

AS&E PROPOSAL PREPARATION COOKBOOK

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Common Research Acronyms

ASSIST	Application Submission System and Interface for Submission Tracking
CFDA	Code of Federal Domestic Assistance
COGR	Council of Governmental Relations – a professional organization supporting university business officers
COI	Conflict of Interest
COLA	Cost of Living Adjustment
DC	Direct Cost
DOD	Department of Defense
DOE	Department of Energy
DoEd	Department of Education
F&A	Facilities and Administrative costs - also referred to as indirect cost and overhead – the cost of doing business
FAR	Federal Acquisition Regulations – Contract Terms
FCOI	Financial Conflict of Interest
FOA	Funding Opportunity Announcement
IACUC	Institutional Animal Care and Use Committee – Committee responsible for oversight of protocols for research that involved animals
IDC	Indirect cost – also referred to as F&A (see above)
IRB	Institutional Review Board – Committee responsible for oversight of protocols for research that involves human subjects
JIT	Just In Time – materials some sponsors request just before making an award rather than requiring at proposal stage
MTDC	Modified Total Direct Cost - the basis for calculating F&A where some costs are exempted from the base
NASA	National Aero and Space Administration
NCURA	National Council of University Research Administrators – a professional organization for Research Administrators
NEA	National Endowment for the Arts
NEH	National Endowment for the Humanities
NIH	National Institutes of Health
NSF	National Science Foundation
OIG	Office of Inspector General – Federal government offices who are charged with deterring, detecting waste, fraud and abuse
OMB	Office of Management and Budget – agency that provides directives regarding management of federal funding
ORPA	Office of Research and Project Administration
PAMS	Portfolio Analysis and Management System

- PI** Principal Investigator – the lead person carrying out and overseeing a sponsored project
- RFP** Request for Proposal
- SRA** Society of Research Administrators – a professional organization for research administrators
- SRO** Sponsored Research Office – OGCA
- TDC** Total Direct Cost - used by some sponsors or programs as the basis for calculating F&A where only Tuition Charge is exempt
- UG** Uniform Guidance – Federal regulations for management of grants and cooperative agreements. Formerly OMB A-21, A-110 and A-133

Different Types of Funding and Where to Find Opportunities

Federal Funding: This is funding supported by the federal government. There are several funding agencies from which federal money flows through including National Institutes for Health (NIH), National Science Foundation (NSF), Department of Energy (DOE), Department of Defense (DOD), and several more. There is typically an application process which requires an application submitted to an announcement released by one of the funding agencies. These applications then go through a scientific review process and those that will be funded are chosen. Funding rates vary among the different programs. Please visit the following websites to locate funding opportunities:

Useful Websites for finding funding opportunities:

<https://www.grants.gov/web/grants/search-grants.html>

<https://www.nsf.gov/funding/azindex.jsp>

<https://www.fbo.gov/>

<https://www.fedconnect.net/FedConnect/default.htm>

<https://pamspublic.science.energy.gov/WebPAMSEExternal/Interface/Proposal/Solicitation/SearchSolicitation.aspx>

State Funding: This is funding supported by the state. In NYS, there are several organizations which funding flows through including New York State Energy Research and Development Authority (NYSERDA), New York State Department of Health (NYSDOH), New York State Department of Labor (NYSDOL), among others. There is typically an application process which requires an application submitted to an announcement released by one of the funding agencies. These applications then go through a scientific review process and those that will be funded are chosen. Funding rates vary among the different programs. Please visit the following websites to locate funding opportunities:

Useful Websites for finding funding opportunities:

<https://www.health.ny.gov/funding/>

<https://www.dos.ny.gov/funding/>

<https://labor.ny.gov/businessservices/funding.shtm>

<https://parks.ny.gov/grants/>

<https://www.dot.ny.gov/funding>

<https://www.nyserda.ny.gov/Funding-Opportunities.aspx>

Foundation Funding: This is funding supported by private foundations. Foundation funding can be found on specific foundation websites or through announcements put out by foundations seeking applications. Some foundation funders include; Beckman Foundation, Pew, Simons, and Packard.

There is typically a foundation specific application and budget process that you are asked to follow. The application is reviewed by the foundation and awards are made.

Useful Contact Information:

Foundation Relations:

[Ellen Thomas Speer](#), Assistant Vice President
Larry and Cindy Bloch Alumni and Advancement Center
300 East River Road
Rochester, NY 14627
Tel. (585) 273-5110

Useful Websites for finding funding opportunities:

<https://fconline.foundationcenter.org/search?collection=grants>

Other Foundation Specific Websites

Industry Funding: This is funding supported by industry partners. Industry funding can be found through contact with industry representatives. There is typically not a central repository of opportunities. Typically industry partners seek out potential University partners with a study already in mind. These are more common on the Medical Center side of campus with clinical trials. If you have a particular subject or study in mind, you may be able to find industry partners working in that field. *Please contact Cindy Gary or the Center for Business Engagement with questions about potential industry funding.*

International Funding: Funding supported by international organizations or partners. International funding can be found through several channels and supports things like fellowships, training programs, and other research. The purpose of international funding is to meet the needs of an increasingly complex global environment.

Useful Contact Information:

Office for Global Engagement:

[Jane Gatewood](#)

Vice Provost for Global Engagement

Wallis Hall

+1 585-273-1665

jane.gatewood@rochester.edu

Useful Websites for finding funding opportunities:

<https://www.iie.org/Programs>

<http://www.rochester.edu/global/>

Other Proposal Language Defined:

Subaward: A subaward is a formal written agreement made between University of Rochester and another institution or organization to perform an intellectually significant portion of the SOW (Statement of Work) under a UofR sponsored project.

A subaward must include a clearly defined, intellectually significant SOW to be performed by the subrecipient's personnel, using its own facilities and resources. The subrecipient takes full responsibility for adhering to the terms and conditions of the subaward including those flowed down from Stanford's sponsor, and assumes creative and intellectual responsibility and leadership as well as financial management for performing and fulfilling the subrecipient's SOW within the subrecipient's approved budget.

A subaward SOW may include fabrication of specialized equipment to be used for the University of Rochester sponsored research project as a project related asset or as a deliverable to the sponsor.

Subawards differ from procurement contracts used to acquire goods or services from vendors.

For the University of Rochester to issue a subaward you need the subrecipient's budget, budget justification, scope of work, and letter of commitment. Plus you need to complete the

subaward request form and have the subrecipient complete forms subaward attachment 3a, 3b, and 3b page 2.

https://www.rochester.edu/orpa/assets/pdf/form_RegSub.pdf

https://www.rochester.edu/orpa/assets/pdf/form_subaward_attachment_3a.pdf

https://www.rochester.edu/orpa/assets/pdf/form_subaward_attachment3B.pdf

https://www.rochester.edu/orpa/assets/pdf/form_subaward_attachment3B_pg2.pdf

Limited Submission: Limited submission opportunities are funding opportunities where the sponsor has placed a limit on the number of applications that may be submitted from an institution. When there is a limited submission opportunity from a sponsor there will be an internal competition to determine who from the institution gets to submit based on the number of applications allowed.

Electronic Research Administration/Submission Sites:

Electronic Research Administration sites provide critical IT infrastructure to submit grants, manage grants, and allow investigators and administrators access to information about grants through the life cycle. This information may include anything from specific information about grant reviews, scoring, to notice of awards and any additional information requested to make an award. Below is a list of major ERA sites that you will come across. There may be others that come up as you move along in your research career and we are always interested in making this list more comprehensive so please feel free to share these with us as they come up.

Commonly Used ERA websites:

eRA Commons – A program of the National Institute of Health. Generally, this is a dashboard system allowing you access to the grant once it has been submitted through grants.gov or the NIH ASSIST system. This system shows where the grant is in the review process, allows the Investigator access to the reviews and scoring of the grant. It is also the system where Just in Time (JIT) information is requested before final recommendations for funding are made. Registration for this system is required and can be requested through the University of Rochester Office of Project and Research Administration (ORPA) by visiting this link:

http://www.rochester.edu/orpa/assets/pdf/prop_elecreg.pdf

eRA Commons Website:

<https://public.era.nih.gov/commons/public/login.do?TYPE=33554433&REALMOID=06-1edb031f-46c7-44b3-b803-60b537de74d2&GUID=&SMAUTHREASON=0&METHOD=GET&SMAGENTNAME=-SM-938PYmoLVb4VrDeXo04LZUDVDvc%2b3899ByInEAjuSUvWNIGfB2zRpWiCivYGCogG&TARGET=-SM-http%3a%2f%2fpublic%2eera%2enih%2egov%2fcommons>

Grants.gov – A submission system that can be used by several funding agencies including NIH, NSF, DOE, DOD, etc. Grants are submitted through the use of SF424 packages or workspace using an adobe forms package that is submitted electronically through the grants.gov portal. Additionally, the site has information on it for searching out funding opportunities, grant information for those new to grants, information for both applicants and grantors and application packages. It is a good website to visit and has a lot of information that may be helpful.

Grants.gov website:

<https://www.grants.gov/web/grants/home.html>

NIH Assist – A system used to prepare and submit grant applications electronically to NIH and other Public Health Service agencies. Prior to using ASSIST, applicants should identify a Funding Opportunity Announcement (FOA) to which they'd like to apply. FOAs are posted in the NIH Guide for Grants & Contracts and/or in Grants.gov each of which has robust search capabilities. The FOA text will indicate whether ASSIST can be used to apply to that opportunity. You will need the FOA number (e.g., PA-15-987) to initiate an application. Active Grants.gov and eRA Commons credentials are required to prepare and submit applications using ASSIST.

NIH ASSIST Website:

<https://public.era.nih.gov/assist/public/login.do?TYPE=33554433&REALMOID=06-58b5535a-f2c3-40ec-b9ff-a06a3ed4ee18&GUID=&SMAUTHREASON=0&METHOD=GET&SMAGENTNAME=-SM-938PYmoLVb4VrDeXo04LZUDVDvc%2b3899ByInEAjuSUvWNIGfB2zRpWiCivYGCogG&TARGET=-SM-http%3a%2f%2fpublic%2eera%2enih%2egov%2fassist%2f>

NSF Fastlane – A submission system unique to the National Science Foundation (NSF.) Items from the grant package are uploaded directly into this system into the appropriate fields. You will be logging into Fastlane as an “other authorized user.” You will need to request access from ORPA by visiting this link: http://www.rochester.edu/orpa/assets/pdf/prop_elecereg.pdf

Fastlane Website:

<https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp>

PAMS – A U.S. Dept of Energy Site for proposal submission. You can create an account on the webpage below and request to be affiliated to the University of Rochester.

PAMS Website:

<https://pampublic.science.energy.gov/webPAMSEPSEExternal/login.aspx>

Professional Associations/Resources

NCURA – National Council of University Research Administrators: NCURA serves its members and advances the field of research administration through education and professional development programs, the sharing of knowledge and experience, and by fostering a professional, collegial, and respected community.

NCURA Website:

<http://www.ncura.edu/AboutUs.aspx>

SRA International – Society of Research Administrators International: SRA International is comprised of six (6) Sections representing members whose research administration activities are in a specific geographic areas. The Sections elect their own leadership, have individual Bylaws, and hold yearly regional meetings at which SRA International Certificates are offered. University of Rochester is in the Northeast Region.

SRA Website:

<http://srainternational.org/>

NORDP – National Organization of Research Development Professionals: This organization helps you build your institutional culture to support research—whether that is improving grantsmanship skills, fostering collaborations, managing large multidisciplinary research projects, connecting researchers with one another, or helping to mobilize discovery and knowledge into the world.

NORDP Website:

<http://www.nordp.org/>

Uniform Guidance

The Office of Management and Budget's (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (commonly called "Uniform Guidance") was officially implemented in December 2014 by the Council on Financial Assistance Reform (COFAR). The Uniform Guidance – a "government-wide framework for grants management" – synthesizes and supersedes guidance from earlier OMB circulars.*

The reforms that comprise the Uniform Guidance aim to reduce the administrative burden on award recipients and, at the same time, guard against the risk of waste and misuse of Federal funds. Among other things, the OMB's Uniform Guidance does the following:

- Removes previous guidance that is conflicting and establishes standard language;
- Directs the focus of audits on areas that have been identified as at risk for waste, fraud and abuse;
- Lays the groundwork for Federal agencies to standardize the processing of data;
- Clarifies and updates cost reporting guidelines for award recipients.

*The Guidance was drawn from OMB Circulars A–21, A–87, A–110, and A–122 (which have been placed in past OMB guidances); Circulars A–89, A–102, and A–133; and the guidance in Circular A–50 on Single Audit Act follow-up.

You can review the Uniform Guidance here:

https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

You can also contact ORPA directly with questions or concerns about the guidance and compliance as well as how it may affect your individual projects or submissions.

Funding Categories

Research – Funding for the systematic investigation of materials and sources in order to establish facts and reach new conclusions.

Instrumentation – Funding for the purchase and/or maintenance of equipment needed to perform research.

Training - Funding to support students/graduate/post-doc/undergraduate training to establish research projects/complete research projects/participate in research labs and begin on the path to having a career as a researcher.

Outreach – Funding to promote public awareness and understanding of science.

Types of Proposals

Solicited - Responding to a call for a proposal (eg. Program Announcement “PA”, Request for Application “RFA” for grants; Request for Proposal “RFP” for contracts.)

Unsolicited – General application submitted without a formal announcement or request.

New Competing Proposal – Initial request for (typically multi-year) funding - subject to sponsor review criteria and the standard UR signoff process.

Non-Competing Continuation – Request for the subsequent year’s funding within a multi-year project period – typically brief consisting of a progress report, budget, and other relevant materials. May require institutional endorsement (ORPA.)

Competing Renewal Proposal – A formal request for continued funding of a project where the funding period is ending – normally subject to the same sponsor review criteria as new proposals; therefore subject to the standard UR signoff process. This may be required to be submitted one year prior to the end of the project period that is expiring.

Pre-Proposals – Often referred to as a “white paper.” A letter of intent may precede the filing of a pre-proposal. Requested by certain sponsors in certain programs. Often does not contain budget information. If a request is made for budget information and/or cost-sharing the pre-proposal must be submitted to ORPA with required proof of approval of the budget and/or cost-sharing.

University of Rochester Policies and Procedures

ORPA

Office of Research and Project Administration – The Office of Research and Project Administration contributes to the academic mission of the University of Rochester by providing support for obtaining sponsored research funds and managing sponsored program activity. The Office of Research and Project Administration serves and guides the University of Rochester Community on all aspects of sponsored programs administration by providing:

- i. pre and post award services
- ii. stewardship of external sponsored funding
- iii. training and education
- iv. information systems pertinent to research administration and funding

ORPA FAQs:

https://www.rochester.edu/orpa/assets/pdf/home_ORPA_FAQs.pdf

UR Proposal Information Sheet:

https://www.rochester.edu/orpa/assets/pdf/prop_Propinfo.pdf

ORPA Assignments: http://www.rochester.edu/orpa/assets/pdf/orpa_deptassg.pdf

ORPA Leadership and Staff Relevant to AS&E



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Research Administrator



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Research Administrator



Laurie Naber
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Research Administrator

Helpful ORPA Links:

Compliance: <http://www.rochester.edu/orpa/compliance/>

Required Training: <http://www.rochester.edu/orpa/training/>

ORPA-L: <http://www.rochester.edu/orpa/orpa/orpa-l/>

The ORPA-L is a listserv used to announce important information and notices related to research administration. To subscribe to the ORPA-L, send a message via the feedback form and include your email address in the message. ORPA listserv postings from October 12, 2010 to date are accessible through the Listserv archive page at <https://lists.rochester.edu>. Lists that have been configured for public archiving appear alphabetically by name on this page. If you currently subscribe to ORPA-L and want to view the postings for the first time, you will need to register for a LISTSERV Password.

Sign Offs and Approvals: http://www.rochester.edu/orpa/assets/pdf/form_signoff.pdf
<http://www.rochester.edu/orpa/forms/#prosub>

Proposal Signoff is required to be complete before a submission can be made to an agency/sponsor. This signoff requires several levels of approval of the budget and indicates an approval of the planned participation in the project. If you are participating in a clinical trial there is a different signoff form. Additionally by using the second website resource above you can find other information needed to complete the signoff form/process appropriately.

PI Eligibility: http://www.rochester.edu/orpa/assets/pdf/policy_pieligib.pdf

Often times determined by the sponsor and individual announcement. However, the University also has a PI eligibility policy as linked above.

Effort Reporting: http://www.rochester.edu/orpa/assets/pdf/policy_EffortReportingPolicy.pdf

Outlines policy and procedures for complying with federal effort/payroll allocation requirements and other applicable sponsor requirements.

Conflict of Interest: http://www.rochester.edu/orpa/assets/pdf/compl_COIresearch.pdf

Description of the University of Rochester's Faculty Conflict of Commitment and Interest Policy.

Human Subjects: <http://www.rochester.edu/ohsp/>

A link to the University of Rochester's Office of Human Subject Protection where you will find information about human subjects in research.

Non-Disclosure Agreements:

A Confidential Disclosure Agreement (CDA) / Confidentiality Agreement / Non-Disclosure Agreement (NDA) is an agreement under which a disclosing party shares information with a receiving party in exchange for the receiving party keeping that information confidential. A one-way CDA / NDA involves only one party sharing confidential information. For example, a company might share information with the University of Rochester for the purpose of discussing a potential clinical trial. Under a two-way (mutual) CDA / NDA, both parties exchange confidential information, and both parties are bound by obligations of confidentiality.

Examples of confidential information a University of Rochester employee / investigator may share include: unpublished data, preliminary results, novel ideas, future research plans, etc.

The checklist you must complete for Non-Disclosure agreements is located on this page- <https://www.rochester.edu/orpa/forms/>. You need to complete this and to Josef Mejido or Joynita Sur depending on your department, which can be found here - https://www.rochester.edu/orpa/assets/pdf/orpa_MTADeptList.pdf

Budget and Finance Policies

Budget Development: <http://www.rochester.edu/orpa/proposals/#bud>

Templates, Stipend levels, Institutional costs, F&A rate agreements, Fringe Benefit Rate Agreements

F&A (Indirect Cost) Rate Agreement:

http://www.rochester.edu/orpa/assets/pdf/prop_FA_FB_RateAgreement.pdf

https://www.rochester.edu/orpa/assets/pdf/form_idcform.pdf - This form is used when indirect costs are going to be shared between colleges/departments based on a collaborative proposal.

Fringe Benefit Agreement:

<http://www.rochester.edu/orpa/proposals/fringe/>

http://www.rochester.edu/orpa/assets/pdf/prop_FY18BenefitRateDetail.pdf

http://www.rochester.edu/orpa/assets/pdf/prop_FY18IncrementalRate1.pdf

Budget Development:

Budget Templates are available for download from the ORPA site and are located in hardcopy in this binder in the budget section. Specific formats and links to funding agency templates are located in the specific agency section of these information sheets and in the specific funding agency sections of the notebook.

<https://www.rochester.edu/orpa/proposals/#bud>

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget/modular.htm>

https://www.rochester.edu/orpa/assets/pdf/prop_ModBudCorresp.pdf

https://www.rochester.edu/orpa/assets/pdf/prop_NRSALevels.pdf

https://www.rochester.edu/orpa/assets/pdf/prop_PROBUD.pdf

<http://www.rochester.edu/ohsp/rsrb/policies/feeSchedule.html>

https://www.rochester.edu/orpa/assets/pdf/prop_SalaryCapMemo.pdf

Budget Justification:

Most sponsors require you to submit a budget justification (sometimes also called a budget narrative) in addition to an itemized budget. This allows you to explain the need for each line item in the budget, as well as show the breakdown of calculations used to arrive at the amount in each line of the budget.

When constructing a budget justification, follow the same order as that in the itemized budget or sponsor's budget form, so reviewers can easily compare the two documents.

Check to see if the sponsor limits the page length for the justification.

Be sure everything in your budget and budget justification is referenced in the proposal description/narrative as well—and be sure everything mentioned in your proposal description that would incur cost is explained in the budget and budget justification!

Double-check what expenses the sponsor will and will not allow, as these differ from sponsor to sponsor.

If you are purchasing materials and supplies or equipment you may also need a **vendor quote** which outlines the quantity, price per unit, and total cost including any potential discounts. This would be included with the budget justification if required by the sponsor. You should always have vendor quotes saved in your files in case the sponsor asks for them later. This is also the best way to estimate costs for your budget as you have documentation to back up the costs you are asking for in your budget and justification.

Remember, all costs must be REASONABLE, ALLOWABLE, and ALLOCABLE:

- Allowable refers to costs that may be charged to a grant or contract.
- Allocable refers to costs that are necessary for the success of the project.
- Reasonable refers to actions a prudent business person would employ.

Cost-Sharing:

Cost Sharing is the portion of the total project costs related to sponsored programs that is not provided by the sponsor.

Cost Sharing is normally in the form of a direct cost that would otherwise be charged or utilized to support the grant or contract.

Cost Sharing may also take the form of F&A or Indirect costs.

All cost sharing at the University of Rochester is documented on Internal Sign off form and then documented on a cost sharing commitment form on a Just in Time or JIT basis.

Cost Sharing Terms:

Mandatory Cost Sharing: This is when the sponsor stipulated that cost-sharing or “matching funds” are required as a condition of receiving the award. In this case a percentage or amount is specifically pledged in the proposal’s budget or award by the institution. Still requires several levels of approval at the institution before submission.

Voluntary Committed Cost Sharing: This is when the sponsor does not stipulate that cost sharing or matching funds are required by the PI includes such cost sharing in the proposal budget. If the proposal is funded by the sponsor, the proposed cost sharing or matching funds are now considered mandatory by the sponsor and must be documented by the institution. Still requires several levels of approval at the institution before submission.

Voluntary Uncommitted Cost Sharing: This type of cost share is not committed or budgeted in a sponsored agreement. IT does not need to be tracked for cost accounting purposes or reported to the sponsor. The most common reason for this type of cost sharing is an overrun of on project or for researcher’s effort which is above and over what is allowed and/or committed in a sponsored agreement. Still requires several levels of approval at the institution before submission.

In-Kind Cost Sharing: This is when the institution provides provision of goods and/or services whose value can be established by what the goods and/or services are worth in the open marketplace. Still requires several levels of approval at the institution before submission.

There are some sponsors who require cost share and then there are others who don’t allow it. Be sure to carefully read the budget guidance for any opportunity your faculty plans to apply for before determining whether cost share is required, allowable, or not allowable.

National Institutes of Health (NIH)

<https://www.nih.gov/>

The National Institutes of Health (NIH), a part of the U.S. Department of Health and Human Services, is the nation's medical research agency — making important discoveries that improve health and save lives.

About NIH: <https://www.nih.gov/about-nih/who-we-are>

Institutes at NIH: <https://www.nih.gov/institutes-nih>

About Grants – an introduction to the NIH grants process - https://grants.nih.gov/grants/about_grants.htm

Grants and Funding - <https://www.nih.gov/grants-funding>

Sign up for NIH Emails: <https://www.nih.gov/about-nih/sign-free-nih-email-updates>

General Instructions for NIH and other PHS 398 agencies handbook: <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general-forms-d.pdf>

NIH Standard Due Dates: <https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm>

Research Portfolio Online Reporting Tools (RePORT) - In addition to carrying out its scientific mission, the NIH exemplifies and promotes the highest level of public accountability. To that end, the Research Portfolio Online Reporting Tools provides access to reports, data, and analyses of NIH research activities, including information on NIH expenditures and the results of NIH supported research. <https://report.nih.gov/>

Some standard funding mechanisms or “Parent Announcements”–

R01- The Research Project (R01) grant is an award made to support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing the investigator's specific interest and competencies, based on the mission of the NIH. NIH Mission

can be found - <https://www.nih.gov/about-nih/what-we-do/mission-goals>. The R01 announcement can be found here - <https://grants.nih.gov/grants/guide/pa-files/PA-16-160.html>

R21- The R21 grant mechanism is intended to encourage exploratory/developmental research by providing support for the early and conceptual stages of project development. The NIH has standardized the Exploratory/Developmental Grant (R21) application characteristics, requirements, preparation, and review procedures in order to accommodate investigator-initiated (unsolicited) grant applications. The R21 announcement can be found here - <https://grants.nih.gov/grants/guide/pa-files/PA-16-161.html>

National Science Foundation (NSF)

<https://www.nsf.gov/>

About NSF: <https://www.nsf.gov/about/>

Research Areas: https://www.nsf.gov/about/research_areas.jsp

Find Funding: <https://www.nsf.gov/funding/index.jsp>

Proposal and Award Policies and Procedures Guide (PAPPG):
https://www.nsf.gov/pubs/policydocs/pappg17_1/nsf17_1.pdf

Sign up for NSF Emails:
https://service.govdelivery.com/accounts/USNSF/subscriber/new?topic_id=USNSF_51

Preparing Proposals: <https://www.nsf.gov/funding/preparing/>

Fastlane Login: <https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp>

Collaborative Proposals in Fastlane: Collaborative proposals are those in which investigators from two or more organizations wish to collaborate on a unified research project. They may be submitted to NSF in one of two methods: as a single proposal, in which a single award is being requested (with subawards administered by the lead organization); or by simultaneous submission of proposals from different organizations, with each organization requesting a separate award (lead institution links the separate awards in Fastlane).

Simultaneous Submission

For collaborative proposals submitted via FastLane:

Project titles must begin with the words “Collaborative Research:”

Lead institutions’ submission will include a:

- proposal cover sheet;
- project summary;
- project description;
- references cited;
- biographical sketches;

- budgets and budget justification;
- current and pending support;
- data management plan; and
- facilities, equipment and other resources for their institution.

If applicable, the lead organization's submission also must include a post-doc mentoring plan that must not exceed one page, and that addresses the mentoring activities to be provided for all postdoctoral researchers supported under the entire collaborative project.

Non-lead organization submissions will include all of the above for their organization except the project summary, project description, and references cited (which are the same for all collaborating organizations).

Once the proposals are linked, Fastlane will combine the proposal submission for printing or electronic viewing.

Collaborative proposals require simultaneous submission of proposals. One organization has the lead role but all are required to submit their original proposal to NSF.

For FastLane, this means that:

- Each organization prepares their proposal (thus creating a temporary proposal number).
- Each non-lead institution assigns a PIN number (PIN # created by the PI: find "Proposal PIN" button on the "Proposals Actions" screen), and provides the temporary proposal number and PIN to the lead org – and then the lead org links.
- The lead institution links by entering each non-lead institution's proposal PIN and temporary proposal ID number into the Fastlane by using the "Link Collaborative Proposals" option found on the "Form Preparation Screen." The lead institution needs to let the other collaborators know when that happens.
- The proposals can be linked together, and each institution can continue to do work on their own institution's proposal, and submit when ready *within 24 hours of each other* (thus non-lead institutions can submit before the lead institution, as long as the lead institution has linked the proposals; non-lead institutions can also submit after the lead, though less preferable since lead is unable to look at complete proposal before submitting).
- After linking, each institution submits their proposal. Thus, each institution comes up with a different proposal number – but in the Fastlane system those separate proposals are linked together for printing or electronic viewing (with NO new collaborative number).

Department of Energy (DOE)

<https://www.energy.gov/>

About DOE: <https://www.energy.gov/about-us>

DOE Offices: <https://www.energy.gov/offices>

Funding and Financing: <https://www.energy.gov/energy-economy/funding-financing>

EERE Exchange: EERE eXCHANGE is a webport for the U.S. Department of Energy's Energy Efficiency & Renewable Energy programs. On this website, you can find numerous funding opportunities from DOE. Also, EERE eXCHANGE is the submission port for some DOE proposals to the EERE opportunities: <https://eere-exchange.energy.gov/>

National Endowment for the Humanities (NEH)

<https://www.neh.gov/>

About NEH: <https://www.neh.gov/about>

Divisions and Offices: <https://www.neh.gov/divisions>

Grant Opportunities, Application Guidelines, and Resources for Managing Your Grant:
<https://www.neh.gov/grants>

Sign up for Emails: <https://public.govdelivery.com/accounts/USNEH/subscriber/new>

Common Documents Submitted with a Proposal

Biosketch: A biosketch is a short summary of your professional accomplishments. Some of the more common funding agencies (NIH/NSF) have a specific format for the faculty to follow when creating the biosketch. Other funding agencies simply have a page limit to follow. Some common templates and instructions are listed below.

- a. NIH - <https://grants.nih.gov/grants/forms/biosketch.htm>
- b. NSF - https://www.nsf.gov/bio/bioac/members/bio_sketch/Raymond_NSF_Biographical_Sketch.pdf
- c. For other sponsors – Follow directions provided in the solicitation. In some cases you can repurpose an NSF biosketch for those with a two page limit to keep the biosketches consistent. It is just important to check the solicitation to figure out how long the biosketch can be and what can and can't be included.

Current and Pending Support: A list of all current funding you have as well as any submitted applications that are currently pending. Some of the common funding agencies have a format for the faculty to follow. Others just ask for the information they need – typically the title, funding agency, dates of the project, total direct costs or annual direct costs or total project costs, location of the project, and how many person months you have committed to the project whether it be calendar, academic, or summer months.

- a. For NIH this is called “other support” and is not required until it is requested at the Just in Time or JIT phase of the project submission. ORPA will let you know when and if you need to submit JIT information to the sponsor. <https://grants.nih.gov/grants/forms/othersupport.htm>
- b. For NSF All current project support from whatever source (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, even if they receive no salary support from the project(s). The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support.

<http://muse.union.edu/grants/files/2016/02/NSF-CP-Template-2.2016.pdf>

- c. For other sponsors – Follow the directions in the solicitation. In some cases a current and pending isn't required at the time of submission (like NIH) and is only required at the time an award is going to be made or is being reviewed more thoroughly. Other times, they may have a specific template to follow that would be provided by the sponsor.

Facilities and Other Resources: Proposals must identify the facilities to be used and other resources that are directly applicable to the proposed work unless otherwise noted in a funding opportunity announcement.

- a. NIH – Called “Facilities and Other Resources” (Separate Section on equipment) Describe how the scientific environment in which the research will be done contributes to the probability of success (e.g., institutional support, physical resources, and intellectual rapport). In describing the scientific environment in which the work will be done, discuss ways in which the proposed studies will benefit from unique features of the scientific environment or from unique subject populations or how studies will employ useful collaborative arrangements. If there are multiple performance sites, describe the resources available at each site.

For early stage investigators (ESIs), describe institutional investment in the success of the investigator. See NIH's New and Early Stage Investigator Policies. Your description may include the following elements:

- resources for classes, travel, or training;
- collegial support, such as career enrichment programs, assistance and guidance in the supervision of trainees involved with the ESI's project, and availability of organized peer groups;
- logistical support, such as administrative management and oversight and best practices training;
- financial support, such as protected time for research with salary support.

- b. NSF- Called “Facilities, Equipment, and Other Resources” - This section of the proposal is used to assess the adequacy of the organizational resources available to perform the effort proposed. Proposers should describe only those resources that are directly applicable. Proposers should include an aggregated description of the resources that the organization will provide to the project, should it be funded. Such information must be provided in this section, in lieu of other parts of the proposal (e.g., budget justification, project description). The description should be narrative in nature and must not include

any quantifiable financial information. Reviewers will evaluate the information during the merit review process and the cognizant NSF Program Officer will review it for programmatic and technical sufficiency.

- c. For other Sponsors – You will need to read the solicitation and sponsor guidance to ensure you are including everything you need in the description.