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).

Take a tour of an annotated NIH FOA at:
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

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

• Fringe Rates
  • https://research.iu.edu/funding-proposals/proposals/budgets/rates.html

• F&A Rates
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 Kuali Coeus (KC) Proposal Development document is used to obtain this approval. Kuali Coeus can be accessed at one.iu.edu or from the ORA website (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.
<table>
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<tr>
<th><strong>Subrecipient</strong></th>
<th><strong>Contractor (Vendor)</strong></th>
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<tbody>
<tr>
<td>Determines who is eligible to receive what Federal assistance;</td>
<td>Provides the goods and services within normal business operations;</td>
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<td>Has its performance measured in relation to whether objectives of a Federal program were met;</td>
<td>Provides similar goods or services to many different purchasers;</td>
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<td>Has responsibility for programmatic decision making;</td>
<td>Normally operates in a competitive environment;</td>
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<tr>
<td>Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and</td>
<td>Provides goods or services that are ancillary to the operation of the Federal program; and</td>
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<tr>
<td>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.</td>
<td>Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.</td>
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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:

- 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

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 need to be sent to the sponsor post proposal submission

As outlined in the Routing of Sponsored Programs Documents at Indiana University policy, these documents need to be 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.

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

Only if it is a request. If it is approval email it to 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.

- General Accounting Adjustments
- Distribution of Income/Expense
- Salary Expense Transfers
- Benefit Transfers
- Transfer of Funds
- Account/Budget Documents
- Indirect Cost Adjustments
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](#)
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.
Contact Information
General Questions

- IUProp@iu.edu for your general ORA questions or proposal preparation questions (prior to proposal assignment)

- IUAward@iu.edu for award notices or award set up questions

- ORAResco@iu.edu for contract related questions
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.
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.
<table>
<thead>
<tr>
<th>Questions?</th>
<th>Ask</th>
<th>Grant Services Administrator</th>
<th>Reporting Administrators</th>
</tr>
</thead>
<tbody>
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<td>Allowability based on award documentation</td>
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<td>Sponsor prior approval requirements</td>
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<td>Extension requests</td>
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<td>Invoices to sponsor</td>
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<td>Financial reports to sponsor</td>
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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
ORA Departmental Management Dashboards on One.IU
### Research Administration Dashboards on One.IU

<table>
<thead>
<tr>
<th>Reports</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award Trends</td>
<td>Tableau</td>
</tr>
<tr>
<td>Awards by Source</td>
<td>Tableau</td>
</tr>
<tr>
<td>Primary &amp; Secondary Award TiTableau</td>
<td></td>
</tr>
<tr>
<td>Award Spending Power over TiTableau</td>
<td></td>
</tr>
<tr>
<td>Percentage of Faculty with Awards by Investigator Years TiTableau</td>
<td></td>
</tr>
<tr>
<td>Awards by Investigator Years TiTableau</td>
<td></td>
</tr>
<tr>
<td>Award Maps</td>
<td>Tableau</td>
</tr>
<tr>
<td>Non-Governmental Grant Award TiTableau</td>
<td></td>
</tr>
<tr>
<td>International Program - Awards Proposals TiTableau</td>
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<td></td>
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<tr>
<td>Proposal Trends TiTableau</td>
<td></td>
</tr>
<tr>
<td>Proposal Success Rates TiTableau</td>
<td></td>
</tr>
<tr>
<td>Late Proposals TiTableau</td>
<td></td>
</tr>
<tr>
<td>Principal Investigator View TiTableau</td>
<td></td>
</tr>
<tr>
<td>3 Year Comparison Reports PowerBI</td>
<td></td>
</tr>
<tr>
<td>Big Ten Reports TiTableau</td>
<td></td>
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<tr>
<td>Investigators on NSF Projects TiTableau</td>
<td></td>
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<tr>
<td>COVID-19 Sponsored Projects TiTableau</td>
<td></td>
</tr>
<tr>
<td>Sponsored Projects Metrics Tableau</td>
<td></td>
</tr>
<tr>
<td>Sponsored Funding by Activity Tableau</td>
<td></td>
</tr>
<tr>
<td>Salary Covered on Grants Tableau</td>
<td></td>
</tr>
<tr>
<td>C&amp;G Expenses by Sponsor Type Tableau</td>
<td></td>
</tr>
<tr>
<td>C&amp;G Monthly Expenses Tableau</td>
<td></td>
</tr>
<tr>
<td>Effective Indirect Cost Rate Tableau</td>
<td></td>
</tr>
<tr>
<td>Collaborations by Responsibility PowerBI</td>
<td></td>
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<tr>
<td>Subaward Trends Tableau</td>
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<td>Subaward Maps Tableau</td>
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