Proposal Development and Submission

Overview

- Funding Sources
- Grant, Cooperative Agreement, Contract
- Proposal Development
- Award Mechanisms
- Electronic Research Administration

Sources of Funding

- Federal Government

- State and Local Government

- Private Foundations

- Professional and Civic Associations

- For-Profit Organizations (to include Industry)

- International Organizations

What are Federal Financial Assistance Programs?

Federal financial assistance programs are authorized by statute with specific authority to transfer money, property in lieu of money, or other direct assistance to eligible recipients to <u>support or stimulate a public purpose</u>.

- Grants / Cooperative agreements
- Donations of property
- Food commodities
- Loans / Loan guarantees
- Interest subsidies
- Insurance

Federal Grant and Cooperative Agreement Act - 1977

- Set out to guide government agencies in their use of Federal funds

- Defined the roles of contracts, cooperative agreements, and grants

Grant Agreement or Cooperative Agreement

- is a legal instrument of financial assistance between a federal awarding agency and the recipient

- principal purpose of a grant agreement or cooperative agreement is to carry out a public purpose authorized by a law of the United States

- A cooperative agreement is distinguished from a grant in that it provides for substantial involvement between the Federal awarding or pass-through entity and the recipient

- Based on the policies of the Federal agency and Uniform Guidance (2 CFR Part 200)

What is Substantial Involvement?

1. Federal agency involvement in the selection of key recipient personnel, however, the Federal agency should not make hiring decisions for the recipient.

2. Federal agency and recipient collaboration or participation in performing the project, such as approving one stage of the project before the next stage can begin.

3. Direct Federal agency involvement or participation in the project to ensure compliance with cross-cutting statutory requirements, such as civil rights, environmental protection, and disability provisions.

4. Federal agency facilitation of relationships with other funded projects and/or stakeholders to maximize impact.

5. Federal agency review of detailed performance specifications (e.g. construction specifications).

Mandatory/Non-Discretionary vs Discretionary

- Mandatory Spending - *Spending* that is mandated by law. *Mandatory spending* refers to a budgeted amount of money that must be set aside for certain programs or initiatives as set forth by the government or governing authority. Examples: Social Security, Medicare

- Discretionary Spending - is the part of the U.S. federal budget that Congress appropriates each year. *Discretionary spending* is government *spending* implemented through an appropriations bill. This *spending* is an optional part of fiscal policy, in contrast to entitlement programs for which funding is mandatory and determined by the number of eligible recipients.

Discretionary Programs

Most Federal awards under discretionary programs are made through a competitive process. The Federal agency issues a notice inviting applications, and entities that are eligible develop proposals stating how the applicant plans to:

- Use the funds in response to programmatic goals, objectives and other requirements outlined in the funding opportunity announcement
- Allocate the funds on various program activities, and
- Manage the award.

Discretionary Programs

Reviews may occur by an independent panel of peers, Federal staff, or a combination. The applications are scored based on established criteria, and the highest-scored applications are typically recommended for funding.

Discretionary programs are those in which the Federal agency generally may:

- Select the recipient from among all eligible applicants
- Determine to make or not make an award based on the programmatic, technical, or scientific content of an application, and
- Determine the amount of funding to be awarded.

Non-Discretionary Programs

have specific statutory authority under which the Federal agency has no ability to exercise judgment ("discretion") in selecting the recipient or amount of funding.

Grants or cooperative agreements are awarded to each eligible entity under the conditions and in the amount (or based on the formula) specified in statute.

non-discretionary programs include:

- Block Grants
- Entitlement Programs

Types of Grants

- Block Grant - A consolidation of related programs into a single award to a governmental unit (normally States) to be used for a variety of activities within a broad functional area such as community development, social services, public health, or law enforcement.

- Block grants are typically formula-driven, and the recipient is responsible for further distribution of the money, thereby reducing federal involvement in that they transfer much of the decision-making to the recipient and reduce the number of separate awards that must be administered by the Federal Government

Types of Grants

■ Formula Grant - Allocations of federal funding to states, territories, or local units of government determined by distribution formulas in the authorizing legislation and regulations. To receive a formula grant, the entity must meet all the eligibility criteria for the program, which are pre-determined and not open to discretionary funding decisions.

■ Earmark Grant - are explicitly specified in appropriations of the U.S. Congress. They are not competitively awarded and have become highly controversial because of the heavy involvement of paid political lobbyists used in securing them.

Procurement Contracts (Acquisition)
Not Financial Assistance

- Contracts shall be used when the principal purpose is acquisition of property or services for the <u>direct benefit or use of the Federal Government</u>

- Procurement of good and services

- Terms usually detailed and specific

- Deliverables are dictated by sponsor

- Little latitude to modify work or budget

- Federal Acquisition Regulations (FAR) govern contracts.

Intergovernmental Personnel Agreement (IPA)

- Purpose
  - Allows University faculty to temporarily be assigned to a federal agency while maintaining their University status (usually less than 3 years)
  - Salary, fringes, and travel are usually covered
- Award Instrument
  - Most agencies use the OF-69
- Involvement by Sponsor
  - Extensive by nature

Def: Research & Development

- 2CFR 200.87

- R&D means all research activities, both <u>basic and applied,</u> and all development activities that are performed by non-Federal entities. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities…

- **<u>Basic Research</u>**. is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. <u>It is farsighted high payoff research that provides the basis for technological progress.</u>

- **<u>Applied Research</u>**. Applied research is systematic study to understand the means to meet a <u>recognized and specific need. I</u>t is a systematic expansion and application of knowledge to develop useful materials, devices, and systems or methods. It may be oriented, ultimately, toward the design, development, and improvement of prototypes and new processes to meet general mission area requirements.

Development

- **Development** is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

- Advanced Technology Development (ATD). This budget activity includes development of subsystems and components and efforts to integrate subsystems and components into system prototypes for field experiments and/or tests in a simulated environment.

Proposal Development Services

- Newsletters
- Workshops – sponsors and grant writing
- Proposal Editing
- Assistance on large Multidisciplinary proposals
- Junior Faculty Support
- Assistance on proposal components
  - Data management plans
  - Connecting to other programs on campus
  - Biosketches
  - Current and Pending Support

Primary Sources of Funding Information

- Agency
  - ☐ FOA and Websites
- Catalog of Federal Domestic Assistance
  - ☐ https://www.cfda.gov
- FedBizOpps   replaced Commerce Business Daily; Used for government procurement opportunities (contracts) over $25K
  - ☐ https://www.fbo.gov
- Federal Register
  - ☐ https://www.federalregister.gov
- Foundation Center – Foundation Directory
- Grants.gov
  - ☐ www.grants.gov

Secondary Sources of Funding Information

- Commercial Subscription Companies
  - COS (PIVOT), SPIN, IRIS…
- Search engines
- Foundation Directory
  - http://foundationcenter.org
- Newsletters
- Personal Contacts

Catalog of Federal Domestic Assistance

- The Catalog of Federal Domestic Assistance It contains <u>financial and nonfinancial assistance programs</u> administered by departments and establishments of the Federal government.

- As the basic reference source of Federal programs, the primary purpose of the Catalog is to assist users in identifying programs that meet specific objectives of the potential applicant, and to obtain general information on Federal assistance programs.

- <u>Describes major funding programs *not* individual opportunities</u>

- Numbering system organized by agency. Example NSF 47.041 is NSF Engineering grants.

Grants.Gov - https://www.grants.gov/

- Single site for locating Federal discretionary opportunities; 26 agencies post opportunities
- Search By FOA#, keywords, Agency, CFDA#, Date range
- Apply/submit
  - System to System (S2S)
  - Workspace – new process

Federal Register

- Created in March 1936
- Official daily publication for
  - rules, proposed rules, and notices of Federal agencies and organizations,
    - agency meetings, grant opportunities
  - executive orders and other presidential documents.
- New edition published every business day by the U.S. Government Printing Office (GPO) http://www.gpoaccess.gov/

Federal Sponsors

- Background Information
  - Many of the federal funding agencies are part of the Executive Branch of the Government

  - There are currently 15 Executive Departments under the Executive Branch of Government

Executive Departments

☐ Department of Agriculture (USDA)

☐ Department of Commerce (DOC)

☐ Department of Defense (DOD)

☐ Department of Education (ED)

☐ Department of Energy (DOE)

☐ Department of Health and Human Services (DHHS)

☐ Department of Homeland Security (DHS)

Executive Departments

- Department of Housing and Urban Development (HUD)
- Department of Justice (DOJ)
- Department of Labor (DOL)
- Department of State (DOS)
- Department of the Interior (DOI)
- Department of the Treasury
- Department of Transportation (DOT)
- Department of Veteran Affairs (VA)

Department of Agriculture (USDA)

- Provides leadership on food, agriculture, natural resources, rural development, nutrition, and related issues based on public policy, the best available science, and effective management. The U.S. Department of Agriculture (USDA) is made up of 29 agencies Selected Agencies are as follows:

- **Agricultural Marketing Service (AMS)**

- **Agricultural Research Service (ARS)**

- **Animal Plant and inspection Service (APHIS)**

- **Food Safety and Inspection Service (FSIS**

- **National Institute of Food and Agriculture (NIFA)**

  - **National Research Initiative (NRI)** is the flagship competitive grants program at USDA

  - **Cooperative State Research and Cooperative Extension (CSREES)** funds competitive grants, formula grants to land grant institutions

Department of Commerce

- **National Institute of Standards and Technology (NIST)**

  promotes U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology

- **National Oceanic & Atmospheric Administration (NOAA)**

  works to understand and predict changes in climate, weather, oceans, and coasts.

- **Economic Development Administration (EDA)**

  works directly with local economic development officials to make grant investments that are well-defined, timely, and linked to a long-term, sustainable economic development strategy

Department of Defense (DoD)

DOD uses Broad Agency Announcements (BAA) as one mechanism to solicit proposals.   Generally the PI will contact a program manager and/or submit white paper (informal short paper to gauge the interest of the program manager. If encourage to submit a full proposal then it can be submitted under the BAA. The BAA can be open for several fiscal years.

DOD budget categories (types of funds)

6.1 Basic Research

6.2 Applied Research

6.3 Advanced Technology Development

Department of Defense (DoD)

- **Defense Advanced Research Projects (DARPA)**

  serves as the central research and development organization of the Department of Defense. High risk in pursuit of high payoff is a hallmark of DARPA's programs.

- **Office of Naval Research (ONR)**

  Naval Research Lab - is the corporate research laboratory for the Navy and Marine Corps and conducts a broad program of scientific research, technology and advanced development.

- **Air Force Office of Scientific Research (AFOSR)**

- **Army Research Office (ARO)**

- **Army Corps of Engineers**

  Supports flood control and storm mitigation research. Military construction, environmental support to military installations.

- **Army Medical Research and Materiel Command (USAMRMC)**

Department of Education (DoEd)

☐ Elementary and Secondary Education

☐ Post Secondary Education

☐ Special Education

☐ EDGAR is the Education Department General Administrative Regulations that govern grants

☐ For many programs Facilities and Administrative costs are limited to 8%

Department of Energy (DoE)

- Office of Science - Fundamental research programs in basic energy sciences, biological and environmental sciences, and computational science. Largest supporter of basic research in the physical sciences (energy physics, nuclear physics, and fusion energy sciences.) Manages 10 National Laboratories

- Office of Nuclear Energy, Science and Technology

- Office of Fossil Energy

- Office of Energy Efficiency and Renewable Energy (EERE)

Executive Departments

- Department of Health and Human Services (DHHS)
  - National Institute of Health (NIH)
  - Food and Drug Administration (FDA)
  - Health Resources and Services Administration (HRSA)
  - Agency for Health Research and Quality (AHRQ)

- Department of Homeland Security (DHS)
  - Federal Emergency Management Agency (FEMA)
  - US Coast Guard

- Department of Housing and Urban Development

Department of the Interior

protects and manages the Nation's natural resources and cultural heritage; provides scientific and other information about those resources; and honors its trust responsibilities or special commitments to American Indians, Alaska Natives, and affiliated island communities.

- Bureau of Indian affairs
- Bureau of Land Management
- Bureau of Ocean Energy Management
- Bureau of Reclamation
- National Park Service
- US Fish and Wildlife Service
- US Geological Survey

Executive Departments

- Department of Justice
- Department of Labor
  - **Occupational Safety and Health Administration (OSHA)**
- Department of State
- Department of Treasury
- Department of Transportation
  - Federal Aviation Administration (FAA) oversees the safety of civil aviation
  - Federal Highway Administration (FHWA) coordinates highway transportation programs
  - National Cooperative Highway Research Program: is a national research program carried out through the collaborative efforts of the Federal Highway Administration (FHWA), the National Academy of Sciences, Engineering, and Medicine (NASEM), and the American Association of State Highway and Transportation Officials (AASHTO). NCHRP is administered by the Transportation Research Board (TRB) and sponsored by the individual State Departments of Transportation (DOTs) of the AASHTO in cooperation with the FHWA.
  - The Pipeline and Hazardous Materials Safety Administration (PHMSA)

Department of Veteran Affairs

- Department of Veteran Affairs
  - Veterans Health Administration
  - VA research is different from research sponsored by other federal research agencies: VA Research is the only research program focused entirely on Veterans' needs. VA Research is *intramural*, meaning only VA employees can conduct research under VA's sponsorship. Typically, VA researchers collaborate with academic institutions.

Federal Sponsors
Independent Agencies

- Environmental Protection Agency
  - Office of Research and Development (ORD) is the scientific research arm of EPA
- National Aeronautics and Space Administrations (NASA)
- National Endowment for the Arts (NEA)
- National Endowment for the Humanities (NEH)
- National Science Foundation (NSF)
- US Agency for International Development (USAID)

  is an independent federal agency that receives overall foreign policy guidance from the **Secretary of State**. USAID is the lead U.S. Government agency that works to end extreme global poverty and enable resilient, democratic societies to realize their potential

Small Business Programs (SBIR and STTR)

- Purpose – Government program established by E.O. 13329 to help small businesses receive federal funding

- Federal departments and agencies required to reserve a portion of their annual Research and Development funds for small businesses

- Three Phase Program with only the first two involving institutions

- Eligibility Criteria (for the SBC (Small Business Concern)):
  - American-owned (at least 51%) and independently operated
  - For-profit
  - Company size limited to 500 employees

Small Business Innovation Research (SBIR)

- SBIR Mission and Program Goals
  - ☐ Stimulate technological innovation
  - ☐ Meet Federal research and development needs
  - ☐ Foster and encourage participation in innovation and entrepreneurship by socially and economically disadvantaged persons
  - ☐ Increase private-sector commercialization of innovations derived from Federal research and development funding
  - ☐ SBIR Data Rights Clause 52.227-20 (SBIR Rights Notice)

Definitions

- ## Small Business
  - American Owned and Independently Operated
  - For-profit entity
  - No more than 500 employees
  - Principal researcher employed by the business

- ## Non-profit Research Institution
  - Located in the United States
  - Meet one of the three definitions:
    - Non-profit college or university
    - Domestic nonprofit research organization
    - Federally-funded R&D center

SBIR

- Eleven federal departments and agencies are required to reserve a portion of their R & D funds for this program
  - Department of Agriculture
  - Department of Commerce (National Institutes of Standards and Technology (NIST) & National Oceanic and Atmospheric Administration)
  - Department of Defense
  - Department of Education
  - Department of Energy
  - Department of Health and Human Services
  - Department of Homeland Security
  - Department of Transportation
  - Environmental Protection Agency
  - National Aeronautics & Space Administration
  - National Science Foundation

SBIR

- Three-Phase Program: Different funding limits and levels of University involvement
- PI employed by Small Business
- Phase I (Startup or Feasibility)
  - Awards up to $150,000
  - Approximately 6 months in length
  - SBC must perform at least 2/3 of the R&D work
- Phase II (Expand or Prototype)
  - Awards up to $1,000,000
  - As long as 2 years in length
  - SBC must perform at least 1/2 of the R&D work
- Phase III (Marketplace or Commercialization)
  - No University involvement in this phase
  - Objective is for the SBC to pursue (with non-SBIR or STTR funds) the commercialization of the results of the research conducted in Phases I & II

Small Business Technology Transfer (STTR)

- **STTR Mission and Program Goals**
  - Stimulate technological innovation
  - Foster technology transfer through cooperative R&D between small businesses and research institutions
  - Increase private sector commercialization of innovations derived from Federal R&D
  - Phase I & II, not less than 40 percent of the R/R&D work must be performed by the SBC, and not less than 30 percent of the R/R&D work must be performed by the single, partnering Research Institution
  - Primary employment of the principal investigator must be with the SBC or the research institution
  - Allocation of Rights agreement between SBC and RI

Small Business Technology Transfer (STTR)

- Five federal departments and agencies are required to reserve a portion of their R & D funds for this program

- Department of Defense

- Department of Energy

- Department of Health and Human Services

- National Aeronautics & Space Administration

- National Science Foundation

- Requires IP agreement

How does the SBIR Program differ from the STTR Program?

- How does the SBIR Program differ from the STTR Program?

- **SBIR:** <u>Principal Investigator must have primary employment with the SBC</u> (Small Business Concern) – unless a waiver is granted by the agency. The STTR program does not require the PI to be primarily employed by the SBC.

- **STTR** requires <u>partnership with a research institution</u> (the SBC must perform at least 40% of the work and the university must perform 30%). SBIR encourages but does not require the SBC (Small Business Concern) to partner with a research institution. The <u>SBC and its partnering institution are required to establish an intellectual property agreement</u> detailing the allocation of intellectual property rights and rights to carry out follow-on research, development or commercialization activities.

Types of Funding Announcements

- **Broad Agency Announcement (BAA)**
  Announcement of a federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award may be made. Used by DOD.

- **Funding Opportunity Announcement (FOA)**
  terminology used by grants.gov

- **Request for Proposals (RFP) procurement**

- **Request for Qualification (RFQ)** pre-qualification stage of the procurement process

Types of Funding Opportunities

- Solicited - When the funding agency asks for a proposal
- Unsolicited – initiated by the PI
- New
- Revision - modifies a proposal that is pending or is otherwise unfunded, but not official declined by the sponsor
- Renewal - a competitively reviewed proposal requesting additional funds extending the scope of the work beyond the current project period.
- Continuation - requests the already approved funds for the next phase (or next year) of the project
- Supplemental - Use for additional funds added to an existing award outside of the original proposal that does not require a competitively reviewed proposal.
- Transfers   - when a PI transfer in or out of an institution and takes the award to the new institution

Types of Submissions

- Letter of Intent

- White Paper / Letter Proposal

- Pre-proposal / Preliminary Proposal

- Full Proposal

- Limited Submissions

Uniform Guidance Preaward Section 2CFR 200.200

- Requirements for Notice of Funding Opportunity (NOFA)
- Risk Assessment of applicants
- Standard Application requirements
- Certs and Reps
- Information in the Federal Award

Notices of Funding Opportunity Section 200.203

- Standard Minimum 60 day lead time

- Agency can determine to have it less than 60 days but no less than 30 days unless immediate circumstance as determined by the Federal awarding agency head dictate an different period.

FOA Required Information

Specifics 6 data elements that must be included in the public notice

1. Agency Name
2. Title of the FOA
3. Announcement Type (initial or modification)
4. FOA number
5. CFDA number
6. Key dates

Appendix I   Notice of Funding Opportunity Announcement (FOA)

- Provides a required format for FOA

- The format specifies a standard location for information.

- Some sections are required and some are options.

Sections of FOA

- A. Program Description
- B. Federal Award Information
- C. Eligibility Information
- D. Application and Submission Information
- E. Application Review Information
- F. Federal Award Administration Information
- G. Federal Awarding Agency Contact(s)
- H. Other Information—Optional

A. Program Description— Required

- contains the full program description of the funding opportunity.
- describes the agency's funding priorities
- focus areas
- program history
- if the program encourages collaborative efforts
- citations for authorizing statutes and regulations

B. Federal Award Information—Required

- total amount of funding that the agency expects to award.
- anticipated number of awards
- expected amounts of individual awards
- anticipated start dates and periods of performance
- indicate <u>grant</u>, <u>cooperative agreement</u> or if procurement <u>contract</u> may be awarded

C. Eligibility Information

- *1. Eligible Applicants—Required*
  - ☐ types of applicant organizations
  - ☐ eligibility of the principal investigator
  - ☐ any criteria that make particular projects ineligible
- *2. Cost Sharing or Matching—Required*
  - ☐ must state whether there is required cost sharing, matching, or cost participation without which an application would be ineligible.
  - ☐ if cost sharing is not required, the announcement must explicitly state this.

D. Application and Submission Information

- 1. Address to Request Application Package—Required

- 2.Content and Form of Application Submission—Required

- Pre-applications, letters of intent, or white papers

- Page limitations, font size, # of copies

3. System for Award Management (SAM)—Required

- (i) Be registered in SAM before submitting its application;

- (ii) provide a valid unique entity identifier in its application;

- (iii) continue to maintain an active SAM registration

Standard Form 424

- SF424 – Application for Federal Assistance

- Applicants should use the 424 family of forms unless agency prescribes otherwise

- Research uses the SF424 R&R

- SF424B Assurances – Non Construction

Codes You Need to Register

- DUNS#: Data Universal Numbering System Number
  - unique nine-character identification number provided by the commercial company Dun & Bradstreet
- CAGE Code: The Commercial and Government Entity
  - five-character ID number used extensively within the federal government
- TIN: The Tax Identification Number (TIN)
  - nine-digit number which is either an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS) or it is Social Security Number (SSN)

4. Submission Dates and Times—Required

- must identify due dates and times for all submissions

- state if agency plans more than one cycle of application submission

- If the due date falls on a Saturday, Sunday, or Federal holiday, the reporting package is due the next business day.

5. Intergovernmental Review

- If the funding opportunity is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs," the notice must say so.

- Each participating state can chose to review or not

- Each participating state has a Single Point of Contact (SPOC) for the review process.

6. Funding Restrictions—Required

- Examples are whether construction is an allowable activity.

- any limitations on direct costs such as foreign travel or equipment purchases.

- any limits on indirect costs.

- must state if advised if awards will not allow reimbursement of pre-award costs.

7. Other Submission Requirements— Required

- must address any other submission requirements not included in the other paragraphs of this section.

- This might include the format of submission, i.e., paper or electronic.

- applicants should not be required to submit in more than one format.

E. Application Review Information

- Evaluation criteria

- State if cost sharing will be consider in the evaluation process

- Anticipated Announcement and Federal Award Dates—Optional

F. Federal Award Administration Information

- 1. Federal Award Notices—Required
  - ☐ What a successful applicant can expect
- 2. Administrative and National Policy Requirements—Required.
  - ☐ Must identify the usual administrative and national policy requirements
  - ☐ Any special terms and conditions
- 3. Reporting—Required
  - ☐ general information about post-Federal award reporting requirements

G. Federal Awarding Agency Contact(s)—Required

- must give potential applicants a point(s) of contact for answering questions or helping with problems while the funding opportunity is open.

H. Other Information—Optional

- This section may include any additional information that will assist a potential applicant.

- Statement that the Federal Government is not obligated to make any Federal award as a result of the announcement or that only grants officers can bind the Federal Government to the expenditure of funds).

Standard Proposal Elements

- Cover Letter (Transmittal Letter)
- Title
- Abstract or Project Summary
- Table of Contents
- Project Narrative (Description)
  - ☐ Introduction
  - ☐ Project goals and objectives
  - ☐ Review of literature
  - ☐ Description of proposed project
  - ☐ Plan of action, methodology and design
  - ☐ Broader impacts
  - ☐ Dissemination

Standard Proposal Elements

- References

- Bio sketches

- Current and Pending Support

- Budget and Budget Justification

- Facilities, Equipment and Other Resources

- Supplementary Documentation

- Appendices

Characteristics of a Successful Proposal?

- Meets stated needs of sponsor

- Follows directions/guidelines

- Directed to reviewers

- Demonstrates the need for the work

- Clear and concise narrative

- Documents achievable deliverables

- Budget consistent with scope of work and well justified

Defining ERA

- "Electronic Research Administration is a philosophy for conducting research administration in an integrated and paperless environment." – Jerry Stuck, NSF, FDP Co-Chair for ERA Committee

- ERA Vision
  - Seamless integration of organization's ERA system with sponsor's ERA system
  - System-to-System interface (S2S)

The Big Stick

- Public Law (PL) 106 & 107 – Federal Financial Assistance Management Improvement Act of 1999
  - The use of a "common application and reporting system" is mandated
  - Forced Federal agencies to work together on a common system
  - Grants Policy Committee (GPC)

Electronic Research Administration (ERA)

- eRA Commons (NIH) - Administration portal for grants
- E-verify.gov - Used to verify eligibility for individual to work in the US
- FederalReporting.gov (Recovery.gov) - Result of Transparency Legislation of Stimulus Funding
- Fedconnect.net -Utilized by DoE (with the exception of ARPA-E)
- Grants.gov - Submission of grants
- iEdison - Single interface to see inventions and IP from federal agencies
- USAspending.gov - Result of the Federal Funding Accountability and Transparency Act (Transparency Act) Searchable database for Federal awards

Electronic Research Administration (ERA)

- GrantSolutions - Grants Center of Excellence
  - Over 17 partners; DHHS, DHS, HUD, State, DOT, EPA
- NIH Reporter - For reporting expenditures and processing reports
- NSF Fastlane - Submitting and reviewing proposals
- NSPIRES - NASA Solicitation and Proposal Integrated Review and evaluation System – Funding solicitations and proposal submission website
- G-5 - Department of Education (DoED)
- ezFedGrants – USDA
- EBRAP – Electronic Biomedical Research Application Portal serves the Congressionally Directed Medical Research Programs

Research.gov

- Research.gov is the modernization of FastLane
- Check Grant Application Status
- Uploading of Project Reports
- Project Outcomes Report for the General Public
- Proposal/Panel Review
- Submit or Manage Payment Transactions

National Institutes of Health (NIH)

- **eRA COMMONS**
  - PI & AOR must register
  - Functions
    - Proposal Review
    - Status information on submitted applications
    - E-Snap – submission of non-competing grant (PHS2590) and progress reports
    - Adding the ability to submit supplements

ASSIST - Application Submission System & Interface for Submission Tracking

- Submit to NIH and other Public Health Service agencies.
- Collaboration of Multiple Users.
- Pre-population of data from eRA Commons profiles.
- Upload documents into a web based portal
- Pre-submission validation

Federal Payment Systems

Payment System	Sponsor Utilization
ACM$	NSF
ASAP	BOEM, USDA NIFA, NOAA, EPA, USDA, DOI NATIONAL PARK SERVICES, US GEOLOGICAL SURVEY, US FISH & WILDLIFE SERVICE , BUREAU OF LAND MANAGEMENT, BUREAU OF RECLAMATION, DEPT OF ENERGY
Delphi	DOT
DOE	DOE (Dept of Energy)
FEMA-PARS	PARS System- Invoice request-SF-425
G5	Dept of Education
GMS	DOJ
grants.fmmi.usda.gov	USDA FAS
HRSA	NIH
IPP	Department of Interior-FWS
NFWF	National Fish Wildlife Foundation
OJP	Department of Justice
Payweb	Army/Naval
PMC	Dept of Energy
PMS	NIH, NASA, USDA-ARS, DHHS, USDA OAO
Tungsten Network/OB10	Veterans Affairs
VIPERS	Dept of Energy
WAWF	DOD

proposalCENTRAL

- e-grantmaking Web site shared by government, non-profit, and private grant-making organizations
  - American Cancer Society
  - Arthritis Foundation
  - Muscular Dystrophy Association
  - Other non-profits

System to System (S2S)
Electronic Proposal Development and Submission

- Cayuse 424
- Kuali Coeus
- InfoEd Global
- Click Commerce – Huron Consulting

Steps for Proposal Development and Submission

- Determining solicitation requirements
- Budget development
    - budget is the financial expression of the project
- Coordinating with collaborators
- Proposal editing and assembly
- Proposal compliance review
- Proposal quality review and submission

Find and Read the Solicitation

- Determine
  - ☐ Due date
  - ☐ Revisions and Updates
  - ☐ What the program's about (synopsis)
  - ☐ Organizational Limitation
  - ☐ Eligibility Limitation

Submission Instructions

- Method of Submission
    - electronic system
    - email
    - hardcopy
- Number of Copies
- Other Requirements

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Internal Review and Approval

- Protection for institution and for PI
- Approve/sign off
  - PI/Co-PIs
  - Department Heads, Center Directors
  - Deans
  - Sponsored Research Office
  - Vice President for Research

What is Being Approved?

- Proposed work supports mission of the institution
- Budget / Budget Justification
- Commitment of institutional Match
- Verification of Facilities and Resources
- F&A Rate if less than negotiated rate
- F&A internal distribution
- Certification of no Conflict of Interest
- Compliance Checks

Compliance Checkboxes

- Human Subjects
- Animal Subjects
- Recombinant DNA
- Infectious Biohazards
- Program Income
- Export Controls
- Publication Restrictions
- Restriction Against Foreign Nationals

Agency Contact after Submission

- **Status Checks**
- **Revised Budgets**
- **Just-in-time submissions**
- **Site Visits**
- **Award Negotiations**
- **Declined or withdrawn proposals**

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Accepting the Award - Options

- Accept
- Decline
- Negotiate
  - Budget
  - Scope of Work
  - Terms