



Office of Research Administration

# Research Administration Training



# Introduction

# What we'll cover

- ORA Functions
- Proposal Preparation & Submission
- Award Negotiation and Processing
- Subawards
- Post Award Management



# ORA Functions

# ORA Functions

- Proposal & Award Services
- Research Contracting
- Grants, Finance, & Operations
- Institutional Reporting



# Proposal Preparation & Submission

## When a Principal Investigator (PI) decides to submit a proposal:

- Identify which program or solicitation to which the proposal will be submitted.
- Obtain a copy of the sponsor's guidelines.



# Funding Opportunity Announcement: Table of Contents

- **Part 1. Overview Information**
  - Key Dates
- **Part 2. Full Text of the Announcement**
  - Funding Opportunity Description
  - Award Information
  - Eligibility Information
  - Application and Submission Information
  - Application Review Information
  - Award Administration Information
  - Sponsor Contacts
  - Other Information

Follow the tips in the blue boxes below to help you understand the importance of key pieces of information in funding opportunity announcements (FOA).

Department of Health and Human Services  
Part 1. Overview Information

<b>Participating Organization(s)</b>	National Institutes of Health (NIH)	Your research has to fit within the mission of one of these participating organizations for your application to be assigned for funding consideration.
<b>Components of Participating Organizations</b>	National Heart, Lung, and Blood National Institute on Aging (NIA) National Institute on Alcohol Abuse and Alcoholism (NIAAA) National Institute of Allergy and Infectious Diseases (NIAID) National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) National Institute on Drug Abuse (NIDA) National Institute of Environmental Health Sciences (NIEHS) National Institute of General Medical Sciences (NIGMS) National Human Genome Research Institute (NHGRI) National Institute of Mental Health (NIMH) National Institute on Minority Health and Health Disparities (NIMHD) National Institute of Neurological Disorders and Stroke (NINDS) National Institute of Nursing Research (NINR) National Center for Complementary and Integrative Health (NCCIH)	Note: Not all NIH Institutes and Centers (ICs) participate in Parent Announcements. Applicants should carefully note which ICs participate in this announcement and view their respective areas of research interest at the <a href="#">RO1 Clinical Trial Required IC: Specific Scientific Interests and Contact website</a> . Applicants should also carefully note which ICs accept only mechanistic
<b>Funding Opportunity Title</b>	NIH Research Project Grant (Parent RO1 Clinical Trial Required)	ing the Related Notices. ICs that do not participate in this announcement will not consider applications for funding.
<b>Activity Code</b>	RO1 Research Project Grant	The activity code tells you the type of grant program that is being advertised. Talk to a scientific program contact listed in section VII of the FOA to ensure that you apply to the right grant program for you and your science.

Take a tour of an annotated NIH FOA at:  
[https://grants.nih.gov/grants/Annotated\\_FOA.pdf](https://grants.nih.gov/grants/Annotated_FOA.pdf)





# Deadlines

- Administrative components due by 9am four days prior to the sponsor deadline.
- Technical components by 9am due two business days prior to the sponsor deadline.
  - NSF technical components are due by 9am day of submission
- Non-governmental proposals that are less than \$100K are due one day prior to the sponsor deadline. ORA reviews are extremely limited.
- [Sponsored Research Program Internal Submission Deadlines Policy](#)



# Budget Development

- Review sponsor guidelines for format instructions, budget limits, and restrictions.
- Create budget based on expected costs and not tasks.
- Check the math.
- Use ORA Budget Templates:  
<https://research.iu.edu/forms/research-administration.html>

Sample budgets

If sponsor guidelines do not include a specific, required budget format, use one of these as a guide:

[Internal Budget: Monthly Non-Federal](#)

[Internal Budget: Two Year Non-Federal](#)

[Internal Budget: Three Year with CS Non-Federal](#)

[Internal Budget: Five Year Federal \(NSF\)](#)

[Internal Budget: Five Year Federal \(NIH\)](#)

**Budget Training Videos can be found at**

<https://research.iu.edu/training/ora-training-videos/budget-templates.html>



# Budget Rates

- Salary Information
  - [https://tableau.bi.iu.edu/t/prd/views/ORA\\_GEN\\_UnitSalaryReport/UnitSalaryReport?:embed=y#1](https://tableau.bi.iu.edu/t/prd/views/ORA_GEN_UnitSalaryReport/UnitSalaryReport?:embed=y#1)
- Fringe Rates
  - <https://research.iu.edu/funding-proposals/proposals/budgets/rates.html>
- F&A Rates
  - <https://research.iu.edu/doc/funding-proposals/proposals/iu-facilities-and-administrative-rate-agreement.pdf>



# Common Budget Issues

- Supplemental pay, consultants, & course buyouts can be tricky to calculate or even determine if they are allowable, but ORA will help answer those questions.
- Collaborator is misidentified in proposal budget (consultant vs. consortium), impacting indirect cost (F&A) calculations.
- Wrong F&A rate or base is used.
- Budget includes cost share without appropriate prior approvals.



# What ORA looks at in a full review:



**DEADLINE**



**Budgetary  
limits**



**Cost share  
requirements**



**Forms and/or  
format**



**Certifications  
and  
assurances**



**Terms and  
Conditions**



**Transmittal  
Instructions**



# Regulatory Documents Guiding ORA

Federal guidelines

Sponsor guidelines

Program specific guidelines

University policies



# Routing a Proposal

Proposals and other documents to external agencies requesting funds and/or committing University resources (e.g. personnel, space, funds, equipment, etc.) must be reviewed, approved and signed by the Office of Research Administration.

The Kualu Coeus (KC) Proposal Development document is used to obtain this approval. Kualu Coeus can be accessed at [one.iu.edu](http://one.iu.edu) or from the ORA website ([www.research.iu.edu](http://www.research.iu.edu))



# What Needs to be Routed?

**A routing form is required for any of the following:**

- New proposals (including projects transferring to IU) and resubmissions
- Competing renewal/continuation proposals
- Supplemental funds request (including task orders, or increases in proposed funding prior to the award being received)
- Cost Share Only proposals for Federal/Federal Pass Through projects
- Budget revisions involving an increase in cost share (only if submitting to the sponsor)
- Change of Project Director or Co-Project Director

[Routing of Sponsored Programs Documents Policy](#)





# Electronic Systems

Kuali Coeus (KC)

Grants.gov

- Department of Defense
- Department of Energy
- National Endowment for the Humanities

NIH ASSIST

FastLane & Research.gov

Multitude of Other Online Systems

- Nspires
- ProposalCentral
- FedBizOpps
- State Government Systems
- Commercial Vendor Systems



# Award Negotiation and Processing

# Research Agreements

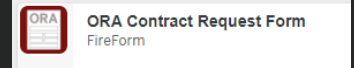
## Funded Agreements

- Unilateral Awards
- Bilateral Awards
- Quasi-Clinical Trials

## Non-Funded Agreements

- Confidentiality & Non-Disclosure Agreements
- Data Usage Agreements
- Teaming Agreements
- Master Agreements
- Material Transfer Agreements

Submitted via  
the ORA  
Contract  
Request Form



# Types of Awards



FORMAL  
AGREEMENT



LETTER



E-MAIL



CHECK




# Federal Notice of Award

While sponsors' Notices of Award will differ in format, most will contain the following information:

- Application/grant identification number (grant number)
- Name of recipient organization
- Name(s) of the PD/PI(s) and senior/key personnel
- Approved period of performance start and end dates
- Approved budget
- Total amount of Federal funds obligated (federal share)
- Total approved cost sharing or matching, where application (Non-Federal share)
- Terms and conditions of award, including Any restriction on the use of funds
- Reporting and deliverables
- Sponsor Contacts



# What happens when ORA receives an award?

- Award received and logged
  - Research risks checked
  - Award reviewed
  - Terms negotiated (if required)
    - Commercial sponsored clinical trials agreements are negotiated by the Office of Clinical Research
  - Accepted and signed (if required)
- 

All Federal and Federal Pass-Through Awards are held for:

- COI Policy Compliance
- Approved IRB Protocol  
or provisional IRB approval
- Approved IACUC Protocol  
and IACUC office  
congruency approval

Check where your award is at in our office and see any hold information on the [Status Report for In Progress Awards](#) found in the ORA Departmental Management Dashboards in One.IU.



# Problematic Award Terms & Conditions

- Indemnification/liability
  - Who is responsible if something goes wrong?
  - Is IU covered under state caps?
  - Attempt to make mutual
  - Review at IU might include Risk Management and Legal Counsel
- Publications
  - Can IU publish without sponsor approval?
  - See statement on Classified Research at <http://policies.iu.edu/docs/Research/ClassifiedResearch.pdf>



# Award Processing

- Confirm Institutional Proposal (IP) has been established
- Set up award in KC
- Set up account(s) in KFS
- Set up cost share subaccounts
- Create budget(s) in KFS





# Subawards

# What is an outgoing subaward?

- An outgoing subaward is a formal written agreement made between IU and a subrecipient to perform a portion of your statement of work under an IU sponsored award. An outgoing subaward is written and negotiated by the Office of Research Administration (ORA) subaward team.
- Before IU enters into a subaward relationship with another entity, the other entity must be [classified as a subrecipient or vendor](#). This determination will be reviewed by ORA during your proposal submission, as requirements for these types of agreements vary and will impact your proposal budget.



<b>Subrecipient</b>	<b>Contractor (Vendor)</b>
Determines who is eligible to receive what Federal assistance;	Provides the goods and services within normal business operations;
Has its performance measured in relation to whether objectives of a Federal program were met;	Provides similar goods or services to many different purchasers;
Has responsibility for programmatic decision making;	Normally operates in a competitive environment;
Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and	Provides goods or services that are ancillary to the operation of the Federal program; and
Uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.	Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.



# Requesting a Subaward

To initiate an outgoing subaward agreement or amendment from an IU sponsored award the principal investigator or department administrator must send an email containing the following items to [subaward@iu.edu](mailto:subaward@iu.edu):

- A completed and signed [Subaward Request form](#)
- The subrecipient statement of work
- A detailed budget for subrecipient's work
- The most current fully executed IU prime award



# What is included in a subaward?

- IU terms and conditions specific for subawardees
- Prime sponsor's terms and conditions
- Federal terms and conditions if applicable



# Responsibilities: Project Director & Fiscal Officer

- Review the draft subaward agreement
- Create subaward requisition in BUY.IU
- Approve the subrecipient's technical work
- Review & approve subrecipient invoices
- Request clarification of subrecipient invoices
- Maintain subrecipient supporting documentation for audits
- Review [Subrecipient Monitoring Policy](#)



# Responsibilities: ORA

- Perform risk analysis and other administrative checks
- Write the subaward agreement as appropriate for a high or low risk subrecipient
- Notify Project Director/Fiscal Officer if subaward will be high risk
- Sign agreement and provide copies to Project Director and Fiscal Officer
- FFATA Reporting



Additional Resource:  
<https://research.iu.edu/awards-agreements/research-agreements/subaward-agreements/index.html>



# Post Award Management



# Know your award

- Read your award document and any linked guidelines and policies.
  - Note any restrictions, cost guidelines, prior approval requirements and unusual terms.
- Most of your questions can be answered in those documents.



# Non-Routed Administrative Requests

- Sponsor Requests that need ORA signature/concurrence
- Prior Approval Requests
- Other Documents that needs sent to the sponsor post proposal submission

As outlined in the [Routing of Sponsored Programs Documents at Indiana University policy](#) these documents needs submitted to our office for review and submission prior to being submitted to the sponsor.

These requests should be sent via the Non-Routed Administrative Request Form found on the KC Grants Dashboard.

A quick guide for the form can be found at <https://research.iu.edu/doc/training/kc-grants/admin-request-form.pdf>.



**A KC Proposal Development document should not be used and is NOT required for any of the following. However, at least four business days is needed for administrative review and approval by ORA is required prior to submission to the sponsor.**

- Pre-proposals requiring a detailed budget and/or a signature from an authorizing official
- Budget revisions with no increase in funds or cost share commitment whether or not an institutional signature is required
- Progress Reports submitted by ORA
- No-cost extensions
- Just-In-Time documents (e.g. other support, human subjects documentation)
- Non-competing continuation applications
- NIH training grant appointment forms and termination notices
- Addition of a subcontract or significantly increasing the amount of an existing subcontract
- Budget revisions requiring sponsor approval to either an active project or pending proposal
- Any request requiring prior approval from the funding sponsor
- Grant Transfers from IU/Relinquishing Statements
- Termination of award
- Amendment to decrease award
- Change in lead IU unit.
  - A memo requesting the change should be initiated by the project director, approved by the department Chairs and Deans of both the original unit and the new submitting unit, and provided to ORA.

Done by ORA Reporting Administrator from NIH Auto Generated Message

Only if it is a request. If it is approval email it to IUAward@iu.edu

Can also be submitted to IUProp@iu.edu and/or IUAward@iu.edu



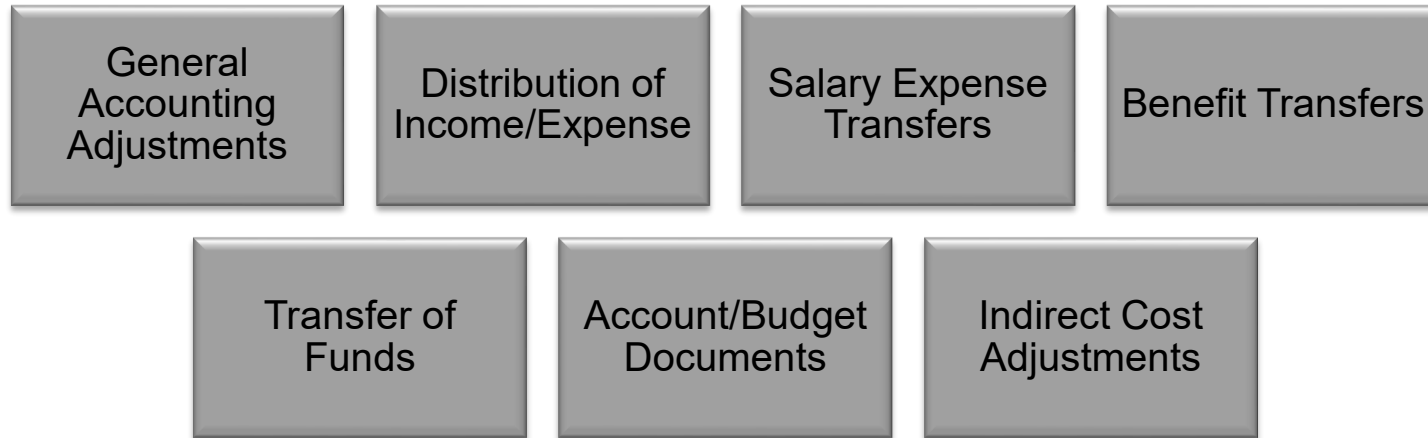
# Addition of a Subaward after Proposal

- All post-proposal additions of a subaward need to be approved by Proposal and Award Services in ORA.
- Submit a Non-Routed Administrative Form to get approval. The drop-down list has been modified to include subaward not previously requested.
- Once approval is received, be sure to attach it to the Subaward Request form.



# Cost Transfers

Cost transfer documents are either acknowledged or approved by ORA for all Federal and Federal Pass-Through Projects.



# Pillars of Document Review

## Allowability

- Compliant with IU, sponsor, and Federal rules and regulations
- Part of approved budget or have rebudgeting authority

## Allocability

- Percent of benefit to the project should correspond to the cost charged to the project

## Reasonableness

- The expenditure should be appropriate for the project



# Justifications

Justification should explain:

- How does the expenditure benefit the project?
- Why was the expenditure not originally placed on the correct account?
- For STs, what is the role of individual for which the salary is being transferred?

Document will be **disapproved** if the justification isn't sufficient.  
Examples of **insufficient** justifications include:

- To correct error
- Per the PI
- Per Steve Martin or Jim Becker



Additional Resource:

- [Late Cost Transfer Policy](#)

Describe in detail the expenditures that are being transferred.	<input type="text"/>
How did this expenditure benefit the project?	<input type="text"/>
How the error occurred?	<input type="text"/>
Why is the error correction late?	<input type="text"/>



# Late Cost Transfers

- Expenditures being moved more than 3 months from the original transaction date require special approvals on Federal/FPT cost reimbursement accounts
- Fiscal Officers (or their delegates) seeking approval for a late cost transfer must complete and submit a Cost Transfer Exception Request Form.
- All late cost transfers with direct costs of \$500 or less will be denied without further review.

**Late Cost Transfer Exception Request Form**

By completing and submitting the information below, you are requesting that the Cost Transfer Exception Committee review the costs being transferred onto a Federal or Federal-pass-through sponsored program account beyond the three month limit as described in the Cost Transfer <https://www.psu.edu/research-administration/financial-services/cost-transfer-exception-committee>. Cost Transfers under \$500.00 will not be considered by the Cost Exception Committee. If the costs should be moved off the current account, the costs must be moved to a non-grant account. Costs included on the document (CEC or FT) being reviewed by the committee shall be limited to late costs; please prepare a separate document for costs being transferred within the three month limit. The document transferring late costs shall be limited to one project on the "From" justification" section.

In order for the Cost Transfer Exception Committee to consider this request, please provide the information below. Except where noted below, all fields in the form are required prior to submission to the Office of Research Administration.

**Contact Information for Individual Completing the Form:**

LCT Form Initiator Name: \*  Initiator Chart: \*

Initiator Phone #: \*  Initiator Organization Code: \*

Initiator Email: \*

**By completing this form I certify that the Fiscal Officer and Principal Investigator listed below are aware of and approve the submission of this request for exception:**

Principal Investigator Name: \*  Principal Investigator Email: \*  Fiscal Officer Name: \*  Fiscal Officer Email: \*  ORA Contact Email: \*

**Transaction and Account Information:**

CEC or ST Document Number: \*  XFS Document Number of Original Transaction: \*

Employee Name (For Payroll Cost Transfers):  Designated "From" Account - Date of Original Expenditure: \*

Employee ID (For Payroll Cost Transfers):  Designated "From" Account - Account Number: \*

Total Amount of Transfer (USD): \*  Designated "From" Account - Account Expiration Date: \*

Expense Category: \*

**Explanation and justification:**

Why was the expense originally charged to the account from which it is being transferred? \*

How does the expense benefit or relate to the scope of work of the receiving account? Describe in detail the expense and its relationship to the project. \*

Why is this cost transfer being requested over three months from the date of its origin? \*

What is being done to prevent future late cost transfers? \*

**Submit**





# Contact Information

# General Questions

- [IUProp@iu.edu](mailto:IUProp@iu.edu) for your general ORA questions or proposal preparation questions (prior to proposal assignment)
- [IUAward@iu.edu](mailto:IUAward@iu.edu) for award notices or award set up questions
- [ORAResco@iu.edu](mailto:ORAResco@iu.edu) for contract related questions



# ORA Contacts

Each proposal is assigned a **Grant Services Administrator** to help with the proposal submission.

AND

Each award is assigned a **Grant Services Administrator** and a **Reporting Administrator** to help with any questions or issues regarding your award.

Bilateral agreements are also assigned a **Contract Officer** to negotiate the award.

## ORA contacts

**MN** Mary Beth Novy  
Grant Services Administrator  
(812) 855-4722  
[mabeschm@iu.edu](mailto:mabeschm@iu.edu)


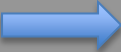
**AM** Arlene Mobley  
Reporting Administrator  
(812) 855-4335  
[akrichar@iu.edu](mailto:akrichar@iu.edu)



# Grant Services Administrators (GSA)

- Proposal preparation, review, and submission.
- Post-submission materials review and assistance.
- Post-award account and expense monitoring, and review and submission of reports and revisions.



<b>Questions?</b> 	<b>Ask</b> 	<b>Grant Services Administrator</b>	<b>Reporting Administrators</b>
KFS Documents	X		
Allowability based on award documentation	X		
Sponsor prior approval requirements	X		
Extension requests	X		
Invoices to sponsor			X
Financial reports to sponsor			X

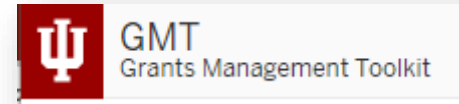


# Available Resources

# Grants Management Toolkit

Custom made tool to help you manage your sponsored projects. Use this tool to view:

- Proposal Information and Attachments
- Award Information and Attachments
- Account Balance Information
- Subaward Information and Attachments
- Non-Funded Agreement Information




























[GMT.IU.EDU](http://GMT.IU.EDU)



# ORA Departmental Management Dashboards on One.IU

## Reports

 <b>Salary Covered on Grants</b> Tableau ★★★★★ ⓘ	 <b>Institutional Base Salary Payroll</b> Tableau ★★★★★ ⓘ	 <b>Calendar Year Effort View</b> Tableau ★★★★★ ⓘ	 <b>Labor on Continuation Account</b> Tableau ★★★★★ ⓘ
 <b>Salary Cap Dashboard</b> Tableau ★★★★★ ⓘ	 <b>CG Labor Projections</b> Tableau ★★★★★ ⓘ	 <b>Unit Salary Report</b> Tableau ★★★★★ ⓘ	 <b>C&amp;G Expenses by Sponsor Type</b> Tableau ★★★★★ ⓘ
 <b>C&amp;G Monthly Expenses</b> Tableau ★★★★★ ⓘ	 <b>Effective Indirect Cost Rate and Allocation</b> Tableau ★★★★★ ⓘ	 <b>Transaction Exception Report</b> Power BI ★★★★★ ⓘ	 <b>Relinquished Award Balance</b> Tableau ★★★★★ ⓘ
 <b>Indirect Cost Listing</b> Power BI ★★★★★ ⓘ	 <b>Auto Account Create Defaults</b> Tableau ★★★★★ ⓘ	 <b>Subaward POs and Invoices</b> Tableau ★★★★★ ⓘ	 <b>Principal Investigator View</b> Tableau ★★★★★ ⓘ
 <b>Award Spending Power over Time</b> Tableau ★★★★★ ⓘ	 <b>Status Report for In Progress Awards</b> Tableau ★★★★★ ⓘ	 <b>Subawards without a Purchase Order</b> Power BI ★★★★★ ⓘ	 <b>Status Report for In Progress Subawards</b> Tableau ★★★★★ ⓘ
 <b>Subrecipient Expenses on Grants</b> Tableau ★★★★★ ⓘ	 <b>Proposal Development Pipeline</b> Power BI ★★★★★ ⓘ	 <b>Late Progress Reports</b> Tableau ★★★★★ ⓘ	 <b>Expiring Grant Accounts</b> Tableau ★★★★★ ⓘ
 <b>Account Final Report Listing</b> Tableau ★★★★★ ⓘ			





# Research Administration Dashboards on One.IU

## Reports

<b>Award Trends</b> Tableau ★★★★★	<b>Awards by Source</b> Tableau ★★★★★	<b>Primary &amp; Secondary Award Re</b> Tableau ★★★★★	<b>Award Spending Power over Ti</b> Tableau ★★★★★
<b>Awards by Investigator Years</b> Tableau ★★★★★	<b>Awards by Investigator Years</b> Tableau ★★★★★	<b>Award Maps</b> Tableau ★★★★★	<b>Non-Governmental Grant Awar</b> Tableau ★★★★★
<b>Percentage of Faculty with Awa</b> Tableau ★★★★★	<b>Awards by Cohort</b> Tableau ★★★★★	<b>International Program - Awards</b> PowerBI ★★★★★	<b>International Program - Propos</b> PowerBI ★★★★★
<b>Proposal Trends</b> Tableau ★★★★★	<b>Proposal Success Rates</b> Tableau ★★★★★	<b>Late Proposals</b> Tableau ★★★★★	<b>Principal Investigator View</b> Tableau ★★★★★
<b>2 Year Comparison Reports</b> PowerBI ★★★★★	<b>Big Ten Reports</b> Tableau ★★★★★	<b>Investigators on NSF Projects</b> Tableau ★★★★★	<b>COVID-19 Sponsored Projects</b> Tableau ★★★★★
<b>Sponsored Projects Metrics</b> Tableau ★★★★★	<b>Sponsored Funding by Activity</b> Tableau ★★★★★	<b>Salary Covered on Grants</b> Tableau ★★★★★	<b>C&amp;G Expenses by Sponsor Typ</b> Tableau ★★★★★
<b>C&amp;G Monthly Expenses</b> Tableau ★★★★★	<b>Effective Indirect Cost Rate and</b> Tableau ★★★★★	<b>Collaborations by Responsibility</b> PowerBI ★★★★★	<b>Subaward Trends</b> Tableau ★★★★★
<b>Subaward Maps</b> Tableau ★★★★★			



# Questions?



**INDIANA UNIVERSITY**

FULFILLING *the* PROMISE