been kicked off?
- Does this subrecipient need carryover approval?
- Can you use these updated budgets/documents in my pending sub agreement?

http://www.bu.edu/researchsupport/contact/departmental-contacts/
High-Level Subaward Process Overview

**BU proposal submitted that contains subaward proposal documentation**

**Award received by SP and set up in Kuali/SAP**

**Subaward action kicked off by Set-Up Team, routed to Sub RA**

**Sub RA actions**
- locates subaward proposal documents
- obtains PI concurrence for sub action
- performs subrecipient risk analysis (for new and some current subrecipients)
- obtains funds commitment from PAFO
- creates subaward/modification
- sends subaward/modification to subrecipient

**Subrecipient reviews, negotiates, signs and returns to Subaward team**

**Executed Subaward uploaded into Kuali, distributed to BU PI, DA**

**FFATA report submitted if required**

The amount budgeted at this stage for a sub in Kuali/SAP directly ties to the maximum amount we can obligate to a subrecipient without another account update.
Roles & Responsibilities

**PI Responsibilities**
- Confirms and approves issuance of outgoing subaward

**DA Responsibilities**
- Facilitates communication with PI and answers administrative questions as needed
- Works with PI to obtain updated subaward documents from subrecipient as needed
- Submits documents to SP for review and approval

**SP Responsibilities**
- Conducts risk assessment for subrecipients
- Drafts outgoing subaward agreement incorporating required flowdown of terms and conditions
- Obtains PI authorization and institutional approval
-Documents and shares executed subaward with PI, DA, and related parties
Let’s walk through an NIH R01 example

http://thefdp.org/default/subaward-forms/

Contents of a Subaward Agreement

FDP Cost Reimbursement Research Subaward Agreement

<table>
<thead>
<tr>
<th>Federal Awarding Agency:</th>
<th>Select from drop down options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pass-Through Entity (PTE):</td>
<td>Subrecipient:</td>
</tr>
<tr>
<td>PTE PI:</td>
<td>Sub PI:</td>
</tr>
<tr>
<td>PTE Federal Award No:</td>
<td>Subaward No:</td>
</tr>
<tr>
<td>Project Title:</td>
<td></td>
</tr>
</tbody>
</table>

Subaward Period of Performance (Budget Period):
Start: 2023-01-01 End: 2025-12-31

Amount Funded This Action (USD): $ 1,000,000

Estimated Project Period of Government-Funded: Incrementally Estimated Total (USD): $ 2,000,000
Start: 2023-01-01 End: 2025-12-31

Terms and Conditions

1. PTE hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.

2. Subrecipient shall submit invoices not more often than monthly and not less frequently than quarterly for allowable costs incurred. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305. All invoices shall be submitted using Subrecipient’s standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing). Subaward number, and certification, as required in 2 CFR 200.415 (a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party’s Financial Contact, shown in Attachment 3A.

3. A final statement of cumulative costs incurred, including cost sharing, marked “FINAL” must be submitted to PTE’s Financial Contact, as shown in Attachment 3A, not later than 60 days after the Project Period end date. The final statement of costs shall constitute Subrecipient’s final financial report.

4. All payments shall be considered provisional and are subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.

5. Matters concerning the technical performance of this Subaward shall be directed to the appropriate party’s Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.
FAQs from DAs

What does the Sub Team need for every subaward?

- **Statement of Work**
  - It’s up to the PI to determine (and get word to us) if there ever needs to be a change in scope

- **Letter of Intent**

- **Budget**
  - will need an updated budget if the actual awarded amounts differs more than 25% from the proposal budget, even if the reduction only appears come Yr 02 or 03 or 07

- **Budget Justification**

- **3B Contact Form**
  - the Sub RA will obtain this at time of award if it isn’t part of Sub Proposal package
FAQs from DAs

Why does it take an average of 50 days after the NOA is received for a subaward to be issued?

- Sub actions don’t enter the queue until the BU account is set up
- Sub RA has to obtain documents and attestations from the subrecipient – often requiring a great deal of follow-up
- Subs under uncommon or non-fed prime sponsors require custom agreements
- Last minute edit requests are often more laborious than they sound and may require account updates or greatly altered agreement language
FAQs from DAs

How do I get my subaward processed faster?

• Be on the lookout for a confirmation email from a Sub RA and respond right away
  • We send one for every action

• If you’ve been working with a contact not listed in the sub proposal, send those contact details to your SP RA

• Forward any updated sub budgets/documents to your SP RA as soon as you get them
FAQs from DAs

How can I help foreign/small entity subrecipients avoid hold ups?

• If under a federal sponsor, ask sub to register at SAM.gov ASAP

• Make sure SP has the appropriate sub administrative contact person

• Take extra care in reviewing sub SOWs and budgets

• If sub cannot work on a cost-reimbursement basis and will need advance payments, ask your SP RA how to kick off that process ASAP
FAQs from DAs

Why does this subaward get a new FRN every year?

One IO for all years of the award; one subaward; one FRN

IO = Internal Order, also called SP (Sponsored Program #)
FRN = Fund Reservation Number, also called subaward #
Common Challenges for the Sub Team

- Obtaining proposal documents from the subrecipient
- Obtaining updated budgets throughout the life of the award when there are changes
- Hugely different processes at similar institutions
- Confusion about the “nicknames” for awards/subawards – we reference every award primarily by SAP grant number* since we have large portfolios (*Grant #s start with a 5)
• Reach out to your SP RA with any sub questions

• Don’t worry – if your set-up budget contained sub funds, the action has been kicked off

• Sub actions go on hold until the sub team has all proper proposal/budget documentation, so send those documents to your SP RA ASAP if they weren’t part of the original proposal

• We need a corresponding budget for every sub action that includes not-originally-proposed funding, even if it’s just a $100 supplement.

• Expect your sub to be executed about 30 business days after you get an AN
Ongoing Award Management: IPAR, Progress reports

Melissa Klumpar
What is the IPAR Form?

Used to internally request:
- Pre-Award spending
- Advance Account set-up
- No Cost Extension (NCE)
- Rebudget

Link to form:
Institutional Prior Approval Request Form
Completing the IPAR

### Reason for using form

<table>
<thead>
<tr>
<th>Reason for using form</th>
<th>Applicable?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Award Account</td>
<td>sometimes</td>
</tr>
<tr>
<td>Advance Account</td>
<td>sometimes</td>
</tr>
<tr>
<td>No Cost Extension (1st, 2nd, or 3rd)</td>
<td>yes</td>
</tr>
<tr>
<td>Rebudget</td>
<td>yes</td>
</tr>
</tbody>
</table>

**Table:**

- **Pre-Award Account:**
  - SAP Grant #: sometimes
  - SAP IO #: sometimes
- **Advance Account:**
  - SAP Grant #: sometimes
  - SAP IO #: no
- **No Cost Extension (1st, 2nd, or 3rd):**
  - SAP Grant #: yes
  - SAP IO #: no
- **Rebudget:**
  - SAP Grant #: yes
  - SAP IO #: yes
To incur expenses on a grant prior to the start date of the award; These are not common

• **Not allowed by all sponsors** -- less common for foundation awards, though many federal sponsors (e.g., NIH and NSF) allow pre-award spending up to 90 days before the award start date (exceptions for certain funding types – e.g., fellowships and training grants); check the solicitation and/or your award documents to find out

• **Not allowed for contracts** (e.g., awards where the start date is tied to a signature date)

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**Pre-award costs**

- must be needed to conduct the project
- must be normally allowable under the grant without sponsor prior approval
- are made at Department’s financial risk; if sponsor does not accept the charges, Department will have to cover them
**IPAR – Advance Account Setup**

To set-up an account (IO#) when there is a delay in the issuance or execution of an award and expenses need to be charged; Aligns with start date of award

- Allows Departments to record and track expenditures and minimizes the need for cost transfers from other accounts
- If reason for delay in award is due to sponsor, written indication that an award is forthcoming/intended is needed
- This is an internal action and does not require sponsor approval/authorization
- **Not allowed for** contracts (e.g., awards where the start date is tied to a signature date)

**Advance account setups**
- do not require a detailed budget; indicate any exclusions to IDC in comments (e.g., subawards, equipment)
- outgoing subawards cannot be issued under an advance account
- are made at Department’s financial risk; if award does not materialize or get fully-executed, Department will have to cover any charges
Completing IPAR for Pre-Award or Advance Accounts

**Start Date**: date you would like the pre-award spending to first be allowed or the anticipated start date of the award (Advance account)

**End Date**: can be limited, but often requested to match the anticipated end date of the current period of the award

**Anticipated Date of Award**: date it is expected the NOA/agreement will be received by BU (N/A for Pre-award)

**Discretionary Source #**: the departmental account number to be charged if the pre-award expenses are not accepted by the sponsor or if an award is not executed

**Signatures**: All (PI, Chair, and Dean or Designee) are required.
IPAR – No Cost Extension (NCE)

A request to extend the end date of a project (by up to 12 months) without additional funds

- Allowed when
  - The end of the project period is near
  - There is a Programmatic/scientific need to continue that does not result in a change of project scope -- Simply because there are unobligated funds remaining is **not** an acceptable cause
  - The balance anticipated on the award at the current end date will be sufficient to cover the work to be done

- Check the award documents to find out if NCE is allowed by the sponsor and for information on the process and deadline/timeline for requesting it
  - Generally SP recommends processing NCEs at least 30-45 days prior to the scheduled end date, but not less than 10 days prior to the end date
  - For some funders, an official NCE request must come from SP
NCE and Sponsor Requirements

NIH and NSF

The 1st NCE must be officially entered by SP in the sponsor portal

- Send completed IPAR to your RA with justification filled in to the Comments section. NOTE that the explanation should be appropriate for submission to the sponsor, as it may be copy-and-pasted into the sponsor portal.

For other funders, or to request a 2nd or 3rd NCE

Attach a separate document clearly justifying the need for extension, the estimated balance available, and the plan for how remaining funds will be used in the NCE period

- Non-federal sponsors vary dramatically in their policies and procedures for extensions; be sure to review the award documents to understand what is allowed.

Funders who do not require SP involvement

The PI may be able to submit the extension request directly to the sponsor. SP will still need documentation of the request (whatever was submitted to the sponsor), as well as any approval/confirimation (or denial) of the request from the sponsor.

Helpful Resources

http://www.bu.edu/researchsupport/training-how-to/carryover-and-no-cost-extension-guidance/
IPAR – Rebudget

To transfer funds from one budget category to another without changing the total award amount

- Check your award documents to see if grantee rebudgeting is allowed
  - Some may limit rebudgeting within categories up to certain limit (% or dollar)
  - Some may allow rebudgeting within categories as long as other categories are not increased
  - Many may require sponsor prior approval for rebudgets outside of the stated limits

If grantee rebudgeting is allowed, an IPAR may still be needed (e.g., changes to F&A bearing categories or adding a new or making changes to an existing subaward). Check in with your SP RA.

However, even if rebudgeting is generally allowed, sponsor prior approval is frequently required for:
- Changes in scope or objective
- Equipment purchases not included in the approved budget
- Adding a subaward (for NIH, only if subrecipient is foreign)
- Transferring participant support costs to other expense categories

If sponsor does not allow grantee rebudgeting, will likely need to submit a revised budget and explanation for why is rebudget is necessary for sponsor approval.

If required, this information plus a completed and signed IPAR needs to be submitted to SP for review.
Completing the IPAR for Rebudgets

When moving funds to/from salary line, must also move the commensurate amount of fringe benefits (e.g., if reducing the salary line by $1,000, will also need to reduce the fringe line by $247 – if at 24.7% fringe rate).

Don’t forget to include changes in IDC, if relevant.

Line item detail should include positive and negative numbers and the sum of these changes should equal zero (net budget change of 0) – the categories you are moving funds to should be positive (+) and those you are taking funds from should be negative (-). Attach an Excel spreadsheet as necessary for multiple line items or more complex rebudgets.

Signatures: All (PI, Chair, and Dean or Designee) are required.

Include explanation as to why the rebudget is necessary.
IPAR Routing Process

Completed form and any supporting documentation sent to RA for review.

RA works with Department to submit requests, as needed, to the sponsor

Once the action has been completed or sponsor approval has been received, RA forwards the IPAR information to Award Set-up for processing.

IPAR is processed by the Award Analyst and an AN is sent to PI, DA, SP RA etc. confirming the action

**Note** that all IPAR actions are entered in the usual award set-up queue, so requesting an advance account is not a method of expediting an account setup.
Other Sponsor Prior Approvals

Some other instances when sponsor prior approval may be necessary, but that aren’t covered by the IPAR:

- Change in scope of project
- Change in PI or extended absence/significant reduction of effort
- Non-automatic carryforward request
- Adding a new subaward
- Adding a foreign component

Contact your SP RA for assistance/guidance with any of these matters.

Helpful Resource: Research Terms & Conditions Prior Approval Matrix --
https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf -- but always check the specific award terms!!
• Part of grantee’s obligation to the sponsor
• Some sponsors send reminders about upcoming report deadlines, others do not. It is the PI’s/DA’s responsibility to track these deadlines and compile the reports
• Some Progress Reports require SP’s involvement (for signature or to submit), others are submitted directly by the PI
  o Any financial (expenditure) components to the progress report should be vetted through PAFO prior to submission
  o If there is a significant change to the budget (not matching the proposal), make sure to loop in SP prior to submission

Always refer to the award documents to find out sponsor requirements:
• How often are the reports required?
• Is there a special format or form required?
• How is it submitted?
Key Takeaways

• **Pre-Award** spending allows expenses to be charged to a grant account *prior to* the official start date of the award; account start date is before the official award start date.

• **Advance Accounts** are used to request the creation of an IO# when an award is anticipated but receipt or acceptance is delayed; account start date aligns with official award start date.

• **Rebudget** is used to transfer budgeted funds from one line item to another; net change needs to be 0 and any applicable impact on IDC must be factored in.

• **No Cost Extension** may only be requested for scientific/programmatic reasons when there is a balance remaining on the award, and not simply to spend down an account.

• It is important to review and understand the requirements of each award; refer to the NOA often for guidance.