Grant/Sponsor Related Systems

Department and OSP Perspectives on ERA
Grant/Sponsor Related Systems

- **General Proposal Submission Information**
  - BC internal requirements for proposal submissions

- **ERA & Sponsor Systems**

- **National Institutes of Health**
  - Grants.gov submissions
  - ASSIST submissions
  - Award Management
    - JIT
    - RPPR

- **National Science Foundation**
  - FastLane Submissions
Proposal Submissions

General Information & Internal Requirements
SHOW ME THE MONEY!
Is it a Sponsored Project?

- Most institutions classify extramural funding as non-exchange transactions (i.e., gifts) or exchange transactions (e.g., grants, contracts, cooperative agreements, sales and service agreements, etc.).
- Sponsored projects are research, training, or instructional projects involving funds, materials, other forms of compensation from sources external to Boston College under awards or agreements.
- DRA Note: All external funding must be reviewed and accepted by the appropriate Boston College official.
Electronic Proposal Workflow

- PI identifies funding opportunity and initiates proposal.
  - Reviews Sponsored Programs Checklist & Export Control Checklist
- PI's department submits electronic transmittal (PTF) in PeopleSoft with proposal and internal documents.
  - Including sub-committee if necessary
- The PTF workflows to PI who completes COI and approves submission.
- OSP reviews proposal for compliance with BC and sponsor regulations and policies.
- OSP pre-award contact provides necessary official signatures and approves PTF.
- Proposal is submitted to Sponsor and assigned a Proposal ID.
- Proposal undergoes peer review by sponsor.
PI Identifies Funding Source - Now What?

- Start by asking questions:
  - What Agency are you submitting to? (NIH, NSF, etc.),
  - What is the RFA or PA number?
  - What is the mechanism for submission?
  - **What is the due date?**
  - Will there be a detailed or modular budget?
  - Will there be subcontracts or collaborators?
    - ■ If yes, who is the contact?
  - What will the personal support be on this project?
    - ■ Will there be other key personnel? (Co PIs, etc.)
  - Will there be Human or Animal subjects?
  - Is there required cost share?
  - Will you request a buy-out?
  - Summer salary?
DRA Perspective: Getting Started on a Proposal

● From the information gathered find the proposal submission details:
  ○ Confirm the information gathered
  ○ Start reviewing submission requirements

● Set deadlines with the PI:
  ○ **OSP policy requires proposals to be submitted for review 5 business days** before the submission date so **DRA should set a deadline of 10 business days before then for the PI.** If the proposal includes a subaward or subcontract DRA should add a few extra days (weeks) due to the extra communication required with the sub recipient’s institution.

● Set expectations - Who is responsible for which parts of the proposal?

● DRA Note: Let OSP Pre-Award contact know due date IMMEDIATELY
How is the Proposal Submitted?

- Through the agency specific portal (more on that later)
  - FastLane, ASSIST, etc.
- Email
  - Select foundations & corporations
  - If we are the subawardee on a prime institution's submission
- Paper submission: not very common anymore
  - Select institutions
    - Example: U54 that required 5 copies @ 639 pages each
- DRA Note: New PIs with grants transferred to BC require many of the same elements as proposal submissions.
Internal Requirements for Submission

- Electronic PTF/COI (submitted and approved prior to grant submission)
- Internal Budget and Justification
- Completed Proposal
  - Proposals with subcontractors require: Signed Statement of Commitment, SOW, Budget and justification, Key Personnel Biosketch(s), and Facilities.
- Note: Cost Share, Buyouts, etc. require additional internal approvals - plan accordingly.
PTF Help

- OSP has complete walk-through available
- Faculty completing the PTF for the first time often have questions
  - COI
  - Finding the “approve” button
- DRA Tip: Make sure to follow the PTF through the final OSP approval
Internal Budgeting Tips

- RTM to be aware of sponsor specific instructions
  - NSF two month cap
  - NIH salary cap
  - NIH modular budgets
    - Subcontract FA
    - Budget justification
ERA & Sponsor Systems
Electronic Research Administration

- Electronic Research Administration (ERA) is a general term covering the use of any electronic systems (spreadsheets, list serves, word documents, email, web portals, etc.) for research administration.
  - May refer to institution's electronic research systems like Cayuse 424, InfoEd, effort reporting systems, etc.
  - ERA vs eRA
- This section will focus on the use of different portals, submissions, and award management.
  - Example portals include: Grants.gov, ASSIST, NSF Fastlane, & proposalCENTRAL
  - Award Management will cover the NIH JIT, RPPR, eRA, & Research.gov
- Warning: Some systems show different information to different users (ex: FastLane)
Common Federal Portals

- ASSIST - National Institutes of Health
- Grants.gov
  - National Endowment for the Arts (NEA)
  - National Endowment for the Humanities (NEH)
  - U.S. Department of Agriculture (USDA)
  - U.S. Department of Commerce
  - U.S. Department of Education (ED)
  - U.S. Environmental Protection Agency (EPA)
  - U.S. Department of Health and Human Services (DHHS)
    - National Institutes of Health (NIH)
Common Federal Portals

- Grants.gov - Continued
  - U.S. Department of Energy
  - National Security Agency (NSA)
  - Department of State
  - U.S. Geological Survey (USGS)
- Nspires - Aeronautics and Space Administration (NASA)
- FastLane - National Science Foundation (NSF)
- GrantSolutions (GS) - Social Security Administration
- Electronic Biomedical Research Application Portal (eBRAP) - Dept. of Defense
- Portfolio Analysis and Management System (PAMS) - Dept. of Energy
Non-Federal Portals

● proposalCENTRAL (select sponsors)
  ○ Alzheimer's Association
  ○ American Cancer Society
  ○ Brain Tumor Society
  ○ Cystic Fibrosis Foundation
  ○ Epilepsy Foundation
  ○ Lupus Foundation of America
  ○ Muscular Dystrophy Association
  ○ National Cancer Institute - Moonshot Program (Federal Program)
  ○ National Center for Advancing Translational Sciences (Federal Program)
  ○ Simons Foundation

● Other foundations will have their own system or will use email
NIH and Associated Systems
“Do you have to take sick leave? We have a grant deadline.”
NIH electronic Research Administration (eRA)

- Specific to the NIH: “eRA provides critical IT infrastructure to manage over $30 billion in research and non-research grants awarded annually by NIH and other grantor agencies in support of the collective mission of improving human health.
  - eRA systems, including eRA Commons, ASSIST and IMPAC II modules, support the full grants life cycle and are used by applicants and grantees worldwide as well as federal staff at the NIH, AHRQ, the CDC, FDA, SAMHSA, and VA.”
  - era.nih.gov
Submitting a Proposal to the NIH

- PI and Key Personnel need an eRA-Commons Account and an updated profile
  - eRA Commons is an online interface where grant applicants, grantees and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants.
  - Boston College PI Account Request - Send your OSP pre-award contact the following information: Name (including middle initial), Affiliation, Email and Role
    - PIs with existing accounts need to have OSP update them to show Boston College as their current institution

- Download Instruction and Application Packet and Complete Application or use online ASSIST to complete application
  - Note: BC DRAs need a eRA commons account to use ASSIST

- Complete and submit required “Internal Online Documents” (PTF & COI) prior to submitting proposal
eRA Commons Name & ID

- Accurate information is very important when PIs update their profile information
- DRA note: It is recommended that everyone enters their middle name to avoid inadvertent matches
Funding Opportunity Announcement (FOA)

- A publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names...

Program Announcement (PA)

- Identifies areas of increased priority and/or emphasis on particular funding mechanisms for a specific area of science. Usually accepted on standard receipt (postmarked) dates on an ongoing basis.
  - PAR: A PA with special receipt, referral and/or review considerations, as described in the PAR announcement
  - PAS: A PA that includes specific set-aside funds as described in the PAS announcement
NIH Publications - Continued

- **Request for Application (RFA)**
  - Identifies a more narrowly defined area for which one or more NIH institutes have set aside funds for awarding grants
  - Usually has a single receipt (received on or before) date specified in the RFA announcement
  - Usually reviewed by a Scientific Review Group convened by the issuing awarding component

- **Request for Proposal (RFP)**
  - Solicits contract proposals. An RFP usually has one receipt date, as specified in RFP solicitation

- **Notice (NOT)**
  - Announces policy and procedures, changes to RFA or PA announcements, RFPs and other general information items
NIH Publication Numbering System

- PA Numbering (e.g. PA-06-008): Indicates a PA issued in 2006 or for funding in 2006 (06) with an associated serial number (008).
- RFA Numbering (e.g. RFA-HL-06-004): Indicates an RFA issued by NHLBI (HL) in 2006 or for funding in 2006 (06) with an associated serial number (004).
- Notice Numbering (e.g. NOT-OD-06-025): Indicates a Notice issued by the Office of the Director (OD) in Fiscal Year 2006 (06) with an associated serial number (025).
NIH Grant Application

- **Mandatory Forms**
  - SF424
  - PHS 398 Cover Page Supplement
  - R&R Other Project Information
  - Project/Performance Site Location(s)
  - R&R Senior/Key Person Profile (Expanded)
  - PHS 398 Research Plan

- **Optional Forms**
  - R&R Budget/R&R Subaward Budget/PHS 398 Modular Budget
  - PHS 398 Inclusion Enrollment Report
  - PHS Assignment Request Form
Grants.Gov NIH Submission
NIH Application Package from Grants.gov
Changing a Submitted Proposal in Grants.gov

- It may be possible to make changes to a submitted proposal before the deadline has passed. Each submission system has a different mechanism for submitting changes (more on other systems later).
- To make changes to an NIH proposal submitted through Grants.gov, a Changed/Corrected Application must be submitted:
  - PI or the DRA makes changes to the local copy of the proposal package
    - Check the "Changed/Corrected Application" box in item #1 of the SF 424 (R&R) form
  - Provide the Grants.gov tracking number (e.g., GRANT12345678) in the Previous Grants.gov Tracking ID field
  - Once all the changes are made, DRA sends the proposal file to OSP, and OSP submits the revised application to NIH
ASSIST

- Application Submission System & Interface for Submission Tracking (ASSIST)

What is the purpose?
- ASSIST (https://public.era.nih.gov/assist) is NIH's online system for the preparation, submission and tracking of grant applications through Grants.gov to NIH.

What are the benefits to Applicants?
- Access to the application from anywhere there is internet access!
- Multi-user solution promotes collaboration
- Leverages existing eRA Commons credentials
NIH ASSIST Workflow

- PI initiates proposal in ASSIST.
- DRA searches for proposal in ASSIST and begins to populate pages.
- PI either directly uploads materials or sends to DRA to upload. In either scenario, DRA proofs materials and sends comments to PI. Once materials are in final (or strong draft form), the administrator designates the proposal in ASSIST as “Ready for submission” and alerts OSP.
- OSP reviews and comments and the comments are addressed by PI and/or DRA.
- OSP submits final proposal.
- DRA saves a final version for files.
Changing a Submission in ASSIST

- ASSIST users with the authority to edit an entire application can revise an application even after it has been submitted
  - The DRA or the PI needs to update submission status to “Work in Progress” on the Application Information screen in ASSIST
  - The DRA or the PI makes changes to the proposal component(s) that need to be updated
  - Once all the necessary changes are made, the DRA designates the proposal as “Ready for Submission”, notifies OSP, and OSP submits the proposal.
- DRA note: It’s very common to have proposals submitted without time to make corrections before the deadline.
Just In Time (JIT)

- Just-In-Time refers to the application timeframe requiring applicants to send information to the NIH that is needed only if an award is likely.
- PIs receive an email from the Program Officer to submit JIT information. The PO will specify what materials are needed. This will always include Other Support and if applicable, Human Subjects or IACUC information. Additional materials such as revised budget or equipment quotes may also be requested if there is a change.
- PI alerts administrator who will assist with preparation and organizing JIT materials. Final materials are sent to OSP for review.
- OSP submits JIT in eRA Commons and also emails to PO if requested.
NIH Offices/Staff

- Grants Management Office – Responsible for fiscal, business management, and administrative issues relating to specific grants and grant programs, federal regulations, and NIH policies. Contact the Grants Management Specialist listed on the award or the Grants Management Officer (GMO).
  - Normal point of contact for the GMO at Boston College is the Office for Sponsored Programs
- Program/Scientific Office - Responsible for the programmatic, scientific, and/or technical aspects of applications and grants.
  - Normal point of contact for the PO at Boston College is the Principal Investigator
- Review Office - Manages the activities of Scientific Review Groups/Study Sections and responsible for grant review issues.
Research Performance Progress Report

The funding mechanism (R01, U01, U54) will dictate what information is needed for the RPPR.

- Example requirements: project progress, performance sites, effort, 25% carry forward, subsequent year budgets. Budget formats could be overall breakdown of Direct Costs, Indirect Costs and Total or line item detail for BC and all subcontracts.
- Note: anyone with 1 month or more of activity will require an eRA commons account
- Progress reports with sub awardees may require additional time to prepare
RPPR - Workflow

- DRA reminds PI of upcoming progress report deadline.
- PI delegates access to administrator in the RPPR.
- PI enters reporting information. DRA may assist with some components such as budget and FTE.
- Once materials are final, PI routes the RPPR to OSP.
- OSP reviews, checks for errors, and submits.
- Print to PDF a final version for files.
NSF Submissions
NSF Fastlane

- The National Science Foundation’s FastLane is a web-based computer system used for information exchange and business transactions between NSF and its client community.
- All NSF investigators and their administrators must use FastLane to prepare and submit proposals and supplemental funding requests.
- FastLane is also used for administration of proposals by the Sponsored Projects Office (SPO).
NSF FastLane Roles

● Principal Investigator (PI) & Co-PI

● Other Authorized Individual (OAU)
  ○ Authorized to help prepare the proposal (upload files, etc). The OAU must have the proposal PIN and ID number to access Proposals, Awards, and Status.

● Sponsored Project Office (SPO)
  ○ The individual or group at your organization responsible for management of FastLane and/or Research.gov functions

● Authorized Organizational Representative (AOR)
  ○ The administrative official who on behalf of the proposing organization is empowered to make certifications and assurances and can commit the organization to the conduct of a project that NSF is being asked to support as well as to adhere to various NSF policies and grant requirements
FastLane Workflow

- PI initiates proposal in FastLane.
- PI allows SPO access to enable OSP to view/edit and submit proposal.
- DRA searches for proposal in FastLane and begins to populate pages.
- PI either directly uploads materials or sends to DRA to upload. In either scenario, DRA proofs materials and sends comments to PI.
- Once materials are in final (or strong draft form), the administrator alerts OSP.
- OSP reviews and comments are addressed by PI and/or DRA.
- OSP submits final proposal.
- DRA saves final version for files.
FastLane: Getting Started

- FastLane users (including PIs, co-PIs and DRAs) must be registered and have a password to access FastLane. To register and receive a temporary password, OSP needs the following information: Name, E-mail address, Highest degree, year conferred, Business phone, & Department.

- DRAs with a proposal ID and pin log in under the Proposals, Awards and Status tab. SPOs log in under the Research Administration tab.
Allowing SPO Access

2. Highlight the proposal you want to give the SPO access to in the Temporary Proposals in Progress list (Figure 1).
3. Click the Allow SPO Access button (Figure 1).
4. The Proposal Errors/Warnings Screen is displayed (Figure 2).
5. Click the Proceed button (Figure 2).
Assigning a PIN in Fastlane

- **PIs:** Go to the Proposal Actions screen, highlight the Temporary Proposal ID number and Title. Click on the Proposal Pin button.
- Type a 4-digit PIN number then re-type the PIN again.
- Click the OK button to assign a PIN number to the proposal ID.
- When necessary, share the proposal ID and PIN number with the DRA and any collaborators to link proposals.
FastLane: Uploading Documents

- Proposers may upload files in Word, Excel, or PDF into the various sections of the proposal or use the FastLane templates. Some sections require online form completion.
- Files will be converted to PDF. Be sure to check the formatting.
A typical proposal will include the following components:

- Collaborators and Other Affiliations
- Cover Sheet
- Table of Contents (auto generated by FastLane)
- Project Summary (Overview, Intellectual Merit, Broader Impacts)
- Project Description (Repeat some Project Summary info)
- Budget (including Budget Justification)
- Biosketches
- References Cited
- Facilities, Equipment, and Other Resources
- Current & Pending Support
- Data Management Plan
- Your proposal may have additional components (e.g., Mentoring Plan).
NSF Collaborative Proposals

- A Collaborative Proposal is defined as two or more PIs/organizations collaborating on a unified research project.
- A collaborative project allows for each organization to bare sole responsibility for their distinct work on a unified project.
- Collaborative proposals may be submitted to NSF in one of two ways:
  - As a single proposal, in which a single award is being requested for the lead organization and collaborative institutions (non-leads) serve as sub awardees.
  - By simultaneous submission of proposals from different organizations, with each organization requesting a separate award.
- In either case, the Lead organization’s proposal must contain all of the required sections as a single package.
Submission of Collaborative Proposals

- The lead institution is responsible for the Project Summary and Project Description.
- All other required NSF documents need to be uploaded into Fastlane by all identified organizations in one of the two ways previously mentioned.
- Each collaborator should use the same title and the project title must begin with the words “Collaborative Research:” The proposal Title.
Linking the Collaborative Proposals

- The lead institution links the proposal by entering their respective proposal ID and PIN (assigned by the PI) from each non-lead institution.
- To link the proposals in Fastlane, go to the Form Preparation Screen, click on the GO button next to the Link Collaborative Proposals.
- In the Link Collaborative Temporary Proposals screen, both link boxes will instruct the person on how to enter the proposal ID and PIN.
- Click the “Add collaborative proposal ID to proposal” button. The Temporary Proposal should then be added. Review then click the OK button to confirm the newly linked proposal.
- The Link Collaborative Temporary Proposals screen appears and the temporary proposal ID of collaborative institution will be listed. Review then click the GO Back button which goes to the Temporary Proposal screen.
At The Time of Award & Revised Budget

● Once the proposal is recommended for funding the Program Officer emails the PI to request additional documents (as necessary):
  ○ Any changes in the PI’s Current & Pending Support since the proposal was submitted (to be submitted to the PO by email)
  ○ An abstract in lay terms for the NSF website (to be submitted to the PO by email)
  ○ IRB and/or IACUC approvals, if applicable (to be submitted to the PO by email)

● If NSF reduces the total funding amount for the proposal, the PO will also ask the PI to submit a Revised Budget with a Budget Impact Statement through FastLane
Changing a Submission in FastLane

- Proposal File Update Module and Proposal Revised Budget Module
- The Proposal File Update Module is used to make changes to a submitted proposal in Fastlane
  - The PI needs to initiate a Proposal File Update in Fastlane through the Proposal Functions screen
  - The PI can assign a PIN to the Proposal File Update and share it with the DRA, so the DRA can work on the revised documents
  - Once the revised documents are ready, the PI needs to allow OSP access to the Proposal Update
  - OSP submits the Proposal Update
    - The revised documents are automatically added to the submitted proposal file in place of the original version
Changing a Submission in FastLane - Continued

- The Proposal Revised Budget Module **MUST** be used when making changes to the proposal budget and budget justification.
  - The PI needs to initiate a budget revision in FastLane through the Proposal Functions screen. The PI can assign a PIN to the revised budget and share it with the DRA, so the DRA can work on the revised documents.
  - Once the Revised Budget is completed, the PI needs to forward the revision to OSP. OSP then submits the Revised Budget.
  - The Revised Budget documents are automatically added to the submitted proposal file in place of the original version.
Research.gov

● Research.gov provides grants management for the research community. Research.gov will become the replacement for FastLane, providing quick access to research information and grants management services, all in one location.

● Actions performed on Research.gov:
  ○ No-cost extension requests
  ○ Annual and final technical reports
  ○ Change in PI effort
  ○ Full list of request and notifications can be found at www.research.gov
The End - No Questions!