WELCOME

Essentials of Research Administration

CORE 3
Pre-Award
February 10th, 2015
OVERVIEW
Topics 1 – 4:

- Identifying and Reading Solicitations
- Proposal Basics/Getting Started
- Budgets and Budget Justifications
- Submitting Your Proposal to OSP
ERA CORE 3 – Topic 1
Identifying and Reading Solicitations

OVERVIEW:

- Identifying faculty research interests
- Finding funding opportunities
- Solicitation review
- Overview of NSF/NIH solicitations
- Considerations when handling foundation or non-profit solicitations
- Working with solicitations from DOD/DARPA
Identifying Faculty Strengths and Research Interests

- Look at what proposals have been submitted, and what proposals have been funded in your department to get an idea of research interests

- Review department and faculty web pages

- Use MSU Collaboration resources to search faculty expertise
  - **MSU Scholars** – Public portal to publications of MSU researchers from Elsevier’s Scopus database
  - This tool may be accessed at the following web site: [https://vprgs.msu.edu/collaboration](https://vprgs.msu.edu/collaboration)
Identifying Possible Funding Sources

**Federal Opportunities**
- National Science Foundation
- National Institutes of Health
- U.S. Department of Agriculture
- U.S. Department of Education
- U.S. Department of Energy
- U.S. Department of Defense
- U.S. Department of Commerce

**Non-federal Opportunities**
- Foundations
- Nonprofits
- Commodity Groups
- Foreign Agencies
- Industry
- State of Michigan
  - MI Department of Agriculture
  - MI Department of Community Health
  - MI Department of Transportation
  - MI Economic Development Corp.
Identifying Possible Funding Sources

MSU FUNDING OPPORTUNITY RESOURCES

**SciVal Funding** is a subscription service provided to the MSU research community to help faculty identify funding opportunities based on specific terms and criteria.

Faculty profiles in the **MSU Scholars** database can be linked to the SciVal Funding tool so that faculty may set up automatic alerts of funding opportunities that match their expertise.

The **OVPRGS Funding Opportunities Database** provides information about selected funding opportunities from a variety of sources.

[https://vprgs.msu.edu/find-funding](https://vprgs.msu.edu/find-funding)
Identifying Possible Funding Sources

Finding Federal Funding Opportunities
- NIH website: http://grants.nih.gov/grants/oer.htm
- NSF website: http://www.nsf.gov/funding/
- For subscription to daily email alerts: http://gcionline.net/index.html

Finding Non-Federal Funding Opportunities
- proposalCENTRAL: https://proposalcentral.altum.com/
- Review websites of potential sponsors directly.
- The VPRGS website at MSU has links to facilitate searching for both federal and non-federal opportunities: http://vprgs.msu.edu/find-funding
- SciVal Funding may also be used to find both federal and non-federal opportunities.
Let’s Find Some Opportunities

Professor Climate would like to find some opportunities that will support his research in global warming.

- Click on the *Search Grants* tab
- Search Tips can help with your search logic
Grants.gov Search

Let’s use “Global warming” as a search term.
Grants.gov Search

We have zero results!
Sometimes it is better to use broader search terms.
Grants.gov Search

Let’s try “climate” instead.
Grants.gov Search

- Now we have about 100 results.
- Let’s look – there may be a good opportunity or two.
SciVal Funding Search

http://www.funding.scival.com/home#b

- To bring up a detailed search screen, click on Search at the top of the page.
- Select Keywords and enter words “Global warming”.
- Then click on Search opportunities (green button).
- There is 1 opportunity! We don’t know if Dr. Climate is interested in tropical cyclones. We can save this opportunity information on a funding opportunity list for Dr. Climate.
Let’s Broaden Our Search

- Click on *Modify this search*
- Enter keyword “climate”
- There are over 200 opportunities!
- Let’s focus on research opportunities only. Click on Research Grants under Award type.
- Now we have 51 opportunities. That is easier to work with!
- Review the opportunities and compile a list for Dr. Climate.
Identifying Possible Funding Sources

**MSU INTERNAL OPPORTUNITIES**

Strategic Partnership Grants (SPG) – Provides funding for major projects in key areas of research, scholarship, and creative activities. The most recent call provided up to $400,000 for projects of up to three years in duration.

Humanities and Arts Research Program (HARP) – The HARP Development program provides funds to support faculty who are conducting important research leading to creative and performance projects or activities in the arts and humanities. The HARP Production program provides funds for expenses related to producing the results of a completed creative or research project.

Discretionary Funding Initiative (DFI) – This program provides bridge funds for tenure stream faculty for additional studies needed for resubmission of a grant application. Matching funds are required.

College and Department Level Programs – Funding programs may be available at the college or department level. This varies by college and department.
You’ve Identified the Solicitation – Now What?

- Briefly review the solicitation to check for eligibility requirements and deadlines. You don’t want to circulate a solicitation that has expired, or that your faculty are not eligible to pursue. Check to see if the solicitation is institutionally limited so that your faculty meet the internal deadline if one has been set.

- Send to faculty who may be interested.

- If numerous faculty may be interested, send to the department chair, or post in the department offices or on the department website if you are a department administrator.

- For large inter/multi-disciplinary solicitations, notify faculty of the help offered through the Office of Research Facilitation and Dissemination: [http://resfacil.msu.edu/](http://resfacil.msu.edu/).
Your Faculty Member Plans to Submit a Proposal!

- Give the Office of Sponsored Programs (OSP) a heads up by sending a link to the solicitation. Send the email to the team email address for your college: https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMQA3ADEA

- Review the solicitation closely, along with the sponsor’s proposal guide if applicable. The solicitation generally takes precedence over the proposal guide if there are discrepancies.

- Be mindful of any deadlines set for asking questions or seeking clarification. This can be several weeks ahead of the due date.

- Coordinate communication with the sponsor through OSP if there are questions.

- Prepare a list of what documents or forms will be needed to submit a proposal.
Reviewing the Solicitation

Before doing anything else, confirm **eligibility**.
- Are institutions of higher education eligible?
- How many applications may be submitted from an institution? If a proposal is institutionally limited, then a PI will need permission to submit a proposal.

Review **deadlines**, including what time the proposal is due.
- Is a letter of intent or pre-application required?
- Are there multiple deadlines available?

Review **budget** requirements.
- Does the solicitation provide a budget cap for direct costs, or for all costs?
- Is tuition allowed?
- Are there restrictions concerning faculty salaries?
- Are there any required PI meetings out of town?
- Does the sponsor require the budget to be in a specific format, such as hourly labor rather than as a percentage of effort?
- Is cost sharing or matching required?

Consider the need for proposal **signatures**.
Will signatures from OSP be needed to submit the proposal, and must they be original?
Reviewing the Solicitation to Prevent Roadblocks

- Look for required supplemental documents, such as data management plans and postdoctoral mentoring plans.
- Does your budget need to be tied to milestones or timelines?
- Are there intellectual property provisions, such as royalty sharing or IP ownership clauses? OSP needs to review any contractual terms prior to submission if there are any in the solicitation.
- Are there extensive data collection needs for the proposal?
- What certifications are necessary?
- How will the proposal be submitted, and who will submit it?
Reviewing the Proposal Guide

- Format, font, page limits – noncompliance may cause submission to be rejected.
- Biosketch format and instructions should be reviewed. Length varies by sponsor.
- Current and pending support documentation may be needed.
- Is a conflict of interest list required?
- Check for guidance concerning contents of letters of support.
Potential “Deal Breakers” – May Be Found in FAR/DFAR Clauses

- Publication restrictions – time for review is ok, but prior-approval requirements may not be acceptable
- Foreign participation restrictions – this may prevent some graduate students and some faculty from being able to participate in a project
- Collaboration with embargoed countries
- Classified information
- Anything else that would eliminate the Fundamental Research Exclusion which exempts research from licensing requirements
- If any of the above are present, the PI must complete an export control worksheet (http://exportcontrols.msu.edu/) though MSU’s electronic system.
NSF Solicitation Components

- Title of Solicitation and Solicitation Number
- Directorates participating
- Due Dates (letter of intent, pre-apps, full proposal)
- Synopsis
- Anticipated # and $ of award
- Organization Limit/PI limit/Eligibility
- Description
- Details on Award and Eligibility and Budget
NSF Solicitation Basics


- Project Summary
- Project Description, content, page limits, components
- References Cited
- Biographical Sketches
- Budget
- Current and Pending Support
- Facilities, Equipment and Other Resources
- Supplementary Documentation
  - Post-doctoral mentoring plan
  - Data management plan
  - Letters of commitment (collaborative arrangements)
  - Etc. (See GPG for other applicable documentation)
NSF Solicitation Basics

- See the Proposal Preparation Checklist

- Merit Review Principles and Criteria
  For some solicitations, indicates what would be “non-responsive”, i.e. failure to provide some part of the budget, broader impacts, etc. might eliminate the proposal from consideration.

- Submission is done through FastLane; requires NSF ID for PI and co-PIs prior to submission

- Collaborative Proposals are often possible – each university submits its own, awards are made to each, one entity is lead.
NIH Solicitation Basics

- Solicitations comparable to NSF
- NIH has 27 institutes and centers and each has a unique research agenda.
- Program announcements are often for the following:
  - R01 – Research Project grant – unlimited funding, but special permission is required if direct costs exceed $499k in any year; typically from 3 to 5 years in duration; may use modular budgets if for $250k per year or less.
  - R21 – Exploratory/Developmental grant – maximum of $275k over two years.
  - R03 – Small Research grant – $50k per year for two years
  - K – Research Career grants
  - U – Cooperative agreements
NIH Solicitation Basics

- Due dates are often standard depending on the mechanism and are typically three times per year.
- The solicitation includes Overview and Award Information sections.
- Proposals are submitted to the NIH through Grants.gov.
- The NIH follows the U.S. Department of Health and Human Services Public Health Service SF424 (R&R) Application Guide.
- The Office of Extramural Research has news and useful information about NIH grants and funding:  
  http://grants.nih.gov/grants/oer.htm
Non-Profit Example

American Cancer Society

- Solicitation is 66 pages long
- Electronic application is due, AND a paper application is due one day later.
- There may be multiple types of opportunities within one solicitation, such as new investigator grants, established investigator grants, and postdoctoral researcher grants.
- You may need to ask which program your PI is interested in.
- There is intellectual property language. OSP will need to receive the solicitation as soon as possible for review.
- Signatures are required by the PI, the Office of Sponsored Programs, and by the Department Chair. It’s helpful to know this up front so you can plan accordingly!
Non-Profit Example

American Cancer Society

The Society's research grants do not provide funds (direct budget) for such items as:

- Secretarial/administrative salaries
- Student tuition and student fees including graduate and undergraduate; however, tuition is an allowable expense for the principal investigator of a Mentored Research Scholar Grant.
- Foreign travel (special consideration given for attendance at scientific meetings held in Canada)
- Books and periodicals except for required texts for coursework in the approved training plan for MRSGs
- Membership dues
- Office and laboratory furniture
- Office equipment and supplies
- Rental of office or laboratory space
- Recruiting and relocation expenses
- Non-medical services to patients (travel to a clinical site or patient incentives are allowable expenses)
- Per-diem charges for hospital beds
- Construction, renovation, or maintenance of buildings/laboratories
Non-Profit Example

American Cancer Society

- Some programs under this solicitation do not allow indirect costs; others allow a rate of 20%

It is essential to **READ THE SOLICITATION!**
Typical DARPA/DOD Solicitation

- More complex than NSF or NIH
- Require Technical Proposal and Cost Proposal
- Very specific sections and page restrictions
- Task Budgets, Monthly spending plans, are required of prime and subcontractors
- Often IP discussion, Management Plan, List of Collaborators, Former Contracts list, Milestone list with budget, Timeline, Small Business Subcontracting Plans, etc. are required.
- Merit review/Non-responsive issues usually “buried” at the end
- These solicitations must be reviewed well in advance by pre-award administrators.
How DARPA Cost Proposal May Impact Technical Proposal

- Start date often provided in solicitation
- Task and Phase budgets must tie to milestones that may be “go or no-go” for Sponsor
  - “recommend” to PI that their tasks fall within governmental fiscal years (quarters, etc.) if possible
  - Minimal number of tasks and subtasks – a budget will be needed for each one
  - Subcontractors will need to provide the same type of budget – additional time & expertise needed by subs
- IT & equipment purchases must be justified separately
- Travel to sponsor meetings required
DARPA/DOD BAA Instructions

- Volume I, Technical and Management Proposal
  - Section I. Administrative
  - Section II. Summary of Proposal (up to five pages)
  - Section III. Detailed Proposal Information (up to 25 pages)
  - Section IV. Additional Information (no page limit)
    Includes bibliography; up to 3 relevant papers

- Volume II, Cost Proposal (no page limit)
  - 1. Total program cost broken down by major cost items
    - Direct labor, consultants, indirect costs, travel, other direct costs, equipment, materials; major program tasks by Government fiscal year (Oct 1 – Sept 30)
  - 2. Summary of total program costs by phase and task
  - 3. Summary of projected funding requirements by month
  - 4. Priced Bill-of-Materials (BOM) identifying source of unit price, type of property
  - 5. Itemization of all subcontracts – in same level of detail as prime
  - 6. Source and nature of industry cost sharing; identification of pricing assumptions; rate agreements; cost accounting documentation as applicable.
Typical DARPA/DOD Provisions

“The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation, and to make awards without discussions with proposers. The Government also reserves the right to conduct discussions if it is later determined to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that proposer. The Government reserves the right to fund proposals in phases with options for continued work at the end of one or more of the phases.”
DARPA Proposal Submission

Proposers requesting grants or cooperative agreements may submit proposals through one of the following methods: (1) hard copy mailed directly to DARPA; or (2) electronic upload per the instructions at http://www.grants.gov/applicants/apply_for_grants.jsp.

Grant or cooperative agreement proposals may not be submitted through any other means (including https://dsobaa.darpa.mil and other comparable systems). These systems used are for contract proposals.
DARPA Proposal Submission

All proposals submitted electronically through a DARPA-approved proposal submission web site (not including Grants.gov) must be encrypted using WinZip 'compatible' 256-bit key AES ZIP format. Only one zipped/encrypted file will be accepted per proposal and proposals not zipped/encrypted will be rejected by DARPA. An encryption password form must be completed and e-mailed to DARPA-BAA-13-20@darpa.mil at the time of proposal submission. See https://dsobaa.darpa.mil for the encryption password form.
Key Pointers

- Communicate with OSP as soon as you know about a proposal.
- Read the solicitation taking note of special requirements, and items that will be needed.
- Get the project dates and other items needed from the PI to start putting the budget together, such as personnel needs, equipment, travel, supplies.
- Obtain information about cost share or matching if required in case approval will be needed from other colleges and/or units.
- Gather information for subcontracts – it may take some time to have necessary forms signed.
Questions?
Essentials of Research Administration

Core 3

Topic 2: Proposal Basics/Getting Started

Judy Brown
Director, Office of Research Support
College of Natural Science (NatSci)
Overview:

- Setting up your proposal
- Establishing a timeline and getting organized
- Reviewing the sections of the proposal
- Drafting and routing the eTransmittal
- Finalizing & submitting
PI communicates their intent to submit proposal

- Who is the funding agency and what is the solicitation number?
- When is it due? – Provide a proposal timeline – Will you be in town?
- Document proposal deadline on calendar
- Notify OSP & Department/College
  - Dr. X is planning to submit an NIH proposal for the March 5 deadline. APP number is 198765
- Set up your proposal folder – Get yourself ORGANIZED!
  C:\2015-16_Pending Proposals\Smith_NIH_030511_APP198765
- Print and read solicitation carefully!
Develop a timeline and assign responsibilities

- Should I meet with PI or can we communicate through email?
- Identify the documents required for the proposal submission
  - What do you want my help with? Who is doing what?
    - Downloading application package / FastLane proposal set up
    - Collecting Biosketches and Current & Pending
    - Uploading final documents
    - Completing eTransmittal
- Identify who will be on the proposal
- Does this proposal have a subcontract?
- Are there any other issues identified in the solicitation that need immediate attention (cost share, space, IP, FARS/DFARS)?
- STAY ORGANIZED!
Stay ORGANIZED!

Look for Checklists in your solicitation

If not, create your own!

**NIH Proposal Checklist**

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Time to think BUDGET.....

- Discuss budget timeline with PI so that you meet OSP/your internal deadlines – Be sure to include subcontract budget in your timeline

- Determine project start and end dates

- Create draft, send to PI for review

- Work with PI to finalize

- Send to OSP and post-award department for review

- Is a Cost Share Budget needed?
Stay One Step Ahead:

- Download and draft other required documents listed in the solicitation
- Draft other required attachments
  - Supplementary document
  - List of participating faculty
- Coordinate with Subcontracts
  - Detailed budget
  - Justification
  - Statement of work
  - Subrecipient commitment form
  - Other needed documents
- Contact faculty on proposal and request required/updated documents; be sure to review for compliance with agency regulations (font, margins, page limits)
What Else......

- Download application package / create proposal in FastLane (or other system)
  - Do you need a FastLane ID and Password or eRA Commons ID

- Complete as much as possible now, before it gets busy!

- Continue working on the draft eTransmittal

- Are there any documents that require a signature from OSP?
SEARCH GRANTS

BASIC SEARCH CRITERIA:
Keyword(s):
Funding Opp #:
CFDA Number:

SORT BY: Open Date (Descending)

OPPORTUNITY STATUS:
- Open (1,718)
- Closed (1,354)
- Archived (21,964)

1 - 25 OF 1718 MATCHING RESULTS:

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VIEW GRANT OPPORTUNITY

PAR-14-092
Bioengineering Research Partnerships (BRP) R01
National Institutes of Health — Department of Health and Human Services

SYNOPSIS DETAILS  VERSION HISTORY  FULL ANNOUNCEMENT  APPLICATION PACKAGE

Selected Grant Applications for Download

Download the application and its instructions by selecting the corresponding download link. Save these files to your computer for future reference and use. You do not need Internet access to read the instructions or to complete the application once you save them to your computer.

READ BELOW BEFORE YOU APPLY FOR THIS GRANT!
Before you can view and complete an application package, you MUST have Adobe Reader installed. Application packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader. If more than one person is working on the application package, ALL applicants must be using the same software version. Click to download the required Adobe Reader if you do not have it installed already.

Please click the support tab for additional resources.

Below is a list of the application(s) currently available for the Funding Opportunity.

To download the application instructions or package, click the corresponding download link. You will then be able to save the files on your computer for future reference and use.

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Instructions and Application Download
DOWNLOAD APPLICATION PACKAGE

Download Opportunity Instructions and Application. You have chosen to download the application for the following opportunity:

CFDA Number:
Opportunity Number: PAR-14-092: Bioengineering Research Partnerships (BRP) R01
Competition ID: FORMS-C
Competition Title: Forms-C
Agency: National Institutes of Health
Opening Date: 04/20/2014
Closing Date: 01/07/2016

Since you did not subscribe, you will not be notified of any future changes to this opportunity. If you would like to receive notifications please click here.

Download the instructions and application by selecting the download links below. While the instructions or application files may open directly, you may save do not need Internet access to read the instructions or the application once you save them to your computer.

1. Download Application Instruction
2. Download Application Package
SPA Portal

Portal

My Proposal Counts

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<tr>
<td>Routed Transmittals</td>
<td>29</td>
<td>View</td>
</tr>
<tr>
<td>Pending OSP Acceptance</td>
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<td>View</td>
</tr>
</tbody>
</table>

My Routed Proposals

Sort By: App Number

Include Disapproved: [ ]

APP: 131649  Date Routed: 1/3/2015
Agency Deadline: 1/6/2015
Title: Development and Evaluation of Trapping Technology ...
Sponsor: USDA - Forest Service
Current Note: Amendment to account RC102958.
Pending OSP Signature (since 1/7/2015)
To Approve, Disapprove, or View the Proposal Details

APP: 139441  Date Routed: 2/3/2015
Agency Deadline: 1/29/2015
Title: PARADIGM CHANGING MANUFACTURING WITH ADVANCED CON ...
Sponsor: MSU-SPG Strategic Partnership Grants
Current Note: Faculty members AY effort provided by their research appointment in their respective departments.
Pending Department Signature(s) (since 2/4/2015)
To Approve, Disapprove, or View the Proposal Details

Search Transmittals | Add New Blank eTransmittal

My Effort

Effort reports you must certify:
You have no effort reports you must certify.

View My Effort Report

My Award Contribution

College Contribution Total(s): $0.00

Our Office Location:
Hannah Administration
426 Auditorium Road
Room 2
East Lansing, MI 48824
Phone (517) 355-5040
CGA Fax (517) 353-9812
OSP Fax (517) 432-8035
Hours M-F 8-12 & 1-5
Add New Blank eTransmittal or View Draft

To pull up routing eTransmittal click on “To Approve, Disapprove or View the Proposal Detail” or “View All”
eTransmittal

Start draft before notifying OSP of proposal

Finalize eTransmittal and submit for routing

Corrections can be made by:
1) resetting the route – pulls it back to draft format

OR

2) working with OSP
Creating a draft eTransmittal

- Use APP# as reference when communicating with OSP
- Who should be listed at top / what is the overhead credit distribution
- What department will be responsible for the post-award?
- Who is the contact person?
- Other Financials (F&A Rate, Subcontract Amount, Total Cost share)
- Answers to Project Details question
  - Additional space
  - Alterations/renovations
  - International activities – if yes, countries in key words
  - Human subjects
  - Human blood/materials/ fluids
  - Vertebrate animals
  - Recombinant DNA
  - Pathogens/biohazards
  - Hazardous/regulated chemicals
  - Radioisotopes
  - Stem cells
  - Copyright commitments
MSU requires Subrecipient Commitment Form with institutional signature for Subcontracts

Subrecipient Commitment Form

https://cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMgA2ADAA
10-14 days to go......

**Finalize budget and budget justification**
- Send to OSP & Department/College for review and approval - Subcontract budgets should be finalized as well

**Finalize eTransmittal and route for approvals**
- Enter final budget numbers
- Use the notes section for additional information
  - Cost share; required, voluntary, who, what.....
  - Off-campus F&A rate
  - Agency restrictions; cap on tuition and fees, reduced F&A rate
  - Answer questions that may slow down the process!
- Upload attachments
  - Approved budget
  - Budget Justification
  - Draft abstract/project summary
  - Cost share documentation
You’re on the home stretch...or the most hectic hour 😊

At least 6 business days until deadline.....

➤ Collect final documents from proposal team
➤ Finalize & upload all documents you can
➤ Upload / assemble final proposal
  ○ Take the time to review the full packet
➤ Send to PI for final review and approval
3 days to go……Time to Submit!!

OSP submits electronic proposals, be sure to follow up! (or copy, collate, package and mail)

- FastLane – send follow-up email to Proposal Team 1 or 2
  - Check proposal in FastLane
  - Release to SRO – allow to review, edit and submit
- Grants.gov – Email completed packet to Proposal Team 1 or 2

Email Subject line: Ready to submit – Smith APP 198765

......attached is the final Grants.gov packet / .....released the proposal in
FastLane to SRO.
The eTransmittal, APP# 198765, has complete its routing and is in the OSP
queue for your review and approval......
✓ Confirmation emails received
✓ eTransmittal accepted by OSP
✓ PI notified
✓ Final documents sent to PI & Department

Whew – another one out the door – GOOD JOB!!

Time to wrap it up - take the time to organize your files!
Archive drafts and earlier versions, label final documents

Stay Organized!!!

Think about JIT requests and revised budget.....
Break!
ERA

CORE 3

Topic 3: Budget and Budget Justification

MaryJo Banasik, J.D., C.R.A.
Research Administration Manager
College of Veterinary Medicine

Judy Brown
Director, Office of Research Support
College of Natural Science
The Why – What – How of Budgets

- Why does the budget matter?
- What types of budgets are there?
- How to get started
- The how and why of budget templates
- What budget categories are there?
- The how and why of budget justifications
- Cost share, how and why?
What is a Budget?

- **Grants**
  - Best guess, good faith estimate of expenses incurred by the proposed project

- **Contracts**
  - Accurate accounting of expenses incurred by the proposed project
  - Fixed price – overage not allowed, budget carefully!

- **Industry**
  - Fully burdened budget
  - OSP may still require a detailed budget but it may not be what you should submit to the sponsor!
Why Does the Budget Matter?

- We are stewards of taxpayer dollars, and of funds entrusted to us from other public or private sources.
- We need budgets to develop reasonable estimates of the work that will be funded.
- The budget is also a helpful tool to provide a limit within which a research project may be designed and planned.
Types of Budgets

- Cost reimbursable - typical for grants
  - Payment is based on expenditures incurred.
  - The institution is expected to deliver what can be accomplished within the constraints of the available funds and within the designated project period.
  - Once funds have been depleted, work is not expected to continue.
  - Reimbursement is made based upon invoicing or letter of credit draws.
Types of Budgets

- Fixed price – seen in contracts
  - Value of contract is determined by whether the overall price is a good value for the work to be completed.
  - Individual budget items are not typically considered.
  - Payment is based on performance.
  - The institution may keep any excess funds if funds are left over, BUT if costs exceed the award, the institution absorbs the costs.
  - The institution carries the risk of price fluctuations.
Industry Budgets

- Industry budgets may be cost reimbursable or fixed price.
  - Typically an internal budget is prepared for MSU Business-Connect.
  - A fully burdened budget with all costs, including personnel and indirect costs is usually submitted to the sponsor.
  - Do not submit industry budgets to industry without prior approval from MSU Business-CONNECT!
Getting Started

- Read the solicitation and the agency budget forms carefully.
  - How much funding is available annually?
  - What are the budget restrictions?
  - If you will be preparing the budget, ask the PI for general information that you may use to start a spreadsheet.
  - Ask the PI additional questions; if you don’t understand, ask for the justification language.
  - Be consistent and stay organized!
  - Be sure to version your documents & archive previous drafts.
  - Remember, all costs must be reasonable, allocable to the research project funded, treated consistently across projects, and compliant with the requirements of the solicitation.
Budget Templates

- Find a template that fits your proposal budget form
- Use formulas!!
- Be consistent
- Use the notes column
- Don’t reinvent the wheel
  - The SPROUT site includes links to budget templates: [http://sprout.vprgs.msu.edu/tools/](http://sprout.vprgs.msu.edu/tools/)
  - OSP also provides links to budget templates: [https://www.cga.msu.edu/PL/Portal/Forms.aspx](https://www.cga.msu.edu/PL/Portal/Forms.aspx)
- Remember to cross-check the budget justification with the budget spreadsheet.
### NSF Formatted Budget Worksheet

<table>
<thead>
<tr>
<th>A: SENIOR PERSONNEL</th>
<th>Role</th>
<th>AN</th>
<th>AV</th>
<th>AA</th>
<th>Proj Yr</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
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<td>Grad Assistant</td>
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<td>C: TOTAL</td>
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<td>F: PARTICIPANT SUPPORT COST</td>
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<tr>
<td>G: OTHER DIRECT COST</td>
<td>M1</td>
<td>Subtotal</td>
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<tr>
<td>H: TOTAL DIRECT COST</td>
<td>MTDC = Modified Total Direct Cost</td>
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<td>I: INDIRECT COST B</td>
<td></td>
<td>Direct 11/03</td>
<td>52%</td>
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<td>J: TOTAL DIRECT AND INDIRECT COST B</td>
<td>AMOUNT OF THIS REQUEST</td>
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</table>
NIH Formatted Budget Worksheet
Budget Categories

- Personnel
  - Salaries and wages
    - Faculty (can be Annual, Academic Year, or Summer)
    - Postdoctoral Research Associates
    - Technical Support
    - Clerical Support – not usually permitted
    - Graduate Students – ¼, ½, or ¾ time, 9 or 12 months
    - Undergraduate student labor
    - International – budget 13 months
    - Don’t forget the NIH (really DHHS) Salary cap: $183,300/AN or $137,475/AY (2015)
Fringe Benefits

- MSU uses the Specific Identification method to calculate fringe benefits.
  - Costs are based on average actual costs and individual participation in retirement.
  - Academic year faculty should be charged fringes at the rate of 7.65% for FICA during the summer.
  - Charges for student labor should include 7.65% for FICA during the summer and when a student will be taking less than six credit hours.
Fringe Benefits

- Remember Affordable Care Act! Flowchart will be available soon. Generally, if students will work more than 29 hours per week for 90 days or more, or over an average of a year, $417 must be budgeted monthly for health costs.

- Graduate Assistants – health costs should be budgeted as fringe benefits, and tuition and fees should be budgeted under Other Direct Costs.

- See the “FINAL 2014 Grad Fringe Charge 14-20.pdf” at the following link (very bottom of webpage):
  https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AOQA1AA==
Fringe Benefits

- Research Associates
  - Research associates are eligible to participate in MSU’s retirement plan after three years of employment. After three years of employment, the fringe benefit rate increases by 10%. After 5 years, regular fringe rates.
  - When using the budget builder, be sure to check the PostDoc box for postdocs.
Welcome to the Office of Sponsored Programs (OSP) (Posted: 9/2/2010 to 11/30/2010 Revised: 12/8/2014 By Passapula, Himabindu)

The Office of Sponsored Programs (OSP) is a unit under the Vice President for Research and Graduate Studies with an organizational affiliation to the Vice President of Finance. Our mission is to provide superior pre-award support to faculty, staff, and the Contract & Grant Administration. If you have any general questions, please email help@osp.msu.edu

Organization Structure

- OSP Contacts by College
- OSP Organization Chart
- OSP Structure Breakdown
- Mission and Vision

Policies, Procedures, and Information

- Account Types
- Award Process
- Conflict of Interest Business Procedures
- Cost Share Policy
- Proposal Submission Deadline Policy
- Internal (eTransmittal) Approval Process
- Export Control Procedures
- F&A Rates & Information
- Federal Uniform Guidance
- Finding Funding
- Fringe Benefit Information
- Frequently Requested Proposal Information
- Grants.gov Information
- Limited Submission Policy
- Proposal Preparation Guide
- Signature Authority
- Who may submit a proposal at MSU?
OSP/CGA Salary Budget Builder

- Select the correct starting year and month.
- Click on Lookup Person to search for personnel names.
- For personnel with academic year appointments, add the name for both the academic year and for the summer. There will be two entries.
- Check the PostDoc box for any postdoctoral research associates in the budget.
Budget Justification Language for Fringe Benefits

MSU fringe benefits are based on a specifically identified rate for all employees. Under this system, costs are identified into four categories and accounts will be charged only to the extent that an employee receives those benefits. Categories are; Retirement; FICA; Other/Miscellaneous; and Health Costs. Summer salaries for AY appointment faculty are limited to 7.65%. Fringe rates for Graduate Assistants are determined by the university. All salaries are increased by 3% annually.

**Avoid using actual rates in your Budget Justification**
Budget Categories: Equipment

- Equipment
  - Article of nonexpendable, tangible personal property with a useful life of more than one year
  - The cost of the item must be $5,000 or more
  - F&A may not be charged on equipment
  - Fabrication of equipment with individual components valued at less than $5,000
Budget Categories: Travel

- Travel
  - Check the solicitation
    - Is an annual meeting required?
    - Does the sponsor allow travel to scientific meetings?
    - Is there a funding cap on travel in the solicitation?
  - Distinguish between domestic and international travel
  - Provide details in the budget justification
    - Who is traveling, where, and for how many days
    - Include airfare or mileage, lodging, and per diems
Budget Categories: Participant Support Costs

- Participant Support Costs
  - Direct costs from stipends, subsistence and/or travel allowances, and registration fees paid on behalf of participants or trainees (not usually employees) in connection with meetings, conferences, symposia, or training projects
  - F&A is not charged on participant support costs.
  - Read the solicitation!
  - Ask Questions!! - What is it they want to do?
Budget Categories: Other Direct Costs

- Other Direct Costs
  - Supplies and materials - provide breakdown for budget review. Must be project related.
  - Computers must be justified and may be allowed when:
    - A laptop is needed to conduct fieldwork
    - Specific software/hardware capabilities are required
    - A person will be hired on the project 100% time
- Publications
- Consultants – use a reasonable rate; typically NOT an MSU employee; include travel if needed
Budget Categories: Other Direct Costs

- Other Direct Costs
  - Computer services and equipment rental fees
  - Tuition and fees – this does not go under fringe benefits
  - Some international costs such as visa fees, costs of immunizations, in-country expenses
  - Service center fees
  - Rental fees; space and renovations
  - Etc.!
Total Direct Costs Versus Total Costs

- Total Direct Costs = all costs except for F&A
- Total Costs = all costs, including F&A
- Budget caps
  - Some sponsors base budget caps on total direct costs, such as NIH.
  - Other sponsors base budget caps on total project costs, such as USDA.

*Again, READ THE SOLICITATION!*
NIH Modular Budgets

- NIH allows for modular budgets if total direct costs are $250,000 or less annually for every year of the project.
- Subaward F&A does not count toward the cap!
- Budgets are to be requested in $25,000 increments or modules – If the budget does not have the same number of modules requested each year, this must be justified.
- A Personnel Justification is used instead of a detailed budget justification.
  - Provide the name and role of all personnel including their role in the project, and person months committed.
- An additional justification is needed for equipment
- A detailed budget and justification are still needed for internal budget review.
Facilities and Administrative Costs (F&A)

<table>
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<tr>
<th>7/1/11-6/30/15</th>
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</thead>
<tbody>
<tr>
<td><strong>Project Nature</strong></td>
<td><strong>Rates</strong></td>
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<tr>
<td>Research</td>
<td>53.5%</td>
</tr>
<tr>
<td>Other Sponsored Activities</td>
<td>36%</td>
</tr>
<tr>
<td>Off Campus*</td>
<td>26%</td>
</tr>
<tr>
<td>Testing</td>
<td>26%</td>
</tr>
</tbody>
</table>

*Off campus:
✓ Activities are performed in facilities not owned by MSU and rent is directly allocated to the project(s)

✓ If more than 50% of a project is performed off campus, the off campus rate will apply to the entire project.

Cognizant federal agency: DHHS
Contact: Ernest Kinneer, (214) 767-3261
Modified Total Direct Costs (MTDC)

- MTDC is the base to which the F&A rate is applied in most cases
- Excluded from the base are:
  - Subawards with the exception of the first $25,000 of each subaward
  - Equipment
  - Graduate tuition and fees
  - Capital expenditures
  - Charges for patient care
  - Space rental costs
  - Scholarships and fellowships
  - Participant support costs
Reduced Facilities and Administrative Costs

- MSU can accept reduced F&A rates when:
  - The sponsor is a nonprofit or foundation AND has a written policy documenting their F&A rate.
  - The sponsor is a government agency with a required F&A rate that is lower than MSU’s established rate.
  - The State of Michigan typically requires a rate of 20%.
- The Office of the Vice President for Research and Graduate Studies approves a waiver.

https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMQA2ADUA#IndirectCostWaiver
Facilities and Administrative Costs

- F&A rates lower than MSU’s Negotiated Indirect Cost Rate Agreement (NICRA) are typically based on total direct costs (TDC) rather than MTDC.

- USDA limits F&A to the lesser of the institution’s negotiated rate or the equivalent of 42.857% (30% of Total Federal Funds Awarded) – be sure to calculate F&A using both rates when there are subcontracts or equipment!
Budget Justification

- Follow the order of the categories in your budget.
- Check how to quantify effort – some sponsors such as the NIH require person months rather than percentage of effort.
- Confirm page limits.
- Provide details for all expenses or they risk being cut.
- Explain unusual circumstances or requests.
- Avoid using $$ totals in justification.
- Your budget justification must match your budget!
Cost Sharing/Matching

- **Cost Sharing** – portion of total project costs that are paid from sources other than the sponsor.

- **Matching** – University is required to proportionally match the funds that are provided by the sponsor.
  - May be cash, or “in-kind” – value of non-cash contributions to the project.
Types of Cost Share

- **Mandatory**
  - required by the sponsor

- **Voluntary Committed**
  - not required by the sponsor
  - quantifiable
  - a binding commitment
  - included in the proposal

- **Voluntary Uncommitted**
  - not required by the sponsor
  - incidental
  - not binding
  - not included in the proposal

See definitions on the OSP website:
https://www.osp.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMgA0ADkA
Cost Share – NSF Restrictions

- The National Science Foundation prohibits voluntary cost share in proposal budgets.
- For NSF to be able to assess the scope of the proposed project, all organizational resources necessary to complete the project must be described in the Facilities, Equipment, and Other Resources section.
- Mandatory cost sharing requires authorization from the NSF Director, the National Science Board, or by legislation.
What May Be Used as Cost Share?

- Cost sharing contributions must:
  - Be verifiable from the recipient’s records
  - Not be included as contributions for any other federally assisted project or program
  - Be allowable under federal cost principles
  - Are not paid by the federal government under another award, except as authorized by statute
  - Are provided for in the approved budget when required by the federal awarding agency
Showing Cost Share on the eTransmittal
Showing Cost Share on the eTransmittal

<table>
<thead>
<tr>
<th>Note</th>
<th>Author</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Smith is committing 1 AY month to the project but is only requesting .5 AY months from the Sponsor (.5 month is voluntary committed cost share).</td>
<td>Cook, Katherine (1/31/2014 5:46:53 PM)</td>
<td>Delete</td>
</tr>
</tbody>
</table>
Points to Consider

- Be mindful of individual unit requirements.
  - Some require academic year salary if summer salary is being budgeted.
  - Department policies vary concerning re-distribution of salary savings or indirect cost recovery.
  - Some require a minimum amount of effort to participate on a proposal.

*It is best to plan ahead!*
Questions?
Break!
Submitting Your Proposal

Presented by Craig O’Neill & Maria Skinner
OSP Proposal Team Managers
Proposal Preparation Guide (PPG)

Step 1 – 6*

Step 1: Identify Funding Sources

Step 3: Working with Administrators and OSP

Step 5: Prepare Necessary Forms

Step 2: Confirm Eligibility and Study Application Requirements

Step 4: Budget and Budget Justification

Step 6: Regulatory Requirements

Step 7:
Ten business days:
• Send solicitation (also called an RFP or RFA) and draft budget to OSP

Step 8:
Six business days:
• Send final approved budget and administratively complete proposal to OSP

Step 9:
Three business days:
• Send final Proposal for submission to OSP

*Steps 1 – 3 are addressed in other ERA training modules
Step 4-5 Key Points

Step 4

- Budget development guide is now available.
- Subrecipient requirements are provided in the PPG.

Step 5

- **OSP uses the eTransmittal and ActivityLog webapp to track the proposal progress.**
  - Proposal metrics are generated from this data for use by the VPRGS, OSP, Chairs and Deans.
- **Note: Step 5 clarifies** that the eTransmittal should be routed the **sooner** of when: OSP has approved the final draft budget **or** at least six (6) business days prior to submission with a note indicating the status of the OSP budget review and approval.
- OSP reviews the Subrecipient form, budget and budget justification following the same guidelines provided by the Sponsor (if applicable).
- Once the draft or final proposal is available, OSP reviews the eTransmittal in relationship to the proposal.
  - Does the application information match?
Step 6 Key Points

Step 6

• OSP reviews compliance touch-points in relationship to the proposal. For example, as documents are provided, OSP begins matching information:
  
  ▪ Human Subject – the application answers should match the eTransmittal “nature of the project” and human subject question should be marked yes.
  
  ▪ Animal Use
  
  ▪ FCOI compliance (NSF/NIH)
    
    □ Annual and other “investigators” should have their disclosures complete before the proposal is submitted.

    □ Including: consultants, subrecipients, students, etc.
  
  ▪ PI Exception Approval.
  
  ▪ Sponsor’s indirect cost policy review and/or waiver confirmation.
  
  ▪ General review when the off-campus indirect cost rate is used.
  
  ▪ Cost Share confirmation.
Step 6 Key Points

Step 6

- OSP management review and risk assessment when the subawards total more than 50% of proposal.

- OSP uses MSU’s cross-campus site license to Visual Compliance software
  - Provides searchable access to the lists of debarred parties and entities.
  - When identifying a subcontractor or consultant to work with, it is recommended that you check the list early in the planning stage. You can do this by either providing the subcontractor or consultant’s name to your OSP proposal team or you can contact ECTS for information on obtaining an ID for access to the Visual Compliance system if appropriate.

- Review of the “Nature of Project”.
Step 7 – 10 Days Out Key Points

OSP requests that the Solicitation, a draft Budget and a draft eTransmittal APP number to OSP - at least 10 business days before the deadline

- This initial OSP budget review usually includes review of the funding opportunity announcement, budget and budget justification, and, subcontractor’s information (i.e. budget, budget justification, MSU Commitment form answers, etc.), when applicable.
- OSP may need to spend extensive time reviewing and providing exceptions to contract proposals.
- OSP usually will provide initial budget comments to the administrative contact within two working days after submission of the budget & budget justification to OSP.
Step 7 cont. – Key Points

- For budgets over $10M or for those with multiple task breakdowns or information estimating hours and rates per hour to be worked, OSP may need additional time for review.
- Edits, changes, and suggestions will be offered to the department administrative contact by the appropriate proposal reviewing analyst at OSP.
  - Know the difference between recommended vs required.
Step 8 – Final Review Key Points

Send Final Departmental Budget and Administratively Complete Proposal to OSP - at least 6 business days before the deadline

- Important Notes
  - The research plan may continue to undergo revision during the review process.
  - The proposal package should be reviewed by the PI, the departmental administrator and OSP to verify compliance with the agency's and MSU's policies, guidelines, and requirements.
  - It is the primary responsibility of the Principal Investigator or departmental/college personnel (not OSP) to ascertain that the proposal meets the specific requirements specified in the funding opportunity announcement.
Step 9 – Submission Key Points

Send OSP the **Final Proposal for Submission** - at least three (3) full business days before the deadline

- Please provide OSP the following by the submission dates outlined below:
  - Fully-routed eTransmittal (*i.e. College approved*), and
  - The **complete** Electronic application package or paper application package (i.e. with all changes or acceptable recommendations made)

- For proposals that require Electronic Submission (whether OSP submits package or not)
  - Three working days prior to the funding agency deadline (or earlier, if possible), send the final copy of the application package file to OSP. The final version should include all revisions that were suggested during the OSP reviews.
    - OSP is committed to submitting the package one-day before the deadline.
Step 9 cont. – Key Points

• OSP reviews the eTransmittal data fields to confirm that they match the proposal (e.g. first year and project amounts match; cost share amount matches; project title matches; etc.)

• Important Notes
  • Since it’s a shared responsibility, working as a team to submit the proposal, it is incumbent upon the department administrator and the PI to confirm that the proposal has been submitted BEFORE THE AGENCY DEADLINE PASSES.
    ▪ Electronic proposals requiring OSP institutional submission will be submitted by OSP.
    ▪ Electronic proposals requiring PI submission should have a fully-routed eTransmittal showing OSP approval. OSP should be provided a copy for our files if possible.
    ▪ Paper or email proposal submissions are mailed/emailed by principal investigators or departmental personnel. OSP should be provided a copy for our files.
On Time Proposals take Precedence

WARNING!

• PROPOSALS SUBMITTED LESS THAN THREE DAYS BEFORE THE DEADLINE WILL BE CONSIDERED LATE

  ▪ *On time proposals will take precedence.*
  ▪ Proposals submitted on the day of the deadline are considered “at risk” and require special approval.
  ▪ See OSP Deadline Policy for further details.
On Time Proposals take Precedence

- ActivityLog – know your colors:
  - **Red** – proposal is due this day (“At Risk”).
    - If the complete proposal has not been received before 8:00 a.m., OSP sends out a notice to the PI and their administrator in the morning indicating *Associate Research Dean endorsement is needed in order to proceed.*
  - **Blue** – one day before the deadline.
  - **Orange** – the 2\(^{nd}\) or 3\(^{rd}\) day before the deadline.
    - If the complete proposal has not been received, OSP sends out a notice on that 3\(^{rd}\) day to the PI and their administrator indicating that *other on-time proposals now take priority* and provide instructions related to an “At-Risk” proposal so that there is no surprises.
  - **Green** – the 4\(^{th}\) through the 6\(^{th}\) day before the deadline.
What do OSP Contract Teams do when an award is received?

• Confirm that the eTransmittal is complete.
• Review award/agreement.
• Work with other offices for special approvals (if necessary).
• PI approval on scope and any restrictions.
• IRB, MSUT, ECTS, OGC (IP issues, publication issues, etc.).
• Negotiate changes with the sponsor (if necessary).
• Sign or accept the final version of the approved award/agreement and send to the agency for counter signature.
• Receive fully executed award/agreement back and send to CGA for account setup.
• Prepare & send Subawards that are NOT FDP template based.
What are the consequences of not processing an eTransmittal or sending a proposal to OSP before submitting?

- Your Associate Research Dean will be notified of an “After-the-Fact” proposal and/or award.
- Your proposal and/or award will receive a lower priority than those considered on-time.
- We may not be able to accept the award or negotiate the necessary clauses to do the project.
- Your agreement negotiation or award review will be held up until the approvals and compliance documents are in place.
- The PI(s)/College/Dept will not get credit for submitting the proposal due to the proposal record not being created.
Helpful Links

OSP Proposal Preparation Guide:
https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMQAyADgA

10-6-3 MSU Proposal Deadline Policy:
https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMwAwADEA

§315 of the Manual of Business Procedures:
http://www.ctlr.msu.edu/combp/mbp315EBS.aspx#II

Budget Development Guide:
https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMQAyADkA

Subrecipient General Requirements Guide:
https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cga=aQBkAD0AMgA0ADEA
Thank You for Attending!

Save-the-Dates:
Core 4: February 17th, 2015
Core 5: March 10th, 2015

Materials posted on the SPROUT site:
https://sprout.vprgs.msu.edu/training/core-series/