Brown Bag Luncheon Series

Sponsored Projects eForms

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Session Objectives

• Introduce the *ABCs of Sponsored Projects*
• Understand how and when to complete the:
  – Transmittal Summary ("TranSum") Form
  – Regulatory and Certification PD Screens
  – Cost Sharing Approval Request Form
  – PI Status Request Form
The “TranSum”

• A University proposal routing form that must accompany each proposal submitted to the Office of Grant and Contract Administration that has not been created in the IRES Proposal Development module
  – PD Initiators will complete the Certification and Regulatory Page within the PD module
The ABCs

• The ABCs of Sponsored Projects have been developed as a source document to help you:
  – Understand terminology, concepts and issues
  – Access pertinent policies, regulations, procedures and forms
  – Supplement your knowledge

• The ABCs can be found at http://www.yale.edu/grants/toolkit/index.html

• The ABCs do not replace formal training
The “TranSum” cont.

To locate the TranSum

1. Navigate to:
   https://yale.edu/ppdev
   or
   https://business.yale.edu/ppdev/

2. Select Grants & Contracts

3. Select Form 1304 FR.03 Transmittal Summary
   Form (TranSum)
The “TranSum” cont.

- A PI must meet Yale’s eligibility criteria
  - If requesting an exemption, Form 1310 FR. 04 must be completed and approved prior to submission of proposal
- Personnel data needs to be accurate and consistent
  - Utilize HR data as a source [http://directory.yale.edu/phonebook/index.htm](http://directory.yale.edu/phonebook/index.htm)
  - Format names: First, Middle Initial, Last Name
  - Format Telephone #’s: 203-785-4797
- Appointment Title is provided in a drop down menu (see next slide)
- Department name is the department (owning org) that has responsibility for the administration of the proposal and subsequent funding
# The “TranSum” cont.

<table>
<thead>
<tr>
<th>Appointment Title Drop Down Menu</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Clinical Professor</td>
</tr>
<tr>
<td>Assistant Professor</td>
</tr>
<tr>
<td>Assistant Professor Adjunct</td>
</tr>
<tr>
<td>Assistant Profess in the Practice</td>
</tr>
<tr>
<td>Associate Clinical Professor</td>
</tr>
<tr>
<td>Associate Professor</td>
</tr>
<tr>
<td>Assistant Professor Adjunct</td>
</tr>
<tr>
<td>Associate Professor Adjunct</td>
</tr>
<tr>
<td>Associate Professor in the Practice</td>
</tr>
<tr>
<td>Associate Research Scientist/Scholar</td>
</tr>
<tr>
<td>Clinical Instructor</td>
</tr>
</tbody>
</table>


The “TranSum” cont.

• GCA will generate an IRES proposal number at the time of proposal submission
  – This number may be utilized to track proposals in IRES PT View or PD
• See next slide for instructions on generating a TCN
• For proposal, program and instrument types a drop down menu is provided
  – See ABC’s for definitions
• Federal pass through occurs when a non-federal entity (such as Yale) receives a federal award and provides a portion of the award to a subrecipient or subawardee to carry out a specific scope of work in support of the federal award
  – Note that it is sometimes difficult to determine status when State agencies are the sponsor
The “TranSum” cont

The TCN Generator can be found at https://www-iisp1.its.yale.edu/tcn/.
The “TranSum” cont.

- Proposal Type drop down menu:
  - New
  - Competing Continuation
  - Non-competing Continuation
  - Supplement
  - Extension
  - Transfer
  - Binding Letter of Intent/Pre Application
  - Resubmission
  - Limited Submission
  - No-Cost Extension
  - Revised Resubmission
The “TranSum” cont.

• Program Type drop down menu:
  – Career Award
  – Clinical Trial
  – Conference/Seminar/Travel
  – Construction
  – Cooperative Agreement
  – Equipment
  – Fellowship
  – Institutional Grant for Education
  – Institutional Grant for Research
  – Internal Application
  – Other
  – Research
  – Service
  – Training
The “TranSum” cont.

• Instrument Type drop down menu:
  – Grant
  – Contract
  – Subaward
The “TranSum” cont.

- Accuracy is important when typing the proposal title
  - It is used for keyword searches as well as within multiple Yale publications
- The short title is a required field with the following format:
  - DEPT CODE (caps) + PIs short title or wording
- The proposal start & end dates are published within most program announcements
  - If unavailable, provide based on budget submission
- Complete only if a PI will be submitting an application to the sponsor prior to the published date
The “TranSum” cont.

- The sponsor is the agency/entity that will be providing funds
  - Example: NSF awards a grant to Yale
  - Example: NIH (Prime Agency) awards a grant to Stanford (Sponsor) who provides a subaward to Yale
- Sponsor contact information normally refers to the agency grant/contract manager
- A sponsor ID is not always identified, but if so it will be in the program announcement
  - Example: PAR-12-254
  - This number is important to track program activity and success rates
• Deadline Type is a drop down menu: electronic, postmark, receipt
• The Catalog of Federal Domestic Assistance (CFDA)
  – An online database of federal programs with unique program identifiers
  – Program identifiers can be found on award documents
  – The GCA award set up unit will complete this field if not inserted by department
The “TranSum” cont.

- See the ABC’s for definitions
  - Award documentation will have instructions on the renewal process
  - Note sponsors may have limitations on the number of resubmissions
The “TranSum” cont.

- Departmental contact should be the individual who can answer GCA questions
- Project Work Location is the primary location where the proposed work will be undertaken.
  - Use of facilities financed either directly or indirectly with tax-exempt financing may require additional scrutiny within GCA (i.e. clinical trials)
  - Project location will also help determine appropriate F&A rate

<table>
<thead>
<tr>
<th>Department Administrator Contact for Proposal:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Phone:</td>
<td>Email:</td>
</tr>
<tr>
<td>Call for Pickup Name:</td>
<td>Call for Pickup Phone:</td>
</tr>
<tr>
<td>Project Work Location:</td>
<td></td>
</tr>
<tr>
<td>Primary Location of Research: Building</td>
<td>Room Number:</td>
</tr>
</tbody>
</table>
The “TranSum” cont.

- Subrecipient forms can be found at https://business.yale.edu/ppdev/
- Completing the subrecipient spreadsheet at the time of proposal submission supports the assigning of projects and tasks at award setup
The “TranSum” cont.

- Yale’s negotiated rates are posted at:
  [http://www.yale.edu/grants/proposal_dev/facts.html](http://www.yale.edu/grants/proposal_dev/facts.html)
- Many non-federal sponsors do not fully reimburse the University for its F&A costs on sponsored awards (See Policy 1405)
The “TranSum” cont.

• F&A Rates and Base: Select from drop down menu. Drop down menu includes:
  – Modified Total Direct Cost
  – Total Direct Cost
  – Total Direct Cost – Equipment
  – Administrative/Institutional Allowance
  – Flat Fee
  – Non/Not allowed IDC = 0
  – Other
The “TranSum” cont.

- See the ABCs for definitions and links to University Policy 1306 on cost-sharing
- If yes, an appropriately approved Cost Sharing Approval form must be submitted to GCA
• Manage the Senior/Key Personnel List
  – At Yale, all individuals identified in a proposal as responsible for the design, conduct or reporting of research (PI, Co-PI, Co-I required) must disclose significant financial interest
  – PI may identify someone as Responsible who may not be Senior/Key personnel (i.e. contributes in a substantive, meaningful way to the scientific development or execution of a project, whether or not salaries are requested)
  – SFI’s must be disclosed to Yale by the time proposal is submitted
  – Yale must manage, reduce or eliminate COI’s before any funds are spent

• Utilize drop down menu for role and appt type
The “TranSum” cont.

• The following slides reflect not only what is included on the TranSum but also reflect PD’s Regulatory and Certification screens

• The information collected on the following slides and the certification are identical in content.
The “TranSum” cont.

<table>
<thead>
<tr>
<th>Will this Project Involve Animals and/or Human Subjects?</th>
<th>Is the Animals and/or Human Subject Research being conducted by: Yale (faculty, students, staff or any others identified in the proposal) AND/OR subrecipient(s)</th>
<th>If the research is being conducted by a subrecipient - What is the name of the subrecipient</th>
<th>In what country is this work being conducted?</th>
<th>Protocol #: If protocol NOT approved, enter status</th>
<th>Protocol Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select One</td>
<td>Select One</td>
<td>United States</td>
<td></td>
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<tr>
<td>Select One</td>
<td>Select One</td>
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<td>United States</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

**Compliance**
- The compliance section of the TranSum should be completed by or with assistance from the PI/PD
- Enter one line for each combination of Animal/Human Subjects work being conducted at Yale and one line for each combination being conducted by a Yale Sub-Recipient
- Protocol Status: From drop down menu (pending or approved)
- Protocol #: Inter the number if an HIC/IRB or IACUC Protocol number has been associated with this proposal
- Protocol Approval Date: Enter the date designated in the HRPP’s letter of approval.
• All of the questions must be answered either directly by the PI or with assistance from the PI. If any of the questions have a “Yes” answer the country must be identified from the drop down list.

• Responses to questions will assist in the identification of potential export control issues if the proposal involves the transfer of or provision of equipment materials data or services outside the US or if foreign nationals are involved in the research.
The “TranSum” cont.

2. Will this project involve any foreign travel, especially foreign travel with a laptop, computer or other electronic devices?  
   - Yes  
   - No

3. Does the solicitation RFP, RFQ, RFA and/or discussions with the sponsor indicate potential use or involvement of publication restrictions or export-controlled items or information?  
   - Yes  
   - No

4. Does the solicitation (FOA, RFA, RFP, RFQ, etc.) include data security requirements, e.g., FERPA, FISMA, HIPAA or Privacy Act?  
   - Yes  
   - No

If yes, review http://www.yale.edu/grants/policies/index.html and scroll down to the standard federal agency policies.
Compliance (Research Materials/Equipment) cont.

• All of the questions must be answered either directly by the PI or with assistance from the PI. Indicate if any of the materials listed will be used in the conduct of the proposal.
• If the proposed work involves the use of embryonic stem cells the tracking number assigned by Yale’s Embryonic Stem Cell Research Oversight (“ESCRO”) Committee must be indicated and the location of the activity.
The “TranSum” cont.

Certifications and Approvals

I certify that:

The information submitted within the proposal is true, accurate, complete, is my original work, and to the best of my knowledge has not been used by other individuals in the preparation and submission of a similar grant application. Any false, fictitious or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and

I agree to accept responsibility for the scientific and administrative conduct of the project and will provide the required reports if a sponsored agreement is awarded as a result of the proposal;

I have completed all required Yale faculty training, including Sponsored Projects Administration for Faculty;

I have determined and identified those investigators who I consider to be responsible for the conduct, design, or reporting of the research contained in this proposal for purposes of fulfilling Yale’s Financial Interest (COI) Policy and have been assured by each investigator that they currently have an up to date financial interest disclosure on file;

I further agree to comply with any conditions or restrictions imposed by Yale to manage, reduce or eliminate conflicts of interest;

I have completed the Patent Policy Acknowledgement & Agreement form and agree that if in the course of the research conducted under University auspices, as defined in the Patent Policy, I make any invention (whether or not patentable), I will provide to the Yale Office of Cooperative Research (OCR) a written disclosure of the invention, I will and hereby do assign to Yale my rights in that invention as provided by the Patent Policy and I will cooperate with OCR in the preparation of any patent applications;

All personnel on this project including postdocs, students, visiting scientists, have (or will have if not currently hired or arrived at Yale) executed Yale’s Patent Policy Acknowledgement & Agreement form prior to initiation of the project in accordance with Yale Policy, as appropriate;

I have determined if additional resources and/or space is required in order to conduct this proposed research and have discussed the potential need for resources and/or space with my chair or dean as appropriate;

All individuals proposed to work on this project are, to the best of my knowledge, not excluded from participation in the federally funded activities as a result of government-wide suspension or debarment;

All potential environmental health and safety issues and hazards identified in this proposal, will be disclosed to staff and students who will receive applicable training, authorizations and equipment necessary to perform this work safely; and

I have read and understand Yale’s Guidelines on Export Controls and I will work with GCA to ensure this project complies with the USA export control laws and regulations.
The “TranSum” cont.

Note PD Users: Department Chair/Dean (or designee) approval will not be required on the Certification and Regulatory page.
The “TranSum” cont.

• Note that sponsored research conducted at the VA by a faculty member with a joint appointment must have a Memorandum of Understanding (MOU) in place
• CMHC = Connecticut Mental Health Center
Cost Sharing Approval Request

To locate the Cost Sharing Approval Request form:

1. Navigate to: https://yale.edu/ppdev or https://business.yale.edu/ppdev/
2. Select Grants & Contracts
3. Select Form 1306 FR.01 Cost Sharing and Approval Request
Cost Sharing Approval Request

• This form must be completed for all proposals that include:
  – Mandatory cost sharing
  – Voluntary committed cost sharing
  – In-kind/matching
Let’s test your knowledge on the topic of cost sharing...

What is cost sharing?
Cost Sharing Approval Request cont.

• The portion of project or program costs not borne by a sponsor
  – Mandatory Cost Sharing
    • Required by sponsor
  – Voluntary Committed Cost Sharing
    • Not required by sponsor but (Yale) PI promises to provide some form of cost-sharing *but not in NSF proposals!*
  – Voluntary Uncommitted Cost Sharing
    • Not identified in a proposal or in any other communication to the sponsor
  – Matching or In-Kind Cost Sharing
    • Some sponsors require institutions to match award funds or provide in-kind contributions
Cost Sharing Approval Request cont.

• Completion of a Cost Sharing Approval Request form is **not** required:
  – If the sponsor has a published policy limiting or prohibiting F&A cost recovery
  – If the only cost sharing is in the form of salary over a sponsor imposed cap
  – If correctly applying the *de minimus* effort for academic year salary.

• See [ORA Important Update](#) and the ABC’s for additional information on de minimus effort, academic year effort, and the FAS and FES 9-over-9 Salary Allocation Program

**Note:** Faculty paid from Confidential Payroll must complete this form but provostial approval is not required.
Cost Sharing Approval Request cont.

• Be accurate and consistent as noted previously
• For assistance refer to Policy 1316: Effort Commitment
• The cost sharing amount should reflect all proposed project years
• A Yale account number associated with a Yale award should be referenced for each category of cost sharing
• If more than one account will be used, include in the Explanation/Justification field
Cost Sharing Approval Request cont.

- Explain or attach supporting documentation
  - A link to the RFA/RFP/FOA.
  - Informal correspondence from the sponsor requesting/justifying the cost sharing request
  - A copy of the proposed budget
Cost Sharing Approval Request cont.

- Signature of the appropriate administrator who has authority to commit the funding supporting the cost sharing.
- Signature of the chair indicates his/her approval of the voluntary commitment to cost share personnel effort
Cost Sharing Approval Request cont.

• Cost sharing commitments must receive the prior approval of the appropriate University official (self-support school dean or cognizant provost)
• Cost Sharing Approval Request must accompany the proposal when submitted to GCA
• To expedite processing of the cost sharing request form all supporting documentation should accompany the Form
Cost Sharing Approval Request cont.

• Resources
  – Policy 1306: Cost Sharing on Sponsored Projects
  – Procedure 1306 PR.01: Cost Sharing
    – http://yale.edu/ppdev/Procedures/gc/1306PR.01CostSharing.pdf
  – ORA Important Update: Voluntary Committed Cost Sharing in Proposals
    – http://www.yale.edu/research administration/document/ImportantUpdate52307.pdf
To locate the PI Status Request form:

1. Navigate to: https://yale.edu/ppdev or https://business.yale.edu/ppdev/

2. Select Grants & Contracts

3. Select Form 1310 FR.04 PI Status Request
PI Status Request

• Completion of a PI Status Request is not required for:
  – Students, postdoctoral appointees, other trainees or associate research scientists when submitting applications for fellowships and mentored career development awards conducted under the oversight and supervision of a designated faculty mentor/sponsor conducted in the facilities of that designated mentor/sponsor.
The signatures of the approvers are an attestation to the qualifications of and support for the PI.
5) If the individual requesting PI status is part time, appropriate arrangements to oversee the project when the PI is not present at Yale have been made, and s/he acknowledges this role by approving this request.

Indicate name of Individual: ____________________________

6) If the individual requesting PI status is a voluntary faculty member, trainee, postdoctoral appointee, associate research scientist, etc., appropriate arrangements have been made to ensure that the PI will be appropriately mentored and monitored by a full-time faculty member and he or she acknowledges this role by approving this request.

Indicate name of Individual: ____________________________

Signatures of responsible faculty members indicated above:

Date: ___________  Date: ___________  Date: ___________

Approved:

Name of Department Chair: ____________________________

Signature of Department Chair: ____________________________  Date: ___________

Name of Dean/Provost/AVP: ____________________________

Signature of Dean/Provost/AVP for Research Administration: ____________________________  Date: ___________
PI Status Request cont.

• Requests cannot be evaluated if:
  – The scope of work is not clear
  – Available resources are not identified
  – The PI’s experience is not documented