

Proposal Development & Submission Procedures

NIH Grants Workshop

June 20, 2013

Sponsored Research Services

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Steps for Proposal Development/ Submission

- Find funding that matches your research interests/needs
- Read the agency documents – funding solicitation, agency guidelines, etc.
- Prepare proposal
- Obtain institutional approvals
- Submit the proposal to Sponsored Research Services (SRS)

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Contact Sponsored Research Services (SRS) – ASAP

- Establish a working relationship with the administrator who will process your proposal
- Jan James handles most NIH proposals; Catherine Stresing handles Psychology Dept; Josie Causseaux handles College of Human Sciences
- Administrator provides agency-specific expertise and information about the proposal process

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eRA Commons and User ID

- The eRA Commons is an online interface system where signing officials, principal investigators, trainees and post-docs at institutions/organizations can access and share administrative information relating to research grants.
- eRA Commons User ID: All PIs and Postdocs need to have a user ID for eRA activities – applications, JIT requests, etc.
- User ID is obtained from SRS and the individual creates the personal profile
- Website: <http://era.nih.gov/>

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U.S. Department of Health & Human Services | www.hhs.gov

Electronic Research Administration
A program of the National Institutes of Health

National Institutes of Health
Office of Extramural Research

Home Applicants Grantees Reviewers xTrain About eRA News eRA Training

eRA systems provide applicants, grantees and federal staff the tools necessary for electronic processing of grants. Used by NIH, AHRQ, CDC, FDA, SAMHSA and the VA, the eRA Commons and eRAC II systems support the full grants life cycle from receipt to award to closure.

Expand Menu | Collapse Menu

Applicants (Pre-Award)

- Registration/Account Creation
- Fill Out Personal Profile
- Manage Your Professional Bibliography (My NCBI)
- Manage Institutional Profile

Grantees (Post-Award)

- View Notice of Award
- Manage Your Professional Bibliography (My NCBI)
- Submit to RPPB
- Submit Electronic Streamlined Non-competing Award Process (eSNAP)
- Submit Financial Conflict of Interest
- Submit Financial Status Report/Federal Financial Report
- Submit No Cost Extension
- Close Out Your Grant

Reviewers

- How To Access Internet Assisted Review (IAR)
- Enter Criteria Scores, Overall Preliminary score, Submit Critique
- Access Grant Apps and Docs for Meeting

Institutional Training & Career Dev. Awards

- xTrain Training Resources & Reference Sheets
- xTrain on the Commons Demo Site

About eRA

- Overview of eRA
- Services for Applicants/Grantees
- Services for NIH Staff and Agency Partners

Partnering with Other Agencies

- Overview of eRA Partnership
- Benefits of Partnering with eRA (PDF - 279 KB)
- Where to Start

Help

- eRA Commons Help Desk
Web: <http://era.nih.gov/help/>
Toll-free: 1-866-504-9552
Phone: 301-402-7469
TTY: 301-451-2929
Hours: Mon-Fri, 7a.m. to 8 p.m. Eastern Time
- Find NIH Contacts
 - NIH Enterprise Directory (NEE) - E-mail and Telephone Directory for All NIH Staff
 - NIH Grants Administration Information Sources

System Launch Pad

- COMMONS Log-in
- ASSIST Log-in
- INTRANET Federal Staff

(eRA, eRAC II authorized users only)

Latest News

- eRA Commons and IAR Login Issue Resolved (Date 13, 2013)
- eRA Commons, ASSIST, and IAR Will Be Unavailable June 4, 5pm-5pm (Date 5, 2013)

Latest Postings

- Submit Reference Letter to eRA Commons (Date 11, 2013)
- xTrain Set of Guide Release Notes (PDF - 11 MB) (Date 7, 2013)
- IAR for Reviewers User Guide

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Electronic Research Administration
eRA Commons
Sponsored by National Institutes of Health

Commons Login

Required fields

Username

Password

Login Reset

Forgot Password/Link Account?

Federated Institutions/Organizations

N/A

Federal User Login Here

eRA Commons Help Desk

Hours: Mon-Fri, 7AM-5PM EDT/EST

Web: <http://bioregional.nih.gov/eRA/>

Toll-free: 866-504-9552

Phone: 301-402-7469

TTY: 301-451-2929

Contact: era@nih.gov or era@hhs.gov

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Welcome to the Commons

System Notification Message

Alert:

eRA Commons is experiencing a technical issue when logging in. If you receive a 404 "page not found" error, please type "commons.era.nih.gov" into your browser address field and hit enter to see if this resolves the issue. We hope to have the issue resolved as soon as possible, and will provide updated information as soon as possible. We appreciate your patience.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at [eRA Commons Errors](#)
- Online Resources: Take advantage of our online [Self Help Resources](#)
- Electronic Application Submission: To learn about completing and submitting an electronic grant application and access helpful resources, visit the [Applying Electronically](#) website
- eRA Home Page: To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#)

Commons Related Resources

- Reference Letters: To submit a reference letter when requested by an applicant, please follow the link: [Submit Reference Letter](#)
- Demo Facility: [Demo Facility](#) allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

Warning Notice

This is a U.S. Government computer system, which may be accessed and used only for authorized Government business by authorized personnel. Unauthorized access or use of the computer system may subject violators to criminal and/or administrative action.

All information on this computer system may be intercepted, recorded, read, copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Such information includes sensitive data encrypted to comply with confidentiality and privacy requirements. Access or use of this computer system by any person, whether authorized or unauthorized, constitutes consent to these terms. There is no right of privacy in the system.

Register/Grantee Organization

What's New

- New in RPPB
- New Help Desk System

Commons Resources

- frequently asked questions
- IAR/Enterprise Issues
- Commons Login Tutorial
- Commons Support Page
- eRA Training
- eRA Commons User Guide
- Commons Organization Registration
- eRA Website
- Applying Electronically

Additional Links

- eRA Commons
- eRAC II
- Grants.gov
- eSNAP
- National Institutes of Health
- Grants.gov
- User Support Center
- eRA Tools

Contact Us | Help

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PHS Financial Conflict of Interest

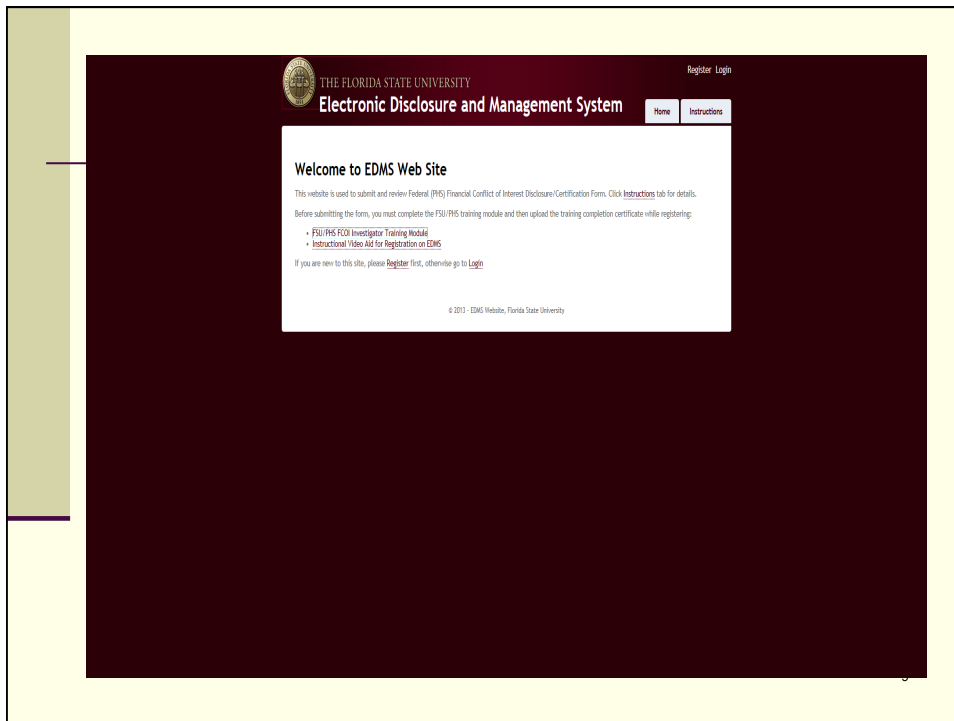
- The Public Health Services (PHS) regulations requiring disclosure and reporting of Investigator Financial Conflicts of Interest were revised in 2011.
- **2011 Revised Regulations** (with an 8/24/2012 implementation date)
- Require Investigators to disclose to their Institutions all of their Significant Financial Interests (“SFI”) related to their institutional responsibilities.
- Lowers the monetary threshold at which Significant Financial Interests require disclosure generally from \$10,000 to \$5,000.
- Requires Institutions to report to the PHS awarding component additional information on identified financial conflicts of interest and how they are being managed.
- Requires institutions to make certain information accessible to the public concerning identified SFIs held by Investigators.
- Requires Investigators to complete training related to the regulations and their Institution’s financial conflict of interest policy.

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Electronic Disclosure and Management System (EDMS)

- FSU’s online Electronic Disclosure and Management System allows Investigators to initially disclose whether they have any significant financial interests, annually update any significant financial interests or disclose new significant financial interests.
- The EDMS system will maintain this information for Investigators and will also track Investigator training and certificates of training completion.
- The EDMS system is administered by the Office of Research and Investigators must register and create an account to log in and utilize the EDMS system.
- Investigators should go www.research.fsu.edu/edms to register.
- Note that Principal Investigators have a key role in the EDMS and must register and identify “Investigators” on PHS funded projects so that the EDMS system may send notices to Investigators needing to submit disclosures.

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Review ALL Relevant Documents

- Funding Announcement:
 - Program Announcement (PA) or
 - Request for Application (RFA)
- Application Instructions
 - SF 424 Guidebook – grants.gov application
- Agency Guidelines
 - NIH Policy Statement
- All these documents valuable information

The instructions/guidelines must be followed or you risk the proposal being 'returned without review'

Program Announcement (PA)

- Program Description
- Eligibility (Limited Submission?)
- Funding Limits
- Deadlines – Due Dates for Submissions
- Submission process – Electronic? Hard copy?
- Review/Evaluation Criteria
- Award Description
- Award Administration – Reporting, etc.
<http://grants.nih.gov/grants/guide/pa-files/pa-11-262.html>

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Prepare the Proposal Application

- Download the application from nih.gov (<http://nih.gov/>) or grants.gov (<http://grants.gov/>)
- Complete forms in the application and attach required items as pdf. documents
- Attachment names need to follow the guidelines in the grants.gov application guide

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Standard NIH Grant Application

- Project Summary – 30 lines
- Project Narrative – 3 sentences
- Bibliography/References Cited
- Facilities
- Equipment
- Key Personnel
- Biosketches – 4 pages max
- Modular Budget – Personnel Justification
- Research Related Budget – Full Justification

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Standard NIH Grant Application

- Specific Aims – 1 page
 - Research Strategy – 6 or 12 pages
- Project Specific:
- Human Subjects – if applicable
 - Animal Subjects – if applicable
 - Multiple PI Plans – if applicable
 - Consortium Arrangements – if applicable
 - Letters of Support – if applicable
 - Resource Sharing Plan – if applicable
 - Appendix – if applicable

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Grants.gov Application

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SRS Internal Documents

- Completed proposal transmittal form
- Detailed budget and detailed budget justification
- For modular budgets, also need budget justification
- Scope of work (draft version is acceptable at the SRS 3-working day deadline)
- Program announcement
- Electronic application package (grants.gov)
 - Includes all agency required documents
- EDMS Disclosure verification

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Transmittal Form (SRS Internal Form)

- Name of PI/Co-PIs, other personnel and departments involved
- Program Announcement or Request for Application number
- Proposal due date and submission type
- Amount requested & project performance period
- Distribution of the indirect costs between the participating departments
- Special commitments
- Items that may need further review

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Institutional approvals

- Attach the entire agency application including the PA with the Proposal Transmittal
- Route to all PI's and 'other named faculty' for signature
- Route to all associated Chairs and Deans for approval
- Route to Sponsored Research Services for approval

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Submitting Transmittal via OMNI

- OMNI proposal submissions include the same information as a hardcopy proposal submitted with the Proposal Transmittal Form
 - Differences
 - You attach the items electronically in the OMNI system
 - You can route the proposal electronically
 - Advantages
 - You can track approvals electronically
 - No running around
 - Electronic records are available 24/7

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Submission Policy – 3 Day Rule

- The Vice President for Research instituted a policy effective on February 1, 2006, stating that a proposal must be submitted to Sponsored Research Services (SRS) by 9 am three working days prior to the Agency deadline
 - The PI may work on the technical narrative until 9 am on the day of submission
 - SRS needs ample time to review the proposal and institutional commitments
 - Subcontracts or collaborations are also subject to this rule

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Sponsor Deadline

SRS Internal Deadline

Monday
Tuesday
Wednesday
Thursday
Friday

the previous Wednesday at 9 A.M.
the previous Thursday at 9 A.M.
the previous Friday at 9 A.M.
Monday of the same week at 9 A.M.
Tuesday of the same week at 9 A.M.

*Saturday and Sunday are not business days and do not count towards the 3-day rule. You should treat Friday as the deadline, so the internal proposal deadline is Tuesday of the same week at 9 am.

*Some agencies move weekend and federal holiday due dates to the next business day – but it needs to be verified by the sponsor.

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What Happens at Sponsored Research Services

- Review the PA
- Review the complete proposal for compliance with the PA and FSU policies and regulations
- Review special commitments that are being made
- Make sure all parties have approved the proposal
- Check the budget and budget justification

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Budget Development

Types of Costs

1. Direct Cost Categories
2. F&A/Indirect Costs or “overhead”

NIH Budgets

1. Modular – up to \$250K direct costs/year
2. Detailed – over \$250K to \$500K ; over \$500K need NIH approval

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Direct Costs

- Direct costs are those costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.

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Indirect Costs - F&A - Overhead

- Indirect costs are those that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity.

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FSU' s Indirect Cost Rates

Indirect Cost Rates are applied depending on the following:

- Type of Agency
- Location of Project (on/off campus/Mag Lab)
- Type of Project
- Solicitation – Training grants, Fellowships may limit indirect costs

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F&A Base - MTDC

- Modified Total Direct Costs (MTDC) **consists of** all salaries and wages, fringe benefits, materials, supplies, services, travel, and subgrants/subcontracts up to the first \$25,000 of each subgrant/subcontract
- MTDC **excludes** equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, fellowships, and the portion of each subgrant/subcontract in excess of \$25,000
- Typically applied to federally-funded projects

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Personnel - Salaries & Wages

- Include faculty, technicians, post-docs, **graduate students***, & other personnel who are assigned to the project

NOTE: for federal projects, administrative & clerical personnel normally fall within the indirect costs category and cannot be charged as “direct costs”

***grad students receive a salary supplement for health insurance**

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Fringe Benefits

- Faculty/A&P/USPS
 - Retirement; Health Insurance; Social Security & Medicare
 - Worker's Comp & Unemployment
- OPS Students*
 - Worker's Comp & Unemployment
- OPS Non-students*
 - Medicare; Worker's Comp & Unemployment
- **Terminal Leave Pool**

*We are encouraging PIs to include funds for the new class of OPS health insurance for all new proposals.

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Consultants

- Outside individuals with expertise and skills that will add value to project
- Costs are usually listed in terms of daily rate
- Consultants are typically paid in the form of a subcontract
- Consultants never listed in the salaries & wages section and faculty & other FSU staff should not be listed as consultants

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Equipment

- Items costing \$5,000 or more with a useful life of 1 year or more
- Items costing below \$5,000 are considered materials/ supplies and should be identified on that line
- Equipment should be detailed in the budget justification
- Equipment requests should only include those items needed to complete the project

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Equipment – A-21

- **Special purpose equipment** means equipment which is used only for research, medical, scientific, or other technical activities. Examples of special purpose equipment include microscopes, x-ray machines, surgical instruments, and spectrometers.
 - ***Can be charged as a direct cost***
- **General purpose equipment** means equipment, which is not limited to research, medical, scientific or other technical activities. Examples include office equipment and furnishings, modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, etc.
 - **Cannot be charged as a direct cost** except where approved in advance by the awarding agency.

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Supplies

- Supplies and materials related to the project
- Can be listed in budget as broad categories such as glassware, chemicals or art supplies and minor equipment costing < \$5,000

NOTE: For federal projects, routine office supplies are normally treated as an indirect costs (paper, pencils, post-it notes, etc.)

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C.A.S. Exemptions

- In *exceptional* circumstances it may be appropriate to charge F&A costs directly to a sponsored project.
- Exceptional: project requires an extensive amount of administrative and/or clerical support or goods/services significantly greater than the routine level provided by an academic department,
- An Exemption is REQUIRED to direct charge administrative and clerical salaries and other administrative-type expenses.
- In addition to meeting definition of exceptional circumstances, costs must be specifically identifiable to a particular sponsored project, be reasonable, allowable and allocable

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C.A.S. Exemptions

- CAS exemption must be approved in advance of charges normally classified as F&A being charged directly to a project – at the proposal stage
- Complete CAS form
<http://www.research.fsu.edu/contractsgrants/forms.html>
- Submit to Sponsored Research Services for approval

NOTE: FSU (SRS) needs to approve the C.A.S. exemption; agency approval is not adequate because FSU is audited on these items

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Travel

- Project-related travel is allowed and may include trips to collect data, present findings at a professional meeting, meetings with program officers or collaborators, etc.
- Reimbursement of costs should be consistent with FSU's travel policy
- Justification requires a break-down of funds requested, such as airfare, hotels, car rental, etc.

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Subawards/Subcontracts

- Represents a collaboration of work by one or more other institutions
- Costs for subawardee is presented in a separate line item and should include both the subawardee's direct and F&A costs
- A subaward detailed budget should be included as part of budget justification
- Subawardee's F&A costs are calculated in accordance with the subawardee's negotiated F&A rate agreement

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Subawards / Subcontracts

If a collaboration is proposed we will need the following from each collaborator

- Letter of commitment from the Sponsored Program Office (not PI)
- Scope of work for their activities
- Budget
- Budget Justification

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Other Direct Costs

- This category contains all other proposal costs, i.e., animal per diems, publication charges, graphic fees, matriculation, communications, shipping, etc.

NOTE: Postage, local telephone, and memberships are normally treated as F&A costs on federally-funded projects.

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Matriculation

- Matriculation costs (minimum of 9 hrs) should be included for graduate assistants supported by the project
- Graduate Matriculation Rate for 13-14 is \$403.51/hr or \$10,895 for 27 hours (in-state) or \$410.37/hr - \$11,080 (1.7% increase from 12/13)
- If matriculation costs are not included in budget, an alternate source for paying must be identified (waiver 2 or 3 on transmittal form)
- FSU excludes matriculation from F&A calculations in all proposals

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Matriculation

- Multiyear proposals should include a 7.5% increase in matriculation costs annually
- Out of state matriculation is not an allowable cost in most circumstances
 - College of Engineering may apply out of state rates to their proposals
 - Certain training grants allow out of state matriculation. Check the sponsor guidelines
- Fees are not an allowable cost unless applying for a training and fellowship grant

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Submission to Sponsor

- Who is responsible for submission to the agency or sponsor?
 - Hardcopy proposals = PI
 - Electronic proposals = Sponsored Research Services

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After Submission

- Proposal stays in eRA Commons for 2 days
- 3rd day, it moves on to review panel
- During review, the proposal cannot be seen in the eRA Commons
 - review time varies – can be up to 2 years
- After review, the proposal returns to the Commons with a summary statement sent to PI
- If there is a possibility of funding, NIH requests Just-In-Time (JIT) information

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Just-In-Time (JIT)

- The Just-in-Time (JIT) feature of the eRA Commons is available for applications that meet established business criteria and fall within a certain percentile or priority scoring range.
- The JIT feature allows a Signing Official to electronically submit additional grant application information that qualifies for submission and is requested by the grantor agency.
- The additional information is requested after a peer review of a grant application has been completed and prior to funding.
- Requests may come in the form of eRA-system generated e-mails or contact made directly from the awarding agency via e-mail and/or phone.
- Additional information includes current/pending support, and human or animal subject approvals if applicable
- **Applicants should not submit any JIT information until it is requested by the grantor agency.**

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Questions?



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