Introduction to Sponsored Research at Boston University

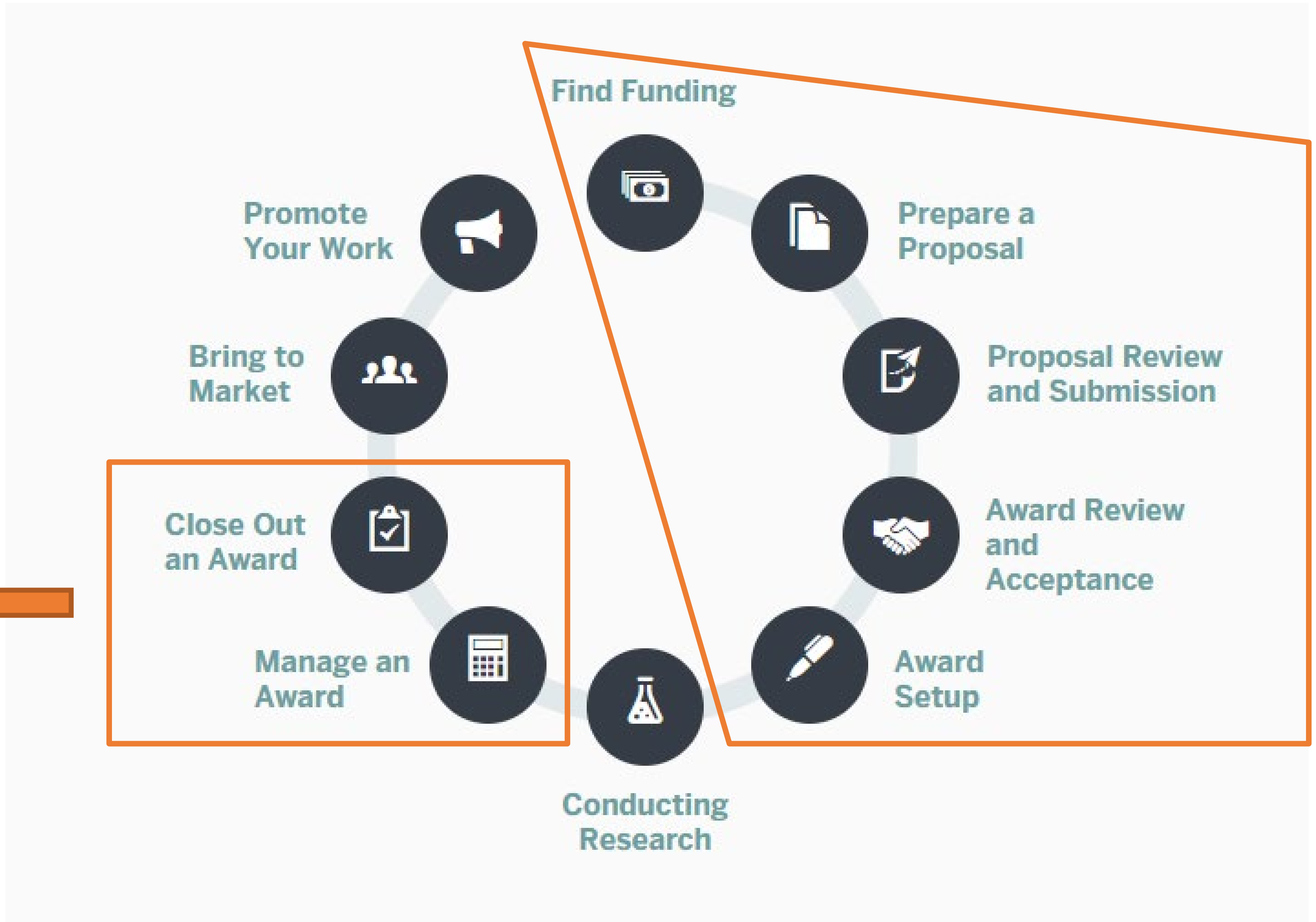
PRE AWARD, DAY 1

November 27, 2018

Agenda

- 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

Grant Flow and Roles



Sponsored Programs

Post Award Financial Operations

Project Lifecycle Roles & Responsibilities

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:
http://www.bu.edu/researchsupport/files/2018/10/RR-Matrix_Award-lifecycle-10.16.18.pdf

Boston University Roles Responsibilities 10/16/2018

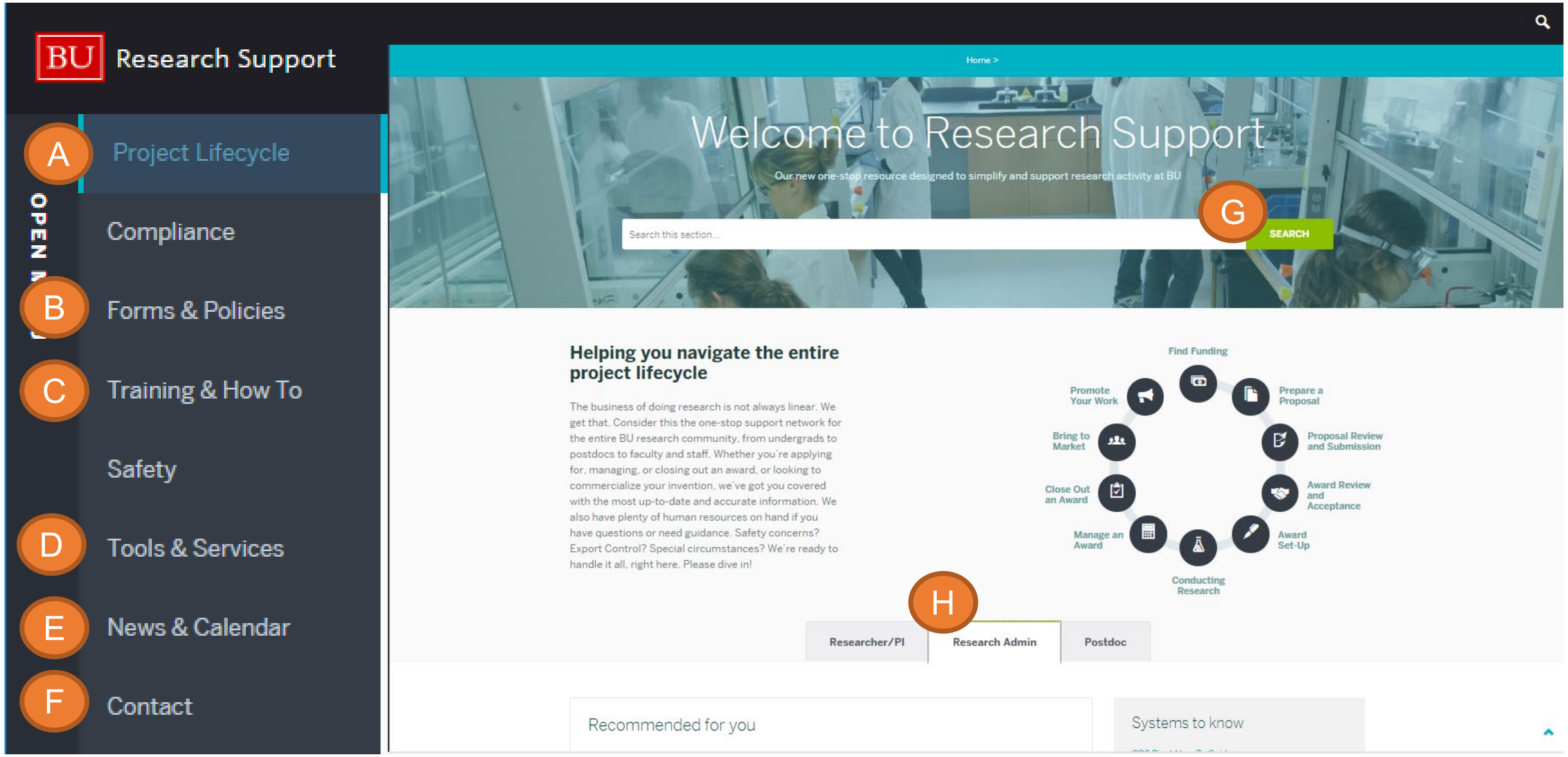
Sponsored Research Project Lifecycle: Roles & Responsibilities

	Principal Investigator (PI)	Department/School Administrator	Sponsored Programs (SP)	Post Award Financial Operations (PAFO)
FINDING FUNDING				
Solicitation	- Review solicitation and understand sponsor technical and administrative requirements - Provide sponsor, solicitation guidelines, and link to or copy of guidelines/instructions to Department/School Administrator - Provide sponsor, solicitation guidelines, and link to or copy of guidelines/instructions Office of Sponsored Programs *at least 7 business days prior to the sponsor's application deadline*	- Review solicitation and understand sponsor administrative requirements, identify any a typical requirements and alert the PI and SP	- Review solicitation and understand sponsor administrative requirements - Identify any atypical requirements and alert Department/School Administrator/Principal Investigator *(submission timeline dependent)*	
PREPARE A PROPOSAL				
Entire Application	- Full responsibility for the accuracy and completeness of entire application - Ensure final versions of all administrative components are ready submit to Office of Sponsored Programs *within 5 business days of the sponsor application deadline* - Ensure final versions of all technical components are ready submit to Office of Sponsored Programs *within 3 business days of the sponsor application deadline*	- Assemble all pieces of application, including assistance with data entry and completing BU and sponsor forms - Ensure there are no errors that would prevent submission - Review to ensure that institutional and sponsor guidelines are met and all internal approvals are obtained (such as cost-share, F&A waiver, PI status) - Submit final versions of all administrative components to Office of Sponsored Programs *within 5 business days of the sponsor application deadline* - Submit final versions of all technical components to Office of Sponsored Programs *within 3 business days of the sponsor application deadline*	- Verify all institutional guidelines are met and necessary approvals are in place - Verify no errors that would prevent submission - Ensure all sponsor requirements are met *(submission timeline dependent)*	
Scientific Content / Presentation	- Full responsibility for entire application - Produce all documents (including conversion to Adobe PDF for research strategy and other sensitive scientific documents) - Review of documents prior to submission to Office of Sponsored Programs	- Review formatting and page limits on all documents for sponsor required standards - Ensure there are no errors that would prevent submission	- Review application for any formatting or other issues that would prevent submission - Verify all institutional commitments are appropriately identified and approved *(submission timeline dependent)* - Ensure all non-technical/programmatic sponsor guidelines are met *(submission timeline dependent)*	
Administrative Content	- Provide any requested information - As applicable, create some administrative documents (Facilities, Equipment, Biosketch, Multi-Principal Investigator Plan, Data Sharing Plan, Budget Justification) - Review of documents prior to submission to Office of Sponsored Programs	- Fill in any sponsor forms or documents with requested administrative information - Review all administrative information for adherence to institutional and sponsor guidelines - Ensure there are no errors that would prevent submission	- Review administrative information for adherence to institutional policy - Review administrative information for any issues that would prevent submission - Ensure all sponsor guidelines are met *(submission timeline dependent)*	

Research Support Website

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

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



How to Review an RFA for Administrators

Renna Lilly

What is an RFA

RFA = PA = PAR = RFP = Sponsor Guidelines

RFA, Request for Application

PA, Program Announcement

PAR, Program Announcement (with special **r**eceipt, **r**eferral and/or **r**eview 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

Sponsor Guidelines

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

Deadline

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

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

https://grants.nih.gov/grants/guide/pa-files/PA-18-489.html

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.

Federal Example: NIH R21 PA-18-489

Eligibility: Institution

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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)

Federal Example: NIH R21 PA-18-489

Eligibility: Limited Submission

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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).

Federal Example: NIH R21 PA-18-489

Deadline

Page 2 and 3 of PA-18-489

Key Dates

Posted Date	December 6, 2017
Open Date (Earliest Submission Date)	January 16, 2018
Letter of Intent Due Date(s)	Not Applicable
Application Due Date(s)	Standard dates apply by 5:00 PM local time of applicant organization. All types of non-AIDS applications allowed for this funding opportunity announcement are due on these dates. The first standard application due date for this FOA is February 16, 2018. Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.
AIDS Application Due Date(s)	Standard AIDS dates apply by 5:00 PM local time of applicant organization. All types of AIDS and AIDS-related applications allowed for this funding opportunity announcement are due on these dates. The first AIDS application due date for this FOA is May 7, 2018. Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.
Scientific Merit Review	Standard dates apply
Advisory Council Review	Standard dates apply
Earliest Start Date	Standard dates apply or Month(s) Year(s)
Expiration Date	January 8, 2021

Activity Codes	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3 *new*	Other Research Grants and Cooperative Agreements	February 16	June 16	October 16
R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3 *renewal, resubmission, revision*	Other Research Grants and Cooperative Agreements	March 16	July 16	November 16

https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm

Federal Example: NIH R21 PA-18-489

Budget and F&A limits

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Section II. Award Information

Funding Instrument	Grant: A support mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.
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.

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

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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

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.

Federal Example: NIH R21 PA-18-489

Formatting

Page 8 and 9 of PA-18-489

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

Page 2 and 3

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.)

Non Federal Example: AHA Established Investigator Award

Eligibility: PI

Page 2 and 3

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.

Non Federal Example: AHA Established Investigator Award

Eligibility: Institution Page 4

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.

Non Federal Example: AHA Established Investigator Award

Eligibility: Limited Submission Page 5

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. .

Non Federal Example: AHA Established Investigator Award

Deadline

Page 1

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

Non Federal Example: AHA Established Investigator Award

Budget limits

Page 4 and 5

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

Non Federal Example: AHA Established Investigator Award

Submission Method Page 1

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.

Non Federal Example: AHA Established Investigator Award

Formatting LOI

Page 1, Link to LOI instructions

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

Established Investigator Award

Applicant

- Abbreviated Proposal (10 pages)
- Biographical Sketch/Bibliography (5 pages)
- Budget Justification Form - Word template (2 pages) (DOC)
- Literature Cited (no page limit)
- Research Project Environment Form - Word template (2 pages)
- Vertebrate Animal Subjects (no page limit)

Third Party Personnel

- **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)**

Non Federal Example: AHA Established Investigator Award

Formatting full proposal

Page 1, Link to detailed application instructions

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.

Activity

On your own locate the following for the Charles Hood Foundation
https://hria.org/wp-content/uploads/2016/02/FINAL-Application-Guidelines-January-2019.pdf

- 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

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.

→

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

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

→

Proposal package sent to RA for review

5 days prior to deadline

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)

SPONSORED PROGRAMS

Proposal Summary Form

Project Title

PRINCIPAL INVESTIGATOR | PROJECT DIRECTOR

Last Name | First Name | Email | UID

Cost Center Name | Cost Center Number | School | Department

Proposal Contact Name | Proposal Contact Phone Number | Proposal Contact Email | YES NO PI Status Approval Required?

If yes include PI Status Approval form.

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

Role	Last Name	First Name	School/Dept.	UID

Please attach another page if you need more space.

FACULTY MENTOR

Mentor Last Name | Mentor First Name | Email | Department / Division

APPLICATION INFORMATION

Select Application Type | Select Activity Type | Deadline (If BU is subrecipient, deadline is direct sponsor, not prime) | Select Submission Method

Sponsor (who is funding BU?) | Select Sponsor Type | Solicitation Number | Internal SAP Grant Number (if applicable) | Prime Sponsor (who is awarding funds to sponsor?)

PROPOSED PROJECT PERIOD & BUDGET

	First Year		Entire Project	
Effective Project Dates (mm/dd/yyyy)	Start Date	End Date	Start Date	End Date
Funds Requested	Direct Costs, Y1	F&A Costs, Y1	Total Direct Costs	Total F&A Costs
Totals (automatically calculates)	$ 0.00 Total Costs, Y1		$ 0.00 Total Costs	F&A Rate(s) %

COST SHARE

YES NO Is there cost share? *If yes, include CS Excel sheet dtd.*

YES NO Is an institutional letter of support required?

Cost Share Funding Source # | Cost Share Funding Source #

Cost Share (Entire Project): Total Direct Costs | Total F&A Costs | $ 0.00 Total Costs

YES NO Is there an F&A Waiver? If yes, include reason for waiver and $ difference in the comments box (page 3).

BOSTON UNIVERSITY | Boston University Research | PROPOSAL SUMMARY FORM Updated March 20, 2017 | 1/3

SPACE & RESEARCH LOCATION

Where will the preponderance (51% or more) of BU personnel budgeted effort take place? Research Location: ◯ On campus ◯ Off Campus

YES NO Does this project require new space?

YES NO Does this project require renovations to existing research space?

ON Campus: Building, Room, and Address

OFF Campus: Address

COMPLIANCE & SPECIAL REVIEWS

YES	NO		Approval Date If not pending	Protocol # If not pending
◯	◯	IRB		
◯	◯	IACUC		
◯	◯	IBC (biohazards, rDNA, select agents)		
◯	◯	Radioisotopes		
◯	◯	Laser		
◯	◯	Human embryonic stem cells		
◯	◯	SCUBA/Snorkeling/Boats		

OTHER

YES NO

- Clinical trial?
- Use of BMC Clinical infrastructure?
- Subrecipient(s) or contracted service(s) included in project budget?*
- Outgoing Subawards? If yes, proposed subrecipient(s):

*The Uniform Guidance (2 CFR §200.330) requires a case-by-case determination whether an agreement made involving federal funds casts the party receiving the funds in the role of a subrecipient or a contractor.

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/.

EXPORT CONTROL

Does the sponsor's funding announcement/solicitation indicate that any of the following restrictions or limitations be applied to the eventual award? **Check all that apply:**

- ☐ Not Applicable
- ☐ Prior approval for dissemination/publications
- ☐ Restrictions on access or participation by foreign nationals
- ☐ Export control restrictions [International Traffic Arms Regulations (ITAR), Export Administration Regulations (EAR), Nuclear Regulations]

INTERNATIONAL ACTIVITY

YES NO

- International activity? (excluding travel to conferences) If no, proceed to the next section.
- Is this activity primarily collaboration with colleagues?
- Will you be hiring temporary or permanent staff internationally?
- Will these staff be BU employees?
- Will these staff be third party contractors?
- Will you be renting or leasing office or research space?
- Will you be incurring in-country operational expenses?
- Will you be opening and operating an in-country bank account?
- Will you be conducting human subject research internationally?

Percent of the overall effort that will be performed in another country | Country or countries involved

BOSTON UNIVERSITY | Boston University Research | PROPOSAL SUMMARY FORM Updated March 20, 2017 | 2/3

BUMC REPORTING ONLY

List department(s) or center(s) whose space is being used for research

Center affiliation(s) to be credited for this project (if applicable)

Funds Center Name / Number | Space Allocation (%) | Funds Center Name / Number | Space Allocation (%)

ADDITIONAL COMMENTS (OPTIONAL)

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/.

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

PI/PD — PI/PD Signature (ink or electronic) | Printed name (if not e-signing) | Date

PI/PD — PI/PD Signature (ink or electronic) | Printed name (if not e-signing) | Date

APPROVALS & SIGNATURES

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

Department Chair — Department Chair Signature (ink or electronic) | Printed name (if not e-signing) | Date

Department Chair — Department Chair Signature (ink or electronic) | Printed name (if not e-signing) | Date

Center Director if applicable — Center Director Signature (ink or electronic) | Printed name (if not e-signing) | Date

Department/Staff Review — Department/Staff Review Signature (ink or electronic) | Printed name (if not e-signing) | Date

Dean — Dean Signature (ink or electronic) | Printed name (if not e-signing) | Date

Dean/VP for Research — Dean/VP for Research Signature (ink or electronic) | Printed name (if not e-signing) | Date

BOSTON UNIVERSITY | Boston University Research | PROPOSAL SUMMARY FORM Updated March 20, 2017 | 3/3

PSF – PI Status

PRINCIPAL INVESTIGATOR | PROJECT DIRECTOR

Last Name	First Name	Email	UID
Cost Center Name	Cost Center Number	School	Department
Proposal Contact Name	Proposal Contact Phone Number	Proposal Contact Email	YES NO PI Status Approval Required?

If yes include PI Status Approval form.

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

Role	Last Name	First Name	School/Dept.	UID

Please attach another page if you need more space.

FACULTY MENTOR

Mentor Last Name	Mentor First Name	Email	Department / Division

http://www.bu.edu/researchsupport/files/2017/09/PI-Status-Request-Form.pdf

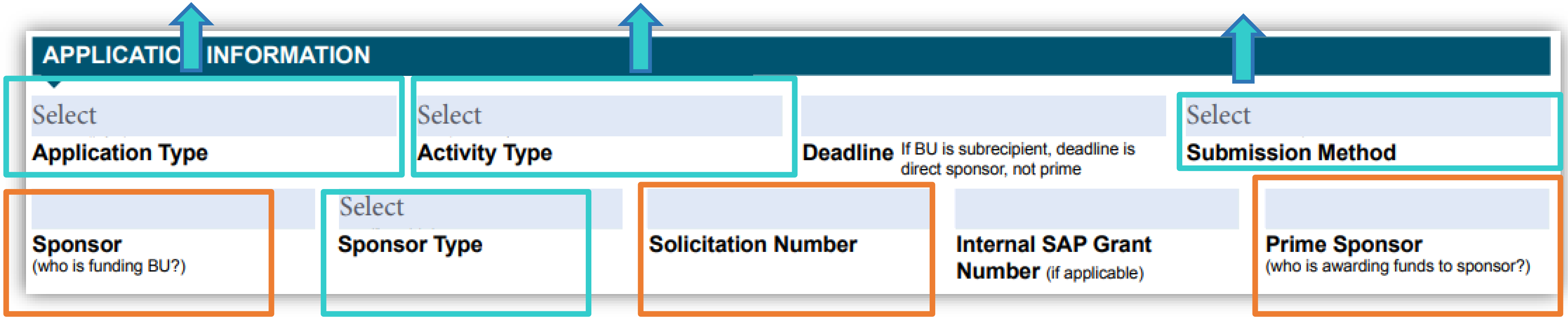
Prepare a Proposal

PSF – Application Information

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

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

PI, Sponsored Programs



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

PSF – Project Period & Budget

PROPOSED PROJECT PERIOD & BUDGET

	First Year		Entire Project	
Effective Project Dates (mm/dd/yyyy)	Start Date	End Date	Start Date	End Date
Funds Requested	Direct Costs, Y1	F&A Costs, Y1	Total Direct Costs	Total F&A Costs
Totals automatically calculates	$ 0.00 Total Costs, Y1		$ 0.00 Total Costs	F&A Rate(s) %

*If the entire project is one year then the fields on both sides are the same

PSF – Cost Share

COST SHARE

YES	NO	
○	○	Is there cost share? *If yes, include CS Excel sheet dtd.*
○	○	Is an institutional letter of support required?

Cost Share Funding Source #

Cost Share Funding Source #

Cost Share (Entire Project)

Total Direct Costs	Total F&A Costs

$ 0.00
Total Costs

Check RFA to see what is required for cost sharing

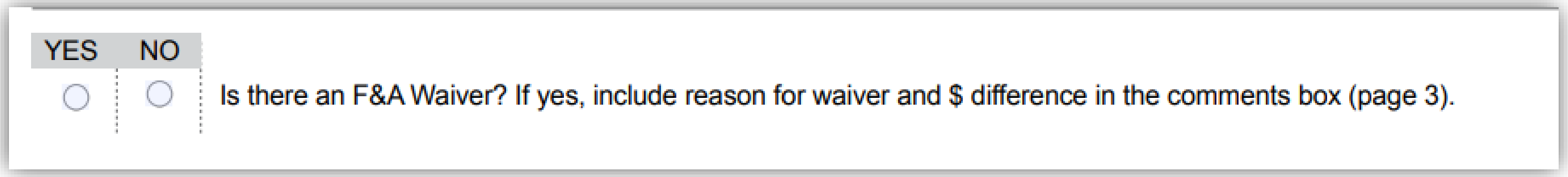
Resources on the website:
https://www.bu.edu/researchsupport/forms-policies/treatment-of-cost-sharing-for-sponsored-awards/

Type of Cost Share	Sponsor Type	Who is Funding the Cost Share	Required Approval(s)
Mandatory	Federal/Non-Federal	• Dept. Chair/Center • Director • School Dean • VP Research	Cost Share Funder(s) **and** If CRC: VP Research If **BUMC** ?: School Dean
Voluntary Committed	Federal	• Dept. Chair/Center • Director • School Dean • VP Research	Cost Share Funder(s) and If CRC: VP Research If BUMC: School Dean
Voluntary Committed	Non-Federal	• Dept. Chair/Center • Director • School Dean	Cost Share Funder(s)
Voluntary Uncommitted	Federal	• Dept. Chair/Center • Director • School Dean • VP Research	Cost Share Funder(s) **and** If CRC: VP Research If BUMC: School Dean

PSF – F&A Waiver

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.


YES NO
Is there an F&A Waiver? If yes, include reason for waiver and $ difference in the comments box (page 3).

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.

PSF – Space & Research Location

SPACE & RESEARCH LOCATION

Where will the preponderance (51% or more) of BU personnel budgeted effort take place? **Research Location:** ◯ **On campus** ◯ **Off Campus**

YES	NO	
◯	◯	Does this project require new space?
◯	◯	Does this project require renovations to existing research space?

ON Campus: Building, Room, and Address

OFF Campus: Address

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

PSF - Compliance

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

COMPLIANCE & SPECIAL REVIEWS

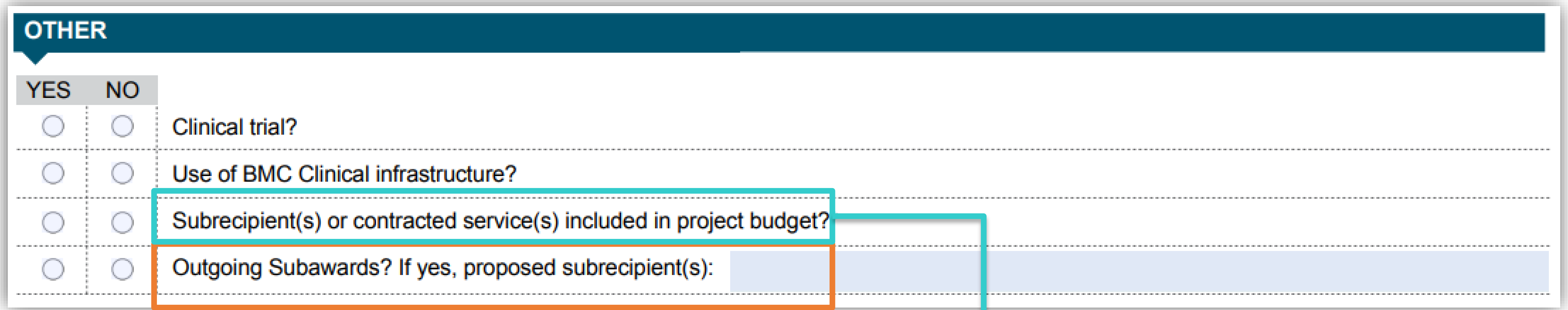
YES	NO		Approval Date If not pending	Protocol # If not pending
○	○	IRB		
○	○	IACUC		
○	○	IBC (biohazards, rDNA, select agents)		

YES	NO		Approval Date If not pending	Protocol # If not pending
○	○	Radioisotopes		
○	○	Laser		
○	○	Human embryonic stem cells		
○	○	SCUBA/Snorkeling/ Boats		

Institutional Review Board (IRB)	Human subjects
Institutional Animal Care and Use Committee (IACUC)	Animal Subjects
Institutional Biosafety Committee (IBC)	Biosafety

Radioisotopes	Radiation Safety
Laser	Radiation safety
Stem cells	Use of Human Embryonic Stem Cells
SCUBA	Scientific diving and small boat safety

PSF - Other


OTHER

YES	NO	
◯	◯	Clinical trial?
◯	◯	Use of BMC Clinical infrastructure?
◯	◯	Subrecipient(s) or contracted service(s) included in project budget?
◯	◯	Outgoing Subawards? If yes, proposed subrecipient(s):

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

Such as a consultant or outside vendor

PSF – Export Control

EXPORT CONTROL

Does the sponsor's funding announcement/solicitation indicate that any of the following restrictions or limitations be applied to the eventual award?

Check all that apply:

- ☐ Not Applicable
- ☐ Restrictions on access or participation by foreign nationals
- ☐ Prior approval for dissemination/publications
- ☐ Export control restrictions [International Traffic Arms Regulations (ITAR), Export Administration Regulations (EAR), Nuclear Regulations]

PSF – International Activity

INTERNATIONAL ACTIVITY

YES	NO	
○	○	International activity? (excluding travel to conferences) If no, proceed to the next section.
○	○	Is this activity primarily collaboration with colleagues?
○	○	Will you be hiring temporary or permanent staff internationally?
○	○	Will these staff be BU employees?
○	○	Will these staff be third party contractors?
○	○	Will you be renting or leasing office or research space?
○	○	Will you be incurring in-country operational expenses?
○	○	Will you be opening and operating an in-country bank account?
○	○	Will you be conducting human subject research internationally?

Percent of the overall effort that will be performed in another country

Country or countries involved

PSF – Financial Interest Disclosure

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

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.

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PI/PD	PI/PD
PI/PD Signature (ink or electronic)	**PI/PD Signature** (ink or electronic)
Printed name (if not e-signing) — **Date**	**Printed name** (if not e-signing) — **Date**

PSF – Approvals & Signatures

APPROVALS & SIGNATURES

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Department Chair **Department Chair Signature** (ink or electronic) **Printed name** (if not e-signing) **Date**	Department Chair **Department Chair Signature** (ink or electronic) **Printed name** (if not e-signing) **Date**
Center Director if applicable **Center Director Signature** (ink or electronic) **Printed name** (if not e-signing) **Date**	Department/ Staff Review **Department/Staff Review Signature** (ink or electronic) **Printed name** (if not e-signing) **Date**
Dean **Dean Signature** (ink or electronic) **Printed name** (if not e-signing) **Date**	Dean/VP for Research **Dean/VP for Research Signature** (ink or electronic) **Printed name** (if not e-signing) **Date**

If a Co-PI is listed on 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

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

BU Proposal Review and Submission Process

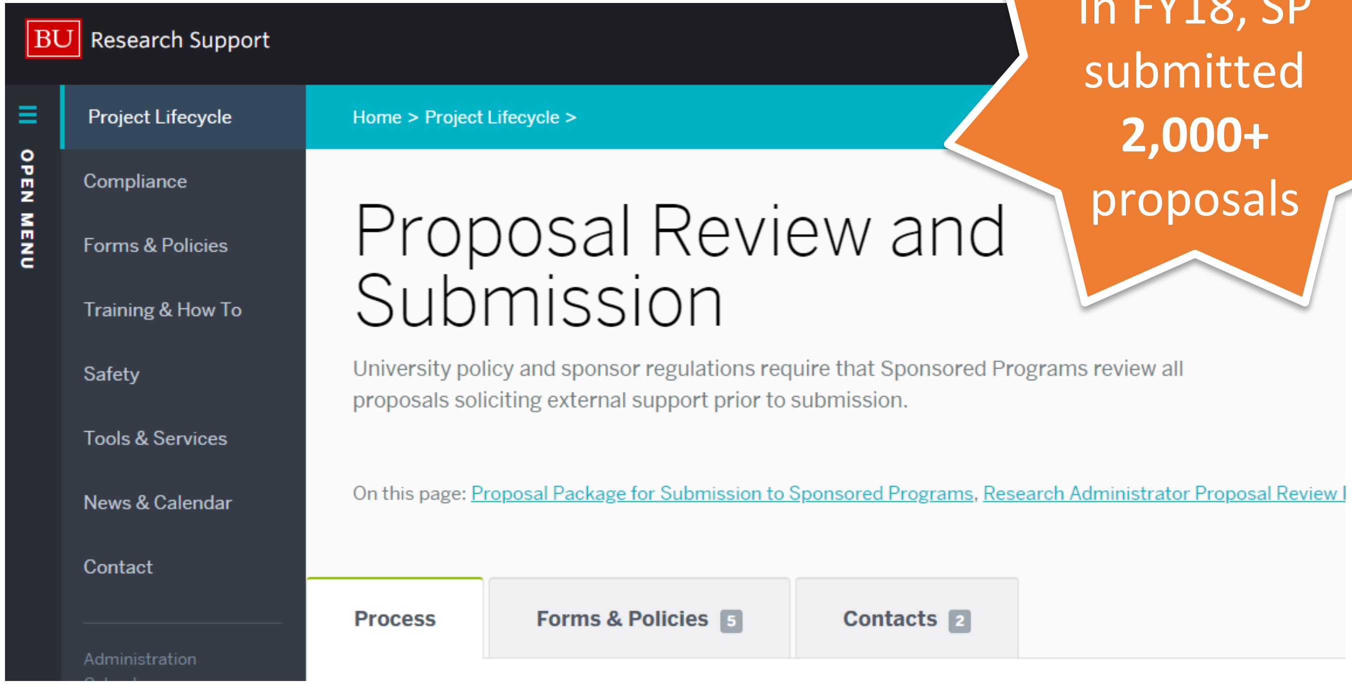
Sponsored Programs is authorized to submit proposals on behalf of BU

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

In FY18, SP submitted **2,000+** proposals



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

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

- **Preliminary high-level review**
- Sponsor Application Guidelines
- Compliance
- Budget
- Required forms and components
- Subawards

What SP RA reviews for – Sponsor guidelines

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

- Preliminary high-level review
- **Sponsor Application Guidelines**
- Compliance
- Budget
- Required forms and components
- Subawards

What SP RA reviews for - Compliance

The SP RA will match compliance information checked “yes” on the PSF against compliance attachments in the proposal to confirm expected documents are included.

COMPLIANCE & SPECIAL REVIEWS

YES	NO		Approval Date If not pending	Protocol # If not pending	YES	NO		Approval Date If not pending	Protocol # If not pending
○	○	IRB			○	○	Radioisotopes		
○	○	IACUC			○	○	Laser		
○	○	IBC (biohazards, rDNA, select agents)			○	○	Human embryonic stem cells		
					○	○	SCUBA/Snorkeling/ Boats		

- Preliminary high-level review
- Sponsor Application Guidelines
- **Compliance**
- Budget
- Required forms and components
- Subawards

What SP RA reviews for - Budget

- **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

Preliminary high-level review

Sponsor Application Guidelines

Compliance

Budget

Required forms and components

Subawards

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

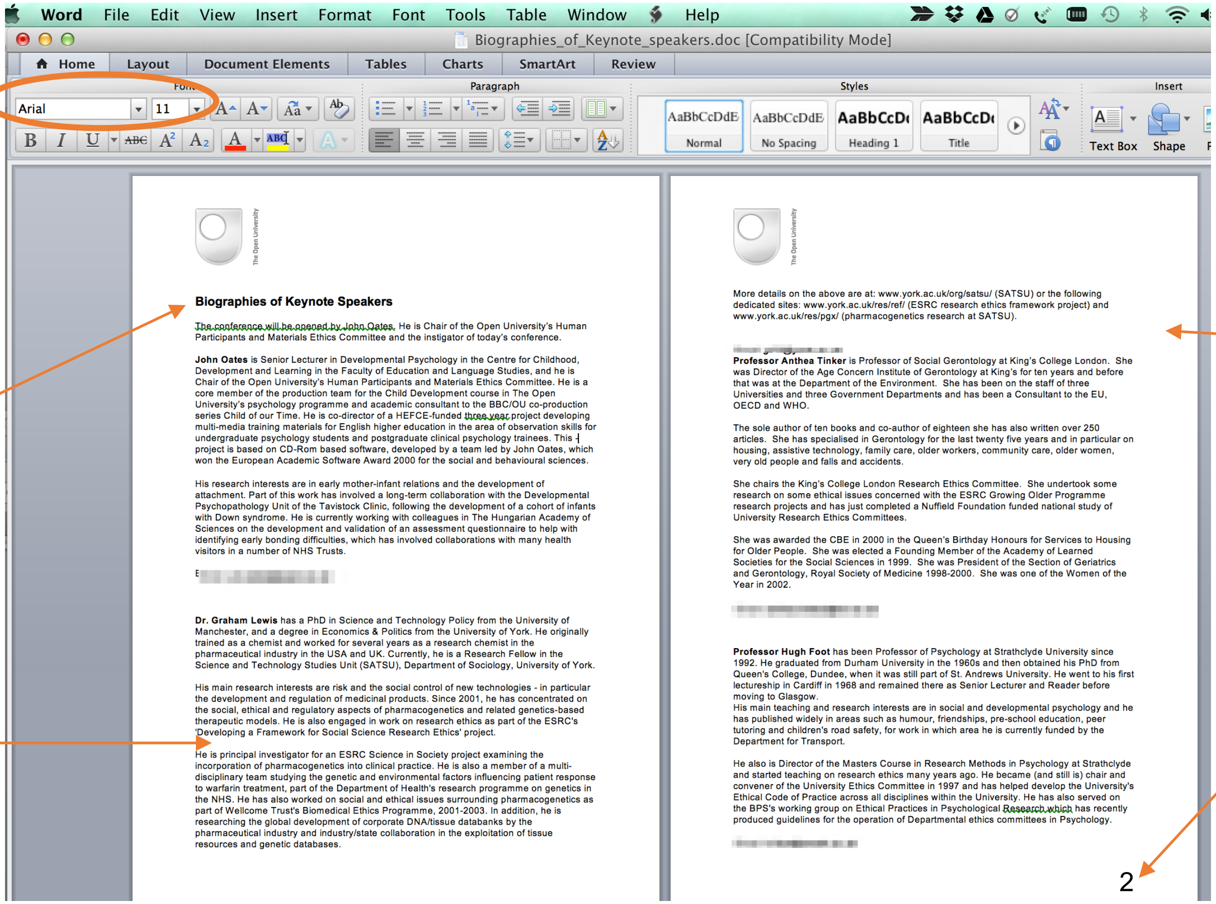
- Preliminary high-level review
- Sponsor Application Guidelines
- Compliance
- Budget
- Required forms and components
- **Subawards**

What SP RA reviews for - Formatting

Font: Use recommended fonts and size. (NSF recommends Times New Roman, NIH does not.) Careful when converting to PDF (font sizes can change!)

Headings: Any specifications around headings

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



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

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

https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/page-limits.htm

Formatting

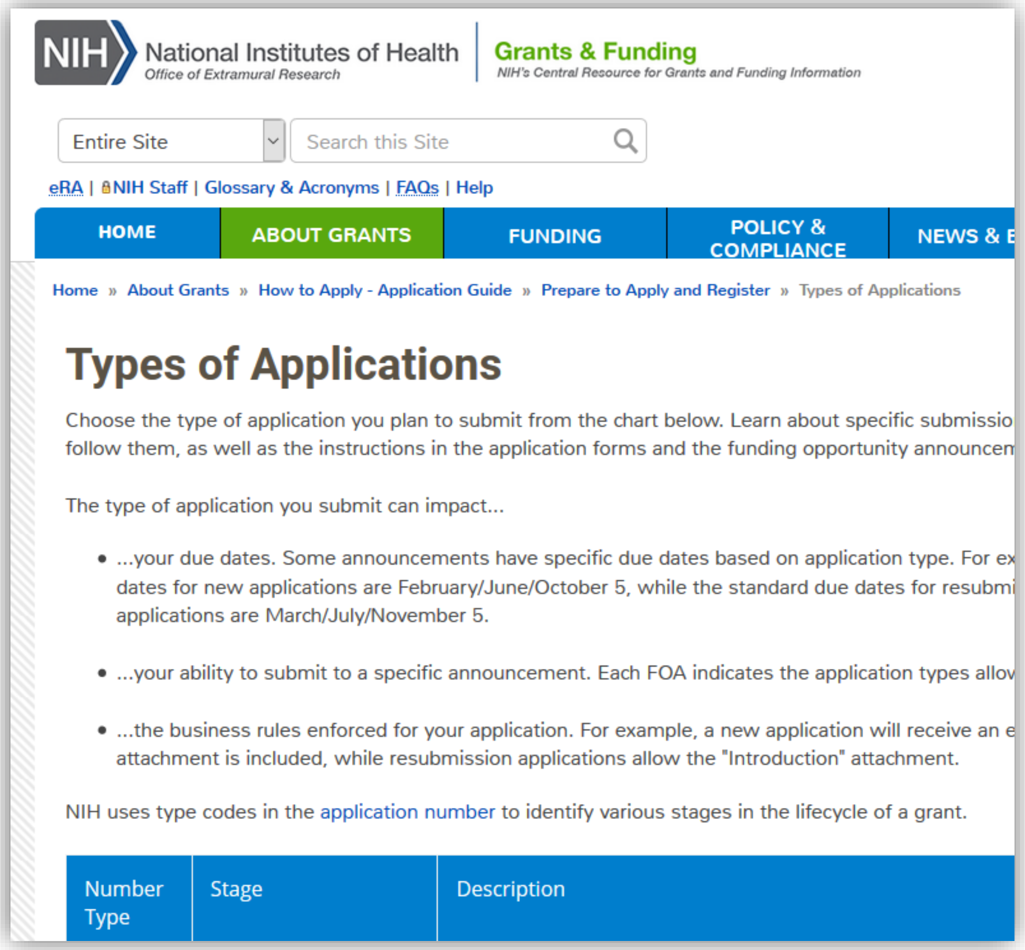
https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm#filenames

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/



ACTIVITY

Keeping in mind the NIH requirements, we will now look at this example biosketch. Please mark the errors that you see.

OMB No. 0925-0001 and 0925-0002 (Rev. 09/17 Approved Through 03/31/2020)

BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FIVE PAGES.**

NAME: George Michael

eRA COMMONS USER NAME (credential, e.g., agency login):

POSITION TITLE: Pathology Professor and Chair

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE *(if applicable)*	Completion Date MM/YYYY	FIELD OF STUDY
University of Athens (Greece) School of Medicine	MD	11/1970	Medicine
University of Texas, Austin	PhD	01/1978	Oncology

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)

U.S. Department of Health & Human Services

Application Submission System & Interface for Submission Tracking (ASSIST)

Sponsored by the National Institutes of Health

GRANTS.GOV℠

FIND. APPLY. SUCCEED.℠

Research.gov

ONLINE GRANTS MANAGEMENT FOR THE NSF COMMUNITY

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

DA informs SP RA that proposal is ready for submission

→ SP submits proposal through the federal website

→ Worskpace and ASSIST generate a grants.gov tracking number

→ If NIH, SP RA checks Commons for errors

→ 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

Potential issues

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 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

Just-in-Time Request Process

Proposal submitted to NIH

NIH conducts peer review and assigns an impact score

Applicants notified by email if JIT information is needed

Receiving a JIT request should not be construed as an indicator of possible funding.

JIT information gathered by PI and DA and uploaded to sponsor system by required deadline

SP RA reviews and submits information

Sponsor makes final award decision/NOA is issued

To view a sample JIT email request from eRA Commons: http://grants.nih.gov/grants/peer/jit.pdf

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

Who	What	What	Why
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

What is required for JIT – Other Support (cont.)

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)**

Samples

ANDERSON, R.R.

ACTIVE

2 R01 HL 00000-13 (Anderson) 3/1/1997 – 2/28/2002 3.60 calendar
NIH/NHLBI $186,529
Chloride and Sodium Transport in Airway Epithelial Cells

The major goals of this project are to define the biochemistry of chloride and sodium transport in airway epithelial cells and clone the gene(s) involved in transport.

5 R01 HL 00000-07 (Baker) 4/1/1994 – 3/31/2002 1.20 calendar
NIH/NHLBI $122,717
Ion Transport in Lungs

The major goal of this project is to study chloride and sodium transport in normal and diseased lungs.

R000 (Anderson) 9/1/1996 – 8/31/2002 1.20 calendar
Cystic Fibrosis Foundation $43,123
Gene Transfer of CFTR to the Airway Epithelium

The major goals of this project are to identify and isolate airway epithelium progenitor cells and express human CFTR in airway epithelial cells.

PENDING

DCB 950000 (Anderson) 12/01/2002 – 11/30/2004 2.40 calendar
National Science Foundation $82,163
Liposome Membrane Composition and Function

The major goals of this project are to define biochemical properties of liposome membrane components and maximize liposome uptake into cells.

Human subjects and JIT requirements

Certification of IRB Approval

If the proposed project involves human subjects research, the **certification date of IRB review and approval** must be submitted.

Out-of-date approvals are not acceptable.

Pending approvals will result in a restricted NOA if accepted and awarded by NIH

Human Subjects Education Requirement

If the proposed project involves human subjects research, **certification** that any person identified as senior/key personnel involved in human subjects research has **completed an education program in the protection of human subjects** must be submitted.

Human Embryonic Stem Cells (hESCs)

If the proposed project involves hESCs and the applicant did not identify a **hESC line** from the NIH Human Embryonic Stem Cell Registry in the application, the line(s) should be included in the Just-in-Time submission.

Genomic Data Sharing Institutional Certification

If the proposed project involves a Genomic Data Sharing plan. The **certification form** and directions for completing it are available on the GDS Data Sharing website: http://gds.nih.gov/Institutional_Certifications.html.

This certification should be submitted as an **"Other Upload"** in the eRA Commons Just-in-Time module.

Animal research and JIT requirements

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.

Budgetary requirement

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:

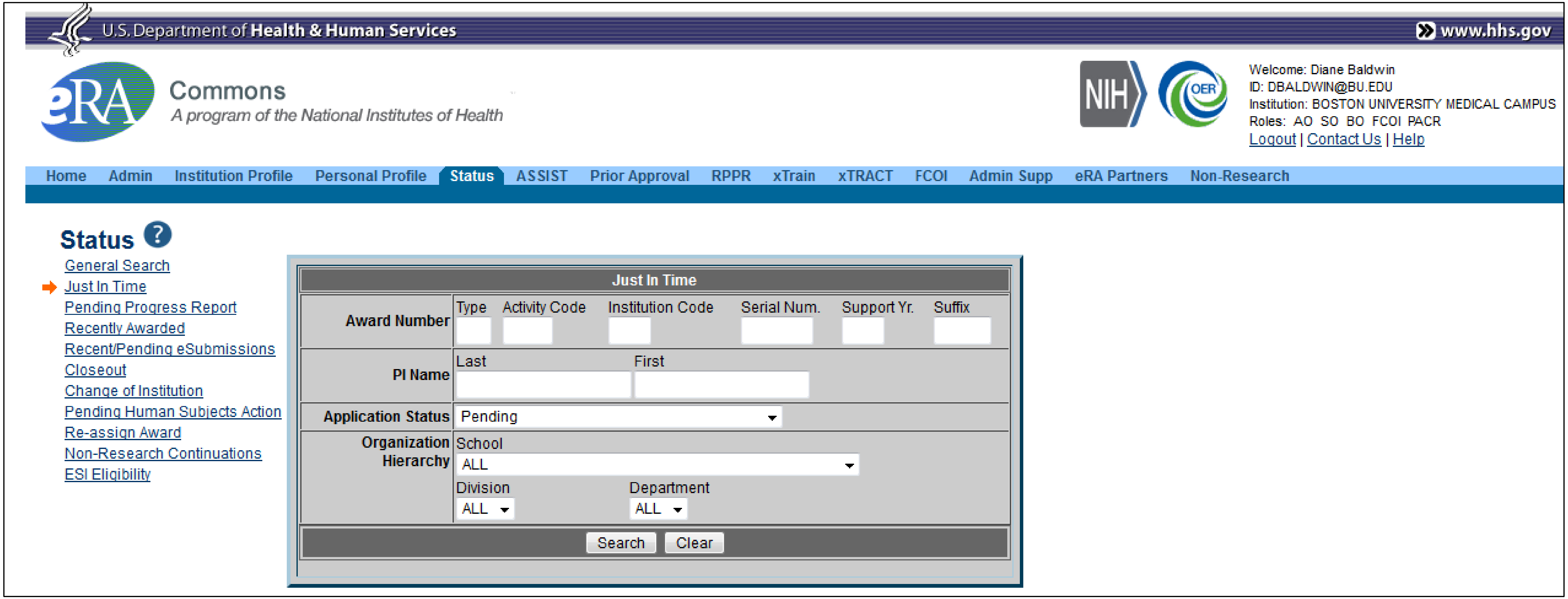
- IRB Date
- Assurance Number (Med Campus-000002457/ CRC-00000301)

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.

eRA Commons Process



Sponsored Programs Review

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

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

Other Federal Sponsors

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

Consortium / Subcontractors

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

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
https://grants.nih.gov/grants/peer/jit.pdf

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

Account Setup

Michaela Gillis

Nicole Nocera

Meera Rangarajan

Award Review and Acceptance

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

Negotiate problematic terms if needed

- Intellectual Property rights
- Confidentiality clause
- Publication rights

Business Official signs/approves award indicating acceptance

Award then routed to SP award setup team

Account Setup Process

1. The Award setup team processes the awards on a first in, first out basis
2. Dept will get an email when their award enters the queue, along with NoA
3. Receipt of email should trigger to the Dept to provide any final budgets or rebudgets before account setup
4. SP uses info from PSF to set account up in Kuali, gets transmitted to SAP and feeds over night to BW
5. Dept will receive Award Notice email with SAP account number to start spending on
6. 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

Data Integrity

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

Common Questions

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/

Common Questions

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.

NIH Post Award Cheat Sheet

Code	Description	Expanded Authorities	Automatic Carryover	Carryover Mechanism	New fund required?	SNAP	FSR Due
'R' Series	Research Projects	YES	YES Except R41 and 43	Automatic, but request must be entered on line 10x of FSR if carrying to future segments	Only for new competitive segments	YES	Final budget period only
'K' Series	Research Career Programs	YES	YES	Automatic, but request must be entered on line 10x of FSR if carrying to future segments	Only for new competitive segments	YES	Final budget period only
'P' series	Program Projects	YES	YES Except P30, P50, P60	Request must be entered on line 10x of FSR if carrying to future segments	Only for new competitive segments	NO	Annually
'T' Series	Training Programs	YES	NO	Authorization is via a Notice of Grant Award Authorizing a Budget using Prior Unobligated Funds	Each budget period	NO	Annually
'F' Series	Individual Fellowships	YES	YES	Automatic	NO	N/A	Never
All others	Ex. 'U's – Cooperative Agreements 'M's, 'P's other than P01, etc	YES	NO	Authorization is via a Notice of Grant Award Authorizing a Budget using Prior Unobligated Funds	Each budget period	NO	Annually

Expanded Authorities / FDP

Allows certain privileges including automatic carryover of the unobligated balance from one budget period to another (except where noted). PI's may also request an automatic no cost extension (up to one year) at the end of a competitive segment to continue work. Pre-award costs up to 90 days prior to the budget period start date are allowed.

ADMINISTRATIVE PRIVILEGES

Streamlined Noncompeting Award Process

Waives the requirement to file an annual FSR 269 until the final budget period of the competitive segment. Simplifies reporting requirements for PHS 2590 progress reports.

REPORTING PRIVILEGES

[NIH Post Award Cheat Sheet link]

Copy in your binder

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).

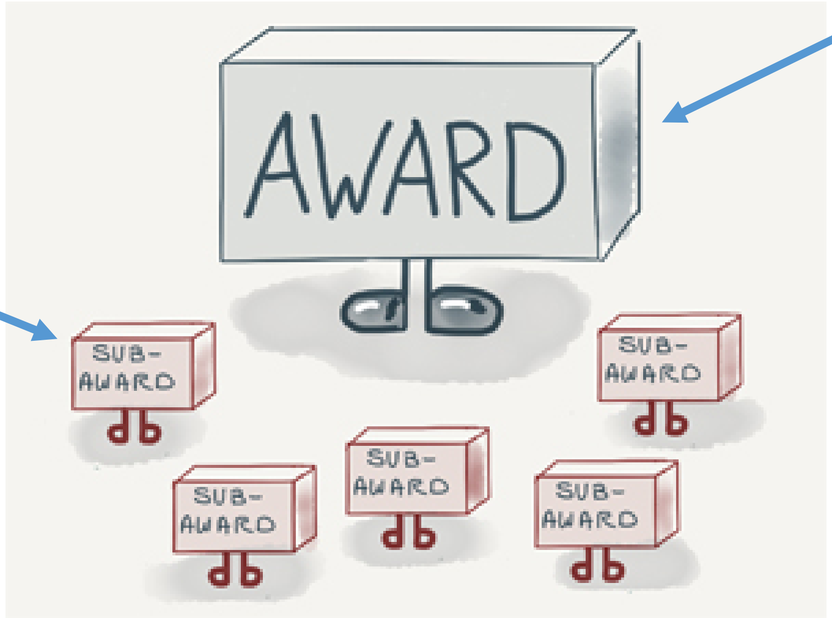
Ongoing Award Management: Subawards

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).

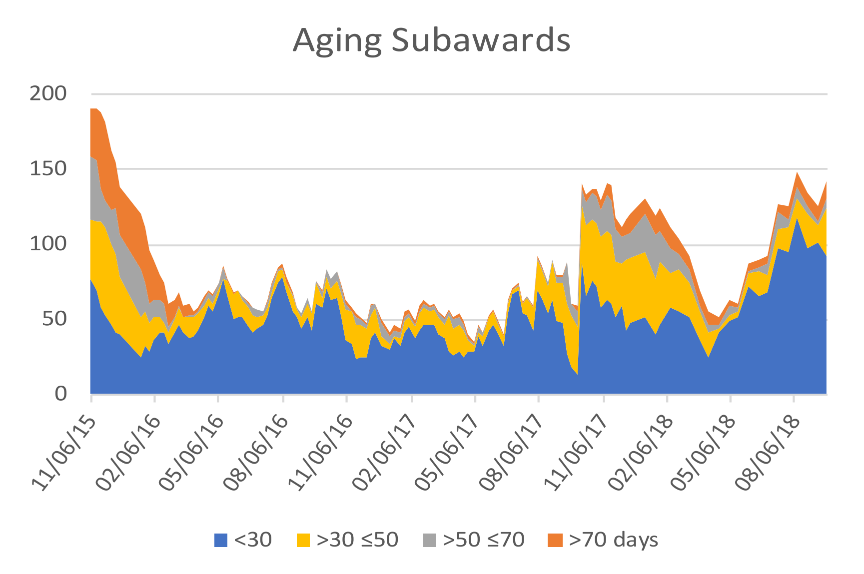
Usually used because resources or skills for completing specific tasks are not readily available at the University.



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

BU Subawards at a Glance

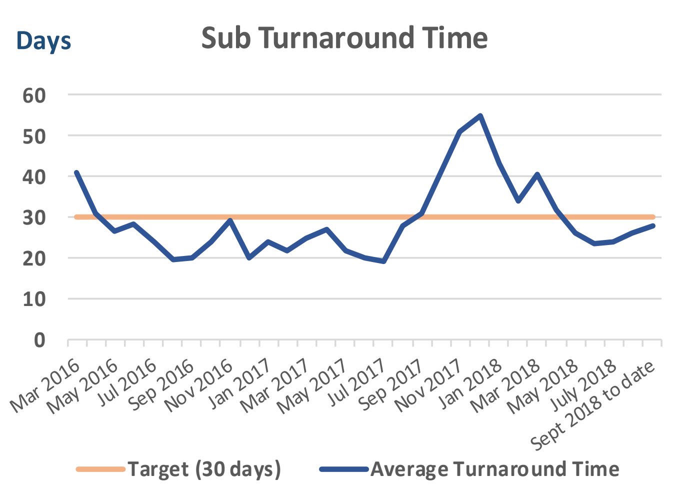
3 person subaward team in SP covering **103** CRC/MED departments



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)



Chain of Communication in Sponsored Programs for Subs

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.

Sponsored Programs RA

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

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

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

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

Contents of a Subaward Agreement

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

Let's walk through an NIH R01 example

FDP Cost Reimbursement Research Subaward Agreement

Federal Awarding Agency: Select from drop down options

Pass-Through Entity (PTE):	**Subrecipient:**
PTE PI:	Sub PI:
PTE Federal Award No:	Subaward No:
Project Title:	
Subaward Period of Performance (Budget Period): Start: ? End: ?	Amount Funded This Action (USD): $
Estimated Project Period (if incrementally funded): Start: End:	Incrementally Estimated Total (USD): $

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** → 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
- **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

FAQ

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

FAQ

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
- Forward any updated sub budgets/documents to your SP RA as soon as you get them
- If you've been working with a contact not listed in the sub proposal, send those contact details to your SP RA

FAQs from DAs

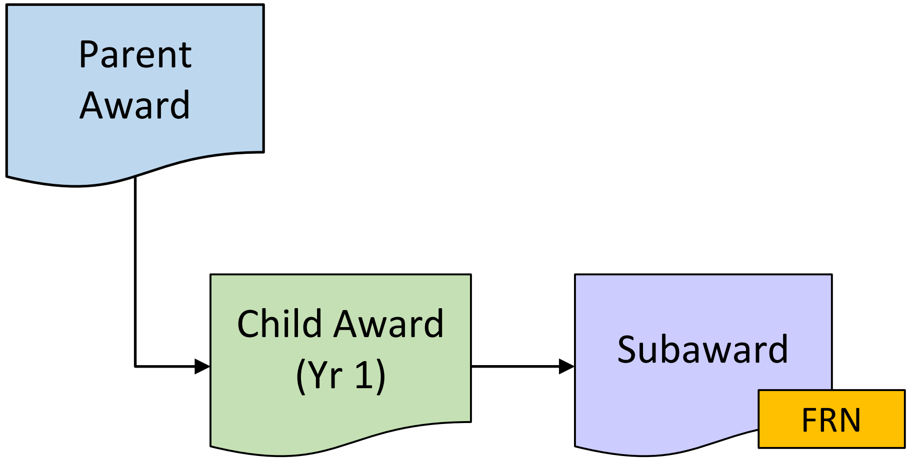
How can I help foreign/small entity subrecipients avoid hold ups?

- 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

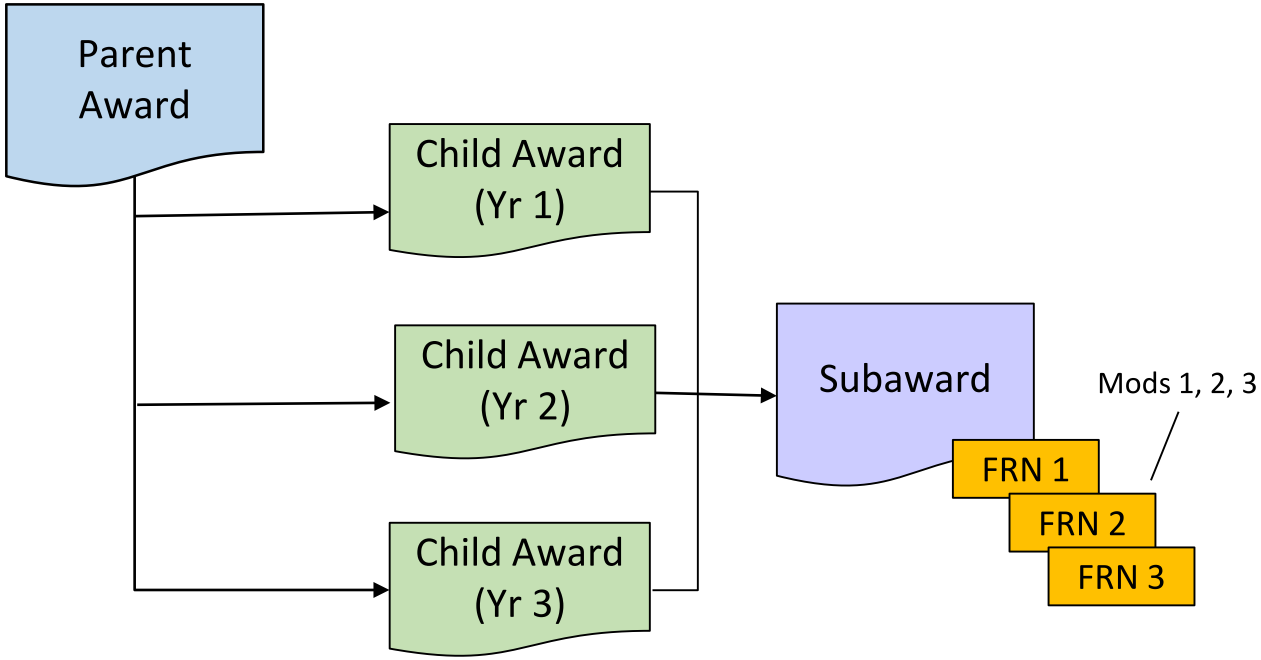
FAQs from DAs

Why does this subaward get a new FRN every year?

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



Different IO for all years of the award; one subaward; different FRNs for each year



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)

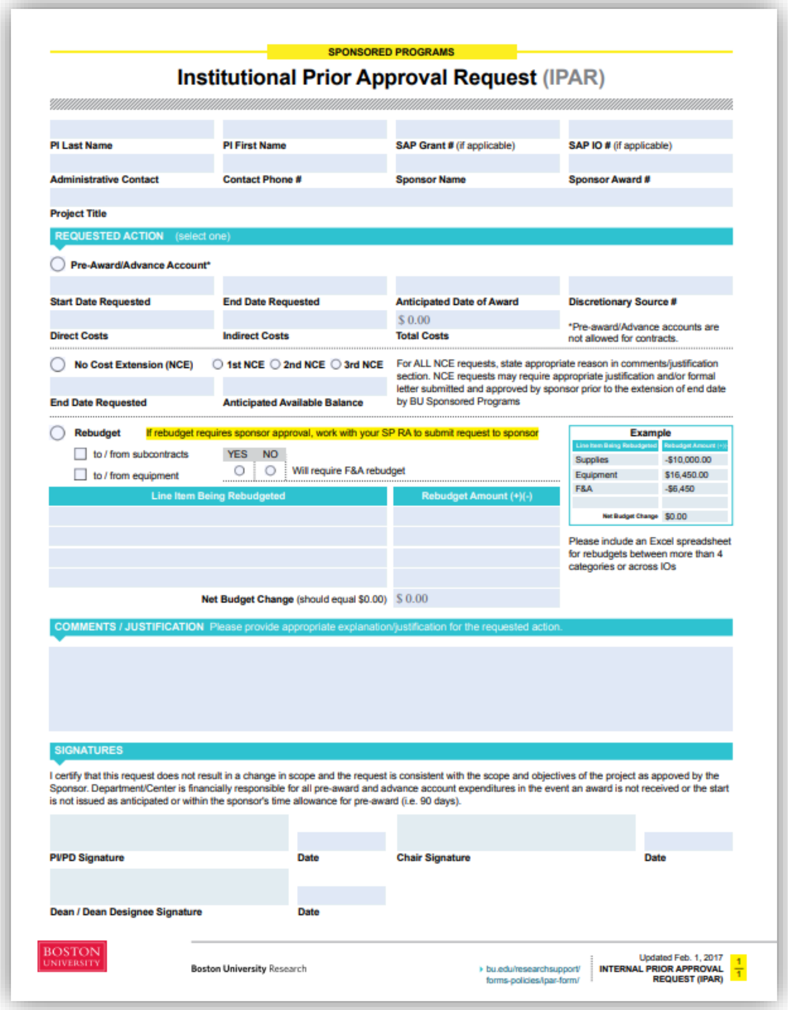
Key Takeaways

- 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?



SPONSORED PROGRAMS

Institutional Prior Approval Request (IPAR)

PI Last Name | PI First Name | SAP Grant # (if applicable) | SAP IO # (if applicable)

Administrative Contact | Contact Phone # | Sponsor Name | Sponsor Award #

Project Title

REQUESTED ACTION (select one)

Pre-Award/Advance Account*

Start Date Requested | End Date Requested | Anticipated Date of Award | Discretionary Source #

Direct Costs | Indirect Costs | $ 0.00 Total Costs

*Pre-award/Advance accounts are not allowed for contracts.

No Cost Extension (NCE) — 1st NCE, 2nd NCE, 3rd NCE

End Date Requested | Anticipated Available Balance

For ALL NCE requests, state appropriate reason in comments/justification section. NCE requests may require appropriate justification and/or formal letter submitted and approved by sponsor prior to the extension of end date by BU Sponsored Programs

Rebudget — If rebudget requires sponsor approval, work with your SP RA to submit request to sponsor

to / from subcontracts

to / from equipment

YES NO — Will require F&A rebudget

Line Item Being Rebudgeted	Rebudget Amount (+)(-)
Net Budget Change (should equal $0.00)	$ 0.00

Example

Line Item Being Rebudgeted	Rebudget Amount (+)(-)
Supplies	-$10,000.00
Equipment	$16,450.00
F&A	-$6,450
Net Budget Change	$0.00

Please include an Excel spreadsheet for rebudgets between more than 4 categories or across IOs

COMMENTS / JUSTIFICATION Please provide appropriate explanation/justification for the requested action.

SIGNATURES

I certify that this request does not result in a change in scope and the request is consistent with the scope and objectives of the project as appoved by the Sponsor. Department/Center is financially responsible for all pre-award and advance account expenditures in the event an award is not received or the start is not issued as anticipated or within the sponsor's time allowance for pre-award (i.e. 90 days).

PI/PD Signature | Date | Chair Signature | Date

Dean / Dean Designee Signature | Date

BOSTON UNIVERSITY — Boston University Research — bu.edu/researchsupport/forms-policies/ipar-form/ — Updated Feb. 1, 2017 INTERNAL PRIOR APPROVAL REQUEST (IPAR) 1/1

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

SPONSORED PROGRAMS

Institutional Prior Approval Request (IPAR)

PI Last Name | PI First Name | SAP Grant # (if applicable) | SAP IO # (if applicable)

Administrative Contact | Contact Phone # | Sponsor Name | Sponsor Award #

Project Title

Reason for using form	Applicable?	
	SAP Grant # (50- or 55-)	SAP IO # (950- or 955-)
Pre-Award Account	sometimes	sometimes
Advance Account	sometimes	no
No Cost Extension (1st, 2nd, or 3rd)	yes	no
Rebudget	Yes	yes

IPAR – Pre-Award Spending

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 <u>contracts</u>** (e.g., awards where the start date is tied to a signature date)

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

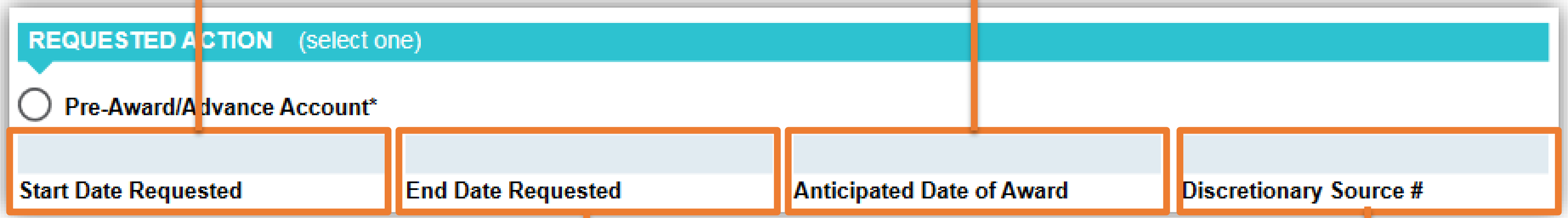
- do not require a detailed budget; indicate any exclusions to IDC in comments (e.g., subawards, equipment)
- outgoing subawards cannot be issued under an advance account
- are made at Department's financial risk; if award does not materialize or get fully-executed, Department will have to cover any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

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

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


REQUESTED ACTION (select one)

Pre-Award/Advance Account*

Start Date Requested	End Date Requested	Anticipated Date of Award	Discretionary Source #

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

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	For other funders, or to request a 2nd or 3rd NCE	Funders who do not require SP involvement
The 1st NCE must be officially entered by SP in the sponsor portal o 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 in to the sponsor portal	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 o Non-federal sponsors vary dramatically in their policies and procedures for extensions; be sure to review the award documents to understand what is allowed	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/ confirmation (or denial) of the request from the sponsor

Helpful Resources

http://www.bu.edu/researchsupport/files/2018/01/Carryover-No-Cost-Extension-Presentation-Slides.pdf
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

Rebudget — If rebudget requires sponsor approval, work with your SP RA to submit request to sponsor

	YES	NO	
to / from subcontracts			
to / from equipment	○	○	Will require F&A rebudget

Line Item Being Rebudgeted	Rebudget Amount (+)(-)
Net Budget Change (should equal $0.00)	$ 0.00

Example

Line Item Being Rebudgeted	Rebudget Amount (+)(
Supplies	-$10,000.00
Equipment	$16,450.00
F&A	-$6,450
Net Budget Change	$0.00

Please include an Excel spreadsheet for rebudgets between more than 4 categories or across IOs

COMMENTS / JUSTIFICATION — Please provide appropriate explanation/justification for the requested action.

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

Include explanation as to why the rebudget is necessary

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

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!!

Progress Reports

- 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
    - Any financial (expenditure) components to the progress report should be vetted through PAFO prior to submission
    - 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**