Welcome to the Tri-University Research Administration Conference.

Your session will begin shortly. While you wait, please review the following reminders::

Tri-University Research Administration Conference

Zoom Troubleshooting

Issues with Audio
Turn off headset/computer speakers and call in by phone for audio

General Issues
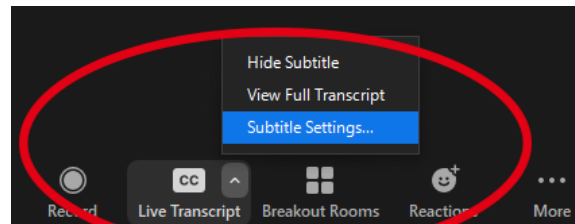Log off and log back in using SSO

Technical Support
Call 480-965-9065 Ext 1.

About this Session

Recording
Today's session is being recorded and will be made available for later viewing

Closed Captioning
The Closed Caption/Live Transcript feature has been enabled. You can show/hide the CC via your meetings controls located at the bottom of your screen.

We'd Love Your Feedback!

To help us plan next year's Tri-University Research Administration Conference, we would love to get your feedback.

If you want to provide feedback for the presenters of today's session, make sure to complete the survey you will receive via email at the end of the day.

Tri-University

Research Administration Conference

From FOA to NOA:

How to Read a Funding Opportunity Announcement and a Notice Of Award

Presenters:

- Jessica Helbling, MBA
  Senior Research Administrator
  College of Engineering, The University of Arizona

- Valerie Keim
  Grant and Contract Officer Senior
  KE Research Operations, Arizona State University

- Julia Patronski
  Sponsored Projects Administrator, Principal
  Sponsored Projects & Contracting Services, The University of Arizona

Learning Objectives:

- Learn key words to search for within a funding opportunity announcement

- Learn about items to discuss with faculty for successful proposal submission and award management

- Understand and identify key components of a notice of award from a Post Award perspective

Jessica Helbling
Senior Research Administrator

Current Role:
Proposal Preparation, College/Department Level

THE UNIVERSITY OF ARIZONA

Tri-University
Research
Administration
Conference

Learning Objective:

Learn key words to search for within a funding announcement

"I'm interested in submitting a proposal to [sponsor] and I'd like to apply to [program solicitation #]."

– PI Wilbur Wildcat

"Great! Let's review the FOA."

– Research Administrator Wilma

General Information

- When are proposal submissions due?
  - Full Proposal Deadline

- What central guidelines should you follow?
  - NSF PAPPG 20-1
  - NIH SF424 R&R Research
  - NASA Guidebook for Proposers

- What is the Program Title?

- What type of proposals are allowed to be submitted to this particular call?
  - New, Resubmission, etc.

- What is the Opportunity Number or Activity Code?

- What kind of proposal will be submitted?
  - Research, RAPID, Conference, etc.

- Is this the original announcement or has there been an amendment?

- Who do you contact if you have questions?
  - Cognizant Program Officer

- What is the CFDA Number?

- Are Clinical Trials allowed?

Smart Health and Biomedical Research in the Era of Artificial Intelligence and Advanced Data Science (SCH)

PROGRAM SOLICITATION
NSF 21-530

REPLACES DOCUMENT(S):
NSF 18-541

Full Proposal Deadline(s) (due by 5 p.m. submitter's local time):

February 16, 2021

November 10, 2021

November 10. 2022

Any proposal submitted in response to this solicitation should be submitted in accordance with the revised *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 20-1), which is effective for proposals submitted, or due, on or after June 1, 2020.

NSF Ex.

Funding Opportunity Title

NINDS Exploratory Neuroscience Research Grant (R21- Clinical Trial Optional)

NIH Ex.

Activity Code

R21 (///grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r21&Search.x=0&Search.y=0&Search_Type=Activity)
Exploratory/Developmental Research Grant

Funding Opportunity Announcement (FOA) Number	Catalog of Federal Domestic Assistance (CFDA) Number(s)
PA-18-358	93.853

Application Types Allowed

New
Resubmission

The OER Glossary (///grants.nih.gov/grants/guide/url_redirect.htm?id=11116) and the SF424 (R&R) Application Guide provide details on these application types.

Clinical Trial?

Optional: Accepting applications that either propose or do not propose clinical trial(s)

Need help determining whether you are doing a clinical trial? (https://grants.nih.gov/grants/guide/url_redirect.htm?id=82370)

Award/Funding Information

- What is the anticipated type of award?
  - Grant, Cooperative Agreement, Contract, etc.

- What is the estimated number of awards for this particular FOA?

- How much funding can applicants request per proposal and for how long?

- Are direct costs limited?

- Is there an IDC (F&A) stipulation?

- Is there a cost share requirement?

- Is a Milestone Payment Schedule required?

Award Information

Anticipated Type of Award: Standard Grant or Continuing Grant or other funding mechanism (depending on the needs of the particular awarding agency)

Estimated Number of Awards: 10 to 16 per year, subject to the availability of funds.

Projects will be funded for up to four years for a total of $1,200,000 ($300,000 per year).

Anticipated Funding Amount: $16,000,000 to $20,000,000 will be invested in proposals submitted to this solicitation in FY 2021, subject to the availability of funds and the quality of the proposals received.

B. Budgetary Information

- **Cost Sharing Requirements:**

  Inclusion of voluntary committed cost sharing is prohibited.

NSF Ex.

Award Budget

Direct costs are limited to $275,000 over a two-year period, with no more than $200,000 in direct costs allowed in any single year.

NIH Ex.

Award Project Period

The maximum project period is two years

B. Cost Sharing

The cost share must be at least 20% of the total allowable costs (i.e., the sum of the government share, including FFRDC costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project) for R&D projects and 50% of the total allowable costs for demonstration and commercial application projects and must come from non-federal sources unless otherwise allowed by law. (See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing requirements.)

DOE Ex.

Eligibility Information

- Which organizations may submit proposals?

- Who may serve as PI?

- Are there any citizenship requirements?

- Are there membership requirements?

- Can foreign entities apply or be involved in the project?

- How are FFRDCs eligible?
    - Can they apply directly?
    - Do they have to be a subrecipient?

- Do you have to include an industry or university partner?
    - Ex: STTR/SBIR proposals

- Is there a limit on the number of proposals per organization?

- Is there a limit on the number of proposals a PI can submit?

Who May Submit Proposals:

Proposals may only be submitted by the following:

- Institutions of Higher Education (IHEs) - Two- and four-year IHEs (including community colleges) accredited in, and having a campus located in the US, acting on behalf of their faculty members. Special Instructions for International Branch Campuses of US IHEs: If the proposal includes funding to be provided to an international branch campus of a US institution of higher education (including through use of subawards and consultant arrangements), the proposer must explain the benefit(s) to the project of performance at the international branch campus, and justify why the project activities cannot be performed at the US campus.
- Non-profit, non-academic organizations: Independent museums, observatories, research labs, professional societies and similar organizations in the U.S. associated with educational or research activities.

Who May Serve as PI:

There are no restrictions or limits.

Limit on Number of Proposals per Organization:

There are no restrictions or limits.

Limit on Number of Proposals per PI or Co-PI: 2

An investigator may participate as Principal Investigator (PI), co-Principal Investigator (co-PI), Project Director (PD), Senior Personnel or Consultant in **no more than two** proposals submitted in response to this solicitation. **These eligibility constraints will be strictly enforced in order to treat everyone fairly and consistently**. In the event that an individual exceeds this limit, proposals received within the limit will be accepted based on earliest date and time of proposal submission (i.e., the first two proposals received will be accepted, and the remainder will be returned without review). **No exceptions will be made.**

---

    i.   **Individuals**

U.S. citizens and lawful permanent residents are eligible to apply for funding as a prime recipient or subrecipient.

Applicant Eligibility: Applicant must be a university-affiliated UCAH Consortium Member by the time of proposal award on March 29, 2021.

Proposal Preparation Information

- Is a letter of intent, or preliminary proposal, or white paper required?

- How are full proposals submitted?
  - Electronically (portal vs. email)?
  - Hard Copy?

- Who can submit the final proposal?
  - AOR? PI? RA?
  - Do you have appropriate account credentials?

- What components/forms are required for submission?
  - Do any require AOR signature?
    - Ex: SF-LLL
  - Do any require Contracting review and/or signature?
    - Ex: Reps & Certs
  - Are there any special/supplemental forms required?
    - Ex: Postdoc Mentoring Plan

- Are there any page limits?

- Is a proposed start date specified?

- When will proposals be reviewed and how will you be notified of selection for award?

- **Letters of Intent:** Not required
- **Preliminary Proposal Submission:** Not required
- **Full Proposals:**
  - Full Proposals submitted via FastLane: *NSF Proposal and Award Policies and Procedures Guide* (PAPPG) guidelines apply. The complete text of the PAPPG is available electronically on the NSF website at: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg.
  - Full Proposals submitted via Research.gov: *NSF Proposal and Award Policies and Procedures Guide* (PAPPG) guidelines apply. The complete text of the PAPPG is available electronically on the NSF website at: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg.
  - Full Proposals submitted via Grants.gov: *NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov* guidelines apply (Note: The *NSF Grants.gov Application Guide* is available on the Grants.gov website and on the NSF website at: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide).

Earliest Start Date

Standard dates (//grants.nih.gov/grants/guide/url_redirect.htm?id=11113) apply

Page Limitations

All page limitations described in the SF424 Application Guide and the Table of Page Limits (//grants.nih.gov/grants/guide/url_redirect.htm?id=11133) must be followed.

R&R or Modular Budget

All instructions in the SF424 (R&R) Application Guide must be followed.

R&R Subaward Budget

All instructions in the SF424 (R&R) Application Guide must be followed.

PHS 398 Cover Page Supplement

All instructions in the SF424 (R&R) Application Guide must be followed.

3. Anticipated Announcement and Award Dates

After the peer review of the application is completed, the PD/PI will be able to access his or her Summary Statement (written critique) via the eRA Commons (//grants.nih.gov/grants/guide/url_redirect.htm?id=11123). Refer to Part 1 for dates for peer review, advisory council review, and earliest start date.

Valerie Keim
Grant and Contract Senior

Current Role:
Central Office, Pre-Award, Proposal Review and Submission

ASU®

Knowledge Enterprise
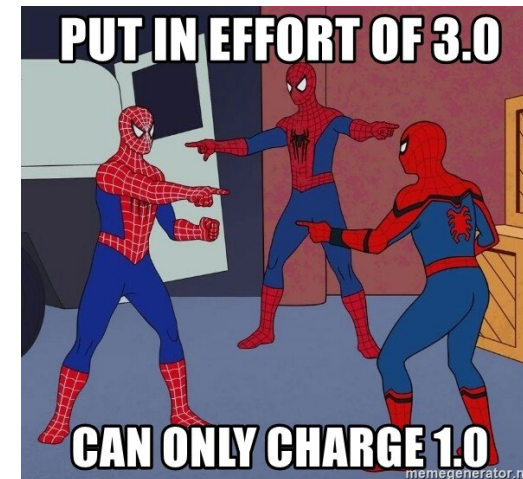
Arizona State University

Tri-University Research Administration Conference

Learning Objective:

Learn about items to discuss with faculty for successful proposal submission and award management.

Budget Commitments

- Personnel effort
  - 1 FTE cannot commit 110% time
    - Effort across projects
    - Other responsibilities of position (i.e. teaching?)
  - Sponsor restrictions
    - Senior Personnel effort budgeted
    - Salary Caps or Contractor Salary Thresholds
    - Cap on budget allocated to personnel?

PUT IN EFFORT OF 3.0

CAN ONLY CHARGE 1.0

Preparing for Post-Award During Proposal Preparation

Budget Commitments

- Cost sharing
  - Salary commitment (see Personnel effort)
  - Cash contributions
    - Necessary Approvals?
  - Third party commitments
    - Possibility of Institution being "on the hook"
  - Administrative burden to track and report
  - Is this needed for a proposal with *required cost share*?

F&A Implications

<u>Not all direct costs are equal with a MTDC base</u>

- Human Subjects vs. Participant Support
- Is this "equipment" actually capital equipment?
- Collaborators
 - Are they really a subaward? Consultant? Vendor?

Prior Sponsor Approval

- Travel destination unknown
  - If foreign travel is a *possibility*, include it at proposal time
  - It's harder to get foreign travel approved post-award than at proposal time

- Major Rebudgeting
  - Possibility of adding a subaward?
  - Anticipating major staffing changes?
  - Any other foreseeable events that would require a change in scope?

Preparing for Post-Award During Proposal Preparation
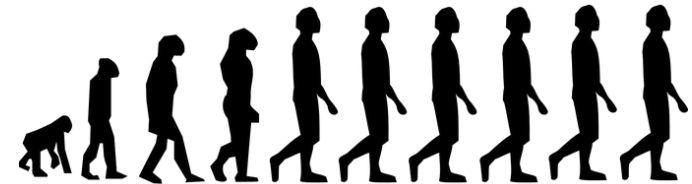
Prior Sponsor Approval

- Agreement Type
  - Cost reimbursable
    - Frequency of financial invoices/payments
    - Safeguarding over- or underspending
  - Fixed Price
    - Residuals
    - Coming in over budget

"The proposal was funded! When can I spend the money?"
– Co-PI Sparky

"Fantastic news! Let's take a look at the NOA."
– Research Administrator Wilma

Julia Patronski
Sponsored Projects Administrator, Principal

Current Role:
Post-Award Services, Central Office

THE UNIVERSITY
OF ARIZONA

Tri-University
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Administration
Conference

Learning Objective:

Understand and identify key components of a
notice of award from a Post Award perspective

3 Main types of Sponsored Agreements

Grants

Cooperative Agreements

Contracts

Grants

❖ Support activity initiated by the applicant & within the sponsor's funding priorities

❖ Awarded on competitive basis – RFP/Solicitation/Program Announcement

❖ Scope of work and expected outcomes are less defined than a contract

❖ No substantial involvement of the sponsor is anticipated during performance of activity

❖ Usually, to support a public purpose

Cooperative Agreements

❖ Administratively similar to a grant

❖ Includes substantial involvement and collaboration between the sponsor and the University when carrying out the activity of the agreement

❖ Usually, to support a public purpose

Contracts

❖ Scope, terms, expected outcomes all specified in contract

❖ Used to procure specific services or products from which sponsor will derive some benefit

❖ Usually, sponsor determines scope of work

Cost Reimbursable

- Sponsor reimburses university for costs incurred based on invoices
- Financial reporting is often required
- Remaining funds must be returned at end of project
- Often restrictions exist on budget deviations
- Financial risk to university is limited
- Subject to audit throughout the project

Terms and Conditions

PTE hereby awards a cost reimbursable subaward, (as determined by 2 CFR 200.330), to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.

Subrecipient shall submit invoices not more often than monthly and not less frequently than quarterly for allowable costs incurred. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), breakdown by major cost category, Subaward number, and certification, as required in 2 CFR 200.415(a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party's [Financial] Contact, shown in Attachment 3A.

Fixed Price

- Fixed scope of work
- Sponsor pays a fixed sum to complete the project, regardless of actual cost
- Payment based on milestones or deliverables
- Often a tangible deliverable required
- Administratively easier to manage – no reporting
- Financial risk can be high
- Typically, only subject to audit at the proposal stage

Vendor ID No.	*	DPAS Rating	Enter or NONE
Subcontract No.	AZ-401583	Job Code No.	55365.00.5001
Effective Date	August 17, 2020	USG Contract No.	N68335-20-C-0820
Type of Contract	Firm Fixed Price	Security	Unclassified
Program Title:	Theoretical study and simulation of L-switched laser structures and operation		
FOB Point	Destination	Payment Terms	N45
Initial Value	$41,407	Initial Funding	$41,407
Delivery Date(s)	See Section Part 1, Section IV		

MILE-STONE	DESCRIPTION	COMPLETE AS EVIDENCED BY	PRICE	Estimated Completion Date
1	Progress Report	Acceptance of Progress Reports	$21,407	10/08/2020
2	Final Report	Acceptance of Final Report	$20,000	01/06/2021

Why do we care about Terms & Conditions?

Responsible for:

➢ Stewardship of sponsored funds

➢ Ensuring financial & administrative requirements are met

➢ Protecting against audit risk

➢ Reducing risk of fines & debarment

➢ Proper internal reporting

Technical Report Requirements

- Federal Sponsors are imposing strict sanctions for delayed progress/technical reports
- Imperative reports are submitted on time as to not affect or delay future research funding
- Know what forms/format needs to be submitted

Financial & Patent Reporting Terms

Financial Reporting Terms

- Frequency/Schedule
- Due Dates
- Form (SF425, Sponsor form, University form)
- Method of Submission

Patent Reporting Terms

- Frequency/Schedule
- Due Dates
- Forms (HHS-568. DD-882, DOE, NASA, University form)
- Method of Submission
- Negative Reports required?

	FINAL REPORTS	REPORT DUE	RECIPIENT
X	*Final New Technology Summary Report (NTSR)* *(Required for all Grants and Cooperative Agreements except for those issued solely to support education programs)*	Within 90 days after the expiration date of the grant/cooperative agreement. (**Note: Negative reports are required.**) *(Ref. GCAM Appendix D8, D23 and D24)* *eNTR (http://invention.nasa.gov)*	PO, GO, NTR
X	**Properly Certified Final Federal Financial Report**, SF 425 *(Required for all Grants and Cooperative Agreements)*	Within 90 days after the expiration date of the grant/cooperative agreement. *(Ref. GCAM Appendix D6)*	FMO, GO

Other Terms and Conditions

Period of Performance vs. Budget Period
- Does the agreement state different budget periods compared to the POP?

Appropriation Expiration
- Does the agreement state that there is an appropriation end date?
- Set a reminder to ensure request for funds submitted before expiration date

Program Income
- Gross income earned by the non-Federal entity that is directly generated by a supported activity or *earned as a result of the Federal award during the POP*

Notice of Award

RESEARCH
Department of Health and Human Services
National Institutes of Health
NATIONAL CANCER INSTITUTE

Federal Award Date: 09/01/2015

Grant Number: 1R01CA
FAIN: R01CA

Principal Investigator(s):
Wilbur Wildcat, PHD

Project Title: Imaging and early detection of cancer

Director, Sponsored Projects Services
P.O. Box 210158, Rm 510
Tucson, AZ 857210158

Award e-mailed to: sponsor@email.arizona.edu

Period Of Performance:
Budget Period: 09/01/2015 – 08/31/2016
Project Period: 09/01/2015 – 08/31/2017

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of $572,656 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ARIZONA in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Other Terms and Conditions

Cost Share Requirements
- Is the cost share committed or voluntary committed?
- Is the required cost share amount listed on the NOA?
- Post and track cost share.

Subaward
- Is there a subaward?
- How does the subaward impact direct costs?
- When is the subaward's POP?

Carryforward
- Automatic or Approval required?
- Agreement silent?

ASSISTANCE AGREEMENT

| 1. Award No. DE-FE0031854 | 2. Modification No. | 3. Effective Date 01/01/2020 | 4. CFDA No. 81.089 |

5. Awarded To
University Of Arizona
Attn: MELISSA KRAMER
PO BOX 210158, Rm 510
TUCSON AZ 85721

6. Sponsoring Office
Office of Fossil Energy
FE-1
U.S. Department of Energy
1000 Independence Avenue, S.W.
Washington DC 20585

7. Period of Performance
01/01/2020 through 11/30/2020

8. Type of Agreement
- [ ] Grant
- [X] Cooperative Agreement
- [ ] Other

9. Authority
See page 2

10. Purchase Request or Funding Document No.
See Schedule

11. Remittance Address
University Of Arizona
Attn: UNIVERSITY OF ARIZONA, SPONSORED PR
1303 E UNIVERSITY BLVD
BOX 3
TUCSON AZ 857190521

12. Total Amount
Govt. Share: $935,254.00
Cost Share : $234,725.00
Total   : $1,169,979.00

13. Funds Obligated
This action: $511,850.00
Total   : $511,850.00

(See NIH Home Page at http://grants.nih.gov/grants/policy/awardconditions.htm for certain references cited above.)

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VI Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

Other Terms and Conditions

Budgetary Restrictions
- Expense limitations (ex: $1000 for travel)
- Unallowable expenses (ex: no foreign travel)
- Re-budgeting requirements (ex: approval required for change in budget)
- Restricted Supplement

The following terms are in effect for this award:

$8,400 can be spent per year plus any carry-forward amount; this includes $6,000 per year to the grantee for collaboration, travel and research expenses, plus $1,000 per year in discretionary funds to the grantee's department, and 20 percent per year in indirect costs on direct costs expenditures.

Confidential Information
- Sections marked "Confidential" are extracted from electronic file and stored in secure location
- Restrictions on email?

Contact Information
- Vital for asking questions and making requests via the Sponsored Projects Office

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Aida Vasquez
Email: vasquez@mail.nih.gov **Phone**: (240) 276-6319

Program Official: Richard V Mazurchuk
Email: richard.mazurchuk@nih.gov **Phone**: 240-276-7126

Sponsor Specific Terms

Clinical Trial Terms
- Open end date or is a Modification needed to extend?
- Term, not Enrollment Term

NASA Assurance
- Restricts funding with China

FAR Clauses
- E-Verify (52.222-54)
- Executive Order 13658 (52.222-55)
- Small Business Subcontracting Plan (52.219-9)

Questions???

Contact information

- Jessica Helbling, MBA (jhelbling@arizona.edu)
  Senior Research Administrator
  College of Engineering, The University of Arizona

- Valerie Keim (Valerie.Keim@asu.edu)
  Grant and Contract Officer Senior
  KE Research Operations, Arizona State University

- Julia Patronski (julialarson@arizona.edu)
  Sponsored Projects Administrator, Principal
  Sponsored Projects & Contracting Services, The University of Arizona