



# Research Administration Practices (RAP) Sessions

## Reading a Solicitation

**November 16, 2021**

April London, Fiscal Officer, SSRC

Katrina McCarty, Contract Administrator, RAS

Carole Trainor, Research Administration Education and Support Specialist, VPR

# Agenda

RAP Sessions: Targeted skills based educational offerings open to the Research Administration community at MIT. Information gathered and shared with attendees can be taken back to their desks and applied immediately.

- Introductions
- Reading a Solicitation – What does it tell us? Why does it matter?
- Sponsor Type Tips: Federal, Foundation/Nonprofit, Industrial, International, Subaward
- Resources, Help and Support

# Introductions

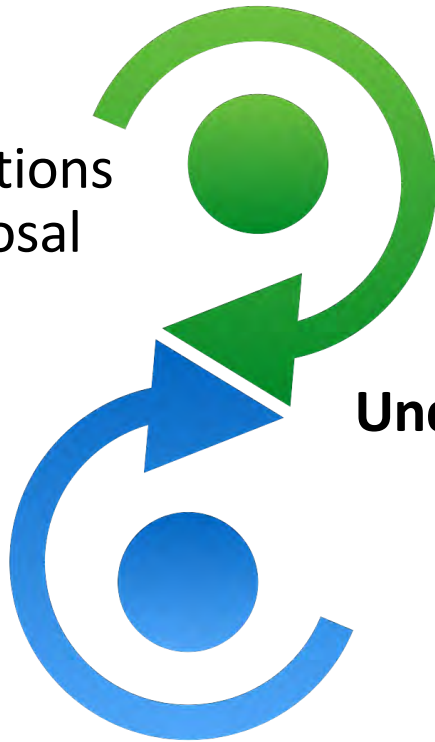
**April London**, *Fiscal Officer, Sociotechnical Systems  
Research Center*

**Katrina McCarty**, *Contract Administrator, RAS*

# Pre-Award and Post-Award

## Read a Solicitation

- eligibility, application instructions and requirements, and proposal budget
- award instrument, potential clauses and terms



## Understanding the Notice of Award

- approved funding, terms and conditions of the award
- RAP session [[PDF](#)] [[Video](#)]

# Poll #1

## To Which Sponsor Types Do You Submit?

- Federal Agencies
- Non-Profit, Foundations
- Industrial
- International

# Read the Solicitation

## Goals



- Reduce or eliminate revisions prior to submission to sponsor.
- General information: dates, eligibility, sponsor contacts, registration information, review process, submission process
- Financial/Budget Requirements or limitations
- Award Information: mechanism (grant, contract, cooperative agreement, other), funding type (fixed price, cost reimbursement), terms and conditions
- Limited Solicitations, published revisions to the solicitation, additional or unusual forms, terms and conditions
- Avoid submission errors and/or return without review
- Avoid Change/Corrected

# Common components of a solicitation

We will use a Federal Sponsor solicitation but explore elements that are common to all sponsor types:

- Proposal elements: research narrative, references/citations, letters of support, biosketches/CV, current and pending, animal or human use documents
- Budget and Budget Justification: sponsor specific forms, required or unallowable costs, cost sharing, limits to F&A
- Additional Forms and Attachments: representations & certifications, small business plans, other compliance requirements
- Subaward documentation (if applicable)

# DLC PI plans to submit a proposal

## Identify the funding opportunity announcement/solicitation/RFP

### Ask Questions

- What is the sponsor?
- What is the funding opportunity announcement (FOA), solicitation, RFP? Is there a link to the solicitation?
- Is this a New application, Resubmission, or Supplement?
- What are the Start and End Dates, Key Persons, Collaborators, Subaward organizations.
- If there is no FOA, when is this due to the sponsor?

See [DLC Proposal Checklist](#) – create your own checklist

**From:** PI  
**Sent:** Tuesday, April 27, 2021 4:16 PM  
**To:** April London  
**Subject:** FW: [EXTERNAL] Re: Research Area #3 FDABAA-21-00123 - Application

**Attachments:** Stage I Invite Letter MIT.pdf

**Importance:** High

Giving you a heads up on this!

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**From:** FDABAA <[FDABAA@fda.hhs.gov](mailto:FDABAA@fda.hhs.gov)>  
**Date:** Tuesday, April 27, 2021 at 9:13 AM  
**To:** FDABAA <[FDABAA@fda.hhs.gov](mailto:FDABAA@fda.hhs.gov)>, PI

**Subject:**FW: [EXTERNAL] Re: Research Area #3 FDABAA-21-00123 - Application

Good morning,

The evaluation of the above referenced White Paper and Quad Chart submission entitled "Application" has concluded and you have been invited to submit a full proposal. Please see the attached letter for specific information regarding this invitation for proposal.

Please confirm receipt of this email and if you have any questions, please feel free to contact me directly. Additionally, please be sure to reference the BAA reference number –XXXXX in all future communications regarding this proposal.

Sincerely,



# Identify & Read the Solicitation

Example:  
Search Grants.Gov and View FOA

GRANTS.GOV™

SEARCH: Grant Opportunities Enter Keyword... GO

HOME LEARN GRANTS SEARCH GRANTS APPLICANTS GRANTORS SYSTEM-TO-SYSTEM FORMS CONNECT SUPPORT

GRANTS.GOV Search Grants

### SEARCH GRANTS

BASIC SEARCH CRITERIA:

Keyword(s): PAR-22-039

Opportunity Number:

CFDA:

SEARCH

OPPORTUNITY STATUS:

- Forecasted (0)
- Posted (1)
- Closed (0)
- Archived (0)

Sort BY: Relevance (Descending) Update Sort

DATE RANGE: All Available Update Date Range

1 - 1 OF 1 MATCHING RESULTS:

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date	Close Date
PAR-22-039	Neuromodulation/Neurostimulation Device Development for Mental Health Applications (R01 Clinical Trial Not Allowed)	HHS-NIH11	Posted	10/12/2021	01/07/2025

GRANTS.GOV™

HOME LEARN GRANTS SEARCH GRANTS APPLICANTS GRANTORS SYSTEM-TO-SYSTEM FORMS CONNECT SUPPORT

### VIEW GRANT OPPORTUNITY

PAR-22-039  
Neuromodulation/Neurostimulation Device Development for Mental Health Applications (R01 Clinical Trial Not Allowed)  
Department of Health and Human Services  
National Institutes of Health

Apply Subscribe

SYNOPSIS VERSION HISTORY RELATED DOCUMENTS PACKAGE

Print Synopsis Details

General Information:

Document Type:	Grants Notice	Version:	Synopsis 1
Funding Opportunity Number:	PAR-22-039	Posted Date:	Oct 12, 2021
Funding Opportunity Title:	Neuromodulation/Neurostimulation Device Development for Mental Health Applications (R01 Clinical Trial Not Allowed)	Last Updated Date:	Oct 12, 2021
Opportunity Category:	Discretionary	Original Closing Date for Applications:	Jan 07, 2025
Opportunity Category Explanation:		Current Closing Date for Applications:	Jan 07, 2025
Funding Instrument Type:	Grant	Archive Date:	Feb 12, 2025
Category of Funding Activity:	Health	Estimated Total Program Funding:	
Category Explanation:		Award Ceiling:	
Expected Number of Awards:		Award Floor:	
CFDA Number(s):	93.242 - Mental Health Research Grants		

General  
Information -  
Overview

# Identify & Read the Solicitation

GRANTS.GOV | Search Grants

## VIEW GRANT OPPORTUNITY

PAR-22-039  
Neuromodulation/Neurostimulation Device Development for Mental Health Applications (R01 Clinical Trial Not Allowed)  
Department of Health and Human Services  
National Institutes of Health

Apply Subscribe

Back | Link

SYNOPSIS | VERSION HISTORY | RELATED DOCUMENTS | WORKSPACE

**General Information**

Document Type: Grants Notice  
Version: 1  
Funding Opportunity Number: PAR-22-039  
Posted Date: 12/15/2021  
Funding Opportunity Title: Neuromodulation/Neurostimulation Device Development for Mental Health Applications (R01 Clinical Trial Not Allowed)  
Last Updated Date: 12/15/2021  
Opportunity Category: Discretionary  
Original Closing Date for Applications: 03/15/2022  
Opportunity Category Explanation:  
Current Closing Date for Applications:  
Funding Instrument Type: Grant  
Archive Date:  
Category of Funding Activity: Health  
Estimated Total Program Funding:  
Award Ceiling:  
Category Explanation:  
Award Floor:  
Expected Number of Awards:  
CFDA Number(s): 93.242 - Mental Health Research Grants  
Cost Sharing or Matching Requirement: No

**Eligibility**

Eligible Applicants: Special district governments  
Independent school districts  
Public housing authorities/Indian housing authorities  
Public and State controlled institutions of higher education  
Others (see text field entitled "Additional Information on Eligibility" for clarification)  
County governments  
Private institutions of higher education  
Native American tribal governments (Federally recognized)  
Nonprofits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education  
For-profit organizations other than small businesses  
Small businesses  
Native American tribal organizations (other than Federally recognized tribal governments)  
State governments  
City or township governments  
Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education

Additional Information on Eligibility: Other Eligible Applicants include the following: Alaska Native and Native Hawaiian Serving Institutions; Asian American Serving Institutions (AASIS); Eligible Agencies of the Federal Government; Faith-based or Community-based Organizations; Historically Black Colleges and Universities (HBCUs); Indian/Native American Tribal Governments (Other than Federally recognized tribal governments); Regional Organizations; Tribal Controlled Colleges and Universities (TCCUs);

**Additional Information**

Agency Name: National Institutes of Health

Description: **Repeal of PAR-19-942.** The purpose of this funding opportunity announcement (FOA) is to encourage applicants to submit proposals for the development of brain stimulation devices for treating mental health disorders. Applications are sought for either 1) device development, by means of hardware/software improvements, the effectiveness of brain stimulation devices that are approved or cleared; 2) novel devices that move beyond existing electrostimulation and/or magnetic stimulation approaches; 3) novel devices that move beyond existing electrostimulation and/or magnetic stimulation approaches, including but not limited to: spatiotemporal precision as well as multi-focal, closed-loop approaches. Applications seeking to improve the resolution, depth of delivery, and/or precision of the device. Incremental changes to existing devices are not eligible.

Link to Additional Information: <http://grants.nih.gov/grantsguidance/foa/par-22-039.html>

Grantor Contact Information: If you have difficulty accessing the full announcement electronically, please contact:  
NIH GER Webmaster  
GERWebmaster3@od.nih.gov  
See Section VI, Agency Contacts within the full opportunity announcement for all other inquiries.

Grants.gov **Search** allows you to search, filter, view and apply through Workspace (if appropriate).

**Synopsis:** essential information, including the Funding Opportunity Number, posted and closing dates, eligible applicants, and link to full announcement.

**Version History:** access all versions of the grant opportunity's forecast and synopsis.

**Related Documents:** lists documents and links the grant-making agency has attached to this opportunity. There may or may not be documents, such as templates and supplementary forms, in this tab. Read all related documents, if attached.

**Package:** grant opportunity package(s). To create a workspace grant application, click the Apply button near the top of the page.

# April's Tools and Tips

**NIH R01/R21 Proposal  
Research Administration Services Guidance**

Before you begin:

- READ THE PA/RFAs SOLICITATION AND MAKE SURE YOU CHOSE THE RIGHT FUNDING OPPORTUNITY. In May 2020 updated the parent awards. Pay attention to the "Application and Submission Information" section.
- Individual NIH PA/RFAs take precedence.
- Proposals MUST be submitted by the "standalone deadline" date business day. For RFAs with a deadline, pay attention to the "Application and Submission Information" section.

**Sections of the Application**

[1] SF424 R&R (Cover Page)

Box 1. Ensure correct box number.  
Box 4a. Box is complete.  
Box 4b. Agency Routing Identifier (ARI) is required for the non-competitive applications (R01 awards).  
Box 6. TIN/EIN = 10421  
Box 8. Type of application.  
Box 10. Ensure solicitation number.  
Box 11. Title: limit 200 characters.  
Box 12. Ensure start date.  
Box 13. MIT Congressional District.  
Box 16. The program is.  
Box 17. Should be AGR.  
Box 21. Cover letter is attached.

**Cover letter** – usually exceeds \$500,000 in amount submitted under [Cover Letter Request Form](#).  
Note: Do not use to request [Assignment Request Form](#).

[2] Project/Performance Statement

- List MIT plus any other organizations.
- If the application has a budget, list the budget.
- Need to use a 9 digit budget number.

[3] R&R Other Project Information

CHECKLIST for NIH R01		NOTES
Proposal Number:	Workspace ID:	Faculty:
Due to SSRC:	Due to OSP:	Due to:
Title:		
<b>Other Project Information:</b>		
<input type="checkbox"/> Cover Letter. <input type="checkbox"/> Project Summary/Abstract – No longer than 30 lines of text. <input type="checkbox"/> Project Narrative – No more than 2 or 3 sentences. <input type="checkbox"/> Bibliography and References Cited <input type="checkbox"/> Facilities and Other Resources. <input type="checkbox"/> Equipment. <input type="checkbox"/> Biosketch – 5 page limit. Required for PI, Co-PI, and Key People.		Not required; cover page
<b>Research Plan:</b>		
<input type="checkbox"/> Introduction to Application (Resubmission and Revisions only) <input type="checkbox"/> Specific Aims – 1 page limit. <input type="checkbox"/> Research Strategy – 12 page limit. (Include Progress Report as part of the Approach section for Renewals and Revisions. <input type="checkbox"/> Progress Report Publication List (Renewals only). <input type="checkbox"/> Vertebrate Animals – If applicable. <input type="checkbox"/> Select Agent Research – If applicable. <input type="checkbox"/> Multiple PD/PI Leadership Plan – If applicable. <input type="checkbox"/> Consortium/Contractual Arrangements – If applicable. <input type="checkbox"/> Letters of Support – If applicable. <input type="checkbox"/> Resource Sharing Plan / Data Management <input type="checkbox"/> Key Biological and/or Chemical Resources – If applicable. <input type="checkbox"/> Appendix – If applicable.		
<input type="checkbox"/> Assignment Request Form – If applicable.		
<b>Budget:</b>		
<input type="checkbox"/> Modular Budget – personnel justification required. <input type="checkbox"/> Detailed Budget – detailed justification required.		

Department of Health and Human Services  
Part 1. Overview Information

Participating Organization(s)  
U.S. Food and Drug Administration (FDA (<http://www.fda.gov/>))

NOTE: The policies, guidelines, terms, and conditions stated in this announcement may differ from those used by the NIH. Where this Funding Opportunity Announcement (FOA) provides specific written guidance that may differ from the general guidance provided in the grant application form, please follow the instructions given in this FOA.

The FDA does not follow the NIH Page Limitation Guidelines or the NIH Review Criteria. Applicants are encouraged to consult with FDA [Agency Contacts](#) for additional information regarding page limits and the FDA Objective Review Process.

Components of Participating Organizations  
Center for Drug Evaluation and Research (CDER (<http://www.fda.gov/AboutFDA/CentersOffices/OfficeofMedicalProductsandTobacco/CDER/default.htm>))

Funding Opportunity Title  
Advancing Post-Market Surveillance of High-Risk Facilities and Products through Signal detection, Data analysis, and the Review of the State of Quality (U01) Clinical Trial Optional

Activity Code  
[U01 \(/grants/funding/oc\\_search\\_results.htm\)](http://www.fda.gov/grants/funding/oc_search_results.htm) Cooperative Agreements

Announcement Type  
New

Related Notices

- March 11, 2020 - Notice of Change in Due Date for PAR-19-190, See Notice [NOT-FD-20-014 \(/grants/notice-files/NOT-FD-20-014.html\)](#)
- August 23, 2019 - Clarifying Competing Application Instructions and Notices (FAQs) Regarding Proposed Human Fetal Tissue Research, [\(/grants/notice-files/NOT-OD-19-137.html\)](#)
- July 26, 2019 - Changes to NIH Requirements Regarding Proposed [NOT-OD-19-128 \(/grants/notice-files/NOT-OD-19-128.html\)](#)
- April 10, 2019 - Notice to Change the Application Due Date for [\(/grants/notice-files/NOT-FD-19-011.html\)](#)

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Research Administration Practices (RAP) Sessions

## Download/Print

- RAS Sponsor checklist(s)
- DLC Sponsor/Solicitation checklist
- Full Funding Opportunity Announcement/Solicitation/RFP
- Highlight important elements
- Add notes to checklists, assign deliverables, create folder to gather files for application
- Start KC Proposal



# Sponsor Guidance vs Solicitation


Instructions in the Solicitation may specifically reference the Agency guidance

- Agency guidance may be updated. For example, NSF *Proposal & Award Policies & Procedures Guide (PAPPG)* NSF 22-1 went into effect for proposals submitted or due on or after October 4, 2021.
- Follow the sponsor's standard proposal guidelines *UNLESS* the solicitation includes different instructions (if there is a conflict and you are unsure which to follow, contact your RAS CA).
  - Solicitation may have specific requirements for document formatting, key personnel, and disclosures, etc.
  - Identify and highlight anything unusual that you don't typically see with the sponsor or other solicitations. raise to RAS CA for clarification if needed.

# Sponsor Guidance vs Solicitation

- Form preparation and Format requirements
- Disclosure requirements
- Example: NIH solicitation and SF424 Application Guide:

## 4.b. Agency Routing Identifier



Skip the "Agency Routing Identifier" field unless otherwise specified in the FOA or notice in the NIH Guide for Grants & Contracts.


Applications in response to a NIH Notice of Special Interest require the notice number (e.g., NOT-IC-FY-XXX) to be entered into this field in order to assign and track applications and awards for the described initiative.

- [PA-20-195](#) NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Not Allowed)

All instructions in the [SF424 \(R&R\) Application Guide](#) and the funding opportunity announcement used for submission must be followed, with the following additions:

- For funding consideration, applicants must include "**NOT-AI-21-072**" (without quotation marks) in the Agency Routing Identifier field (box 4B) of the SF424 R&R form. Applications without this information in box 4B will not be considered for this initiative.

Applications nonresponsive to terms of this NOSI will not be considered for the NOSI initiative.





# Eligibility / Registration

- Higher Education Institutions
- Is there a limit to who can be a PI?
  - need eRA Commons or other sponsor registration
  - must have specific skills to carry out necessary research
  - Any requirements based on years worked, specific schooling, position? Common with fellowships, early investigator awards
- Is there a limit to how many proposals from the Institute?
- Are there limits on who MIT can collaborate with – are FFRDCs (such as Lincoln Lab or DOE national labs, subawards, Co-PIs, international collaborators allowed?)

## Program Directors/Principal Investigators (PD(s)/PI(s))

All PD(s)/PI(s) must have an eRA Commons account. PD(s)/PI(s) should work with their organizational officials to either create a new account or to affiliate their existing account with the applicant organization in eRA Commons. If the PD/PI is also the organizational Signing Official, they must have two distinct eRA Commons accounts, one for each role. Obtaining an eRA Commons account can take up to 2 weeks.

# Eligibility

Check Full Announcement/Solicitation for details (synopsis will not fully explain eligibility limitations).

Email [ResearchDev@mit.edu](mailto:ResearchDev@mit.edu) with your Limited Solicitations questions

VIEW GRANT OPPORTUNITY

21-592  
Community Facility Support: Synchrotron-based analytical capabilities advancing Earth and Environmental Sciences research and training  
National Science Foundation

Apply Subscribe

SYNOPSIS | VERSION HISTORY | RELATED DOCUMENTS | PACKAGE

Print Synopsis Details

General Information

Document Type: Grants Notice	Version: Synopsis 1
Funding Opportunity Number: 21-592	Posted Date: Jun 24, 2021
Funding Opportunity Title: Community Facility Support: Synchrotron-based analytical capabilities advancing Earth and Environmental Sciences research and training	Last Updated Date: Jun 24, 2021
Opportunity Category: Discretionary	Original Closing Date for Applications: Mar 04, 2022
Opportunity Category Explanation:	Current Closing Date for Applications: Mar 04, 2022
Funding Instrument Type: Grant	Archive Date: Apr 03, 2022
Category of Funding Activity: Science and Technology and other Research and Development	Estimated Total Program Funding: \$35,000,000
Category Explanation:	Award Ceiling:
Expected Number of Awards:	Award Floor:
CFDA Number(s): 47.050 - Geosciences	
Cost Sharing or Matching Requirement: No	

Eligibility

Eligible Applicant: Others (see text field entitled "Additional Information on Eligibility" for clarification)

Additional Information on Eligibility: "Who May Submit Proposals: Proposals may only be submitted by the following - Proposals may only be submitted by the following: 1) Institutions of higher education (Ph.D.-granting and non-Ph.D.-granting), acting on behalf of their faculty members, that are accredited in and have their main campus in the United States, its territories, or possessions. Distinct academic campuses (e.g., that award their own degrees, have independent administrative structures, admissions policies, alumni associations, etc.) within multi-campus systems qualify as separate submission-eligible institutions. 2) Not-for-profit, non-degree-granting domestic U.S. organizations, acting on behalf of their employees, for example (but not limited to) independent museums and science centers, observatories, research laboratories and similar organizations that are directly associated with the Nation's research activities. These organizations must have an independent, permanent administrative organization (e.g., a sponsored projects office) located in the United States, its territories, or possessions, and have 501(c)(3) tax status. 3) Consortia as follows: a) A legally incorporated, not-for-profit consortium that includes two or more submission-eligible organizations as described in items (1) and (2) above. Such a consortium is one with an independent administrative structure (e.g., a sponsored projects office) located in the United States, its territories, or possessions and has 501(c)(3) status. b) Submission-eligible organizations as described in items (1) and (2) above, on behalf of an informal consortium. These consortium proposals may also include as partners, via subawards, other U.S. and non-U.S. organizations that are not otherwise eligible to submit directly to this solicitation. In either case, the proposal title should indicate that a consortium is proposing. For-profit commercial organizations, especially U.S. small businesses with strong capabilities in scientific, or engineering research or education, are eligible for participatory support through subawards/subcontracts as private sector partners with submitting organizations; they may not submit proposals. Such partnerships must be substantive and meaningful. In addition, the value added by the for-profit commercial organization should be justified as a unique contribution that is otherwise unavailable within organizations described in (1) and (2).

## Eligibility Information

### Who May Submit Proposals:

Proposals may only be submitted by the following:

1. Institutions of higher education (Ph.D.-granting and non-Ph.D.-granting), acting on behalf of their faculty members, that are accredited in and have their main campus in the United States, its territories, or possessions. Distinct academic campuses (e.g., that award their own degrees, have independent administrative structures, admissions policies, alumni associations, etc.) within multi-campus systems qualify as separate submission-eligible institutions.
2. Not-for-profit, non-degree-granting domestic U.S. organizations, acting on behalf of their employees, for example (but not limited to) independent museums and science centers, observatories, research laboratories and similar organizations that are directly associated with the Nation's research activities. These organizations must have an independent, permanent administrative organization (e.g., a sponsored projects office) located in the United States, its territories, or possessions, and have 501(c)(3) tax status.
3. Consortia as follows:
  - a. A legally incorporated, not-for-profit consortium that includes two or more submission-eligible organizations as described in items (1) and (2) above. Such a consortium is one with an independent administrative structure (e.g., a sponsored projects office) located in the United States, its territories, or possessions and has 501(c)(3) status.
  - b. Submission-eligible organizations as described in items (1) and (2) above, on behalf of an informal consortium. These consortium proposals may also include as partners, via subawards, other U.S. and non-U.S. organizations that are not otherwise eligible to submit directly to this solicitation.

In either case, the proposal title should indicate that a consortium is proposing.

For-profit commercial organizations, especially U.S. small businesses with strong capabilities in scientific, or engineering research or education, are eligible for participatory support through subawards/subcontracts as private sector partners with submitting organizations; they may not submit proposals. Such partnerships must be substantive and meaningful. In addition, the value added by the for-profit commercial organization should be justified as a unique contribution that is otherwise unavailable within organizations described in (1) and (2).

### Who May Serve as PI:

There are no restrictions or limits.

### Limit on Number of Proposals per Organization: 1

### Limit on Number of Proposals per PI or co-PI:

There are no restrictions or limits.

Proposals per Organization: 1

# Submission method



## Federal

- Grants.gov Workspace, Research.gov, Fastlane, NSPIRES, etc.

## Industrial

- Usually communicate/submit via email to the sponsor
- May have their own portal

## Foundations

- Many have their own portals
  - If a specific portal is needed to submit, make sure the PI or Department registers for the portal
  - RAS may also need to register in order to submit. You will need to contact your CA or the Liaison for your specific sponsor. <https://ras.mit.edu/about-ras/staff/by-sponsor>



# Submission method

Solicitations will list one or more methods for application submission. READ CAREFULLY the requirements for each to determine which submission method to use. If you have any questions, contact your RAS CA or [RA-HELP@mit.edu](mailto:RA-HELP@mit.edu)

There are several options available to submit your application through Grants.gov to NIH and Department of Health and Human Services partners. You **must** use one of these submission options to access the application forms for this opportunity.

1. Use the NIH ASSIST system to prepare, submit and track your application online.
2. Use an institutional system-to-system (S2S) solution to prepare and submit your application to Grants.gov and [eRA Commons](http://public.era.nih.gov/commons/) to track your application. Check with your institutional officials regarding availability.
3. Use [Grants.gov](https://www.grants.gov/web/grants/applicants/download-application-package.html#search=true&oppNum=par-19-190) Workspace to prepare and submit your application and [eRA Commons](http://public.era.nih.gov/commons/) to track your application.

## IMPORTANT INFORMATION AND REVISION NOTES

### Important Information

Innovating and migrating proposal preparation and submission capabilities from FastLane to Research.gov is part of the ongoing NSF information technology modernization efforts, as described in [Important Notice No. 147](#). In support of these efforts, proposals submitted in response to this program solicitation must be prepared and submitted via Research.gov or via Grants.gov, and **may not be prepared or submitted via FastLane.**

# Deadline Dates



In the FOA, review the deadline date and time

- Let the PI know not only the due date to the sponsor, but the due date to RAS as well as to the department.
- RAS must receive the proposal for review **5 business days prior to a sponsor specified deadline** (a waiver is required if received later).
- Keep in mind **Institute and/or federal holidays, difference in time zone** (international, other regions of the U.S.) if submitting with international collaborators/sponsors
- **Plan to submit 24-48 hours early** (submission system performance slows near deadlines, and you should add time if change/corrected is needed).

# Deadline Dates

- If no set deadline, ask the sponsor or PI if there is a desired target submission date
- Be sure to give yourself time to revise and/or upload
  - The day of the deadline there can sometimes be delays as everyone is trying to get their proposals submitted

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

March 04, 2022

- April – email professor with notes and deadlines; puts due dates in Outlook calendar; April puts content in folders shared with team.

# NIH Standard Deadlines

If the FOA says "standard dates apply" click the link to view.  
The AIDS and AIDS-related dates apply to all activity codes.

**Note: renewal, resubmission, revision applications may have different due dates than new.**

Key Dates	
Posted Date	May 05, 2020
Open Date (Earliest Submission Date)	May 05, 2020
Letter of Intent Due Date(s)	Not applicable
Application Due Date(s)	<p>Standard dates apply.</p> <p>The first application due date for this FOA is June 5, 2020.</p> <p>All applications are due by 5:00 PM local time of applicant organization. All types of non-AIDS applications allowed for this funding opportunity announcement are due on the listed date(s). Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.</p>

Activity Codes	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
P Series All - new, renewal, resubmission, revisions	Program Project Grants and Center Grants  NOTE: Applicants should check with the relevant Institute or Center (IC), since some do not accept P series applications for all three receipt/review/award cycles.	January 25	May 25	September 25
R16, U1B R25 All - new, renewal, resubmission, revision	Research Demonstration Education Projects	January 25	May 25	September 25
T Series D Series All - new, renewal, resubmission, revision	Institutional National Research Service Awards Other Training Grants  NOTE: Applicants should check with the relevant Institute or Center (IC), since some do not accept T series applications for all three receipt/review/award cycles. Applicants should refer to the IC Table of Contacts for information for each IC's scientific/research contact for the NRSA T32 program.	January 25	May 25	September 25
C06/UC6 All - new, renewal, resubmission, revision	Construction Grants	January 25	May 25	September 25
G07, G08, G11, G12, G13, G20, R24, S06, S11, S21, S22, SC1, SC2, SC3, U01, U10, U19, U24, U2C, U41, U42, U45, U54, U56 All - new, renewal, resubmission, revision	Other Activity Codes	January 25	May 25	September 25
R01 new	Research Grants	February 5	June 5	October 5

# Funding Instrument Type

- Grant
  - Cooperative Agreement
  - Contract
  - Purchase Order
  - Other Transaction
  - Subaward
  - Sponsored Research or Collaboration Research Agreement
  - Payment Type: Fixed Price or Cost Reimbursable – additional considerations/reviews for fixed price
- Announcements may provide points of reference for Terms based on Instrument Type.
  - Note: Contracts (Procurement) may have additional disclosure requirements or clauses requiring negotiation. Read the full Announcement and reach out to your RAS Contract Administrator with any questions.

# Funding Instrument Type



- **Types of Instruments that May be Awarded:** Procurement contracts, grants, cooperative agreements or Other Transactions

## B. Federal Award Information

Anticipated awards will be made in the form of procurement contracts, grants, or cooperative agreements, and are subject to the availability of appropriations. Funding for the second year and beyond will be contingent upon satisfactory performance and the availability of funds.

The ACC-APG RTP Division has the authority to award a variety of instruments on behalf of ARL-ARO. The ACC-APG RTP Division reserves the right to use the type of instrument most appropriate for the effort proposed. Applicants should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following are brief descriptions of the possible award instruments.

If the sponsor reserves the right to determine the type of funding instrument, carefully read clauses for each type.

# Instrument Type, Terms and Clauses

Most Federally funded Grants and Cooperative Agreements contain terms acceptable to MIT. There are instances where Sponsors add their own troublesome terms that need to be negotiated by RAS.

## Grant Agreements from Charitable Foundations and Non-Profits

- Payment risk
- Use of name (MIT, PI and others)
- Intellectual Property terms
- Data sharing
- Open access publication of results (added cost)
- Unlimited use of excerpts of PI's reports

Federal Contracts require negotiation. Areas of concern are:

- Publication Restrictions
- Foreign National Restrictions
- IP Rights/Ownership
- Federal Contracting Clauses – “the FAR”
- Overall risk to the Institute by accepting awards terms
- Examples: cost implications, deliverable requirements, proposed contract type



# Required & Supplemental Forms

- Read FOA to determine what forms are required
  - Sponsor website/portal may have specific forms that are needed
    - May be in Grants.gov, Workspace, Fastlane, etc.
    - If not a Federal Sponsor, they still may have specific templates/forms. Review the website to determine if there are any
    - If you can't find the specific form, Google the exact form name. Also ask your CA.
- If there is no FOA, confirm with the Sponsor/Program Manager what is required
  - SOW & Budget are always needed
  - They may have sponsor specific requirements or forms that are needed for their internal review and processing.



# Activity Type / Rates

## Organized research

“Creation of new knowledge” or fundamental research

## Instruction

Primary purpose is to teach or to train  
Not the creation of new knowledge

## Other Sponsored Activity (OSA)

Not creation of new knowledge. Not teaching or training.  
Activity serves some other purpose, e.g., public service

## Fellowships

Supports a “training” activity  
Awards are generally made to individuals.  
MIT administers awards on behalf of the individual.

## Activity Type determines Secondary Costs

- F&A
- Employee benefits
- Vacation accrual
- Stipend, tuition/tuition subsidy

## Questions to ask:

- What objective is the sponsor aiming to achieve?
- What is the predominant activity

# Activity Type / Rates

## Organized Research

- Most Federal award will allow MIT's full current research F&A
- Industrial awards will also usually accept full F&A
- Foundation and nonprofit sponsors may often cap/limit F&A at less than MIT's current approved research rate – for example 10%, 15% or 20%
  - This will trigger Underrecovery (U/R)
  - Every school and department deals with U/R differently depending on a variety of circumstances and each DLC has varied capacity to cover U/R costs
  - Contact your RAS CA with any questions

### [Learn More:](#)

- <https://ras.mit.edu/rates/facilities-and-administrative-fa-rates/about-fa>
- <https://ras.mit.edu/grant-and-contract-administration/sponsored-programs-basics/classification-sponsored-projects>

# Activity Type / Rates

## Instruction/Other Sponsored Activity

- Non-research activities funded by federal sponsors should be proposed at the de minimis 10% MTDC rate unless a different amount is allowed under Federal Terms
- Non-research funded by non-federal sponsors should be proposed at Fund Account Overhead Rates. The fund transaction fee is 10% and is generally applied to all direct costs on fund accounts with certain exceptions.
- Research and non-research will be set up in different Fund WBS elements that help distinguish the activity type
- There may still be Underrecovery (U/R) for non-research activities
- Learn more:
  - <https://ras.mit.edu/rates/fund-account-overhead-rates>
  - <https://ras.mit.edu/grant-and-contract-administration/sponsored-programs-basics/classification-sponsored-projects>

# Poll #2

## What is the Activity Type?

The mission of the National Institute for Innovation in Manufacturing Biopharmaceuticals (NIIMBL) is to accelerate biopharmaceutical manufacturing innovation, support the development of standards that enable more efficient and rapid manufacturing capabilities, and educate and train a world-leading biopharmaceutical manufacturing workforce. NIIMBL is pleased to announce Project Call 4.1 with member-driven and industry-led priority topic areas for technical, workforce development, and global health projects. This document contains information for workforce projects.

- Organized Research
- Instruction
- Other
- It Depends

# Budget Requirements/Restrictions

- Some FOAs have specific budget limits

Ex:

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## Award Budget

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Application budgets are not limited but need to reflect the actual needs of the proposed project. Budgets should include direct and indirect costs for each year of the proposed project period.

Year 1: \$750,000.00

Year 2: \$750,000.00

Year 3: \$750,000.00

- A sponsor may have a target of how much support they would like to give.
- Review for F&A Underrecovery – the difference between the current negotiated F&A Rate that MIT charges to a sponsored research project and the rate that the sponsor is willing to pay.
- Review for Cost-Sharing - when a portion of the project or program cost that is not reimbursed by the sponsor is covered by MIT or other sources.

# Underrecovery

- Under-recovery occurs on a sponsored program whenever **MIT receives less than its full indirect cost-recovery amount**

$$\begin{aligned} & \text{OH Rate required by MIT} \\ & - \underline{\text{OH Rate allowed by Sponsor}} \\ & = \text{Under-recovery} \end{aligned}$$

- Foundations and other not-for-profit
  - Most limit overhead rate to 10% to 20%, some provide 0%
  - May or may not have formal written policy
  - May use MTDC or TDC base, at the discretion of the sponsor

Solicitations/RFPs will not use the term “Underrecovery” but will describe “Indirect Cost”, or “Overhead” rates applied to Total Direct Costs (TDC) or Modified Total Direct Costs (MTDC)

# Cost Sharing

**Cost sharing is the portion of a project or program cost that is not reimbursed by the sponsor.** Any cost share offered in a proposal becomes a binding commitment to that agreement even if the agency did not require such support (voluntary cost share). Careful reading of the solicitation for cost sharing is essential.

See MIT Cost Sharing Policy

<https://ras.mit.edu/sites/default/files/uploads/mit-cost-sharing-policy-updated-2020-10-28.pdf>

# Cost Sharing

## Federal Sponsors

- Per Uniform Guidance Funding Opportunity Announcements 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 say so.



### B. Cost Sharing

The cost share must be at least 20% of the total allowable costs for research and development projects (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) 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.)

To assist applicants in calculating proper cost share amounts, EERE has included a cost share information sheet and sample cost share calculation as Appendices A and B to this FOA.



## 2. Cost Sharing

This FOA does not require cost sharing as defined in the [NIH Grants Policy Statement](#).



# Cost Sharing

## Non-Profit Sponsors

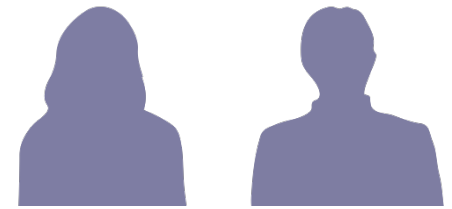
- Frequently will not use “Cost Sharing” to describe required commitments.
- May use language such as “Matching Funds” and/or “In-Kind Contributions”.

### *Matching Funds / In-Kind Contribution Requirements*

Awardees must have either matching funds (cash/cash equivalent) or in-kind contributions to satisfy the matching requirement of a minimum of 11.25% of Total Costs. In-kind contributions can come from internal or external sources. **The external matching funds may not be obtained through a grant, gift, or any other non-market-based terms**

Matching (whether in-kind or cash/cash equivalent) is based on funding provided by SWFF, not the total project budget. For example, applicants who request \$100,000 would need to provide a minimum of \$25,000 of in-kind contributions \*or\* matching funds, making the total project budget \$125,000. Future tranches of funding would require a 50% in-kind or matching funds.

# Personnel Costs/Salary



- Personnel costs are a major category in most proposal budgets. Some sponsors, such as NIH (HHS agencies), have **caps/limits** on PI salary or on stipends (ex: training grants). Review the solicitation, sponsor guidance, and RAS sponsor proposal checklists
- Consider the type of personnel you are proposing; faculty, research staff, graduate students, post-docs, administrative
- Consider fringe benefits, tuition and tuition subsidy
- Consider lab allocation rates (if you are in an allocated lab such as CSAIL, RLE, other)

# Capital Equipment (Prior approval)

- Does the proposal include major (capital) equipment, fabricated equipment, and/or minor equipment
- Does the sponsor allow equipment, do they require additional justification for the costs (quotes, categorical detail, etc.), is there equipment proposed as cost-share?
- Title clauses or restrictions
- Does the sponsor require prior approval for non-budgeted equipment
- Learn more: <https://ras.mit.edu/grant-and-contract-administration/preparing-and-submitting-proposal/budget-development/equipment>

# Travel (Foreign?)

- Does the proposal include foreign and or domestic travel? Sponsor requirements vary on the detail and information required. Some, like NSF, require all travel to be justified as related to the dissemination of results and project objectives.
- The solicitation may specify that all PIs are to attend certain meetings and budget accordingly.
- Some non-federal sponsors may allow use of funds for business travel expenses
- All travel estimates should be budgeted in compliance with MIT and sponsor travel policies

# Contact Information

The solicitation or sponsor website may include contacts for the sponsor generally or for the specific opportunity. This is helpful for questions/issues. Some sponsors will ask that we include sponsor contacts on current and pending documents and it can be helpful to save this information:

## VIII. AGENCY CONTACTS

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*Please note that the program contact information is current at the time of publishing. See program website for any updates to this information.*

General inquiries regarding this program should be made to:

- Christine S. Grant, telephone: (703) 292-7107, email: [cgrant@nsf.gov](mailto:cgrant@nsf.gov)

For questions related to the use of FastLane or Research.gov, contact:

- FastLane and Research.gov Help Desk: 1-800-673-6188
- FastLane Help Desk e-mail: [fastlane@nsf.gov](mailto:fastlane@nsf.gov)
- Research.gov Help Desk e-mail: [rgov@nsf.gov](mailto:rgov@nsf.gov)

For questions relating to Grants.gov contact:

- Grants.gov Contact Center: If the Authorized Organizational Representatives (AOR) has not received a confirmation within 48 hours of submission of application, please contact via telephone: 1-800-518-4726; e-mail: [support@grants.gov](mailto:support@grants.gov).

General inquiries may be addressed to [eng-bpe@nsf.gov](mailto:eng-bpe@nsf.gov).

# U.S. Government Sponsors

## Common Issues

- Submission – Grants.gov, Workspace, or other (FastLane, NIH ASSIST, EERE Exchange, etc)
  - Grants.gov – RAS is registered to submit via Grants.gov. **Workspace requires individuals to register in order to create a workspace.**
  - <https://ras.mit.edu/sites/default/files/uploads/workspace-grants-gov-training-presentation-2020-11-04.pdf>
- Instructions may not always be clear. Sometimes there can be conflicting information about forms, attachments between the opportunity and the general sponsor guidance. Always ask ra-help or your RAS CA – don't struggle alone.
- Items that deviate from Sponsor general guidance may include:
  - Special formats, font, page limitations, additional forms and requirements

# Search for Solicitations

If your PI doesn't have a link to a solicitation, you may try searching:

## **Federal Funding Opportunities**

Grants.gov: <http://www.grants.gov/web/grants/search-grants.html>

SAM.gov (Contracts): <https://sam.gov/content/opportunities>

NIH website: <http://grants.nih.gov/grants/oer.htm>

NSF website: <http://www.nsf.gov/funding/>

DARPA BAA website: <https://www.darpa.mil/work-with-us/opportunities>

ONR Website: <https://www.onr.navy.mil/en/work-with-us/funding-opportunities>

MIT Office of Research Development - <https://ras.mit.edu/finding-funding/find-funding>

## **Non-Federal Funding Opportunities**

proposalCENTRAL: <https://proposalcentral.altum.com/>

Sponsor website and/or proposal portal

# Foundation and/or Nonprofit Organizations

## Common Issues

Foundations may provide detailed instructions for proposals, including:

- F&A Rate restrictions and underrecovery (U/R).
- Different categories of modified total direct costs (MTDC) that doesn't align with MIT's MTDC
- Submission Process - Proposal Central, Another Portal, Email
- Proposal Central and other sponsor portals may require registration in advance including PI registration / adding signing officials from RAS
- Special or unusual forms – MIT tax or banking information, etc
- Office of Foundation Relations review
- Limited Solicitations – contact RAS/MIT Office of Research Development
- Unusual terms – open access/intellectual property/sponsor policies and other that they may ask MIT to agree to upon submission

All approaches to Foundations must be cleared by the [Office of Foundation Relations](#).



# Industrial/For-Profit/Commercial Sponsors

## Common Issues

- No solicitation - Many Industrial Sponsors do not issue a solicitation or Request for Proposal (RFP) so there may not be clear guidelines/instructions.
- When there is no solicitation, what to do?
  - Use the general RAS checklist(s) as your guide
  - Connect with your RAS Contract Administrator
  - Reach out to sponsor contact(s) for questions/clarification
- PI relationship with Sponsor? Is there potential Conflict of Interest?
- Commercial or Fee for Service elements in the solicitation, RFP, or draft agreement
- International collaboration – are we shipping, are there potential visitors to/from MIT, export control review, possibly ICC review.

# International Sponsors

## Common Issues:

- Export control
- ICC
- Terms and conditions
- Payment in currency other than USD
- Forms
- Submission portals

# Give Us Your Feedback



Access the brief survey using the QR Code below:



You may also use the link below:

[https://mit.co1.qualtrics.com/jfe/form/SV\\_5jdVv1TWHzWnN8q](https://mit.co1.qualtrics.com/jfe/form/SV_5jdVv1TWHzWnN8q)

# RAS, DLC General Resources

- RAS Proposal Preparation Checklists by sponsor type and general
  - RAS Proposal Preparation Checklists <https://ras.mit.edu/grant-and-contract-administration/preparing-and-submitting-proposal/proposal-preparation-and-other>
  - Proposal Preparation General <https://ras.mit.edu/grant-and-contract-administration/preparing-and-submitting-proposal>
  - KC DLC Proposal Checklist – <https://kc.mit.edu/sites/default/files/uploads/kc-dlc-checklist-qc-v1-2020-01-10.pdf>
- RAS Contract Administrator Directory by DLC – <https://ras.mit.edu/about-ras/staff/by-department>
- The RA Support team can assist in answering any Research Administration questions or will bring in the appropriate team/individual to answer your question. Email [RA-help@mit.edu](mailto:RA-help@mit.edu)
- Past RAP sessions for Proposal Tips and Resources: <http://research.mit.edu/research-administration/research-administration-practices-rap>

# RAS, DLC General Resources

- Eligibility - [Who May Submit a Proposal](#)
- Limited solicitations - [View the Limited Solicitation Competitions](#)
- For Limited Solicitations questions email [ResearchDev@mit.edu](mailto:ResearchDev@mit.edu)
- Office of Foundation Relations – guidance on RFPs from private foundations <https://foundations.mit.edu/for-faculty/portfolios/>
- [Types of Sponsored Awards](#)
- [Review and Negotiation of Federal Contract and Grant Terms and Conditions](#)
- [Industrial Collaboration](#)
- [International Activities](#)

# RAS, DLC General Resources

- Activity Type & [Rates](#)
- [Budget Development](#)
- [Sample Budget Justifications](#)
- [Underrecovery](#)
- [Cost Sharing](#)