Research Administration Practices (RAP) Sessions

Proposal Approvers: What DLCS should know

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Agenda

• Introductions/Overview
• DLC Approver review
• Dean Office Approver review
• OSP Approver review
• Resources
Levels of Approval

Preparer Responsibility
- Proposal Type correct for submission
- Sponsor & Deadline adequate routing time allowed
- Proposal Personnel certification & Organizations + Locations added
- Project Period correctness & Proposal Attachments provided
- Budget Direct & Indirect input (c/s & u/r approved); Subcontracts entered
- Compliance

DLC Review
- PI Effort, personnel
- Draft Science or Final?
- Approved? Pending? Informed?

Dean Review
- Limited submission?
- Foreign Sponsor issues?
- Pre-Approved PI Status? Pre-approved Renovations/Space change?
- Draft or Final?
- Budget >$2M total cost per year; Under-recovery, Cost Sharing, Prime vs. Sub effort?
- Approved? Pending? Informed?

OSP Review
- Content conforms to Solicitation?
- Arrive at OSP in time for full review?
- PI Status approved? Organizations included & documented?
- Complete proposal docs?
- Budget matches justification; rates correct for proposal type; subaward backup provided
- COI Issues? Export Control Review?
DLC Approver - Effort

- PI and Key Persons efforts may be noted in the Key Personnel tab
  - this data feeds to the C&P report in KC

Special Note – the Summer Effort field in KC reflects 1 month, and not the full summer period

- Make sure that the effort stated matches the effort in the budget and budget justification
  - Some sponsors require effort (“measurable effort”) for all key persons, such as NIH
  - If it is academic effort, it could be a direct charge or cost sharing
    ➢ Only SoE faculty can participate in DSCP (up to 10% of AY effort)
DLC Approvers – Effort, con’t

• If applicable, make sure that the effort is budgeted at sponsor salary cap

• If it is cost sharing effort (i.e. academic effort), then a source account must be provided at the proposal stage.
  • Rare cases, cost sharing codes may be used
  • If cost sharing source account is from another DLC, an email from the home unit should be uploaded as an internal attachment

• For interdisciplinary research, many faculty participate or run their proposals through units other than their home unit, therefore KC allows you the option to change the unit. However please note that by doing this, it will change the proposal routing map.

• PI status will be presented by John, from the Dean’s Office approver review.
DLC Approver – Cost Sharing/Underrecovery

• If there are cost sharing (non faculty effort/salary) and/or under-recovery commitments, the source accounts are now required at the proposal stage and that the appropriate email approvals to use those accounts should be uploaded as an internal attachment.

• However in rare cases, the cost sharing codes may be used, but this should be communicated and approved by your Dean’s Office in advance.
The Subaward box should be checked off in the Sponsor and Program section.

Subcontract institution should be listed in the Organizations and Location tab, under Other Organizations.

If one does not exist, you can Request a New Subaward Organization at https://kc.mit.edu/forms-requests.

Forms & Requests

The preferred way to request a new Sponsor, new Address Book Entry/Non-MIT Employee, or new Subaward Organization is to create a ticket in OSP Service Tracker (OST: https://ost.mit.edu/).

In OST, simply click “Create”, enter a Subject title for the request, and select the request “Type “ (New Sponsor, Address Book, or Subaward Organization).

Enter the requested contact information in the text box and hit “Submit” to forward your request to the Post-award Operations team for processing.

Most requests will be processed within 24 hours. Contact your OSP Contract Administrator if you need expedited.
DLC Approver – Subcontracts, con’t

• A complete signed subcontract proposal should be uploaded as an internal attachment

• The appropriate subaward GL (sub DC, sub IDC, sub DC w/MIT F&A, etc.) should be used in the budget

• If it is a grants.gov submission, make sure the RR Subaward Budget box is checked if you have uploaded the RR subaward budget file
  • In some cases, the RR subaward budget is not required (such as NIH Modular budget)
DLC Approver – Special Reviews

• Human Subjects (HS) and Vertebrate Animal Subjects (VAS)
  • Information in the Compliance tab should match with the PI’s certification questions (#5 and #6)
  • If yes to HS and/or VAS, the necessary files should uploaded in the attachments

• It is recommended to list the special reviews (VAS, HS, biohazards, rDNA, and radioactive isotopes) as “pending” since the approved protocol information could change by the time the award is received

• The other compliance types will be presented by Jamie, from OSP’s review
Dean’s Office Approver

Some Schools will review all proposals of their DLCs, while some Schools will review proposals that meet one or more of the following conditions:

• COST SHARING
• UNDER-RECOVERY (U/R)
• ONE-TIME PI/CO-PI STATUS
• BUDGETS EXCEEDING $2M PER YEAR (TOTAL EXPENSES)
• SPACE CHANGE
• FOREIGN SPONSORS
OSP Approver – MIT Policy

• PI status
• Investigator certifications
  • Animal subjects
  • Human subjects
  • Conflict of interest
  • Export control
  • International activities
• Other items that may require Institute review
• Cost sharing/Under-recovery
• Statement of Work in keeping with Institute mission
• Budget line items in accordance with Institute policy
• Sponsor deadline
• Subcontractor/Consultant documentation
• On/off-campus
OSP Approver – Sponsor Policies

• Federal agency regulations and instructions
• Foundation guidelines
• Industrial sponsor guidelines
• International sponsor guidelines
OSP Approver – Solicitation Specific Instructions

- Limited solicitation
- All required uploads included in application package
- All required elements addressed
- Budget prepared in accordance with sponsor instructions
- Sponsor formatting instructions followed
- Application submission method verified
- Sponsor deadline noted
OSP Approver – Kuali Coeus Proposal Elements

- Proposal Type
- Activity Type
- Proper link if S2S
- Other S2S-required elements included
- Organizations and Locations
- Key Personnel
- Compliance reviews
- F&A rate type and percentage
- Other rates such as EB/VA
- Budget
- Attachments
  - Attached in right place
  - File Type
  - Attachment File Description
Resources

OSP

• Sponsor Specific Checklists - [https://osp.mit.edu/grant-and-contract-administration/sponsor-information](https://osp.mit.edu/grant-and-contract-administration/sponsor-information)
• Cost Sharing information - [https://osp.mit.edu/grant-and-contract-administration/cost-sharing](https://osp.mit.edu/grant-and-contract-administration/cost-sharing)
• Underrecovery information - [https://osp.mit.edu/grant-and-contract-administration/underrecovery](https://osp.mit.edu/grant-and-contract-administration/underrecovery)
• Subaward information - [https://osp.mit.edu/grant-and-contract-administration/subawards-overview](https://osp.mit.edu/grant-and-contract-administration/subawards-overview)
• Contract Administrator, by Unit - [https://osp.mit.edu/about-osp/staff/by-department](https://osp.mit.edu/about-osp/staff/by-department)
• Policies affecting research/sponsored programs - [https://osp.mit.edu/policies](https://osp.mit.edu/policies)
Resources, con’t

Kuali Coeus (KC)
• Quick Cards - https://kc.mit.edu/quick-reference-cards (search under Proposals, especially “Minimum Requirements for Routing)
• FAQs – a variety of specific Q&A is available under FAQs, which can be searched - https://kc.mit.edu/faqs
• Proposal classes – both Proposal Basics and Budgeting classes are offered throughout the year – registration is through the Course Catalog in the Learning Center in Atlas, under the Sponsored Projects & Practices section – https://atlas.mit.edu

Office of Foundation Relations (assistance with Foundation sponsored proposals)
• http://foundations.mit.edu/about-us/

Limited Solicitation Guidance - Research Development/Office of the Vice President
• For general information: https://research.mit.edu/research-development
• For listing of limited solicitations: https://osp.mit.edu/finding-funding/limited-solicitations
Resources, con’t

Schools and Dean’s Offices

• School of Engineering (SOE) - https://engineering.mit.edu/
  • To reach SOE approvers group, email soe-research@mit.edu
• School of Science (SOS) - https://science.mit.edu/
• Vice President for Research (VPR) - http://research.mit.edu/about-office-vice-president-research
• School of Humanities, Arts and Social Sciences (SHASS) - https://shass.mit.edu/
• MIT Sloan School of Management (SLOAN) - https://mitsloan.mit.edu/
• School of Architecture + Planning - https://sap.mit.edu/
• Dean for Undergraduate Education (DUE) - http://web.mit.edu/DUE/index.html

RA Support Team – finding help for research administration questions – ra-help@mit.edu