Grant Process Overview

This is a brief overview and summary of important grant information. It is not intended to cover all details of the grant administration process.
# ACRONYMS

<table>
<thead>
<tr>
<th>BA</th>
<th>Business Administrator</th>
<th>IRB</th>
<th>Institutional Review Board</th>
</tr>
</thead>
<tbody>
<tr>
<td>EHRS</td>
<td>EHRS</td>
<td>LOI</td>
<td>Letter of Intent</td>
</tr>
<tr>
<td>eRA</td>
<td>Electronic Research Administration (<a href="https://era.temple.edu">https://era.temple.edu</a>)</td>
<td>MTDC</td>
<td>Modified Total Direct Costs</td>
</tr>
<tr>
<td>eSPAF</td>
<td>Electronic Sponsored Project Administration Form</td>
<td>NOA</td>
<td>Notice of Award</td>
</tr>
<tr>
<td>F&amp;A</td>
<td>Facilities and Administration</td>
<td>OVPR</td>
<td>Office of Vice President for Research</td>
</tr>
<tr>
<td>FCOI</td>
<td>Financial Conflict of Interest</td>
<td>PI</td>
<td>Principal/Principle Investigator</td>
</tr>
<tr>
<td>FOAP</td>
<td>Fund, Organization, Account, Program (Cost Center)</td>
<td>RAS</td>
<td>Research Accounting Services</td>
</tr>
<tr>
<td>GM</td>
<td>Grants Management Office</td>
<td>RFA/PA</td>
<td>Request for Application/Program Announcement</td>
</tr>
<tr>
<td>IACUC</td>
<td>Institutional Animal Care and Use Committee</td>
<td>S2S</td>
<td>System-to-System</td>
</tr>
<tr>
<td>ICR</td>
<td>Indirect Cost Recovery</td>
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</tbody>
</table>
**PROPOSAL PROCESS**

**PI identifies funding source and contacts BA to discuss budget and preparation of proposal in eRA.**

PI should Identify:
1. Key personnel
2. IACUC/IRB/EHRS issues
3. Subaward/Consortium
4. Cost share
5. Course buyout
6. Project Period

**PI/BA will create record in eRA, upload needed documents and route for administrative review.**

Items needed for preliminary review:
1. Program announcement (RFA/PA)
2. Biosketches for Key Personnel
3. Detailed Budget with account codes
4. Budget Justification
5. Abstract
6. Title
7. Project start and end date

*PI MUST complete FCOI training and submit a disclosure for certification before submission*

**PI/BA will review RFA/PA to determine submission mechanism:**
- If S2S – Then GM is responsible for submitting proposal
- If non-S2S – PI may be responsible for submitting proposal

When record is finalized, GM is notified and assigned Grant Specialist will review proposal for submission approval and obtain any needed signatures from designated Authorized Representative.

After preliminary review is completed, PI/BA will upload all necessary documents needed to finalize eRA.temple.edu record, may include the full proposal package.

The college/school of each identified Key Personnel will make a determination to approve or reject the proposal.

At the College Level:
- PI - Key Personnel, Course Buy-Out request, Space needs, Budget, eSPAF Regulatory Questions, Cost-Share, ICR Split
- Key Personnel - Course Buy-Out request, Space needs, Base Salary, Cost-Share
- Chair - Project scope and focus, Funding Mechanism, Cost-Share, Course Buy-Out, Space needs, Student Opportunities
- Dean’s Office - Project scope and focus, Funding Mechanism, Cost-Share, Course Buy-Out, Space, ICR Split, F&A Rate, Internal Policies

**PROPOSAL SUBMITTED**
Points of Contact
Business Administrators

Greg Wacker, Assistant Dean, Finance & Administration
GWacker@Temple.edu
215-204-2658

Drew DiMeo, Assistant Director, Finance & Administration
Andrew.Dimeo@temple.edu
215-204-7126

Hera Walker, Assistant Director, Research Administration
Hera.Walker@temple.edu
215-204-1927

Eileen Armstrong-Carroll, Lead Financial Analyst
EileenArmCar@temple.edu
215-204-2151
## Timeline for Proposal Review/Approvals

<table>
<thead>
<tr>
<th>Deadline</th>
<th>Action Required</th>
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</thead>
</table>
| **No later than ten (10) business days prior to the sponsor’s deadline** | The following items must be uploaded into eRA:  
- Abstract  
- Biosketches of Key Personnel  
- Budgets  
  - Subaward organizations must have submitted their final budget, and it is preferred to have their signed documentation at this stage.  
- Budget justification  
- Sponsor program announcement  
- Forms that require official university signature, such as a letter of intent or cover page  
These items will be uploaded into eRA for the routing of the eSPAF to all relevant parties. |
| **No later than five (5) business days prior to the sponsor’s deadline** | The eSPAF must be approved by all parties within CST and any collaborating schools/colleges.  
GM will require a waiver from OVPR to process proposals for which this deadline is not met. A waiver request for emergency processing may only be requested by the Dean. |
| **No later than 12:00 noon two (2) business days prior to the sponsor’s deadline** | All materials – including the scientific sections – must be completed and uploaded into eRA and other application system.  
All materials must be finalized and submitted to GM by 12:00 pm. GM will require a waiver from OVPR to process proposals for which this deadline is not met. A waiver request for emergency processing may only be requested by the Dean. |

### Waivers
A waiver request for emergency processing may only be requested by the Dean to OVPR. The decision to request a waiver will reside with the Dean. Your research administration staff contact will work with you to prepare the waiver and will submit it to the Dean. The ultimate decision to grant or deny a waiver will be determined by the Senior Vice Provost.

### Special Circumstances
Dean’s Office staff may require earlier deadlines under special circumstances. If this is necessary, deadlines will be discussed and set during the initial budget development meeting and written into the contract. Examples include: proposals due on the NIH standard deadlines when multiple applications are being prepared, projects that require eSPAF routing to multiple departments or schools/colleges, and accommodating dates when eSPAF approvers will be unavailable.

### Late Submissions
Please note that grant application materials received by the Dean’s Office and GM after the internal deadlines noted above will be processed on a first-come, first-served basis. While every effort will be made to accommodate late submissions, it cannot be guaranteed that a sponsor deadline will be met under these circumstances.
Grants Management Office Personnel

Dr. Michele Masucci
Vice President for Research Admin.

Karen Mitchell
Senior Director

Rosemary Dillon
Director, Special Projects
Responsible for Certifying FCOI

Elysa Weiss
Sr. Grants & Contracts Specialist
Assigned to:
Biotechnology
Chemistry
CIS
Math
Dean’s Office
ICMS
iGEM
SHRO
Ctr for Advance Photonics
Ctr for Info Science & Technology

Angie Calicat
Assoc. Grants & Contract Specialist
Assigned to:
Earth & Environmental Sciences
Biology
Ctr for Biodiversity Research

John Penner
Sr. Grants & Contract Specialist
Assigned to:
Physics
Ctr for Material Theory

Contact information for your assigned grant specialist can be found at https://research.temple.edu/staff-directory#Grants Management.
## FRINGE RATES

<table>
<thead>
<tr>
<th>Fringe Benefit Group</th>
<th>Agreement Type</th>
<th>Government Agreements</th>
<th>All Other Sponsors (Companies, Foundations, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Full-Time</td>
<td>Full-Time</td>
<td>Part-Time (Summer Salary, Undergrads, etc.)</td>
</tr>
<tr>
<td></td>
<td>(Academic Salary, Technicians, Post Doc, Admin, etc.)</td>
<td></td>
<td>Graduate Students (12 Month)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Account Codes</td>
<td>60XX</td>
<td>60XX</td>
<td>62XX</td>
</tr>
<tr>
<td></td>
<td>65XX</td>
<td>65XX</td>
<td>66XX</td>
</tr>
<tr>
<td>Rate FY16</td>
<td>29.2%</td>
<td>31.0%</td>
<td>8.4%</td>
</tr>
<tr>
<td>Rate FY17</td>
<td>29.7%</td>
<td>31.4%</td>
<td>7.9%</td>
</tr>
</tbody>
</table>

A breakdown of fringe components can be found at [https://research.temple.edu/fringe-benefit-rates](https://research.temple.edu/fringe-benefit-rates)
CALENDAR v. ACADEMIC v. SUMMER EFFORT

NSF only permits an aggregate of 2 months of salary for Key Personnel

NIH caps salaries at $185,100 annually for FY16. On NIH funding, an individual can only take an aggregate of $15,425 for 1 month on all NIH funding.

<table>
<thead>
<tr>
<th>CALENDAR (Fiscal)</th>
<th>ACADEMIC</th>
<th>SUMMER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Some faculty are appointed on a calendar or fiscal appointment. This means that your employment is for a full 12 months. This appointment does not permit taking summer salary.</td>
<td>Typically, most faculty are appointed for the academic year. You are paid for 9 months (academic) of employment. The 9 months of salary is distributed over 12 months to avoid lapses in benefits, such as health insurance. This appointment permits taking summer salary.</td>
<td>If you are on an academic appointment, you are permitted to take up to 3 months summer salary (Note: you cannot get paid for more than 3 summer months on the aggregate of funding).</td>
</tr>
<tr>
<td>So if your salary is 90,000, your annual salary is 7,500/month.</td>
<td>So if your salary is 90,000, your academic salary is 7,500/month (90,000/12 = 7,500).</td>
<td>So if your salary is 90,000, you are paid 10,000/month in June, July, and/or August (90,000/9 = 10,000) in addition to your academic base salary of $7,500/month.</td>
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</table>
F&A or Indirect Cost

Per agreement with DHHS, Temple will apply F&A or Indirect Cost (a.k.a., Overhead) to all externally funded research at the negotiated rate:

F&A is calculated from MTDC, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and up to the first $25,000 of each subaward. MTDC excludes equipment ($5,000+), capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships and fellowships as well as the portion of each subaward in excess of $25,000 per the rate agreement.

A copy of Temple’s current agreement can be found at
# FREQUENTLY REQUESTED INFORMATION

| Applicant Name                  | Temple University – Of The Commonwealth System of Higher Education  
<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Temple is a state-affiliated institution and a non-profit institution of higher education under 501(c)(3) of the Internal Revenue Code.</strong></td>
<td></td>
</tr>
</tbody>
</table>
| Applicant Address               | Student Faculty Center - Suite 427  
3340 N. Broad Street  
Philadelphia PA 19140  |
| Authorized Representatives      | For Grant Acceptance:  
Karen D. Mitchell, MBA  
Senior Director Grants Management  
Student Faculty Center - Suite 427  
3340 N. Broad Street  
Philadelphia, PA 19140-5104  
Tel: (215) 707-7547  
Fax: (215) 707-8387  
Email: karen.mitchell@temple.edu  
For Contract Signature:  
Jaison Kurichi  
Assoc. VP for Budget  
1330 Polett Walk, Sullivan Hall  
Philadelphia, PA 19122  
Tel: (215) 204-4600  
Fax: (215) 707-8387  
Email: jaison.kurichi@temple.edu  |
| TAX ID (EIN or TIN)             | 23-1365971  
| DHHS EIN (NIH applications)    | 123-1365971A1  |
| Congressional District          | PA-002  
| DUNS                            | 05-712-3192  |
| Cognizant Federal Agency for F&A Agreement | Ernest Kinneer  
U.S. Department of Health and Human Services, Division of Cost Allocation  
330 Independence Avenue, S.W.  
Washington, D.C. 20201  
(214) 767-3261  |
| Date of Most Recent F&A Agreement | 02/04/2016  |
FREQUENTLY REQUESTED INFORMATION

<table>
<thead>
<tr>
<th>CAGE Code</th>
<th>1QBP4</th>
<th>NAICS Code</th>
<th>611310</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Animal Welfare Assurance: (IACUC)</strong></td>
<td>A3594-01</td>
<td><strong>Human Subjects Assurance:</strong></td>
<td>00004964 (Behavioral and Social Sciences) 00004964 (Medical Intervention)</td>
</tr>
</tbody>
</table>

More information can be found at [http://research.temple.edu/grants/key-guidelines-resources/frequently-requested-information](http://research.temple.edu/grants/key-guidelines-resources/frequently-requested-information)
ALL identified subward institutions will be asked to provide the following:

- **Sub-Recipient Commitment Form**
- Detailed budget (if cost share is required it should be included)
- Budget Justification
- Biosketch of key personnel
- F&A agreement
- Statement of Work
- Facilities and Resources
- Any Letters of Collaboration

PI/BA will work to provide all documents specifically requested by the Prime, including but not limited to:

- LOI
- PHS-398 Facepage and/or Checklist
- F&A Agreement
- SF424 Budget with Budget Justification
- Statement of Work
- Biosketch of Key Personnel
- Facilities and Resources
- Any Letters of Collaboration
Research Related Websites

Human Subjects Training through CITI
https://www.citiprogram.org/

IRB (human subjects research)
http://www.temple.edu/research/regaffairs/irb/index.html

Environmental Health and Radiation Safety
http://www.temple.edu/ehrs/

Institutional Biosafety
http://www.temple.edu/research/regaffairs/ibc/index.html

IACUC (animal research)
http://www.temple.edu/research/login.asp?val=iacuc
Getting Your Grant

FOAP Set Up

A FOAP (Cost Center) needs to be set up so you can start charging expenses to the grant.

- PI/GM will receive NOA or notice of pending issuance of award

If NOA issues, GM will begin processing for FOAP assignment

- GM will issue written instructions via email to PI/BA on what needs to be completed prior to FOAP set up, including but not limited to:
  1. FCOI certification;
  2. Revised Budget;
  3. Regulatory requirements (IACUC, IRB)

If NOA is pending, PI/BA can request Advanced FOAP to allow 90 day pre-award spending (if permitted)

- PI/BA should send the following to GM:
  1. Signed Advance FOAP Form
  2. Budget w/ 25% costs
  3. Documentation of pending funding

RAS will issue a FOAP number based on the agency and type of award.

- Non-Federal source – 2XXXXX
- Federal agencies – 3XXXXX
- Subawards – 40XXXX
- State Agencies – 42XXXX

Once PI resolves all pending issues outlined by GM, GM will forward NOA to RAS for processing

F – Fund
O – Organization
A – Account
P – Program
Continuation of Funding

Most agencies will issue funding in 12 month increments. When this occurs, GM requires PI/BA to create a child record in eRA that is linked to the original proposal. The child record follows the same deadline and procedure as regular proposal submissions, i.e., 5 and 2 day waivers apply.

<table>
<thead>
<tr>
<th>NIH CONTINUATION eSPAF</th>
<th>OTHER AGENCY eSPAF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Items needed for SPAF routing:</td>
<td>Items needed for SPAF routing:</td>
</tr>
<tr>
<td>1. Detailed budget with account codes</td>
<td>1. Detailed budget with account codes</td>
</tr>
<tr>
<td>2. Budget Justification</td>
<td>2. Budget Justification</td>
</tr>
<tr>
<td>4. Biosketches for All Key Personnel</td>
<td>4. Biosketches for All Key Personnel</td>
</tr>
<tr>
<td>5. Abstract</td>
<td>5. Abstract</td>
</tr>
</tbody>
</table>

If subaward(s) exist, the following items MUST be provided by the subawardee institution:

- Sub-Recipient Commitment Form
- PHS 2590 Form
  - Face Page
  - Checklist Page
  - All Personnel Report
- Budget
- Budget Justification
- Biosketches of All Key Personnel
- Statement of Work

Although your BA will make every attempt to timely create the child record, the PI should notify the BA as soon as the PI knows the Progress Report is due to avoid requesting a waiver from OVPR.
Decoding NIH Application Number

Once NIH receives your application, the Center for Scientific Review (CSR) gives it a unique identifier and assigns it to the Integrated Review Group for review and to an NIH institute or center for funding. The unique identifier given to your application is comprised of six codes that each identify specific information.

Application Identification Number: 1 R01 GM 012345 01 A1/S1

<table>
<thead>
<tr>
<th>Code</th>
<th>Explanation</th>
</tr>
</thead>
</table>
| 1    | **Application Type**  
A single-digit code identifying the type of application received and processed. Application type codes include the following:  
1=New, 2=Renewal, 3=Revision, 4=Extension, 5=Non-Competing Continuation, 6=Change of Organization Status (Successor-In-Interest), 7=Change of Recipient or Training Institution, 8=Change of Institute or Division (Type 5 transfer to another NIH IC), 9=Change of Institute or Division (Type 2 transfer to another NIH IC) |
| R01  | **Activity Code**  
A 3-character code used to identify a specific category of extramural research activity, applied to financial assistance mechanisms. NIH uses three funding mechanisms for extramural research awards: grants, cooperative agreements and contracts. Within each funding mechanism, NIH uses 3-character activity codes (e.g., F32, K08, P01, R01, T32, etc.) to differentiate the wide variety of research-related programs NIH supports. A comprehensive list can be found at [http://grants.nih.gov/grants/funding/ac_search_results.htm](http://grants.nih.gov/grants/funding/ac_search_results.htm) |
| GM   | **Institute/Center**  
The NIH organizational component responsible for a particular grant program or set of activities. The terms "NIH IC" or "awarding IC" are used throughout this document to designate a point of contact for advice and interpretation of grant requirements and to establish the focal point for requesting necessary prior approvals or changes in the terms and conditions of award. This example is General Medicine (GM). |
| 012345 | **Serial Number**  
Next is the unique serial number assigned by CSR. |
| 01   | **Year of Support**  
The number indicates the support year for the grant. |
| A1/S1 | **Suffixes**  
Indicate a supplement, amendment, or a fellowship institutional allowance. |
NSF Reporting Requirement Highlights

Reporting Requirements for NSF

• Publications and presentations supported by your award must acknowledge NSF support.
  – The suggested wording is given in the Award and Administration Guide: "This material is based upon work supported by the National Science Foundation under [GRANT NUMBER].”

• Annual Project Reports and a Final Project Report are required submitted via Fastlane (www.fastlane.nsf.gov).

• You must submit an Annual Project Report at least 90 days PRIOR to the end of each 12 month budget period to allow adequate time for the Program Director to review and approve the report.
  – Project reports for continuing grants with anniversary dates between August 1 and October 1 should be submitted as early as possible to ensure release of funding prior to the end of the fiscal year, September 30.

• The Final Project Report is due within 90 days after the expiration of the award.
  – Please note that if you as a PI or co-PI have an overdue Final Project Report, you may not receive additional funding on other awards or pending proposals until the report is submitted and approved.

Please read through the Award and Administration Guide, NSF 15-1, Chapter II - Grant Administration (http://www.nsf.gov/pubs/policydocs/pappguide/nsf15001/aag_index.jsp) to become familiar with various grant requirements for Principal Investigators.
NIH Reporting Requirement Highlights

• Progress reports are required at least annually as part of the non-competing continuation award process.

• Progress reports must be submitted 45 days before the grant anniversary date, using the Research Performance Progress Report (RPPR) in NIH eRA Commons, to receive funding for each subsequent budget period within a previously approved project period.

• Grantees may access a list of progress reports that are due using the Status Page in NIH eRA Commons, and selecting the Tab "List of Applications/Grants." The far right column on the resulting table entitled “Action” will include an RPPR link if a progress report is due.

• Further instructions on RPPR can be found at http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf.

• PI should forward his/her completed RPPR to assigned Grant Specialist for submission.
CHANGES REQUIRING PRIOR APPROVAL

All requests that require prior approval must be made in writing to the Sponsor’s Grants Management Officer at least 30 days before the proposed change.

Changes that require prior approval include, but are not limited to:

1. 25% or more reduction in Effort by Key Personnel;
2. Change in PI;
3. Change in Scope of Work;
4. Re-budgeting of 25% or more between categories, including subaward institutions;
5. Transfer of grant from one institution to another, etc.

* PI/BA should check the NOA for any restrictions and prior approval requirements for the specific sponsor.

* The Prior Approval requests to NIH MUST be endorsed by the Authorized Organization Representative (i.e., Senior Director). Failure to obtain required prior approval from the appropriate NIH awarding office may result in the disallowance of costs, termination of the award, or other enforcement action within the NIH's authority.

The following link has helpful information on which agencies require prior approval or waive prior approval

www.nsf.gov/pubs/fdp/fdpmatrix.xls
NO COST EXTENSIONS

NSF -

Grantees may authorize a one-time extension of the expiration date of the grant if additional time beyond the established expiration date is required to assure adequate completion of the original scope of work within the funds already made available. This one-time extension may not be exercised merely for the purpose of using the unliquidated balances. Grantees are not authorized to extend an award that contains a zero balance. The grantee shall notify NSF, providing supporting reasons for the extension and the revised expiration date, at least ten days prior to the expiration date specified in the grant to ensure accuracy of NSF’s grant data. All grantee-approved extension notifications must be submitted via Research.gov.

Instructions

• From Research.gov homepage, select the "Notifications & Requests" option, located under the "Awards & Reporting" column.
• Enter your login information and press "Log In" (Last Name, NSF ID, and Password).
• The Notifications & Requests screen appears; Select the "Prepare New" Option near the top of the page.
• On the next screen, select the "No Cost Extensions" radio button in Step 1 and "No-Cost Extension" in the Step 2 drop-down menu.
• On the next page, fill out the required information in the "Revised End Date" drop-down menu, the "Remaining Funds" text field, the "Justification for NSF-Approved No-Cost Extension" text field, and the "Plan for use of unobligated funds" text field. If applicable, also fill out the "Explanation for late request" text field.
• Click on the "Save & Submit to NSF" button at the bottom of the page.

If additional time beyond the extension provided by the grantee is required and exceptional circumstances warrant, a formal request must be submitted to NSF via Research.gov. The request must be submitted to NSF at least 45 days prior to the expiration date of the grant. The request must explain the need for the extension and include an estimate of the unobligated funds remaining and a plan for their use. As indicated above, that unobligated funds may remain at the expiration of the grant is not in itself sufficient justification for an extension. The plan must adhere to the previously approved objectives of the project.
NIH -
NIH Standard Terms of Award include the provision for grantees to extend the final budget period of a previously approved project period one time for a period of up to 12 months, without additional NIH funds. This action must be taken before the project period ends, and grantees are required to notify NIH when they have exercised this authority.
Grantees may extend the final budget period of the project when the following conditions are met:
• If no additional funds are required by the NIH awarding office
• If there will be no change in the project’s originally approved scope

In order to mandate an extension, one of the following criteria must be applicable:
• Additional time beyond the established expiration date is required to ensure adequate completion of the originally approved project
• Continuity of NIH grant support is required while a competing continuation application is under review
• The extension is necessary to permit an orderly phase-out of a project that will not receive continued support

NOTE: The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds.

To facilitate this process, the No-Cost Extension (NCE) feature exists in eRACommons, allowing AOR to request NCE in one month increments up to 12 months. Accessible through Status results, the link for accessing the feature is available 90 days before the project end date and is removed at midnight on the project end date.