

Johns Hopkins University

**Strengthening Cohesion between Research Administrators and the Researchers: A
Case Study at a Tier One University on Proposal Submission**

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Abstract

Last-minute submissions have become a chronic problem for the Krieger School of Arts and Sciences (KSAS) at Johns Hopkins University (JHU). The tendency to provide proposals last-minute to this office provoked an investigation into the Principal Investigator's (PI's) understanding of the roles and responsibilities of the pre-award administrator, their knowledge of the proposal submission process in regards to JHU KSAS proposal submission procedures, and the resources available to them. Last-minute submissions devalue the work of the administrator and create a stressful environment forcing them to drop all other work to accommodate these submissions. Through interviews with PIs and Research Administrators (RAs), this case study evaluated the culture of the Research Administration Office (RAO) and the support it provides to the PI. This case study acquires the understanding of the roles and responsibilities, the support available to the PI, the support provided by the Research Administrator (RA), the partnership and communication between these two entities, the environment surrounding last-minute submission, and the prevention and management of last-minute submission. Results provided evidence which supports inconsistency in the understanding of the RAs role and a need for transparency in the proposal requirements and procedures for submission. Some PIs feel the system should tailor to the needs of the PI because funds from approved proposals are critical to the university and last-minute submission should be accommodated. However, all players are important to the proposal submission process, and lack of clarity of the role of the RA creates disorder and disrupts not only the quality of the proposal but also the cohesiveness of these entities. Both parties, as well as the institution, can benefit from a submission-aware culture by creating a combined effort of the benefit of the University for the advancement of science.

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Abbreviations

Admin	Department Administrator
BARA	Business and Research Administration
F&A	Facilities and Administrative
FY	Fiscal Year
JHU	Johns Hopkins University
KSAS	Krieger School of Arts and Sciences
MIT	Michigan Institute of Technology
PI	Principal Investigator
OCGA	Office of Contract and Grant Administration
ORSP	Office of Research and Sponsored Projects
OSP	Office of Sponsored Programs
OVPR	Office of the Vice Provost for Research
RA	Research Administrator
RAO	Research Administration Office
RSA	Research Service Analyst
SPO	Sponsored Projects Officer
UCLA	University of California Los Angeles

Glossary

Coeus. A proposal and award tracking electronic system to standardize the administration process. It is also known as Kualo Coeus.

Indirect Costs. Also known as Facilities and Administrative Costs (F&A) or overhead, they are the expenditures which cannot be directly identified to a singular project, program, or activity. These costs support common or joint needs necessary for the objectives of the sponsored project.¹ These costs include administration, facility maintenance, depreciation and maintenance costs.

Federal Regulation or the Code of Federal Regulation (CFR). Codification of rules and regulations published in the Federal Register by federal government departments and Agencies to serve as administrative law.

Uniform Guidance (UG). Provides a reformed framework of rules and requirements for the management of grants and was implemented in 2014 to reduce administrative burden. The UG is also known as the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.

¹ eCFR — Code of Federal Regulations. (2019). Retrieved from https://www.ecfr.gov/cgi-bin/text-idx?SID=811909f89cb6507c8b8196192dcc4f47&mc=true&node=se2.1.200_156&rgn=div8

Chapter 1. Introduction

Research Administrators (RAs), involved in pre-award processes, are fundamental players in successful submission of proposals. However, the role of the pre-award administrator is lost in the desire to quickly submit proposals without a full understanding of the work behind that submit button. Creating a submission-aware culture may increase not only the quality and productivity of the pre-award administration efforts but also enhance the relationships between the researchers and the administrators.

Billions of dollars are invested in research annually with which researchers endeavor to produce ground-breaking and momentous research proposals. This perpetual flow of research proposals may be driven by the “publish or perish” mentality of Principal Investigators (PIs) and the desire to remain competitive and relevant in the scientific world.² At many public schools of higher education, the seeking of extramural funding may also be viewed as a response to the pressure to maintain sponsored research to neutralize the effects of cutbacks in government-funded allocations in higher education.³

Regardless of the reasons for proposal submission, this case study examines the effects of this persistent influx of proposal submissions on pre-award research administration. More specifically, this study focuses on proposals submitted within minutes of a solicitation deadline, examining how last-minute proposal submissions affect the proposal assessment, the quality of the proposal submission and the relationship between the PI and the RA.

²Jerrell D. Cogburn & Stephen R. Neely (2015). Publish or Perish? Examining Academic Tenure Standards in Public Affairs and Administration Programs. *Journal Of Public Affairs Education*, 21(2), 199-214. doi: 10.1080/15236803.2015.12001828.

³Patricia J. Gumpert (1997). Public Universities as Academic Workplaces. *Daedalus*, 126(4), 113-136. Retrieved from <http://www.jstor.org/stable/20027461>.

This case study investigates the environment of the pre-award administration office and their roles, responsibilities, and interactions with the PI. This study is broken down into three parts: understanding the policies, guidelines, and steps of submitting proposals to the pre-award administrators prior to the solicitation deadline, bringing awareness to the roles and responsibilities of the pre-award RA, and how last minute submissions impact the relationship and cohesion of the PI-RA environment.

1.1. Background

At Johns Hopkins University (JHU), \$2.562 billion was spent on research and development in 2017.⁴ That equates to thousands of staff hours in the pre-award administration office successfully reviewing and submitting proposals to funding agencies. The RAO at JHU Krieger School of Arts and Sciences (KSAS) is known as the Business and Research Administration (BARA) office. JHU KSAS BARA maintains the duties and responsibilities of a senior RA which includes pre- and post-award activities. The RA for JHU KSAS maintain the title of Sponsored Projects Officer (SPO). Taken from the job description at JHU,⁵ the duties of the SPO include but are not limited to the following activities:

- Review sponsored research applications and all sponsored awards for accuracy and compliance with the university's and the sponsor's requirements.
- Submit grant applications and other submissions directly to the sponsor.
- Review the proposed budget and ensure all budget justifications as necessary are provided in the submission.
- Maintain knowledge of sponsored agency submission requirements and application processes.

⁴nsf.gov - Table 20 - NCSES Higher Education Research and Development short form: Fiscal Year 2017 - US National Science Foundation (NSF). (2019). Retrieved from https://ncesdata.nsf.gov/herd/2017/html/herd2017_dst_20.html.

⁵Sr. Grants & Contracts Analyst. (2019). Retrieved from https://jobs.jhu.edu/job/Baltimore-Sr_-Grants-&-Contracts-Analyst-MD-21224/522560500/?feedId=228400&utm_source=DEA&utm_campaign=JHU_DEA

- Maintain current information on JHU direct, allowable, and indirect costs. Apply all costs appropriately to the budget.
- Provide department support for navigating solicitations and submitting the proposal.
- Provide workshops to aid PIs and Co-PIs in submitting proposals in response to solicitations.
- Remain knowledgeable of current Federal Regulations including the Uniform Guidance.
- Act as a liaison between research units, central offices, and funding agencies.
- Provide groundwork for subcontract negotiations.
- Maintain ongoing updates and communication related to current grants and contracts; this includes reporting and auditing of financial status to the PI and reports relevant updates to department leadership.
- Manage related post-award processes such as award setup and account setup verification.
- Ensure post-award responsibilities are completed including budget distribution account reconciliation, e-form setup, effort reporting, cost transfers, paying invoices and paperwork finalization.
- Oversee and direct all award management activities and provide oversight to other employees.
- Provide information and direct assistance to complete contract and grant closeouts as needed.

Without the pre-award administration, research universities would have great difficulty producing research in the quantity it currently supports. When a pre-award administrator receives a proposal to submit to the sponsoring agency the day of, or in some cases within hours or minutes of the solicitation submission deadline, the RA sets aside their daily tasks to prioritize the last-minute submission, ensuring the proposal is given a fair review before submitting to the agency. However, there are times when submitting a proposal last minute results in the SPO not being able to accurately assess

the contents of the proposal and guarantee that it meets the requirements of the university and the sponsor.

1.2. Statement of the Problem

Part of the skills, responsibilities, and requirements overlooked in the job description of a pre-award administrator is to be amenable to the last-minute proposal submissions. These last-minute submissions, which sometimes come within the day of the solicitation's deadline, are nevertheless required a review for quality, correctness, and completeness to a level of proficiency and excellence that upholds the reputation of the university.

Proposal submission is often viewed by the PI as a one-line item when reviewing the solicitation. The conversation on this topic is only brief and stated merely as "The deadline for this proposal is..." though, the weight of this deadline is more complicated than implied. Deadlines incorporate a multitude of people to include PIs, Co-PIs, the Department Head, and Administrative Staff with varying titles and degrees of approval dependent on the type of solicitation and institutional policy that apply. This deadline is often pushed to the last minute, and the effects of the last-minute submission are felt throughout the pre-award sponsored projects office posing problems not just for the workload of administrators but also affecting the completeness and the quality of the submission.

RAs do more than select submit during the submission process. They are experts at interpreting guidelines and reviewing proposals against those guidelines. They also review proposals to ensure they comply with the guidelines of the institution, the sponsor, and federal-wide applicable policies, regulations, and requirements.

This case study investigates if university research administration environments encourage a culture of providing the most amount of support to but impose the least amount of restrictions on the PI. Although the intention is to encourage research and research funds into the university

the efficiency of the submission process is significantly affected and often more geared towards satisfactory completion versus thorough execution of submission.

1.3. Research Question

Does pre-award administration perform speedy, comprehensive review and submission for the interminable tendency of last-minute proposals because the research administration environment has created a PI-centered culture providing unending support with the least amount of restrictions on PIs?

This question takes into consideration the role of the pre-award administrator and if last-minute submissions devalue their position, how the last-minute submission affects the pre-award administration environment and if there is a way to mitigate last-minute submissions. Addressing this question brings awareness to the problem last-minute submissions create and assess the need to create stronger methods of prevention as well as improve the quality of cohesion between the PI and the RAs.

1.4. Objectives

Objectives for this case study include the following:

- Examine the roles and responsibilities associated with proposal submission.
- Interpret the importance and the purpose of the submission deadline and the persons affected by deadlines, including an analysis of how and why they are involved.
- Highlight how those guidelines are meant to ensure deadlines are met without sacrificing proposal quality, putting the institution at risk of making commitments it cannot meet, or unduly burdening RAs.

- Identify the time it takes to complete and submit proposals at JHU based on the type and agency or agencies involved.
- Identify common errors in proposals and how long error correction can take to stress timeline accuracy and project management.
- Highlight communication and relationships between the administration involved in research and the researchers involved.
- Review the current methods and techniques used to communicate the desire for PIs to submit early.
- Accentuate current guidelines at some institutions which focus on this deadline, why submission guidelines are essential and maintained, and the protections for administrators regarding the quality of last-minute submissions.
- Discuss recommendations that can be used to evolve the submission process within a university to foster an environment of early submissions, thus creating more success in proposal approvals and at the same time supporting fair workload expectations for RAs.
- Explain the results from this study in a webpage to include data and information collected from interviews as well as links to resources used and policies the reader should be informed on to include current and potential techniques and software used to manage and address last-minute submission issues.

1.5. Significance

In the growing world of research, RAs roles have become increasingly detailed and vital to the success of the research enterprise. This case study presents a new and intensifying issue of concern in this changing environment. With little literature on last-minute proposal submissions and the effects on the administrator, this case study provides insight into the pre-award support

the SPOs provide for PIs and advocates for a stronger partnership between these entities to achieve greater success in a submission-aware culture.

The research question of this case study investigates the value placed on the administrative burden tied to research. PIs want to do more research and less administrative tasks, however, RAs require adequate time to do their part to facilitate the submission process. Submitting proposals to the RA in a submission-aware culture creates stronger proposals and greater efficiency in the administrator's environment to enable a cultivated environment where both the PI and the RA can focus on submitting quality research.

1.6. Limitations

One limitation of this case study is in the population used. Although this problem may occur in many or most universities, the selected population surveyed is within one university, JHU. JHU is a private institution. Although this case study investigates policies and procedures of other universities, to include state universities, JHU KSAS is the sole source for interviews and the primary source of data for metric analysis.

A second limitation is the population size of the respondents. This case study would benefit from a wider audience with a greater amount of respondents to include other private and public institutions of higher learning. The population size limits the investigation to the observations from a small category of individuals. Although the literature supports the issue, greater numbers would provide valuable quantitative support to the qualitative data provided in this case study.

A third limitation is on the literature involving last-minute submissions and how those submissions affect the outcome of the proposal submission efforts and the quality of the partnerships between the PIs and the administrators. Limited literature on these subjects makes this case study carry more weight in the information gathered from the

interviews and administrative statistics. Lack of literature may create a bias depending on the role of the individual responding to the interviews.

Time is the fourth limitation. This topic is an emerging issue in the administrative environment. The question investigated in this case study would greatly benefit from longitudinal data, but this investigation is limited to the problem as a snapshot. Further investigation and analysis would provide comparable data over several years to provide more in-depth evaluation and analysis to enable wide-ranging solutions to this problem.

Chapter 2. Review of the Literature

2.1. Overview

There is limited literature to support the topic of a PI-centered pre-award administration catering to the PI and therefore restricts research on the subject of this case study. However, the literature used supports the three topics discussed: the roles and responsibilities of the pre-award office, the development of the relationship between the PI and the RA, and provides evidence to support how late proposal submissions impact the burden of the RA's workload and lessens the quality of the review before submitting to the agency.

2.2. Studies

The book, *Research Administration and Management* provide essential background and support on the roles, responsibilities, and expectations for an RA. This book provides support for the RA and how to successfully guide PIs through the proposal review and submission.⁶ As the book states, the role of the researcher is interwoven between the researcher, the sponsor, and the institution. This book supports the capstone in providing support for the administrative tasks involved in the proposal submission process and that the pre-award administrator requires the time to process a quality submission.

As a result of Vannevar Bush in WWII, the research enterprise began to grow and to alleviate the researcher's administrative burden; the role of the administrator began to form. This book provides the details associated with the role of the RA and how the pre-award process is a valued step for research. The RA, in terms of proposal development and submission, provides support in budget building, proposal writing editing and assembly, proposal compliance reviews and representations, certifications,

⁶Elliot Kulakowski & Lynne U. Chronister (2011). *Research Administration and Management*. Sudbury, Mass.: Jones & Bartlett Learning.

and assurance, proposal review, approval, and submission.⁷ When a proposal is successfully processed, it prevents “financial liabilities, contractual defaults, lawsuits, conflicts of interest, ruined partnerships, bad science, and your institution’s name on the cover of the Chronicle of Higher Education in a none-too-flattering way.”⁸ A last-minute submission to the pre-award administrator exposes the researcher and the institution to unnecessary risk.

The Report of the Task Force on Administrative Workload in Research, published in September of 2018, is supplied by Princeton University to emphasize the need to reduce the administrative burden on faculty and supports this case study in the burden RAs now have taken on in research submission processes for the PI. The Task Force on Administrative Workload in Research was a group that was chaired by the Dean of Research at Princeton University and faculty in collaboration with select staff members. They developed this report to make recommendations and provide measures to areas that need improvement. This report calls attention to faculty concerns of the administrative burden associated with research and issues with proposal submission.⁹ With Princeton as a fellow tier-one research university, these results capture a parallel for the issues regarding administrative environments fortifying the intent for this study. It provides literature support for the encumbrances associated with submitting proposals to the pre-award administration, specifically through COEUS. This report states how it is suggested to have proposals submitted to the RAO at least five working days before a proposal submission deadline¹⁰. It further states that their COEUS license will be up for renewal and

⁷ Elliot Kulakowski & Lynne U. Chronister (2011). *Research Administration and Management*. Sudbury, Mass.: Jones & Bartlett Learning

⁸ Elliot Kulakowski & Lynne U. Chronister (2011). *Research Administration and Management*. Sudbury, Mass.: Jones & Bartlett Learning, p.46.

⁹Princeton University.(2018). *Report of the Task Force on Administrative Workload in Research* [PDF]. Retrieved from https://research.princeton.edu/sites/research/files/report_of_the_task_force_on_administrative_workload_in_research.pdf.

¹⁰Princeton University.(2018). *Report of the Task Force on Administrative Workload in Research* [PDF]. Retrieved from https://research.princeton.edu/sites/research/files/report_of_the_task_force_on_administrative_workload_in_research.pdf

faculty are requesting new software that does not limit the PI to a deadline for the proposal submission to the RAO.¹¹ If this happens it will then take away the informal guarantee to the RAs that the proposals will not be last-minute. Although maintaining this five day-prior-submission deadline is mostly in part to COEUS capabilities, faculty say they need those last five days to work on the science narrative while the RAs touch-up the administrative sections. In this report, proposal submission ranked as one of the areas in need of most improvement.

This case study uses this literature to aid in developing the relationship between these entities through the reflection of the attitude of the researcher on the value of the administrative part in research. Completion of final tasks to ensure a complete and thorough assessment of these proposals requires due diligence. The Princeton Report reveals PIs feel their time would be better spent on research and the time they exhaust dealing with the administrative burden associated with research proposals slow their progress; delegation of these duties is necessary to perform their research and hone their science. On this same note, the RA is required to propitiate the tendency to last-minute proposal submissions because the submission deadline was not adequately anticipated.

Evaluating Research Administration: Methods and Utility describes the results of a study to analyze metrics used in evaluating the role of the RA.¹² This study supports the issues of last-minute submissions addressed in the interviews of this capstone case study. During a three month observation, Tuft's Office of Research Administration was monitored in proposal review and submission, award re-budgeting processing, award date no-cost extension processing, and issuing sub-award agreements. In the results of this study, it showed 33% of the proposals were

¹¹Princeton University (2018). *Report of the Task Force on Administrative Workload in Research* [PDF]. Retrieved from https://research.princeton.edu/sites/research/files/report_of_the_task_force_on_administrative_workload_in_research.pdf.

¹² Sarah Marina, Zoya Davis-Hamilton & Kara E. Charmanski (2015). Evaluating Research Administration: Methods and Utility. *Journal of Research Administration*, 46(2), 95-114

submitted on the day of the solicitation submission deadline.¹³ This capstone's case study used the results from Tufts review of their proposal submission processes to capture the issue that last-minute submissions create. As a result of this high rate of last-minute proposal submission, there was an average 1.27 resubmission rate.¹⁴ The Tufts case study supports the inability of the pre-award administrator to accurately assess the contents of the proposal and guarantee that it meets the requirements of the university and the sponsor. As an outcome, the proposal suffers the consequences in quality and completeness.

Faculty Perspectives on Academic Work and Administrative Burden: Implications for the Design of Effective Support Services describes how the relationship between the RA and the faculty are challenging to develop.¹⁵ This article supported this capstone's case study on the relationship between the faculty and the administrator and explained how administrators are undervalued, and the communication was poor.¹⁶ This article investigates how the PIs feel they are spending valuable research time doing work that can be done by an RA and further states there is not enough assistance in completing the administrative work involved in research. Since the faculty has to do large portions of administrative work related to these proposals such as grant proposal writing, creativity becomes stifled. However, when administrative services accept more responsibilities, to reduce this burden on the faculty, the new challenge is found in connecting the researcher and the administrator to work cohesively toward the same goal.¹⁷

¹³ Sarah Marina, Zoya Davis-Hamilton & Kara E. Charmanski (2015). Evaluating Research Administration: Methods and Utility. *Journal of Research Administration*, 46(2), 95-114

¹⁴ Sarah Marina, Zoya Davis-Hamilton & Kara E. Charmanski (2015). Evaluating Research Administration: Methods and Utility. *Journal of Research Administration*, 46(2), 95-114

¹⁵ Leslie Wimsatt, Andrea Trice & David Langley (2009). Faculty Perspectives on Academic Work and Administrative Burden: Implications for the Design of Effective Support Services. *Journal Of Research Administration*, 40(1), 71-89.

¹⁶ Leslie Wimsatt, Andrea Trice & David Langley (2009). Faculty Perspectives on Academic Work and Administrative Burden: Implications for the Design of Effective Support Services. *Journal Of Research Administration*, 40(1), 71-89.

¹⁷ Leslie Wimsatt, Andrea Trice & David Langley (2009). Faculty Perspectives on Academic Work and Administrative Burden: Implications for the Design of Effective Support Services. *Journal Of Research Administration*, 40(1), 71-89

The Faculty Perspectives article explains the divide between the administrator and the researcher as: “scholars tend to be autonomous and individualistic in their work, in contrast, administrators are perceived as having a focus on bureaucratically defined institutional needs.”¹⁸ The article explains the importance of researchers understanding the role and responsibility of their RAO to encourage a cohesive environment and open communication. It supports the underappreciation hindering the relationship between the PI and the RA. PIs value the outcome research administration enables, but the role of the RA becomes undervalued when the PI takes this role for granted in last-minute submissions to the pre-award office. Understanding the role the RA provides for the faculty enables stronger quality submissions with thorough and complete assessment for more competitive proposal submission.

¹⁸ Leslie Wimsatt, Andrea Trice & David Langley (2009). Faculty Perspectives on Academic Work and Administrative Burden: Implications for the Design of Effective Support Services. *Journal Of Research Administration*, 40(1), 71-89

Chapter 3. Need(s) Assessment

3.1. Establishing the Need

Every proposal submission guideline from JHU KSAS provides detailed information on how to submit a proposal as well as the advice to submit early. Workshops, provided by the BARA Office at JHU KSAS, explain the process of submitting the proposal and how vital early submission is for a successful and competitive proposal. Despite emphasis to submit to the SPOs early through administrative guidance, workshops or proposal guidelines, it is an ongoing theme to be prepared for last-minute submissions. The JHU KSAS BARA SPOs have all had chronic issues with last-minute proposal submissions. This problem creates issues for the SPOs in their working environments, daily tasks and destabilizes the infrastructure of the proposal submission process restricting the comprehensive review of the proposal submission. The interviews undertaken in this case study provide insight into the causes for these last-minute submissions and the impacts caused by PIs who fail to submit to the BARA Office within the requested five business day deadline.

3.2. Metrics

The metrics used in this case study establish the need through the collection of the responses from the interviews. This case study included interviews from selected SPOs in the JHU KSAS BARA Office and interviews from PIs in KSAS. Responses from the interviewees provided an idea of the proposal submission process, how well the PI understands the role of the SPO, how often proposals are submitted last-minute, and if through early proposal submission can partnerships be made stronger between the PI and the SPO. With these responses, the frequency of last-minute submissions couples with common reasons that justify last-minute submissions and provide knowledge on why this is a perpetuating issue.

The author of this Capstone Project investigated how well the policies, guidelines, and steps of submitting proposals to the BARA Office before the solicitation deadline was understood

by the PIs. The metrics illuminated the transparency of the roles and responsibilities of the BARA Office and the PI and evaluated the impact of last-minute submissions on the relationship and cohesion of the PI-RA environment. The metrics also facilitated the assessment of the last-minute submissions to enable potential recommendations on a measure of prevention.

3.3. JHU KSAS

The interviews serve as sources consulted at JHU to establish the need for this case study. The interviews with the PIs and the SPOs at JHU KSAS support the problem of this case study and provide the insight needed to investigate the issue.

JHU KSAS College comprises over 50 departments, programs, centers, and institutes. These include Humanities Departments, Interdisciplinary Programs Centers, Natural Sciences Programs and Departments, Social Sciences Centers, Social Sciences Programs and Departments, and Affiliated Research Centers and Institutes. This College supports over 60 undergraduate majors and minors and 60 graduate programs. In Fiscal Year (FY) 2018 more than \$252,206,107 was requested in awards from the KSAS College. In the JHU KSAS College, there are currently five SPOs who serve to assist 190 PIs actively pursuing and receiving sponsored grants and awards.

The BARA Office at JHU KSAS was an instrumental element of support for this case study. JHU KSAS BARA provides a unique perspective into the role of SPOs roles and responsibilities in that, the administrators of this department are responsible for all pre-award and financial and administrative post-award sponsored project activities of this college. The knowledge acquired from the support of this team is a vital resource for this case study.

Chapter 4. Project Description

4.1. Project Elements

This case study investigates several objectives which compose the foundations of this case study. These elements provide support to understand the underlying issue creating the tendency to submit late; is there enough education and comprehension on the need to submit early and do PIs have access to proposal preparation to enable them success in submitting within the SPO's desired time-frame. The following components are explored: interviews from PIs and SPO's from JHU KSAS, guidelines and policies that exist to highlight deadline assurance and KASPER; a resource hub for JHU KSAS.

4.1.1. Interviews

Interviews enable insight and understanding of the roles and responsibilities as well as the PI's and SPO's perspectives surrounding last-minute submissions. As this case study highlights, last-minute submission is a tendency that is found at various institutions to include JHU KSAS as illustrated from the PI and SPO JHU KSAS interviews. The interviews provide direction on why this occurs and if something is lacking in the process of proposal submission to prevent this from occurring. These interview questions, detailed in Chapter 5, probe for a glimpse into the environment, partnership and workload of the PI and the SPO to highlight and address the problems created by last-minute submissions.

4.1.2. Guidelines and Policies

The guidelines and policies provided by an institution are to ensure a successful proposal submission. JHU KSAS provides workshops, resources, guidelines and more to acquire success in the KSAS college proposal submission. Similarly, University of California Los Angeles (UCLA), University of Michigan, Harvard, Michigan Institute of Technology (MIT) and Tufts

pre-award administration request adherence to guidelines for proposal submission to ensure the highest quality submissions.

UCLA's Office of Contract and Grant Administration (OCGA) provides guidelines and resources for research proposal submissions in which they state, in their Minimum Proposal Requirements, that the proposal submission must be submitted to OCGA five days before the sponsor's deadline.¹⁹ Likewise, University of Michigan Office of Research and Sponsored Projects (ORSP) also describes the request for final proposals to be completed and finalized four business days before the solicitation deadline²⁰ in their Standard Operating Procedures and Policies.

Harvard's Office of Sponsored Programs (OSP) also requires a proposals to be submitted five days before the solicitations due date as included in their Proposal Submission Deadlines Policy. This policy petitions the 5-day- prior submission deadline and outlines the responsibilities of the PI, the Departmental Staff, Schools or Departmental Officials and the submitting offices in regards to this deadline to enable thorough assessment and evaluation to ensure complete and quality submissions to the sponsor.²¹ Furthermore, Harvard explains that their OSP will not allow submission of the proposal if it has not been given an appropriate assessment to ensure thorough compliance with the university and the sponsor's policies.²²

MIT's OSP also requests to have proposals five days before a sponsor's deadline for review and submission, but they also offer another perspective to the PI. Not only do they provide resources and a breakdown for the preparation and submission of proposals, but MIT's OSP is also in the process of providing a dashboard to view the quality of a proposal submission against

¹⁹ Proposal Preparation. (2019). Retrieved from <http://ora.research.ucla.edu/OCGA/Pages/Proposal-Preparation/proposal-preparation-home.aspx>

²⁰ ORSP Proposal Processing Deadlines | ORSP. (2019). Retrieved from <https://orsp.umich.edu/proposal-processing-deadlines>

²¹ Proposal Submission Deadlines. (2019). Retrieved from <https://osp.finance.harvard.edu/proposal-submission-deadlines>

²² Proposal Submission Deadlines. (2019). Retrieved from <https://osp.finance.harvard.edu/proposal-submission-deadlines>

the observance of the 5-day rule similar to the example charts they provided shown in figure 1 and 2. Figure 1 displays the errors of the proposals submitted and reviewed by category for four years. Figure 2 provides an easy to understand chart displaying the percentage of proposals that were received within 0, 1, 2, 3, 4, 4.5, greater than or equal to 5 days, and no deadline by a year. These two charts enable the viewer to correlate the reduction of error to quality assessment provided through adhering to a five-day proposal submission deadline. This dashboard in their data reporting system, called Cognos, will provide this and other tools to enable an interactive submission-aware culture and provide the ability for pre-award administrators to successfully process quality proposals.

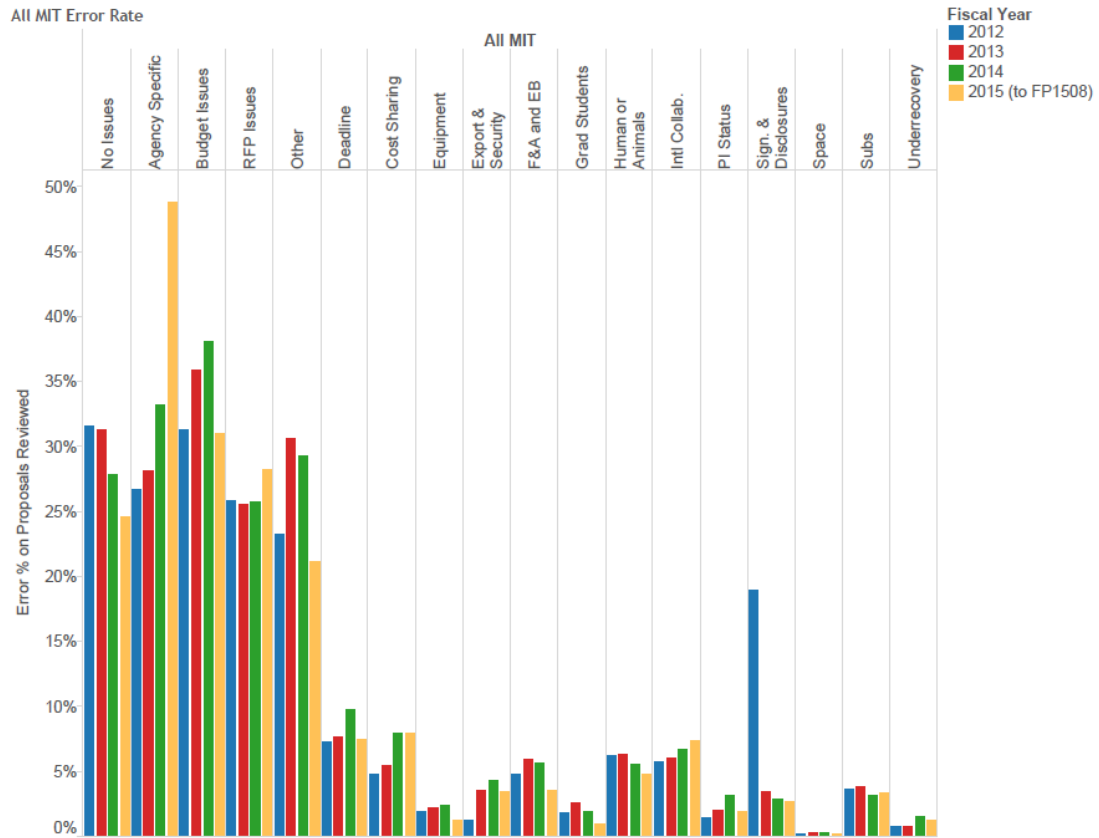


Figure 1: MIT OSP Administrative Quality Dashboard Sample Chart²³

²³ Administrative Quality of Proposals and 5-Day Waivers | MIT Office of Sponsored Programs. (2019). Retrieved from <https://osp.mit.edu/grant-and-contract-administration/preparing-and-submitting-proposal/mit-approval-and-submission-0>

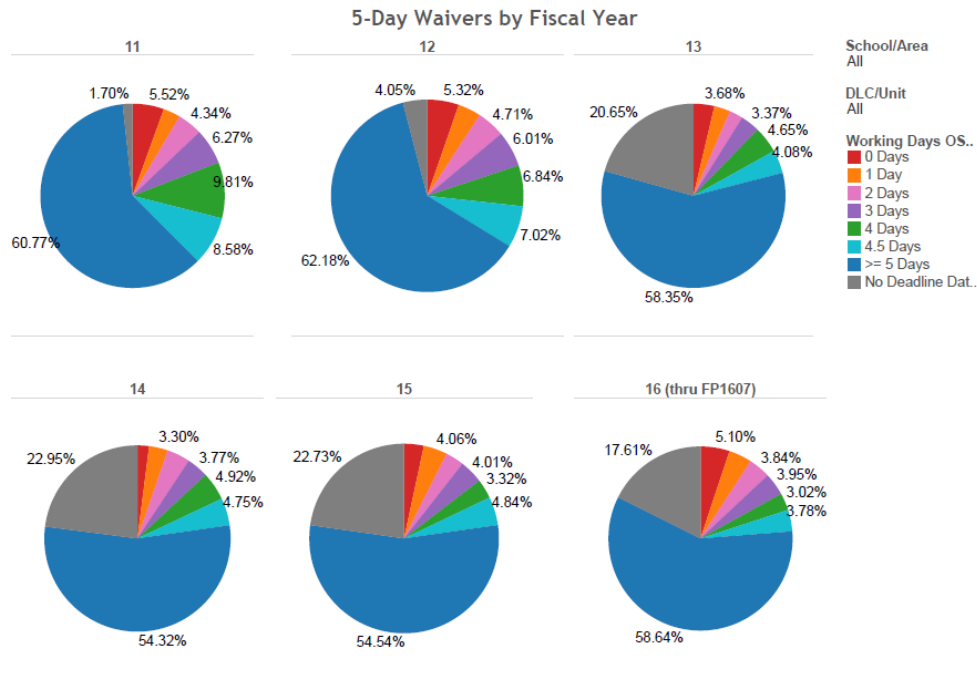


Figure 2: MIT 5-Day Waiver Sample Chart²⁴

Tufts University also provides a proposal submission deadline as well as a timeline displaying the requirements for the proposal and the time it should take for completion of these steps. Tufts guidelines request proposals to be submitted to the Office of the Vice Provost for Research (OVPR) 5 days before the solicitation deadline.²⁵ The OVPR provides a timeline (figure 3) and a flow chart (figure 4) explaining the need and the critical steps involved. The OVPR also provides the disclaimer that the failure to submit the proposal according to this request may result in the proposal not being submitted. These guidelines are likewise laid out in their Proposal Routing Addendum that is signed by the PI.

²⁴ Administrative Quality of Proposals and 5-Day Waivers | MIT Office of Sponsored Programs. (2019). Retrieved from <https://osp.mit.edu/grant-and-contract-administration/preparing-and-submitting-proposal/mit-approval-and-submission-0>

²⁵ Preparing a Proposal - Research Administration. (2019). Retrieved from <https://viceprovost.tufts.edu/RAD/proposal/preparing-a-proposal/>

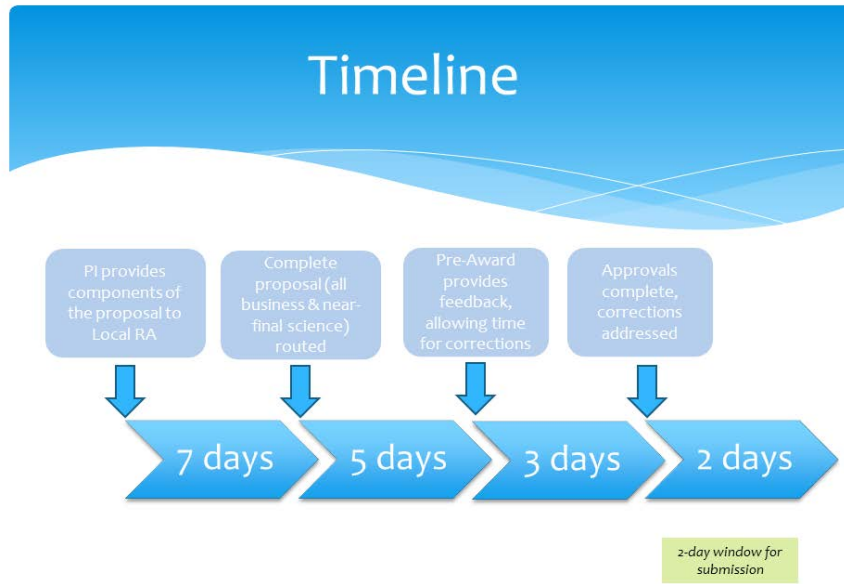


Figure 3: Tufts Timeline for proposal submission²⁶

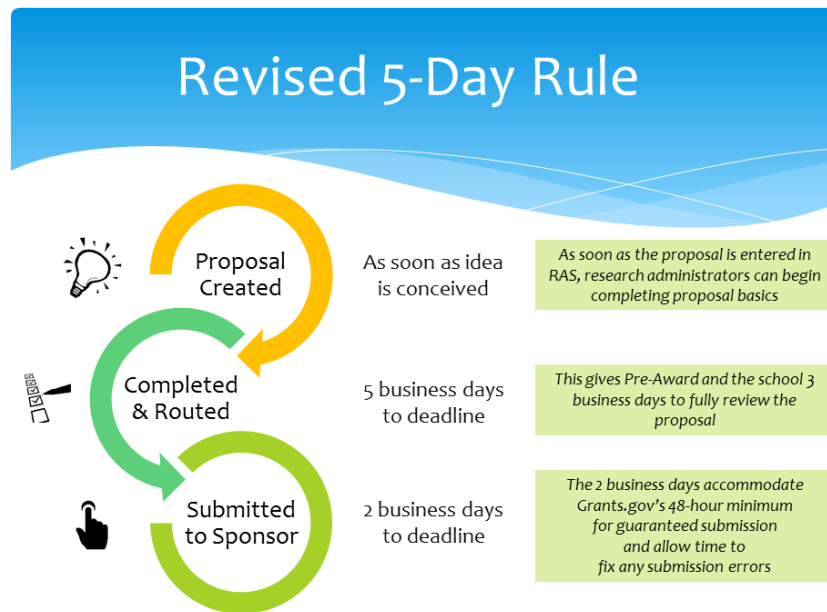


Figure 4: Tufts 5-Day Rule flow chart on the submission process²⁷

²⁶ Preparing a Proposal - Research Administration. (2019). Retrieved from <https://viceprovost.tufts.edu/RAD/proposal/preparing-a-proposal/>

²⁷ Preparing a Proposal - Research Administration. (2019). Retrieved from <https://viceprovost.tufts.edu/RAD/proposal/preparing-a-proposal/>

4.1.3 KASPER

KASPER, also known as Krieger School of Arts and Sciences Pathway to Electronic Resources, is a resource hub for JHU KSAS which provides information, resources, and guidance from the KSAS administration on proposal submissions. JHU KSAS provides a resource to enable discovery of resources, events, and workshops through KASPER. KASPER is an information outlet and for proposal preparation and submission, provides information and resources for sponsored projects awards, forms and documents, guides, professional development resources, proposals, proposal preparation, research base projections, resources, and sub-awards. For proposal preparation, KASPER supplies a Grant Proposal Guide. This guide aims to facilitate navigation of the proposal process to the PIs, Departmental Administrators (Admin), Research Service Analyst (RSA) and SPO.

For the PI this guide supplies information about COEUS, the system used to track and manage proposals and awards, and for the PI it provides their responsibilities in proposal submission. Under their responsibilities, the guide details the steps for the PI, to include notable program announcement requirements. It also tells the PI to inform their Admin/RSA a proposal will be submitted two to six months before the solicitation's deadline and to set up a meeting with their Admin²⁸ to clarify the needs of the solicitation and the associating expectations. As part of the Proposal Development tasks, it includes having all documents submitted to the Admin/RSA in time to submit the completed proposal to the SPO at least five business days before the deadline of the solicitation.²⁹

This guide also enables successful proposal submission within the deadline by providing checklists needed for NIH, NSF, NASA as well as a generic checklist. This proposal guide

²⁸Krieger School of Arts and Sciences. (2011). *KRIEGER SCHOOL OF ARTS & SCIENCES GRANT PROPOSAL GUIDE* [PDF] (p. 9). Retrieved from <https://sites.krieger.jhu.edu/kasper/files/2017/01/KSAS-Grant-Proposal-Guide.pdf>

²⁹Krieger School of Arts and Sciences. (2011). *KRIEGER SCHOOL OF ARTS & SCIENCES GRANT PROPOSAL GUIDE* [PDF] (p. 9). Retrieved from <https://sites.krieger.jhu.edu/kasper/files/2017/01/KSAS-Grant-Proposal-Guide.pdf>

provides the PI with the basic requirements for submission. Alongside these checklists, the KSAS proposal guide also supplies a timeline process chart, as shown in figure 5, which includes how long the process should take and in some steps, how many days before a deadline it should be submitted.³⁰

TIMELINE PROCESS CHART

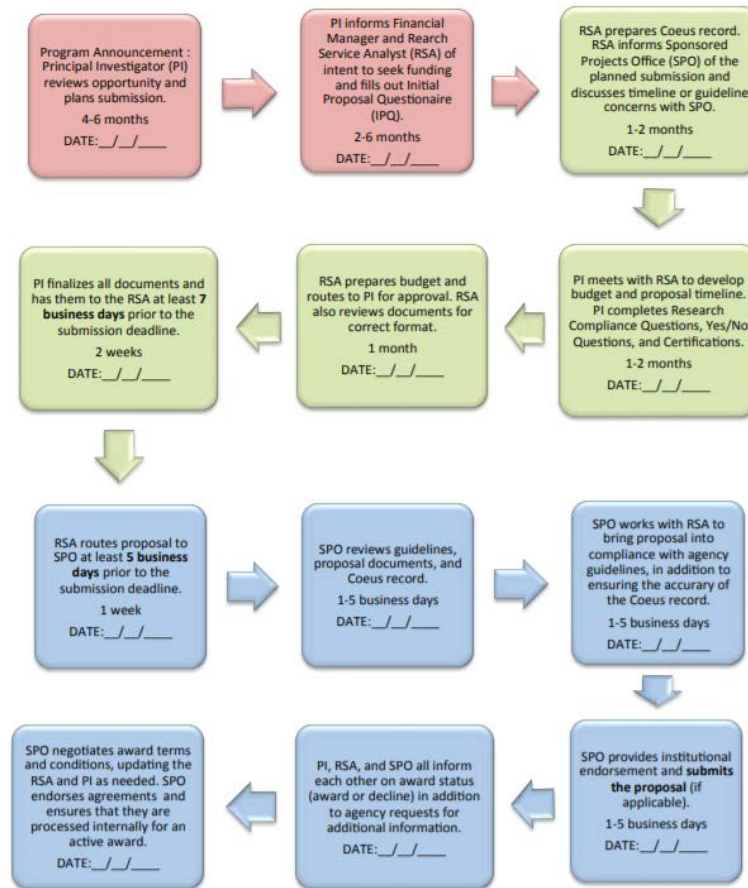


Figure 5: KSAS Grant Proposal Guide Timeline Process Chart³¹

Chapter 5: Methodology

³⁰Krieger School of Arts and Sciences. (2011). *KRIEGER SCHOOL OF ARTS & SCIENCES GRANT PROPOSAL GUIDE* [PDF] (p. 22). Retrieved from <https://sites.krieger.jhu.edu/kasper/files/2017/01/KSAS-Grant-Proposal-Guide.pdf>.

³¹Krieger School of Arts and Sciences. (2011). *KRIEGER SCHOOL OF ARTS & SCIENCES GRANT PROPOSAL GUIDE* [PDF] (p. 22). Retrieved from <https://sites.krieger.jhu.edu/kasper/files/2017/01/KSAS-Grant-Proposal-Guide.pdf>.

5.1. Project Design

This case study was focused on the responses from the interview questionnaire and supported by the policies and guidelines from JHU KSAS as well as additional high performing public and private universities. The responses collected were in support of the underlying question concerning the workload of the SPO. They sought to answer if last-minute submissions are a problem and if the administrative environment encourages a PI-centered culture; providing unending support with the least amount of restrictions on PIs. These queries provided an understanding into the environment, partnership and workload of the PI and the SPO.

5.2 Discussion of Design

The approach to the interviews began with a list of PIs from the JHU KSAS Dashboard that submitted and or received awards during the FYs 2015, 2016, 2017 and 2018. From this data, two lists of PIs were created; 10 PIs with re-occurring activity in proposal submission and award acceptance and 10 PIs that had submitted a proposal only once. An examination of the number of submissions and awards was used to ascertain if the submission process hinders or encourages proposal submission for award success at JHU KSAS. After sending out requests for interviews, seven PIs agreed to interviews. The three SPOs that were interviewed were chosen because they provide support to the seven PIs. The number of SPOs interviewed were also dependent on the selected PI's department. At the JHU KSAS BARA SPOs can be affiliated with one or more department. The departments that agreed to interviews were from the Psychological and Brain Sciences Department, Biology, Physics and Astronomy, Biophysics, and Chemistry.

The designs of the interview question sets were dependent on the role of the respondent. Two interview questionnaires were created; one for the PI and one for the

associated SPO. The interview questions for the PIs were designed to understand if they were aware of the late submission problem and if they felt connected to the problem. It questioned the quality of support they were provided by their SPO, the quality of the partnership they have with their SPO, and if they understood the roles of their SPO especially in regards to the pre-award portion of the proposal submission process. Conversely, the SPO was questioned on the role of the PI, the support they provide to them and how their work is impacted by the last-minute submission.

5.3. Interview Questions

The responses from the two interview questionnaires made for JHU KSAS PIs and SPO's, provided qualitative data to support the question of this case study. The Interview questions investigated not only the roles and responsibilities associated with proposal submission and what takes place after the PI has submitted a proposal electronically to the SPO for review and processing, but also the time it takes for the SPO to complete and submit proposals. These questions also aided in understanding the working environments of the SPO and the PI and in understanding if the proposal submission processes and the relationship grew from the communication between these entities. These interview questions stimulated responses that provided reasons for last-minute submissions and insight into current processes to see if they hinder or promote early submissions, and what resolutions, if any, are needed for prevention of late-submissions.

5.3.1. Roles and Responsibilities

The PIs were asked what they knew to be the responsibilities of the BARA Office SPO, especially in the area of pre-award tasks. In this respect, PIs were asked to explain the responsibilities of a PI in regards to proposal submission. The rationale behind asking these questions was to elicit a response from the PI about the role of their SPO and to seek a response

on the knowledge of their contribution to the proposal submission process. Likewise, the SPO was asked what are the most important tasks they do in regards to the pre-award function of their role and what are the responsibilities of the PI in regards to proposal submission. These questions provided a basis for the background section this project. It's the author's belief that if there is a lack of communication and understanding of roles and responsibilities between the PI and the SPO it will not only create areas of uncertainty in the working partnership but also prevent the exchange of resources and support as needed to produce a complete and competitive proposal.

5.3.2. Environment

The PIs were questioned on the process for proposal review and submission and the support they receive to complete this process. The PIs were asked how long they thought it takes their SPO to review and submit proposals without errors for a federal and a non-federal grant, what are some of the common errors the SPO has found in their proposal submissions and if they corrected these errors. They were asked how many proposals they posit the BARA Office receives weekly for review and submission to the sponsor, if they believe early proposal submission would encourage stronger partnerships with the SPO, and if they believe early proposal submission results in a better quality proposal. These questions were used to gain a better understanding as to whether or not the PI felt that they were provided satisfactory support to complete a proposal or if there were issues that prevented them from submitting five business days before the deadline.

Conversely, the SPO was asked how they provide support to the PI for proposal submissions and how they rank reviewing and submitting proposals in their work responsibilities. The SPOs interview questions asked how long on average will a federal, and a non-federal proposal take to be reviewed before submission to the sponsor, what are the common errors they find in a proposal and if a PI does not correct errors how that affects future endeavors. They were also asked if they feel early proposal submission encourages stronger partnerships with the PI,

and if early proposal submission results in a better quality proposal. These questions solicited responses that were used to investigate the support the SPO provides to the PI and how the proposal submission process enables or inhibits cohesion between the PI and SPO.

5.3.3. Last-minute Submission

The PIs were questioned on their submission process as well as their opinions on the impending deadline for submission, how last-minute submissions affect their proposal, the partnership with the SPO, and if last-minute proposals are an issue of concern. The interview questions asked what they considered to be a last-minute submission if they have submitted a proposal less than five business day before a solicitations deadline and why. They were asked if they felt the SPO can provide thorough assessment and review of the proposal's contents and guarantee that it meets the requirements of the sponsor and university when provided to the SPO the day of the deadline or minutes before the deadline. The interviewer also delved into the PI submission practices by asking questions about whether or not they had ever had a proposal not submitted to the sponsor because it was submitted to the SPO on the day of the solicitations deadline, if there should be a deadline to submit proposals to the BARA Office for review and submission to the sponsor, and if they believe last-minute submissions are a problem. These questions were used to gauge the understanding of the PI's comprehension and awareness of a last-minute submission and the overall view of the administrative needs for successful proposal submission.

SPO was asked if these last-minute proposals affect their workday, how they manage to accommodate for these submissions, have they ever submitted something less than satisfactory due to the quick turnaround, if they thought these late submissions affected the submission quality, and, if late-submission affected the relationships with PIs or their environment within the KSAS college. The interview questions also asked what they felt could be considered as a last-minute submission, how did last-minute proposals affect their daily work and their working

environment, and if they ever have failed to submit a proposal because it was submitted late on the day of the solicitation deadline. The SPOs were asked questions regarding if they had received proposals within hours of the solicitation deadline, what was the most common reason they received for a last-minute submission, should there be a deadline to submit proposals to the BARA Office for review and submission to the sponsor and how long before the solicitation deadline should proposals be received by the SPO. They were questioned if they could properly assess the contents of the proposal and guarantee that it meets the requirements of the university and the sponsor when they receive a proposal for review and submission on the day of the solicitations deadline and if their collaborations with PIs who submit early are affected by last-minute submitters. These interview questions brought forward the problem and focused on the case study's submission-awareness culture. These questions also served to solicit information concerning the possible disarray caused by last-minute proposals cause and how they may adversely impact the BARA Office working environment, the execution of the SPOs tasks, and the proposal review process within the KSAS College.

5.3.4. Prevention

The interview questions evolved the focus from addressing and understanding the problem to the prevention of the last-minute submission. The interview questions served as a conduit to investigate and evaluate how the PI and SPO felt about last-minute submissions, how such submissions should be managed and accommodated and how the PI/SPO partnerships, environment and the proposal process could be adapted to ensure last-minute submissions are avoided.

The PI was asked how should the tendency to submit last-minute be dealt with and how can a submission-awareness culture be fostered to ensure last-minute submissions are avoided. Similarly, the SPOs were asked how the tendency of the PIs to submit last-minute proposals

could be resolved, if there was enough information encouraging PIs to submit proposals early, and what role, if any should Admin perform to curb last-minute proposal submissions.

Proposal submission is a complicated process and involves different individuals with varying titles and degrees of approval. The questions from the interviews also sought to elicit information on if last-minute submissions are managed with efficiency and, given the time afforded, meet the solicitation's deadline without great difficulty. Input was also solicited from interviewees which sought to work towards a resolution to prevent the problem from occurring.

Chapter 6. Project Results and Discussion

The SPO interviews showed the author that there was a problem with last-minute submissions. Some of the PI interviews suggested that there are issues with KASA's BARA that may inhibit their ability to provide proposals ready for review without approaching the solicitation deadline. The results from both the SPO and the PI are broken down in this chapter by the responses to interview questions regarding roles and responsibilities, the environment, last-minute submission, and prevention.

6.1. SPO Interview Results

Although the BARA for JHU KSAS does pre-and post-award functions for this college, three SPOs were interviewed regarding their pre-award functions. The results from their interviews explained their role and daily responsibilities, how they navigate in a stressful environment imposed by last-minute submissions and the recommendations they have to alleviate this trend.

6.1.1. Roles and Responsibilities Response

For the JHU KSAS BARA SPOs, their role and responsibilities include both a pre-award function as well as a post-award function. When asked what their most important role and responsibilities are as a pre-award administrator, they all responded with proposal review and submission at the top of their lists. Proposal review and submission is comprised of but is not limited to checking that the guidelines of the sponsor were followed, building a correctly calculated budget and budget justification(s), and ensuring the coversheet and biosketches are complete. This was alongside but not limited to ensuring contracts and awards are processed promptly, reviewing the award, negotiating an award if necessary, data sharing agreements, and nondisclosure agreements.

When the SPO was asked what the responsibilities are for a PI in regards to proposal submission, the SPO responded that the PI provides the science, ensuring biosketches are up to date, collaborating with the research team, providing or in some cases verifying that the budget is complete including information on who they need to hire, and what equipment they need to buy, and what department resources they need to use. The PI is required to follow and understand the solicitations guidelines and understand how the science should be presented. If they are working with a subaward, the PI is required to understand which documents are required from the subawardee for inclusion in the proposal.

6.1.2. Environment Response

For responses regarding their daily working environment, the SPO was asked how long it can take to review and submit a proposal, common errors, the effect of the PI submitting proposal early, how they deal with an uncooperative PI, and how last-minute submissions affect the partnership of PIs that do submit early.

SPOs responded that the amount of time needed to review and submit a proposal could be contingent on various factors. If it was a standard non-complicated proposal that was thoroughly checked by the PI before being submitted, their response time was within 1-4 hours; with errors, it can take a couple of days depending on how responsive the PI was at correcting the errors.

Although there were varying responses to the common errors of proposal submissions, the two that were at the top of the SPO's lists were that the guidelines were not being followed and that there were issues with the budget. SPO's reported that there were problems with the budget that included errors in the calculations, justifications and/or the F&A rates were misapplied. Other common errors were missing documentation, submission sections were in the wrong order, biosketches were incomplete or completed incorrectly, the cover sheet had errors, and/or there were subaward issues. These errors that are caught by the SPO often save the proposal from rejection by the sponsor.

When the SPOs were asked if early proposal submission encouraged stronger partnerships with the PIs, there were a range of responses. One response was “yes,” a second response was “it depends,” and the third response said, “it could.” The respondent that said it depends, stated that the question was hard to answer because the relationship between the PI and the SPO was not very strong. This respondent said that most of their conversation, regarding proposal submission usually occurs with their Admin and they are the liaison between the PI and the SPO. The response that said “it could” was referring to the big picture; early proposal submission enables a more thorough review and more likely a positive response from the sponsor, and therefore, it may create positive interactions in the future. The response that said “yes” said that early submission encourages positive communication which fosters a strong collaborative partnership for future collaborations.

The SPOs were asked if early proposal submission results in quality proposals. All the responses were yes because it results in more attention for the proposal and its contents and enables a complete review. However, one response did add that yes it would allow more time to conduct a thorough review but, “you could work [on a proposal submission] forever” further saying there are always ways to keep improving a proposal.

The SPOs reported that sometimes a PI refuses to correct an error that an SPO has advised them to correct. The SPOs interviewed were asked if the PI’s failure to correct an error affects future communication with that PI and the response was a resounding no. They further stated, as an SPO it is their job to find the errors, advise a PI to correct any error, and if the PI refuses to correct the error(s), there is nothing more the SPOs can do. One SPO reported that they might print out the communication trail with that PI in order to provide evidence that they recommended to the PI to correct the error. The SPO stated that they will then store this communication in the proposal file. If the award is denied for the reason that the PI did not correct the error, the SPO will be able to explain the error could have been corrected. However,

they will continue to advise PIs, despite the PI's previous refusals to amend errors on prior proposal reviews.

6.1.3. Last-minute Submission

The responses varied for what the SPOs considered last-minute proposal submissions for first-time review and submission. One response stated that last-minute proposal submission was within 24 hours of the solicitation deadline, one said within six hours before the deadline, and one said within two hours before the deadline. Conversely, there was another question that asked the SPOs if they thought there should be a hard-deadline for these proposals and all of the responses referred to the JHU KSAS proposal guidelines and policies which state proposals should be submitted for review and submission at least five business days before the solicitation deadline. However, even though this guideline is emphasized by departments and the dean to the PIs, it is seldom enforced, and one SPO said they are not sure it really helps; one respondent stated: "there is not much that can be done about last-minute submissions since the institution relies on the funds received through successful proposals".

All of the SPOs said they had received a proposal within hours of the deadline and it is a chronic issue. The most common reason for late submission is the PI is still working on the science portion. This portion of the proposal is not a part of the review of the BARA Office aside from obvious errors, as one SPO stated, it is important that they have the time they need to make that portion as clear and thorough as possible. On the other hand, the more time they take means more changes to the research and can reflect in less time to review the proposal due to adjustments, for example, in the budget and budget justifications. Other reasons for last-minute submission included that the PI had just found out about the proposal on the day it was due, that they didn't alert their Admin they were submitting a proposal, or the PI wasn't aware of the proposal submission process.

All of the SPOs said, last-minute submissions affect daily tasks and operational conditions. All respondents said that last-minute submissions negatively impact their day-to-day efforts and work environment. These last-minute submissions create a high-stress working environment, and all other work has to be dropped to ensure the proposal gets as much time for assessment and review before the submission deadline. Sometimes the SPO associated with the department may not be in the office that day so the responsibility will fall on someone else, such as the Administrative Assistant, to ensure it gets processed on time.

The SPOs said they receive last-minute submissions all the time, sometimes within minutes of the solicitation's deadline but all of them said they have never failed to submit a proposal due to a last-minute submission. Each furthered their response with receiving 100%, 99%, and 85% of all proposals less than five business days before the solicitations deadline. That being said, some of the proposals submitted last minute often do get declined because the proposal was not given the time it needed to be properly assessed. All of the SPOs then referred to the JHU KSAS proposal submission guideline, which states the proposal needs to be submitted at least five business days before the deadline for a thorough review. They will submit the proposal without review and a thorough assessment, if it is getting too close to the deadline. One SPO stated that only so much can be done if the proposal has many errors and is due within the day, hours, or minutes to the sponsor. The SPOs said they do what they can to conduct a comprehensive proposal review and, although they have never failed to submit a proposal, they must suspend all other tasks to process these last-minute submissions and ensure they are compliant with the university and the sponsor's policies and are sent to the sponsor by the deadline.

According to the JHU KSAS dashboard, KSAS BARA Office submitted 372 proposals in FY 2018. If spread throughout the year, that averages to roughly seven proposals a week. Not all PIs submit last-minute proposals. There is a small population of submission-aware PIs that are courteous, provide ample time for review and follow-up quickly if issues arise. According to two

SPOs roughly 1 to 5% of the PIs they receive proposals from, provide their proposals to the BARA Office more than five business days before the solicitations deadline. When the SPOs were asked how last-minute submitters affect the work or collaboration with the submission-aware PIs one respondent said that it might encourage a last-minute submission culture. A last-minute submission culture is encouraged when last-minute submissions are provided services within hours of the deadline. In addition, all SPOs reported that all other work ceases, including the review of proposals from PIs that submitted early. One SPO responded that this propensity to submit proposals last-minute is not fair to the PIs who submit their proposals early. The PIs who submit early in hopes to get reviewed early will be pushed behind these last-minute submissions so the last-minute submission can get reviewed and submitted before the impending deadline. In turn, this may encourage a last-minute submission culture because the PIs will ask why they have to submit early when they keep getting pushed back in the queue.

6.1.4. Prevention

When asked if there is anything the Admin can do to alleviate this problem the overall response was to ensure open communication. One SPO said memos with the guidelines to the PIs are helpful for a time and then they quickly are forgotten. One SPO said PIs benefit if the SPO communicates the “proposal season” to their PIs. Proposal season, as described, is when the SPOs receive high numbers of proposals at specified times during the fiscal year. This season can get communicated to make sure the PIs proposals are in for review and submission early to enable a proper assessment. The SPOs responded that the Admin does a great job at being an effective liaison providing all the resources and information necessary. However, the SPOs responses conclude that you can provide the tools and resources needed, and emphasize through workshops and guidelines, but you cannot force the PIs to read or follow suggestions.

The SPOs were questioned if this tendency to submit last-minute can be resolved. The resounding response was that it probably would not be resolved. The SPOs see last-minute

submissions as an endless problem, and they have become accustomed to not only these last-minute submissions but have also adapted their work schedules to be ready to stop all other work at a moments notice. One SPO said, “often these last-minute submitters will show regret for submitting late but will later repeat the offense” and concluded that there might be no real resolution and they will continue to accommodate for these submissions.

6.2. Results from the Principal Investigator Interviews

Seven PIs from varying departments within the JHU KSAS College were interviewed. These PIs were from the Departments of Psychological and Brain Sciences, Biology, Physics and Astronomy, Biophysics, and Chemistry with varying levels of proposal activity and award acceptance. From the responses that were received there was a mix of emotions and responses about the BARA Office that ranges on both ends of the spectrum; from great understanding and appreciation to there is much that needs to be improved. The results from these interviews provided insight into the PIs understanding of the BARA Office’s pre-award roles and responsibilities, including whether proposal submission process are being relayed adequately and how and/or if they feel they are affected by last-minute submissions.

6.2.1. Roles and Responsibilities Response

The PIs were asked about the roles and responsibilities of the BARA Office but the PIs were unsure of the SPO’s roles. The responses varied due to some departments having an internal grants management specialist in their Admin and some not having any. For the ones that had a management specialist their responses were centered more on their Admin being the liaison between themselves and the college’s SPO and they knew little on the specifics of the KSAS BARA Office. One PI stated: “I would like someone to explain what they do; to me, they are more of an impediment to my proposals.” The other six respondents responded that the pre-award duties of the BARA Office are to review for errors such as in budgets and format. Three of the

PIs further responded that the pre-award duty for the BARA Office is to check the submissions for compliance with the sponsor. All responded that the SPO submits the proposal to the sponsor.

When the PIs were asked about the pre-award responsibilities of the BARA Office in regards to proposal review and submission, although most mention the budget, the responses again varied. The responses were: “I do not know”, “review and submit”, “to catch errors and look at the budget”, “ensure the requirements of the funding agencies are met to include the budget”, “to check the budget and ensure the proposal is compliant with the agency and JHU’s policies and procedures” and “review the budget, ensure the guidelines are met and check the proposal for compliance”.

When the PI was asked what their most important task is as part of the proposal review and submission process all responded with “the science.” In addition, some stated “about 98% of the proposal; everything from budget to the science and finding out how to apply for the grants”. One PI stated that they “supply the meat of the proposal, biosketches, letters of support, the budget and the budget justification as well as other extraneous paperwork.” One PI stated, while they do provide the science portions and that although the determination of the award lies 100% with the science portion, 10-20% and maybe even 30% in some cases lies with the administrative guidelines and if they are being followed.

6.2.2. Environment Response

When the PIs were asked how long it takes for proposal review before submitting to the sponsor, the responses varied greatly. Three PIs said an average of 2-3 days, two PIs said they were not sure, one PI said one week and one PI said one hour. However, the PI that said one hour also added that it probably only takes about 20 minutes to review. When the PIs were asked how many proposals the BARA Office receives a week at JHU KSAS, they mostly responded with “unsure” but one elaborated with, it could fluctuate from as little as 10 to as many as 300. One PI reasoned that the JHU KSAS BARA Office processes roughly seven proposals a week.

When asked of the errors the BARA Office has found in their proposal submissions and have advised to correct the responses included missing documents and signed forms, margins, the budget had errors such as incorrect indirect cost rates, misdated material, the font size was too large, and the scientific data needed to be reformatted. All of the PIs explained if the BARA Office says something needs to be corrected they always make the change.

The PIs were asked if they felt early proposal submission encourages stronger partnerships between the PI and SPOs. One PI said yes, and two PIs responded with “no.” A fourth PI said, “no, because getting the proposal accepted is more important.” A fifth PI said, “I am not sure, but I hope they recognize the efforts.” The sixth PI replied that “for the departments that do not have a grants management team within their department, yes, for those that do have a grants management team, no.” The seventh PI responded, “yes because you are not always asking for some herculean effort at the eleventh hour, and it makes everyone’s life easier; it’s not good for anyone.” The seventh PI further stated that if on occasion the PI does need something last-minute, it will be more readily received because they do make an effort to be courteous in their submission process.

When asked if early proposal submission resulted in better quality proposals, two PIs responded with “no,” one said yes,” and three PIs said maybe. The three respondents that said maybe justified their responses differently. One said that it is hard to tell if it results in better quality proposals because they will either be accepted or declined; the result is intangible. One PI that said maybe explained that early proposal submission is not necessarily. What increases the quality of the proposal but is part of the schedule of the proposal process. They further stated the key for a quality proposal is in early preparation and planning, not necessarily early submission. There was one PI that said the question is “tricky” because “yes, it could result in better quality, however sometimes that last bit of preliminary data that arrives close to the proposal submission deadline could be the data you need to have your award accepted. Sometimes you need to work until the very last day for that scientific data. However, if everyone did this, the system would

break. The balance between this is found in communication and to ensure you communicate with the administrators.”

6.2.3. Last-minute Submission Responses

The PIs were asked about last-minute submissions and how they are affected by last-minute submissions. Although JHU KSAS does provide proposal guidelines to submit the proposal to the pre-award office five business days before the solicitation’s deadline,³² the PIs were asked what they considered to be a last-minute submission deadline. The responses were: 2-3 days before, the day of, less than three days, 3-4 days before, 2 hours before, and two participants said a day before. When the PIs were asked if the proposal was submitted the day of the solicitation deadline if they felt the SPO was able to properly assess the contents of the proposal and guarantee that it meets the requirements of the university and the sponsor, three PIs responded “no,” and four responded with “yes.” Of the PIs that responded yes, two PIs further explained that if there is a capable Admin grants management team or if the SPOs had reviewed the preliminary version earlier than yes. Of the “no” responses, one of the responses was from a department without a strong grants management team in their Admin. They furthered their response that the SPO was not very helpful with the award process in general.

There are some PIs who tend to submit proposals last-minute; sometimes 15 or fewer minutes before the submission deadline. When the PIs were asked if they ever submitted a proposal at the last minute four responded no, one responded that they submit their privately sponsored proposals the day it is due but for federally sponsored proposals they do not, one said yes due to computer problems, and one said yes but rarely. When the PIs were asked if the last-minute submission is a problem two responded no and five respondents stated it is a problem. The

³² Krieger School of Arts and Sciences. (2011). *KRIEGER SCHOOL OF ARTS & SCIENCES GRANT PROPOSAL GUIDE* [PDF] (p. 9). Retrieved from <https://sites.krieger.jhu.edu/kasper/files/2017/01/KSAS-Grant-Proposal-Guide.pdf>

PI that stated late-submission is a problem further stated that “it is impossible for the [BARA] SPO to help you fully and that the PI is not using the SPO to their full effect. There are not enough people in the [BARA] office to ensure that the proposals are ready if everyone submitted last-minute and that it is a problem because the neediest proposal will be helped first and further delay other proposals”. However, one PI who responded with “no” explained, “there is so much pressure on the PI to submit proposals that everything should be made easier for the PIs.”

The PIs were asked if there should be a hard deadline to submit proposals to the BARA Office for review and submission to the sponsor and three PIs said yes, while four PIs said no. For the yes answers they gave the deadlines of at least a day, five business days and one said nine hours before the deadline. For the ones that said no, three gave the following reasons: one said it should not have a hard deadline but rather a “very rigid or stiff deadline” and that the SPOs should be able to “reserve the right of refusal to repeat offenders.” One PI explained that there should not be a deadline because “deadlines beget deadlines and that a more flexible system with open communication would make more sense.” The third explained that there should not be a deadline because “there is already too much burden on the PI.”

The PIs were asked if they have ever had a proposal declined for submitting their proposal to the pre-award office the day of the deadline, six PIs responded with it did not apply to them because they never submit out of the window. One PI responded with “yes.” The yes response explained that had the BARA Office stayed behind a little bit longer they would have seen there was a submission error and it could have been approved, but the BARA Office “pressed the submit button and left” and so this PI’s proposal was declined. However, if the proposal was submitted outside of the five-day window, the BARA Office will attempt to do their best but cannot guarantee complete and thorough assessment of the proposal especially if this was submitted minutes before the deadline at the end of the business day.

6.2.4. Prevention Responses

The PIs were asked about how the tendency to submit last-minute proposals should be dealt with and how a proposal submission culture can be fostered to ensure last-minute submissions are avoided. One PI responded that they had no idea. Another PI responded that the BARA Office should be more willing to go over the requirements of the proposal and there should be a grants management team available to all the departments. One PI said there should be more guidelines available to assist with the proposal process. One PI said knowledge of the process would be helpful and that they rely on their Admin so much they would “revolt if something happened to them and they were not there to assist.” One PI stated that the SPOs should “reserve the right to refuse the proposals and there should be more rigid standards.” One PI stated there should be different standards for different departments; the departments with a grants management team in their Admin and the departments without one. One PI said it should be managed case by case; if it is a high dollar proposal the BARA Office needs to “grit their teeth and bear it” and it is in everyone’s best interest to get proposals submitted, but those last-minute submissions could overcomplicate the functions of the BARA Office.

All of the PIs were asked if they were aware of KASPER. Although this resource is publicly available, only one PI stated that they “have heard of it” but most responded with “I do not know what that is.”

6.3. Discussion

From the data provided in the responses, this study extrapolated the confusion in roles and responsibilities of the KSAS BARA SPO and highlighted the nonconformity of proposal submission requirements. The information received from the interviews provided evidence to support the PI-centered administrative environment and the failure to recognize the essential role of the SPO for proposal preparation.

6.3.1. Roles and Responsibilities Discussion

Although proposal review and submission are what the KSAS SPO views as their most important role and responsibility, they further explain other pre-award functions such as ensuring contracts and awards are processed promptly, reviewing the award, negotiating an award if necessary, data sharing agreements, and nondisclosure agreements. The PI response was unclear in regards to their SPO's tasks. All of the PIs responded with the general understanding that their SPO submits their proposal to the sponsoring agency, with six PIs stating the SPOs review their proposals for formatting requirements and check their budgets for errors. Only three of the four PIs included an additional SPO responsibility of checking the proposal for compliance with the sponsor's terms and conditions. When the BARA SPOs were asked what the roles and the responsibilities of the PI were in regards to the proposal submission process, their answer coincided with the response the PIs provided in regards to their roles and responsibilities.

Only two PIs gave some percentage of credit of proposal success to the administrative portions. The ambiguity of administrative requirements, specifically in regards to the roles of the SPO, hinders the connection between these entities and reduces the efficiency of the proposal preparation process. Lack of clarity in roles and responsibilities thwarts the exchange of resources and assistance for the successful review and submission of proposals. Without the SPO checking the budget, ensuring required documentation is included, and other reviewing that details requested by the sponsor are integrated into the proposal, the proposal may be declined by the sponsor or in the least delayed and to be resubmitted.

6.3.2. Environment Response

In regards to the length of time, it takes to review and submit a proposal to the sponsor the perspective of the SPO provides the allotment of time they need to look over a standard non-complicated single proposal without errors. The PIs perspective reveals how long it can take for the SPO to review and submit a proposal to a sponsor. Without any errors, the SPO can review

the proposal and have it ready to submit within 1-4 hours. The PIs believe that review could take place in 20 minutes, one hour, 2-3 days and one week. The varying responses from the PIs indicate the lack of understanding of the responsibilities of the SPO in regards to the pre-award functions of the proposal.

When the PIs were asked how many proposals the BARA Office receives weekly of the two that responded, one said roughly seven a week, and the other said it could range from as little as 10 to as many as 300. Both were correct. According to the JHU KSAS dashboard, KSAS BARA Office submitted 372 proposals in FY 2018. Although this averages to roughly seven proposals a week, the SPOs stated that proposals tend to come in waves, where one week the BARA Office may receive dozens of proposals and the next week receives three. This response shows the PIs' awareness of the productivity of the BARA Office. Only two of the seven PI respondents could reasonably respond to the number of proposals received by the BARA Office weekly. The uncertainty from the PIs of the SPOs workload highlights that awareness of proposal seasons may yield early proposal submission.

Although all of the PIs explained they would fix all errors the SPOs find, all of the SPOs explained there are times the PI will not want to correct the problems, and at times this will cause the proposal to be rejected by the sponsor. This failure of the PI to fix errors may be the result of the PI not understanding what qualifies as an error and the potential side effects caused by those errors. Both the SPO and the PI concluded that the most common errors lie in the budget and budget justification which indicates that the PI needs to be more informed on the errors of a proposal with emphasis on the budget and budget justifications to ensure a more efficient proposal review process.

In regards to early proposal submission encouraging stronger partnerships between the SPO and the PI, the responses were mixed from both sides. One PI stated that the relationship is not very strong to begin with, and two indicated that early proposal submission would impact the working relationship by providing a mutual benefit. One PI implied that the partnership should

not matter; the proposal is the priority. However, one PI responded that the partnership does matter in that providing mutual respect for each other's offices enables proficiency and facilitates open and continuous communication. If the BARA Office is incessantly receiving last-minute submissions, it constricts the partnership between the PI and SPO. The PI is not, as one PI stated, using the SPO to their full advantage affecting the efficiency of the submission process. Last-minute submissions impose hurried efforts for satisfactory completion and prevent thorough review and assessment before proposal submission to the sponsor.

When they were asked if early submission results in quality proposals all of the SPOs responded yes, however, the PIs were more varied in their response. One PI said it is difficult to see the result of the early submission, implying that whether or not they submit early, their proposals have always been submitted, so it does not make a difference. One PI implied that nothing in a proposal should be last minute and if the proposal is appropriately prepared the deadline would be unproblematic. However, one PI stated that the last few minutes might be what the science portions need; supplying critical preliminary data, to enable a successful proposal but if everyone submitted last-minute the proposal review process would be in constant disorder, and the administrative function would cease to function. These three responses provide valuable feedback into the proposal review process at JHU KSAS. These provide that sometimes it may be necessary to submit last-minute, but if openly communicated with their SPO and on rare occasions, the infrastructure at KSAS's BARA Office can be better able to assess these proposals. The PI that said the results are intangible represents PIs who do not quantify the efforts of the proposal submission process and infers that SPOs have no difficulty with last-minute submissions. If the PI does not see the effects of the last-minute submission, the tendency to submit less than five business days before the solicitation deadline will perpetuate. Efforts to provide knowledge of the SPOs responsibilities, the outcomes of last-minute submissions and the effects of last-minute proposal submission need to be acknowledged.

6.3.3. Last-minute Submission

The JHU KSAS proposal guidelines advise PIs to submit the proposal to the BARA Office five business days before the solicitation's deadline.³³ Four PIs provided that the day before or the day of is enough time for the SPO to properly assess the contents of the proposal before the solicitations deadline. All of the SPOs responded that 24 hours or less is last-minute. Although the PIs believe they provide the SPO with ample time to thoroughly review the proposal, they did not take into account the other tasks and responsibilities of the SPO and the influx of multiple proposals for review at the same time.

The SPOs were asked if there should be a hard-deadline to submit to the BARA Office. All of them responded that the proposal guidelines state there is a five business day rule to submit to the BARA Office but that it is very rarely enforced. These SPOs believe that it is hard to restrict the PI when they may need that time for the thorough completion of the science portions, however, submitting less than five days before the solicitation is an irrefutable and habitual issue. From the feedback provided by the SPOs, roughly 95% of the time, PIs submit last-minute and sometimes within minutes of the sponsor. According to the PIs, only three of them have ever submitted last minute but that it was rare and on occasion. It is the author's belief that PIs are unaware of what constitutes a last-minute submission. As an example, one PI said they only submit their privately sponsored proposals last-minute because there is not much required of the SPO for submission. This response implies that this PI understands the SPOs role, responsibilities and their daily work environment, however, when from the previous responses the PIs were unclear of the BARA Office roles and responsibilities in the pre-award functions.

SPOs must stop all other tasks to provide their undivided attention to these submissions to provide an assessment and review as comprehensive as possible. All of the SPOs stated that

³³ Krieger School of Arts and Sciences. (2011). *KRIEGER SCHOOL OF ARTS & SCIENCES GRANT PROPOSAL GUIDE* [PDF] (p. 9). Retrieved from <https://sites.krieger.jhu.edu/kasper/files/2017/01/KSAS-Grant-Proposal-Guide.pdf>

despite the time provided to review and assess the proposal, they have never failed to submit before the deadline. Despite one PI who said that one time, one of their proposals was not submitted on time. All of the other PI respondents said they have always had their proposals submitted to the sponsor by the solicitation deadline. These responses show that the SPO is required to halt their progress in order to support the PI, but the PI is not required to provide the SPO with the time they request to review their submission. This sentiment reinforces that the administrative environment encourages a PI-centered culture in which it provides unending support with the least amount of restrictions on PIs.

Last-minute submission is a problem at JHU KSAS in that the SPOs provided that 95% of all proposals they receive are sent to the BARA Office less than five days before the solicitations deadline. If in FY 2018 372 proposals were submitted through the BARA Office, roughly 353 of those were last-minute submissions. These submissions impact the abilities of the SPOs to assess the proposal properly and also in effect delays the progress of all other work, to include submissions from other PIs.

PIs were varied in how they felt about last-minute submissions. One PI believed that the proposal process should be made easier for the PI and there should be no deadline to submit the proposal to the BARA Office as it is the PI who provides the value to the proposal. In saying this, the PI does not understand the value the SPO provides to the proposal. This PI's response readdresses the need to acknowledge the team in proposal submission and support the value of the members involved in their proposal and award process. The SPO also has pressure to submit and to make sure the errors are caught. The university funds are reliant on the effective completion and thorough review of a successful proposal. By implying the PI is more pivotal to the proposal process than the SPO, devalues the work of the BARA Office and the administrative burden associated. Understanding the roles and responsibilities that accompany a proposal submission is essential to the improvement of proposal review and submission process and the success in the acceptance of awards.

6.3.4. Prevention

The PIs responses varied in regards to preventing last-minute submission of proposals. Two PIs responded that there should be more explanation of requirements and guidelines, and the BARA Office should be more willing to go over the proposal requirements. All of the PIs were asked if they had heard of the JHU KSAS KASPER webpage, and all of them said they did not know what this was. These responses led the author to believe that there is little to no communication with the PIs and the BARA Office, furthermore, that the BARA Office and/or their Admin do not provide enough support to the PI in regards to proposal submission. These PIs either are ill-informed or have received the information and are not aware of how to use it. Dissemination and education of proposal guidance are necessary for the successful submission of complete and competitive proposals. However, SPOs stated that although the Admin and the BARA Office provide workshops and resources needed for proposal submission, attendance cannot be mandated and adherence cannot be forced. One PI stated to fix the last-minute submission tendency of frequent offenders, decline the submission of the proposal to the sponsor. Although this suggestion would be helpful for the SPO, it is not likely the Institution can support this. One PI noted it is in the interest of the SPO to submit these proposals regardless of when they receive them because successful proposals are in everyone's best interest. The SPOs agree by responding that the institution relies on these funds and therefore, this problem may never be resolved.

Chapter 7: Recommendations and Discussion

7.1. Introduction

From the view of the PIs, the responses varied in how last-minute submissions should be managed. From the analysis of the SPO interviews of this case study, the author believes that some form of consequence should occur to enable a more efficient environment for the SPOs. From insight provided through the interviews and investigations of other universities that have dealt with last-minute for proposal submission, a list of recommendations has been formulated.

7.2. Recommendations and Discussion of Recommendations

This list of recommendations identifies various means of encouraging a submission-aware culture.

Recommendation 1: Development and Implementation of an Interactive Dashboard.

An interactive dashboard is a computer tracking system that would be accessed by staff and faculty to view current and trending statistics on the college's metrics for administrative quality for proposals submitted. This system is compiled and tracked by SPOs for the Admin and PIs to access and view to facilitate success in proposal submission. It would provide the PIs with tools to be proactive in their proposal success and encourage more frequent interaction with their SPO. During the interviews, there was a PI that said the effects of early submission is intangible and therefore, it is hard to tell if early submission increases the quality of the proposal. In response to this PI, an interactive dashboard tracked by the BARA Office will enable a clear view of the effects of last-minute submission and the quality of the proposal. MIT is in the process of providing the faculty the ability to see the consequence of last-minute submissions in hopes to

reinforce the 5-day rule.³⁴ This tool is helpful to the PI, SPO, Departmental Admin and the Dean to advocate submission and instigate conversations about proposal submission deadlines. These tools will boldly illustrate the need to submit proposals early and be helpful to some PIs but not all may take the time to see it and will create a more administrative burden in the BARA Office. However, it could be helpful to see where the problems rest in a proposal and build workshops based upon those needs.

Recommendation 2: Implementation of Different Deadlines for Different Departments.

For some departments without a grants management team in their Admin, proposal submission may feel overwhelming. For the PI, the administrative burden can stifle scientific progress and creativity. Some PIs feel that the departments that are equipped with competent grants management teams within their Admin are burdened by the problems caused by departments that lack these resources. If the departments without the grants management team in their Admin had an earlier deadline to submit to the BARA Office, those PIs can get the attention they need and not hold back the PIs who are ready to submit due to the proficiency of their departments. However, although this may seem like a great answer, some PIs may see this as unfair and discriminatory. A middle ground may be to provide a separate grant management team as part of the BARA Office for the smaller departments unequipped with one of their own.

Recommendation 3: Enforce the Proposal Submission Deadline Policy and Utilize the Three-strike Rule for Proposal Submission.

Implementation of proposal rejection if the SPOs receive the proposal too close to the solicitation deadline would effectively reduce the tendency to submit last-minute proposals. Some

³⁴ Administrative Quality of Proposals and 5-Day Waivers | MIT Office of Sponsored Programs. (2019). Retrieved from <https://osp.mit.edu/grant-and-contract-administration/preparing-and-submitting-proposal/mit-approval-and-submission-0>

institutions practice zero tolerance for failure to follow policy. At Harvard University proposals will be rejected if not submitted within the required timeline as stated in its Proposal Submission Deadline Policy.³⁵ Although there are exceptions that may apply under specified circumstances, some may think it's unfair, harsh or extreme. This policy is aggressive, but it ensures the sponsor's and the institution's policies are upheld in every proposal that is submitted to a sponsor.

For some institutions, rejecting proposals is not an option. Although this may work for Harvard, this may not be feasible for institutions that rely on the funds from research. One SPO from their interview said, "no matter the cost, last-minute submissions are a part of their job, and this is not congruent with their roles and responsibilities." Alternatively, rather than denying the proposal every time the PI submits last-minute, the SPO should be allowed to use the three-strikes rule; if the PI consistently submits a proposal three consecutive times, the PI should be required to attend a proposal submission workshop before they can submit another proposal.

Recommendation 4: Develop and Implement Proposal Preparation Workshops.

From the results of the interviews, the SPOs seem to know the role of the PI. However, the PIs' uncertainty of the SPOs roles inhibits the successful process of proposal review. Educating PIs on this role will clarify the needs of the administrative requirements for the proposal and expound the necessity to submit proposals five business days before the solicitations deadline. PIs, as well as Admin, throughout the JHU KSAS College, should be encouraged to attend workshops provided by the BARA Office to deliver a comprehensive educational question and advice session. These workshops would include going over the solicitation's requirements, reinforcement of the JHU KSAS policies, explain documents needed, explain common errors in proposals and how to avoid them, analysis of the budget and budget justification requirements, additional required documents, and specific agency requirements. Workshops will provide PIs

³⁵ Proposal Submission Deadlines. (2019). Retrieved from <https://osp.finance.harvard.edu/proposal-submission-deadlines>

useful information to simplify proposal submission needs, illuminate common problems and how to avoid them, and encourage healthy communication between the PI and the SPOs. These would require an additional burden on the workload for the SPOs upfront but, if successful, could save time in the future by providing necessary knowledge and resources, effectively reinforce the 5-day rule, and would support strong partnerships with PIs and the BARA Office.

Chapter 8. Summary

This case study resolves that the JHU KSAS BARA environment encourages a culture of providing the most amount of support for and imposes the least amount of restrictions on the PI. While the intention is to encourage research and bring research funds into the university, enabling last-minute submissions lessens the efficiency of the SPO and does not allow a thorough execution of the proposal's review. Some PIs take for granted the BARA Office in supplying their proposals for review and submission to their SPO last-minute, and some are unaware of the repercussions generated by last-minute proposals. All of the PIs interviewed did not know what KASPER was. This unfamiliarity is an indication that the proposal submission guidelines are not being read and followed. Whether or not a department obtains a grants management team, resources need to be accessible and available to all PIs, to enable clarity in expectations. One recommendation is certain; the KASPER resource needs to be appropriately disseminated and PIs should be encouraged to use this resource hub.

From this investigation, the author has shown that there a problem with last-minute proposal submissions and there is uncertainty in the expectations of the partnership between the PIs and the BARA Office. The author believes that partnerships between the PI and the SPO can be improved through clarification of roles and responsibilities of these entities in regards to proposal preparation. Cultivating the education of proposal submission process can be achieved through the proliferation of resources and fostering mutually supportive interactions between these two entities. Uncertainty can be avoided through communication and education of not just the proposal submission processes but also the roles of the BARA Office. If the PI understood the role of the SPO and the responsibilities they undertake on behalf of the PI, the PI may be more understanding and submit their proposal to the BARA Office 5 business days before a solicitation deadline.

The BARA Office does perform speedy and comprehensive review and submission for last-minute submissions because the administrative environment has created a PI-centered

culture. Although, it is unclear if the support is illimitable and ubiquitous to all departments, the restrictions placed on the PI as far as administrative requests are few.

In response to creating some form of reprimand for last-minute submitters, unfortunately, the replies from the PIs and the RAs do not conclude a determination. The SPO has become accustomed to this process, and their daily operations receive a hard stop to enable review for these last-minute submissions. Meanwhile, the PI can always find a rationale that falls within an exception to submitted after the KSAS BARA requested deadline because, as one PI responded, it is about the proposal and the receipt of the award. The institution needs the proposal to be accepted, and because the PI is the one creating the science, the PI will always get what they need to pursue their research.

In conclusion, semi-annual proposal preparation workshops should be held for all PIs, and an interactive dashboard to display proposal submission statistics should be implemented and accessible for all PIs and Admin. An interactive dashboard would provide transparency to the submission process and enable the PI to see the administrative impacts of their submission. Initial training for PIs should be required to include the explanation of roles and responsibilities connected to proposal preparation, review, and submission. Although, JHU cannot support zero tolerance for last-minute submissions, enforcing a three-strike rule that places a hold on proposal submissions until they attend a proposal preparation workshop would effectively reduce last-minute submissions. With an interactive dashboard and proposal workshops available to the PI, there would be little justification to submit a proposal less than five business days.

There are still many questions that can be investigated beyond the scope of this case study; further investigation of this topic would include the feedback from Admin to identify their role as the liaison between the PI and the BARA Office, how they provide information to the PI from the BARA Office and what they provide. From some of the responses to the interview questions, grants management teams within the department play a vital role in a PI's success in proposal submission.

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Appendices

Appendix 1: Website URL:

<https://adeboer3.wixsite.com/cohesion>

Home Page:



Background Page:

Capstone Home Case Study Additional Links and Information



Interviews
Recommendations
A Timeline
Summary

ABOUT JHU KSAS BARA

Understanding the Case Study


The Question

Does pre-award administration perform comprehensive review and submission for the interminable tendency of last-minute proposals because the research administration environment has created a PI-centered culture providing unending support with the least amount of restrictions on PIs?

The Objectives

1. Examine the roles and responsibilities associated with proposal submission.
2. Interpret the importance and the purpose of the submission deadline and the persons affected by deadlines, including an analysis of how and why they are involved.
3. Highlight how those guidelines are meant to ensure deadlines are met without

Capstone Home Case Study Additional Links and Information



The Problem

A pre-award administrator is amenable to the last-minute proposal submissions. Last-minute submissions, which sometimes come within the day of the solicitation's deadline, are required a review for quality, correctness, and completeness to a level of proficiency and excellence that upholds the reputation of the university.

The proposal submission deadline is more complicated than implied. Deadlines incorporate a multitude of people to include PIs, Co-PIs, the Department Head, and Administrative Staff dependent on the type of solicitation and institutional policy that apply. The deadline is often pushed to the last minute, and the effects of the last-minute submission are felt throughout the proposed sponsored projects offices posing problems not just for the workload of administrators but also affecting the completeness and the quality of the submission.

Although the intention is to encourage research and research funds into the university the efficiency of the submission process is significantly affected and often more geared towards satisfactory completion versus thorough execution of submission.

The Objectives

3. Highlight how those guidelines are meant to ensure deadlines are met without sacrificing proposal quality, putting the institution at risk of making commitments it cannot meet, or unduly burdening RAs.
4. Identify the time it takes to complete and submit proposals at JHU based on the type and agency or agencies involved.
5. Identify common errors in proposals and how long error correction can take to stress timeline accuracy and project management.
6. Highlight communication and relationships between the administration involved in research and the researchers involved.

Capstone Home Case Study Additional Links and Information



an interminable tendency of last-minute proposals versus satisfactory completion versus thorough execution of submission.

Establishing the Need

The stimulus for this case study

Every proposal submission guideline from JHU KSAS provides detailed information on how to submit a proposal as well as the advice to submit early. Workshops, provided by the BARA Office at JHU KSAS, explain the process of submitting the proposal and how vital early submission is for a successful and competitive proposal. Despite emphasis to submit to the SPOs early through administrative guidance, workshops or proposal guidelines, it is an ongoing theme to be prepared for last-minute submissions. The JHU KSAS BARA SPOs have all had chronic issues with last-minute proposal submissions. This problem creates issues for the SPOs in their working environments, staff tasks and destabilizes the infrastructure of the proposal submission process restricting the comprehensive review of the proposal submission. The interviews undertaken in this case study provide insight into the causes for these last-minute submissions and the impacts caused by PIs who fail to submit to the BARA Office within the requested five business day deadline.



The Objectives

6. Highlight communication and relationships between the administration involved in research and the researchers involved.
7. Review the current methods and techniques used to communicate the desire for PIs to submit early.
8. Accurate current guidelines at some institutions which focus on this deadline, why submission guidelines are essential and maintained, and the protections for administrators regarding the quality of last-minute submissions.
9. Discuss recommendations that can be used to evolve the submission process within a

Case Study Page:

Capstone Home Case Study Additional Links and Information

The Case Study Results

PI Interviews & Responses

SPO Interviews & Responses

Roles and Responsibilities

SPO

JHU KSAS SPO view proposal review and submission as their most important role and responsibility, they further explain other pre-award functions such as ensuring contracts and awards are processed promptly, reviewing the award, negotiating an award if necessary, data sharing agreements, and nondisclosure agreements.

When the BARA Office SPOs were asked about the roles and the responsibilities of the PI were in regards to the proposal submission process, their answer coincided with the response the PIs provided in regards to their roles and responsibilities.

PI

The PI response was unclear in regards to their SPO's tasks. All of the PIs responded with the general understanding that their SPO's handle their proposal in the program agency website but often the SPOs make their proposals for

PI 1

SPO 1

Capstone Home Case Study Additional Links and Information

Environment Response

Without any errors, the SPO can review the proposal and have it ready to submit within 1-4 hours.

The PIs believe that proposal review could take place in 20 minutes, one hour, 2-3 days and one week. The varying responses from the PIs indicate the lack of understanding of the responsibilities of the SPO in regards to the pre-award functions of the proposal.

When the PIs were asked how many proposals the BARA Office receives weekly, the two that responded, one said roughly seven a week, and the other said it could range from as little as 10 to as many as 300. Both were correct. According to the JHU KSAS dashboard, KSAS BARA Office submitted 372 proposals in FY 2018. Although the averages to roughly seven proposals a week, the SPOs stated that proposals tend to come in waves, where one week the BARA Office may receive dozens of proposals and the next week receives three. This response shows the PIs awareness of the productivity of the BARA Office. Only six of the seven PI participants could reasonably respond to the number of proposals received by the BARA Office weekly. The uncertainty from the PIs of the SPOs workload highlights that awareness of proposal seasons may yield early proposal submission.

Although all of the PIs explained they would fix all errors the SPOs find, all of the SPOs explained there are times the PI will not want to correct the problems, and at times this will cause the proposal to be rejected by the sponsor. This difference projects that the PI may not understand what qualifies as an error and the potential side effects caused by those errors. Both the SPO and the PI concluded that the most common errors lie in the budget and budget justification which indicates that the PI needs to be more informed on the errors of a proposal with emphasis on the budget and budget justification to ensure a more efficient proposal review process.

One PI stated that the relationship is not very strong between the PI and the SPO, and two PIs indicated that early proposal submission would impact the working relationship by providing a mutual benefit. One PI implied that the partnership should not matter the proposal is the priority, however, one PI responded that the partnership does matter in that providing mutual respect for each other's offices enables proficiency and facilitates open and continuous communication. If the BARA Office is necessarily working fast, minute submissions, it contradicts the partnership between the PI and SPO. The PI is not, as one PI stated, using the SPO to their full advantage affecting the efficiency of the submission process. Last, minute submissions impose hurried efforts for satisfactory completion and prevent thorough

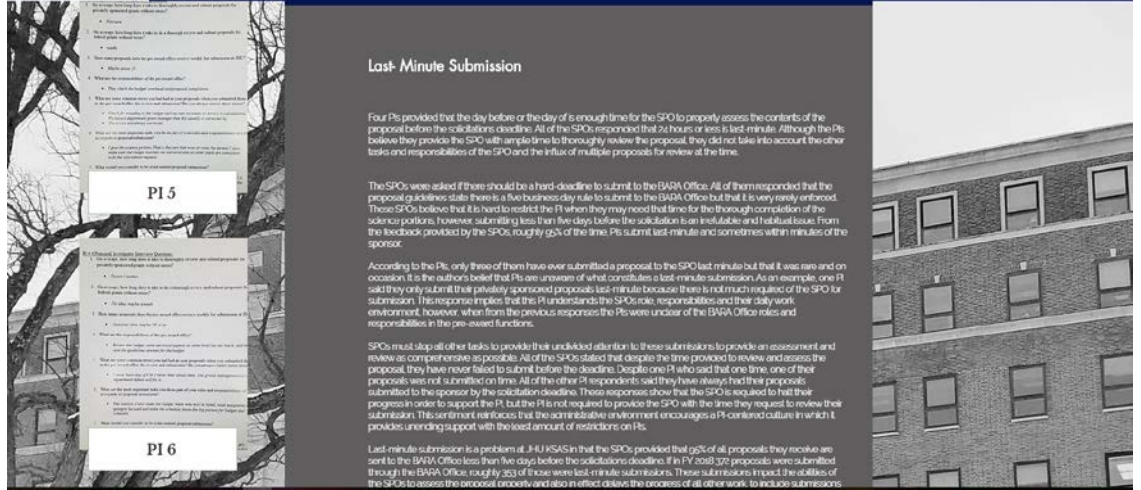
PI 2

PI 3

SPO 2

SPO 3

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Last-Minute Submission

Four PIs provided that the day before or the day of is enough time for the SPO to properly assess the contents of the proposal before the solicitation deadline. All of the SPOs responded that 24 hours or less is last-minute. Although the PIs believe they provide the SPO with ample time to thoroughly review the proposal, they did not take into account the other tasks and responsibilities of the SPO and the influx of multiple proposals for review at the time.

The SPOs were asked if there should be a hard deadline to submit to the BARA Office. All of them responded that the proposal guidelines state there is a five-business-day rule to submit to the BARA Office but that it is very rarely enforced. These SPOs believe that it is hard to restrict the PI when they may need that time for the thorough completion of the solicitation process, however submitting less than five days before the solicitation team is available and the last issue from the feedback provided by the SPOs, roughly 95% of the time, PIs submit last-minute and sometimes within minutes of the sponsor.

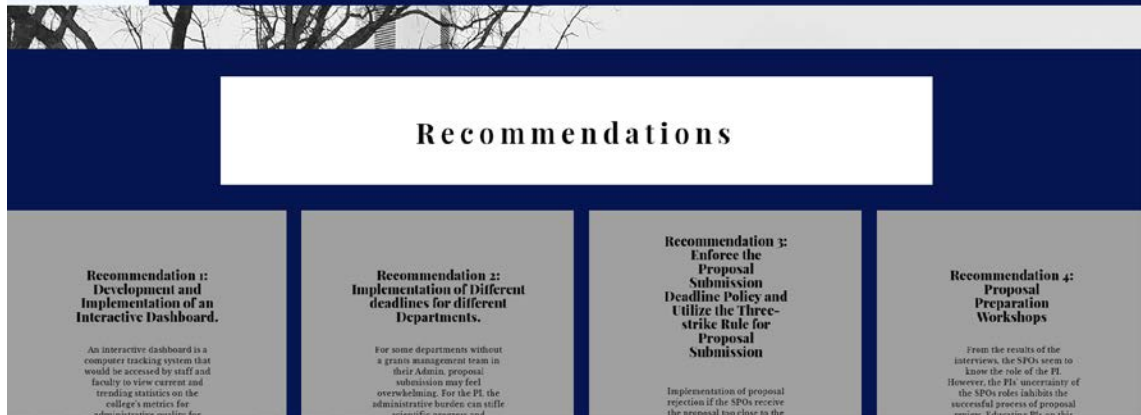
According to the PIs, only three of them have ever submitted a proposal to the SPO last-minute but that it was rare and on occasion it is the author's belief that PIs are unaware of what constitutes a last-minute submission. As an example, one PI said they only submit their pre-fully sponsored proposals last-minute because there is not much required of the SPO for submission. This response implies that the PI understands the SPO role, responsibilities and their daily work environment, however when from the previous responses the PIs were unclear of the BARA Office roles and responsibilities in the pre-award functions.

SPOs must stop all other tasks to provide that undivided attention to these submissions to provide an assessment and review as comprehensive as possible. All of the SPOs stated that despite the time provided to review and assess the proposal, they have never failed to submit before the deadline. Despite one PI who said that one time, one of their proposals was not submitted on time. All of the other PI respondents said they have always had their proposals submitted to the sponsor by the solicitation deadline. These responses show that the SPO is required to halt their progress in order to support the PI, but the PI is not required to provide the SPO with the time they request to review their submission. This sentiment reinforces that the administrative environment encourages a PI-centered culture in which it provides ongoing support with the least amount of restrictions on PIs.

Last-minute submission is a problem at JHU KSAS in that the SPOs provided that 95% of all proposals they receive are sent to the BARA Office less than five days before the solicitation deadline. If PI (2019) SPO proposals were submitted through the BARA Office, roughly 36% of those were last-minute submissions. These submissions impact the abilities of the SPOs to assess the proposal properly and also in effect delay the process of all other work to include submissions.

Recommendations and Conclusion Page:

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Recommendations

Recommendation 1: Development and Implementation of an Interactive Dashboard.

An interactive dashboard is a computer tracking system that would be accessed by staff and faculty to view current and trending statistics on the college's metrics for administrative quality for

Recommendation 2: Implementation of Different deadlines for different Departments.

For some departments without a grants management team in their Admin, proposal submission may feel overwhelming. For the PI, the administrative burden can be


Recommendation 3: Enforce the Proposal Submission Deadline Policy and Utilize the Three-strike Rule for Proposal Submission

Implementation of proposal rejection if the SPOs receive the proposal too close to the

Recommendation 4: Proposal Preparation Workshops

From the results of the interviews, the SPOs seem to know the role of the PI. However, the PI's uncertainty of the SPOs roles inhibits the successful process of proposal review. Educating PIs on this

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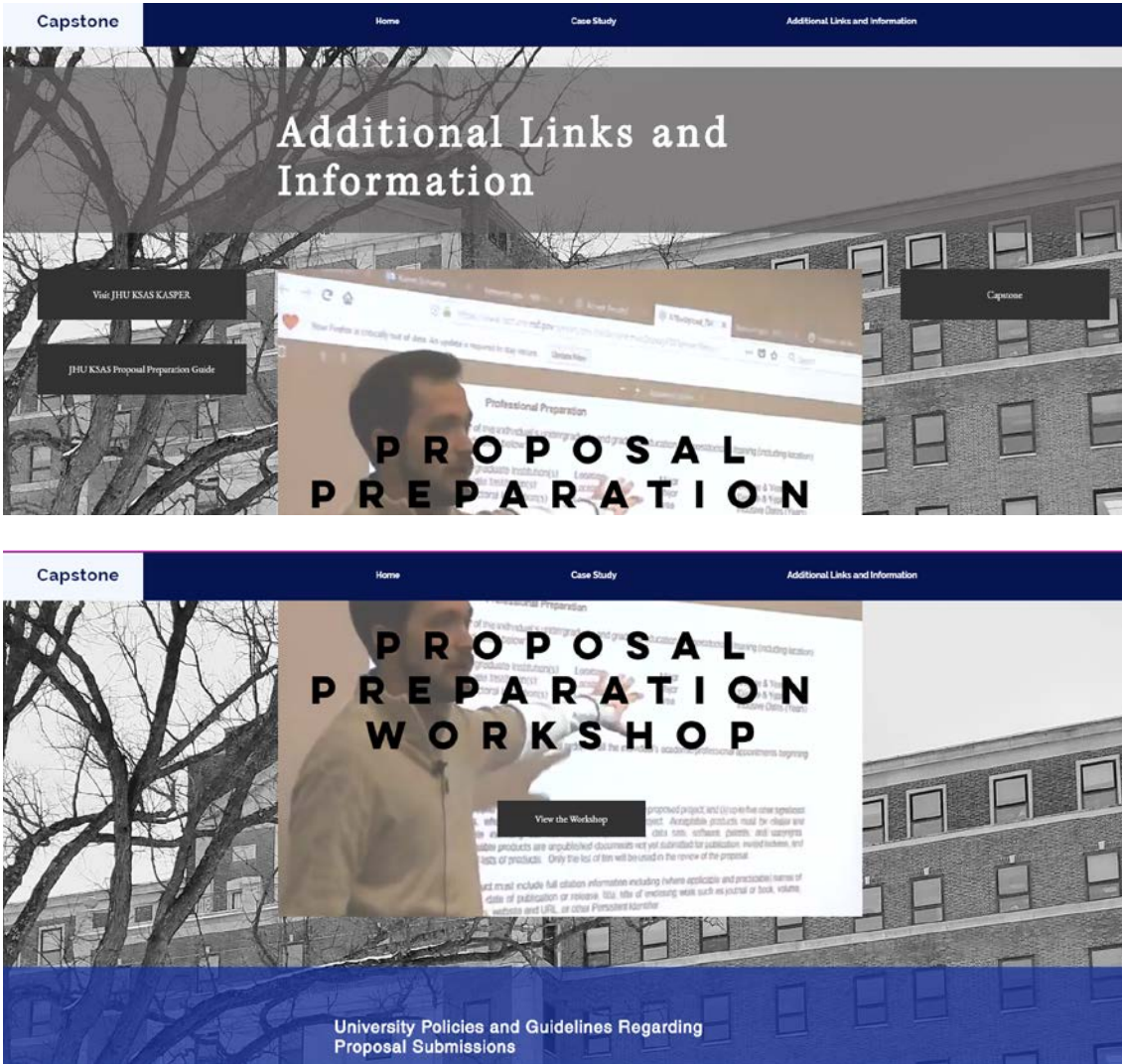
SUMMARY

This case study resolves that the JHU KSAS BARA environment encourages a culture of providing the most amount of support for and imposes the least amount of restrictions on the PI. While the intention is to encourage research and bring research funds into the university, enabling last-minute submissions lessens the efficiency of the SPO and does not allow a thorough execution of the proposal's review.

Some PIs take for granted the BARA Office in supplying their proposals for review and submission to their SPO last-minute, and some are unaware of the repercussions generated by last-minute proposals. All of the PIs interviewed did not know what KASPER was. This uncertainty is an indication that the proposal submission guidelines are not being read and followed. Whether or not a department obtains a grants management team, resources need to be accessible and available to all PIs, to enable clarity in expectations. One recommendation is certain, the KASPER resource needs to be appropriately disseminated and PIs should be encouraged to use this resource hub.

From this investigation, the author has shown that there is a problem with last-minute proposal submissions and there is uncertainty in the expectations of the partnership between the PIs and the BARA Office. The author believes that partnerships between the PI and the SPO can be improved through clarification of the roles and responsibilities of these entities in regards to

Additional Links and Information Page:



Capstone Home Case Study Additional Links and Information


University Policies and Guidelines Regarding Proposal Submissions

Policies and guidelines



Declines to Submit

Harvard explains that their OSP will not allow submission of the



Forfeit of Indirect Cost Recovery Distributions



Interactive Dashboard

MIT encourages early

Acknowledgements Page:

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Acknowledgements

*So many people have supported me along the way.
Thank you for pushing me, supporting me, and loving me despite my attempts to give up, get angry, and fall into despair.
Thank you for standing beside me and reminding me I am worth it and I can do it.*

To start, I want to thank my husband who has been by my side through so much. None of this would have been possible without his love and support for making dinner when I was meeting a deadline or dealing with my frustration when classes got hard; I am so lucky you still love me.

I want to thank my teachers, especially Dr. Douglas Mills and Dr. Kwoelnd Nesius. Old Dominion University has two shining stars that have been crucial mentors to me while I was completing my Bachelors and led me to discover this program at JHU.


For the PIs and SPOs that responded to the interviews to support this Case Study, thank you for picking up the phone and for your honesty. I hope this will help future studies to enable a stronger proposal process.

To the JHU KSAS BARA Office and especially Mary Louise Healy, Nancy Karner, Tyler Cain, Karen Schaefer, and Jordan Dalrymple, thank you. You tirelessly support the research endeavors in the JHU KSAS BARA Office, and I have gained so much just by being in your presence.

Mary Louise Healy, your mentorship will never be forgotten. Thank you for opening the door to me and providing a foundation for my future endeavors in research administration.

About the Author Page:

Capstone Home Case Study Additional Links and Information



Angela G. DeBoer

A California native, Angela was born and raised in Sacramento, California. She grew up surrounded by her large Mexican American family and was born the last of seven children. Although her first round at college wasn't as she had hoped, after serving and being deployed in the Navy, she had a renewed desire to complete her college education.

Her beloved uncle spent most of his life, as she knew him, handicapped from the effects of Agent Orange from his service in the Army as an Airborne Ranger in Vietnam. She devoted her future to supporting research and their endeavours to help those undergoing experimental treatments as her uncle did.

Graduating with Honors, Angela received her Bachelors of Science in Biology in December 2016 and felt the best way to continue to advocate for research subjects was to support science administratively carrying the administrative workload for research.

Angela is graduating from Johns Hopkins University Krueger School of Arts and Sciences with a Masters in Research Administration in May 2019.

She aims to continue to support her country and represent the fighting spirit of her beloved late uncle facilitating the transactions of research.

© 2019 By Angela G. DeBoer in fulfillment of the Degree of Masters of Science in Research Administration

Appendix 2: Interview Questionnaires

a. Research Administrator Interview questions 0

Questions to be asked during the interview:

Consent

There are no formal informed consent documents to sign. By virtue of agreeing to an interview you have given your consent to participate in this study.

This is an oral interview and I am giving you the questions I will be asking during the interview.

If at any time you do not wish to continue, your responses will not be saved or used for this project. This interview will not collect any private information. The information collected will be coded and stored for three years. However, your peers may deduce you were involved in this study.

You will not receive any benefit for participating nor receive any penalty for withdrawing or ending participation in this interview. By saying "yes" you understand the purpose of the study, your involvement in this study and voluntarily choose to go forward with this interview. If at any time you decide to retract your responses, please contact adeboer3@jhu.edu. Do you give your consent?

Research Administrator Interview Questions:

1. On average, how long does it take to thoroughly review and submit proposals for privately sponsored grants without errors?
2. On average, how long does it take to do a thorough review and submit proposals for federal grants without errors?

3. What are some common errors in proposals?
4. What are the most important tasks you do as part of your roles and responsibilities of a pre-award research administrator?
5. What are the responsibilities of a PI?
6. What would you consider to be a last-minute proposal submission?
7. How do last-minute proposal submissions affect your daily work?
8. Have you ever failed to submit a proposal because it was submitted to you the day of the deadline? How did you accomplish this?
9. When you receive a proposal that is due the day of the solicitation deadline, do you feel you are still able to properly assess the contents of the proposal and guarantee that it meets the requirements of the university and the sponsor?
10. Should there be a deadline to submit proposals to the pre-award administration office for review and submission to the sponsor? How long before the submission deadline should it be?
11. Have you received a proposal within hours of the deadline? What has been the most common reason for last-minute submissions?
12. Does early proposal submission encourage stronger relationships between the PI and pre-award administration?
13. What role can the department administrators play to help alleviate this problem?

-
14. How do last-minute submissions affect your environment?
 15. Does early proposal submission result in quality proposals?
 16. How can the tendency to submit last-minute be resolved? Do you think there is enough emphasis to submit proposals early? If so, how? Can it be improved?
 17. I have heard that there are times a pre-award administrator will ask a PI to make corrections to their proposal and the PI will say they do not wish to correct the errors. How does this affect future communication with this PI?
 18. Not all PIs submit last-minute proposals. Some or most may be courteous, provide ample time for review and follow-up quickly if issues may arise. How do the effects of PIs who submit last-minute proposals affect the work or collaboration with the submission-aware PIs?

b. *Principal Investigator Interview Questionnaire*

Questions to be asked during the interview:

Consent

There are no formal informed consent documents to sign. By virtue of agreeing to an interview you have given your consent to participate in this study.

This is an oral interview and I am giving you the questions I will be asking during the interview.

If at any time you do not wish to continue, your responses will not be saved or used for this project. This interview will not collect any private information. The information collected will be coded and stored for three years. However, your peers may deduce you were involved in this study.

You will not receive any benefit for participating nor receive any penalty for withdrawing or ending participation in this interview. By saying "yes" you understand the purpose of the study, your involvement in this study and voluntarily choose to go forward with this interview. If at any time you decide to retract your responses, please contact adeboer3@jhu.edu. Do You give your consent?

Principal Investigator Interview Questions:

1. On average, how long does it take to thoroughly review and submit proposals for privately sponsored grants without errors?
2. On average, how long does it take to do a thorough review and submit proposals for federal grants without errors?
3. How many proposals does the pre-award office receive weekly for submission at JHU?

4. What are the responsibilities of the pre-award office?
5. What are some common errors you had had in your proposals when you submitted them to the pre-award office for review and submission? Do you always correct these errors?
6. What are the most important tasks you do as part of your roles and responsibilities of a PI?
7. What would you consider to be a last-minute proposal submission?
8. When a proposal is submitted the day of the solicitation deadline, do you feel the pre-award administrator can properly assess the contents of the proposal and guarantee that it meets the requirements of the university and the sponsor?
9. Should there be a deadline to submit proposals to the pre-award administration office for review and submission to the sponsor? If yes, how long before the submission deadline should it be?
10. Have you submitted a proposal to the pre-award office for review and submission on the day of the solicitation deadline? Why?
11. Have you ever had a proposal not submitted to the sponsor because it was submitted to the pre-award office on the day of the solicitation deadline?
12. Do you believe that early proposal submission encourages stronger relationships between the PI and pre-award administration?
13. Do you believe that early proposal submissions result in a better quality proposal?

14. There are some PIs who tend to submit proposals last-minute (15 or less minutes before the submission deadline). Have you ever submitted a proposal at the last minute? Do you think last-minute submission is a problem?

a. If yes, why?

15. How should the tendency to submit last-minute be dealt with?

16. How can a submission-aware culture be fostered to ensure last-minute submissions are avoided?

Appendix 3: Johns Hopkins University Institutional Review Board Approval

3/23/2019

<https://ehirb.jhu.edu/eHIRB/sd/Doc/0/AV35SDTG8Q3K540688A3FQQJA9/fromString.html>



Homewood Institutional Review Board

3400 N. Charles Street
Wyman Park Building, Suite N468
Baltimore MD 21218-2685
410-516-6580
<http://homewoodirb.jhu.edu/>

Michael McCloskey, PhD
IRB Chair

Date: March 22, 2019

PI Name: Marianne Woods
Study #: HIRB00008843
Study Name: Strengthening Cohesion between Research Administrators and the Researchers: A Case Study at a Tier One University on Proposal Submission

Date of Review: 3/18/2019
Date of Acknowledgement: 3/18/2019
Expiration Date: 3/18/2022

The above referenced study has been *acknowledged*.

Review Type:	Exempt
Funding Agency:	Not funded
Grant or Contract Number:	
International Sites:	No
Maximum number of participants:	12
Vulnerable populations:	Johns Hopkins Employees
Consent process:	
Assent Process:	

No changes may be made to the protocol or the consent form without the approval of the Board.

To keep the Homewood IRB files current, we are assigning an expiration date to projects that qualify as not human subjects research or exempt. You will receive an email notification prior to the

<https://ehirb.jhu.edu/eHIRB/sd/Doc/0/AV35SDTG8Q3K540688A3FQQJA9/fromString.html>

1/2

expiration date shown above, providing guidance to extend this project.

Please keep this message in your files for future reference. Thank you for contacting the Homewood IRB about this research and for providing the requested information to make this determination. Your cooperation is greatly appreciated.

Please keep in mind that it is your responsibility to inform the HIRB of any adverse consequences to participants that occur in the course of the study, as well as any complaints from participants regarding the research. In conducting this research, you are required to follow the requirements listed in the *HIRB Policies and Procedures Manual*.

Approved Documents:

Consent or Assent Materials:

Consent HIRB00008843

Recruiting Materials:

Participant recruitment

Study Team Members:

Angela De Boer

APPROVAL IS GRANTED UNDER THE TERMS OF FWA00005834 FEDERAL-WIDE ASSURANCE OF COMPLIANCE WITH DHHS REGULATIONS FOR PROTECTION OF HUMAN RESEARCH SUBJECTS

KRIEGER SCHOOL OF
ARTS & SCIENCES
GRANT PROPOSAL GUIDE

Presented by the Grant Proposal Guide Workgroup

Fall, 2011

GRANT PROPOSAL GUIDE
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INTRODUCTION

The Krieger School of Arts and Sciences is providing the following guide as a useful tool for the processes used when preparing proposals for the submission to obtain funding. A workgroup consisting of Departmental Administrators, Research Service Analysts and Sponsored Projects Officers have developed the content. All members in the workgroup are involved with the proposal process as it relates to their own and similarly functioning departments.

The goal has been for all the Krieger School of Arts and Sciences departments to have a common source of information for the grant proposal process. This guide was developed for Principal Investigators (PIs), Departmental Staff – primarily Department Administrators (Admins) and Research Search Analysts (RSAs) – as well as Sponsored Research Officers (SPOs). The content provides a comprehensive source for those both new to and our established users of the intricacies of Sponsored Projects and provides a general guideline for all to use during the grant submission process. Templates that may be altered to fit grant specific needs have been included. For those staff and faculty who are new, please be sure to read the next section entitled “New to Doing Proposals” to give you some basic background.

This guide may also be viewed in Sponsored Projects section of the Krieger School of Arts and Sciences Pathway to Electronic Resources (more commonly known as KASPER) website at http://www.jhu.edu/kasper/sponsored_projects/. Each section of this guide is accessible as an individual .pdf document but the Guide in its entirety was also made as an all-inclusive .pdf document that has active links and bookmarks for easy navigation.

NEW TO DOING PROPOSALS?

What is a Proposal?

A proposal is a document used to apply for sponsored program funds. Most agencies have specific requirements for proposals being submitted for funding. Program announcements for specific programs often include detailed requirements. Although there is no such thing as a generic proposal, a number of major components do recur throughout most proposals. These major elements are: project specific aims and research strategy, personnel capabilities, duration of project, environment of work, facilities available and funds requested with justification.

Where do I find information about the sponsor?

Use your search engine of choice to find the sponsor online. A sponsor's website will contain the most up to date information about how to prepare and submit a proposal to the organization. A sponsor's website should also provide pertinent information for any restrictions or regulations on a particular proposal (such as no or limited Facilities & Administration (F&A) costs, equipment limitations, allowable types of personnel, etc).

Where do I find information about the Proposal/Program Announcement?

If the proposal you are working on has a specific Proposal/Program Announcement (PA) number, do an Internet search for that announcement number and you will get a link to the appropriate document. If not, try the sponsor's website and there should be specific announcements there.

What departments will I work with when I prepare the proposal?

Aside from your own Department, the only other Department who needs to be involved is the Krieger School of Arts & Sciences (KSAS) Business and Research Administration (BARA) office. They can be contacted at:

BUSINESS AND RESEARCH ADMINISTRATION
Mergenthaler Hall, Suite 225, 3400 N. Charles Street
Baltimore MD 21218-2685
Phone: (410) 516-8841 (Research)
Phone: (410) 516-8218 (Business)
FAX: (410) 516-5063
EMAIL: KRA@resource.ca.jhu.edu

Use their website or contact the BARA office directly to find out who is your specific Sponsored Projects Officer (SPO). Each department in KSAS is assigned a point of contact.

Need additional resources?

Check out the Useful Links page in this guide.

NEW TO COEUS?

What is Coeus?

The Coeus® system, named after the Greek titan of intelligence, was originally designed and developed by MIT in the early 1990s to manage proposal and award information. As the success of the system grew, additional modules were developed, including Proposal Development, Conflict of Interest, Subcontracts, Person, Institutional Review Board (IRB), and Negotiation.

Coeus is a Java® J2EE application with an Oracle® database backend; this technology enables users on any operating platform to access the application via their web browser. The client graphical user interface found in Coeus Premium provides all the tools users need for research administration. With the new web interface, CoeusLite™, users can easily create, route, and submit proposals to federal agencies.

Coeus contains comprehensive Sponsor and Organization tables that can be used across the software system's many modules. Within Coeus, application-defined user roles restrict or provide access to Coeus modules and functions, based on the roles and rights assigned to the individual. Those roles and rights can be associated with organizational units.

How does Johns Hopkins University use Coeus?

The Coeus system is how we record proposals internally as well as for submission of certain grant applications. After the Principal Investigator (PI), Department Administrator (Admin) and/or Research Service Analyst (RSA) load and route all documents of the proposal to Business and Research Administration (BARA), your Sponsored Projects Officer (SPO) will need to approve the submission. Your SPO will then directly submit documents that we load into Coeus to the sponsor for system-to-system proposals. When one is not doing a system-to-system proposal, certain proposal information needs to be entered into Coeus for approval by BARA before submission of the proposal, regardless of the fact that it will not be submitted to the sponsor via Coeus.

How do I know if it is system-to-system or otherwise?

Currently, Coeus is primarily integrated with the Federal Government's single portal Grants.gov (see further details in the Glossary), therefore allowing system-to-system submissions for **most** types of proposals. Fastlane, another major governmental grant submission system (see more details in the Glossary), is not yet compatible with Coeus and therefore not a system-to-system submission. If the sponsor is a small foundation, it probably has its own submission system or requires submission via email. Generally, ask your SPO for advice.

If not system-to-system, what do I need to enter into Coeus?

Within the section of the Appendices are the instructions on how to enter the pertinent information for a proposal that is Non-Coeus.

Why do we need to record proposals internally?

This is how your SPO checks your proposal data for accuracy. The Johns Hopkins Enterprise also runs campus wide reports, which are created using the information from Coeus to gain statistical information on research proposed by the University.

For more information...

For staff members, classes will most likely be required and you will need to be given permission to access Coeus. Speak to your supervisor to ascertain what courses are best for you. For faculty who may be interested in learning more about the systems Johns Hopkins University uses for grant submissions, speak with your Department Chair or Administrator for additional information.

PRINCIPAL INVESTIGATOR RESPONSIBILITIES

PRINCIPAL INVESTIGATOR (PI) RESPONSIBILITIES

A. When you are planning to submit a Proposal to an agency:

- 1) Be sure this is the most appropriate agency to apply for funding; look at all the options in your field. Always feel free to talk to your Department Chair, senior faculty members, the appropriate vice dean, and former mentors or collaborators for advice and directions. Try to stay aware of new opportunities. You do not need to apply to only one agency your entire career as agencies and funding mechanisms change and frequently overlap.
- 2) Once the appropriate agency or agencies are chosen, talk to the Program Officer at the agency from whom you would like to seek funding and speak to them about the appropriateness of your proposal, availability and likelihood of funding, and any other questions or concerns you may have. You should also seek their advice about any decisions you may have to make about the appropriate review panel to suggest and/or the identity of appropriate reviewers. It is desirable that you form a relationship with this person since this will be your point of contact at the agency.
- 3) Read Program Announcement and subsequent notices, revisions or updates, and know your agencies current regulations. Read announcement with special attention to:
 - a) Due Date
 - b) Budget Limitations/Requirements
 - c) Text Requirements/Formatting
 - d) Allowable Costs
 - e) Method of Submission
 - f) Import/Export Law Application
 - g) Use of foreign nationals/collaborators
 - h) Restrictions on publications
 - i) Access requirements to agency secure websites
 - j) Human Subject/Animal requirements
- 4) Inform your Department Administrator (Admin) and/or Research Service Analyst (RSA) who will be handling your proposal, your intent to submit a proposal at least two (2) to six (6) months prior to the due date of the submission.
- 5) The Admin/RSA will send you the Initial Proposal Questionnaire (IPQ). Review and answer the Initial Proposal Questionnaire that the Admin/RSA sends you then return it as soon as possible.
- 6) Based on your answers to the Initial Proposal Questionnaire, you will receive a Proposal checklist. You are responsible to produce all of the documents listed on the Proposal checklist.

- 7) Set up an "in person" meeting with your Admin/RSA to further discuss any proposal issues and/or concerns.

B. Meet with the Admin/RSA:

- 1) Review the budgetary information on the IPQ.
A standard, non-modular budget requires a thorough breakdown of your budget. Please keep the following items in mind when proposing a non-modular budget:
 - a) Personnel and their effort
 - b) Graduate students and tuition
 - c) Equipment and supplies
 - d) Special review, animal costs, human subject costs
 - e) Travel, domestic and foreign
 - f) Participant costs (where applicable)
 - g) Compliance, export, conflict of interest
 - h) Subawards
 - i) Consultants
 - j) Data management costs, as necessary (predominantly for NSF proposals)
 - k) Facilities and Administrative Costs (F&A)
 - l) Cost sharing

A modular budget establishes specific modules or increments in which direct costs must be requested, as well as a maximum level for requested budgets of \$250,000 direct costs (excluding any consortium F&A costs). The modular grant application does not require a categorical breakdown of direct costs requested in the application; however, other requirements may still apply. Application directions should be reviewed for specific modular instructions. Regardless that the agency may not need a breakdown, you should ensure your budgetary needs fit within each module you propose and some departments may require a general budget breakdown to verify this. Please keep the following items in mind when proposing a modular budget:

- a) Justification of personnel costs
 - b) Justification of consortium costs
 - c) If modules vary, provide an additional budget justification.
- 2) Discuss items from the program announcement/solicitation that need clarification.
 - 3) Discuss and agree on the proposal timeline that the Admin/RSA will provide. The Admin/RSA will email an updated approved timeline. Following the timeline will result in adequate time for everyone involved to review the information, upload proposal documents into Coeus (the routing software for grants; see explanation in "What is Coeus") or any other electronic submission site. Most importantly this

will ensure that the sponsor receives all documentation required in a timely manner.

- 4) Complete the blank copy of the Research Compliance Questions, Yes/No Questions and Certifications as per University policy. Sign and date the form.
- 5) If there are subawards for this proposal, provide the subawards PI contact information and the person at the subaward institution that will be responsible to get the required information to the Admin/RSA.

Note: If not available for an in person meeting, you can accomplish the above steps through email. Let your Admin/RSA know that your schedule prohibits a meeting.

C. Proposal Development tasks:

- 1) The Admin/RSA will send you a budget for approval.
- 2) Ensure that you and critical collaborators are registered in the submission system of the agency from where you seek funding. Check that all profile information in the submission system is up to date. Your profile online with the agency must match your Biosketch and it is particularly important to ensure that your degree information is in the agency specific submission system.
- 3) Send completed documents as identified in the Proposal Checklist to the Admin/RSA as soon as they are ready. Ultimately the application must adhere to all required criteria and the format, page restrictions, supplemental material or appendices must be formatted correctly prior to submission.
- 4) The Admin/RSA will check in with you periodically in regard to the approved timeline and verify whether the timeline dates can be met.
- 5) The Admin/RSA will update you on which documents are still needed.
- 6) All documents are due to the Admin/RSA seven (7) business days before submission. Let the Admin/RSA know of any problems.
- 7) As documents are reviewed by the Sponsored Projects Officer (SPO), there may be changes needed. The changes need to be provided as quickly as possible.

D. If the sponsor awards your grant:

- 1) When you receive notification from the agency that you have been awarded let your Admin/RSA know.

2) The grant will be set up in the SAP system (the internal software system for all finances at the University; see the Glossary) and the Admin/RSA and SPO will provide the grant and Internal Order (IO) number for your records. Ensure that the appropriate person(s) receives the new IO number so expenses will be charged to the appropriate account.

3) The Admin/RSA will contact you if any salary changes need to be made.

4) If there are subawards on the grant you will need to sign the subaward form that will be filled out by the Admin/RSA. This will allow an IO to be set up for the subaward.

E. If the sponsor does not award your grant:

1) If not awarded, inform your Admin/RSA as soon as possible. The Coeus record will need to be updated to reflect the current status.

2) If you withdraw the proposal, again, inform your Admin/RSA as soon as possible. The Coeus record will need to be updated to reflect the current status.

RESEARCH SERVICE ANALYST RESPONSIBILITIES

RESEARCH SERVICE ANALYST (RSA) RESPONSIBILITIES

Do note: In some departments, there may only be a Department Administrator (Admin) handling grant submissions. The instructions written for both the Principal Investigators (PI) and the Sponsored Projects Officer (SPO) references steps involving the Admin and/or RSA. For this particular set of instructions, we are directing the entire set of instructions towards the RSA of the department, since typically that is who will be submitting grant proposals rather than an Admin. However these responsibilities are, overall, the responsibility of the Department as a whole regardless of position.

A. When contacted by a PI of their intention to submit a proposal:

- 1) The PI may have questions about most appropriate agency to apply for funding; particularly if they are new faculty members, be sure they know to look at all the options in your field. Ensure that the PI can always feel free to ask the Department Chair, senior faculty members and former mentors or collaborators for advice and direction. The PI does not need to apply with only one agency his or her entire career as agencies and funding mechanisms change and frequently overlap.
- 2) Send the PI the Initial Proposal Questionnaire (IPQ). Ask the PI to complete and return it to you as soon as possible.

B. When IPQ is returned:

- 1) Read the program announcement/solicitation and be aware of any additional current regulations for the agency.
- 2) Send the PI the "Proposal Checklist: Documents Needed for Proposal" of the documents that will be required for their Proposal, specific to that agency. Proposal Checklists are available for National Institutes of Health (NIH), National Science Foundation (NSF), National Aeronautics and Space Administration (NASA), as well as a Generic version in the Templates section (the generic version can be modified by the RSA as needed for any other agencies, but all checklists can be modified to be used as needed).
- 3) Begin a Coeus record with the information that the PI gave you on the IPQ. Depending on your department's practices, you will want to start a paper file and/or a virtual file for this proposal.
- 4) Email the Sponsored Projects Officer (SPO) that you have started a Coeus Proposal. Include the following information:
 - a. Coeus Proposal Development (PD) number
 - b. Name of PI
 - c. Agency/sponsor
 - d. Due date

- 5) Develop and send the PI a timeline for proposal submission and set up a meeting with the PI.

C. Meet with the PI to:

- 1) Review the budgetary information that the PI has given you on the IPQ.
- 2) Review items from the program announcement/solicitation that need clarification for the RSA or the PI.
- 3) Discuss the timeline and adjust accordingly to the PI's input and reach an agreement. The RSA should email the PI the approved timeline.
- 4) Have a blank Research Compliance Questions, Yes/No Questions and Certification Questions form ready for the PI to fill out, date and sign.
- 5) If there are to be Subawards, obtain the PIs' name and addresses for the Subaward institutions and the name, email and telephone number of the person responsible for the paperwork they will be sending us. For more information, review the Subaward section.

Note: If the PI is not available for an in person meeting, you can accomplish the above steps through email.

D. Proposal Development tasks:

- 1) Create the budget, and then send it to the PI for review and approval. You may develop several budget scenarios with the PI.
- 2) When budget is approved, enter the budget into either Coeus Premium or Coeus Lite.
- 3) When you have the PI's signed Research Compliance Questions, Yes/No Questions and Certification, manually answer the questions in Coeus and UPLOAD the PI's signed copy of the questions in Coeus under "Upload Institutional Attachments" as a single Adobe PDF document.
- 4) Check in with the PI regarding the Timeline and to ensure they will be able to get the documents in to you in a timely manner.
- 5) If you are getting closer to the due date and there is a substantial difference from the approved timeline, check with the PI and ask for the expected dates of completion for the remaining documents. Send an updated "Proposal Checklist: Documents Needed for Proposal" indicating which documents are still needed.

- 6) As documents are received from the PI:
 - a. Review documents sent by PI for margins, fonts, etc... for adherence to agency guidelines. Ultimately the PI and RSA are responsible for ensuring that the application adheres to all required criteria and that the format, pages restrictions, supplemental material or appendices are formatted correctly.
 - b. As documents are reviewed and found to be in compliance, upload them into Coeus.
 - c. Indicate on your Proposal Checklist when you received the document from the PI and when you uploaded it into Coeus.
 - d. As you load documents into Coeus, notify SPO so they can review them and can then alert you to any errors or changes in a timely fashion.

E. To Complete the Proposal:

- 1) The completed Proposal should be to your SPO at least five (5) business days before the submission due date.
- 2) Work with SPO to make any changes or updates that are needed to bring the proposal into compliance with agency guidelines.
- 3) Let the SPO know that the complete proposal is ready for final review.
- 4) When SPO has let you that everything is correct, route the proposal to your Approver. Let the Approver know that you have sent them a proposal to approve and let them know that it has been reviewed by SPO.
- 5) SPO will let you know that the proposal has been submitted and whether there are any errors that need to be fixed.
- 6) If the PI notifies you that their Proposal has been declined, notify the SPO.

F. When the sponsor awards your grant:

- 1) Check with your SPO contact and make sure they receive a copy of the award notification.
- 2) Your SPO will complete the appropriate paperwork to have Sponsored Projects Shared Services (SPSS) set up or modify your award. Your award should be set up in approximately two (2) business weeks. Contact your SPO contact if you do not receive notification of your new grant number and Internal Order (IO) number.
- 3) When your award is set up your SPO will provide the grant number, IO, amount awarded, Grant Projects dates. Please check this information and review the grant in GMGrantD to make sure that your grant has been properly set up.

GMGrantD can be accessed through ERP Central Component (ECC) in your SAP (the internal software system for all finances at the University; see the Glossary) menu. Report any discrepancies to SPO immediately.

- 4) Be sure and let the PI know that their grant has been set up and give them the IO number so they can begin to use it for purchases. Find out if they will need to make any changes to the payroll for their personnel and complete the appropriate eforms needed or let the person in your department that handles eforms know what changes are needed.
- 5) If you have subawards on your new grant please refer to the Subawards section of the proposal guide for proper procedures.

- 5) Develop and send the PI a timeline for proposal submission and set up a meeting with the PI.

C. Meet with the PI to:

- 1) Review the budgetary information that the PI has given you on the IPQ.
- 2) Review items from the program announcement/solicitation that need clarification for the RSA or the PI.
- 3) Discuss the timeline and adjust accordingly to the PI's input and reach an agreement. The RSA should email the PI the approved timeline.
- 4) Have a blank Research Compliance Questions, Yes/No Questions and Certification Questions form ready for the PI to fill out, date and sign.
- 5) If there are to be Subawards, obtain the PIs' name and addresses for the Subaward institutions and the name, email and telephone number of the person responsible for the paperwork they will be sending us. For more information, review the Subaward section.

Note: If the PI is not available for an in person meeting, you can accomplish the above steps through email.

D. Proposal Development tasks:

- 1) Create the budget, and then send it to the PI for review and approval. You may develop several budget scenarios with the PI.
 - 2) When budget is approved, enter the budget into either Coeus Premium or Coeus Lite.
 - 3) When you have the PI's signed Research Compliance Questions, Yes/No Questions and Certification, manually answer the questions in Coeus and UPLOAD the PI's signed copy of the questions in Coeus under "Upload Institutional Attachments" as a single Adobe PDF document.
 - 4) Check in with the PI regarding the Timeline and to ensure they will be able to get the documents in to you in a timely manner.
-

SPONSORED PROJECTS OFFICER RESPONSIBILITIES

SPO RESPONSIBILITIES

A. Proposal Development tasks:

- 1) Provide guidance to faculty, staff and research personnel regarding proposal preparation, referencing agency guidelines and University policy.
- 2) Provide guidance regarding Coeus and other internal requirements.
- 3) Acknowledge receipt of email from the Department Administrator (Admin) and/or Research Service Analyst (RSA) regarding new proposal set up and provide routing guidance if needed (Coeus number, timeline).

B. Preliminary Review

- 1) Review program announcement and/or agency guidelines.
- 2) Review Statement of Work (SOW) or Project Summary, budget, budget justification and Principal Investigator (PI) certifications. Request changes to bring documents into compliance with all applicable requirements.

C. Final Review

- 1) Review the proposal documents and notify the Admin/RSA when there are errors, missing items or document problems. Ultimately the PI and RSA are responsible for ensuring that the application adheres to all required criteria and that the format, page restrictions, supplemental material or appendices are formatted correctly.
- 2) Review proposal for compliance considerations such as Internal Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Conflict of Interest, Export Controls and Safety concerns.

D. To Complete the Proposal

- 1) Johns Hopkins University policy requires that the complete proposal will be available to the Sponsored Projects Officer (SPO) five (5) business days prior to the proposal deadline.
- 2) The SPO will work with the Admin/RSA regarding any changes or updates that are needed to bring into compliance with the agency guidelines.
- 3) Acknowledge notification from the Admin/RSA that the proposal is ready for final review.
- 4) Sign a Letter of Intent, if applicable. Provide a signed copy to the Admin/RSA.

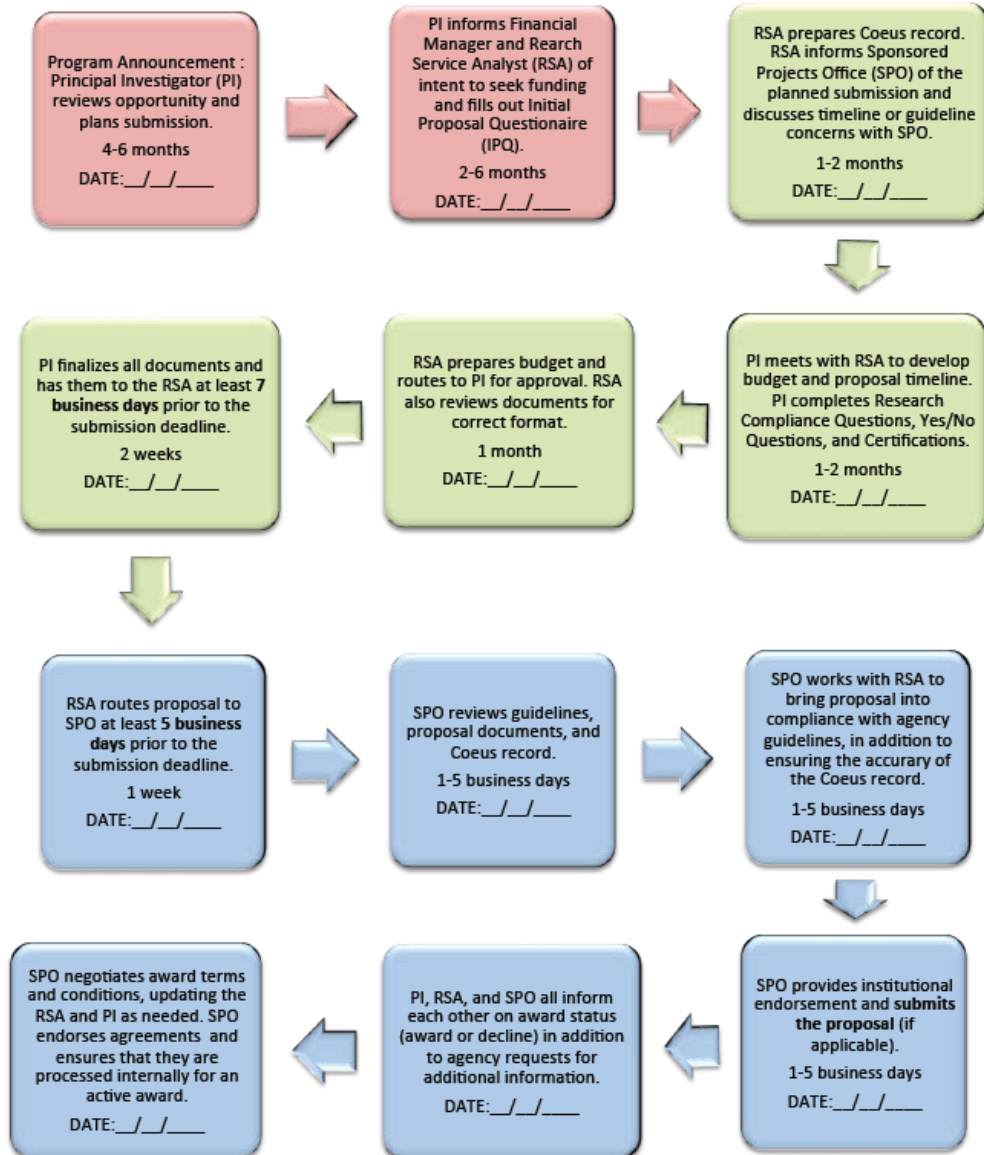
- 5) If proposal is correct, notify the Admin/RSA so the proposal may be routed.
- 6) Submit the proposal to the agency if applicable (system-to-system).
- 7) Notify Admin/RSA of submission. Let them know if the agency has identified any errors (if applicable, system-to-system). Correct and resubmit.

E. When the sponsor awards your grant:

- 1) The SPO will notify the Admin/RSA and make sure they receive a copy of the award notification.
- 2) The SPO will complete the appropriate documentation for Sponsored Projects Shared Services (SPSS) to have the new account set up or modified in SAP (the internal software system for all finances at the University; see the Glossary). Award set up should take approximately two (2) weeks.
- 3) The RSA will submit the subaward checklist if applicable, so the SPO can complete the procedures needed to set up the Subaward IO's accounts in SAP.
- 4) If notified by the agency that JHU will not be funded/awarded, the SPO will inform the RSA/Admin so the records can be updated.

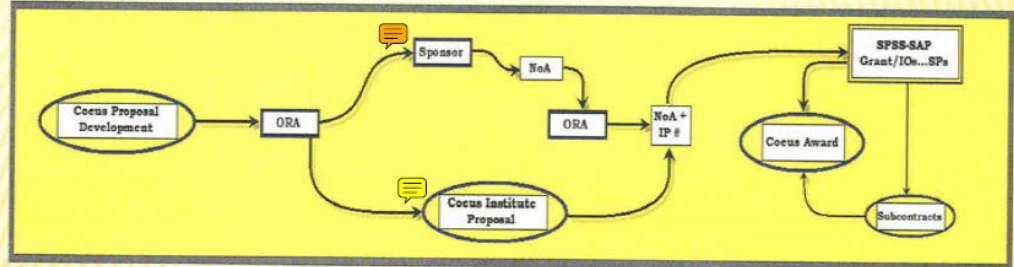
APPENDICES

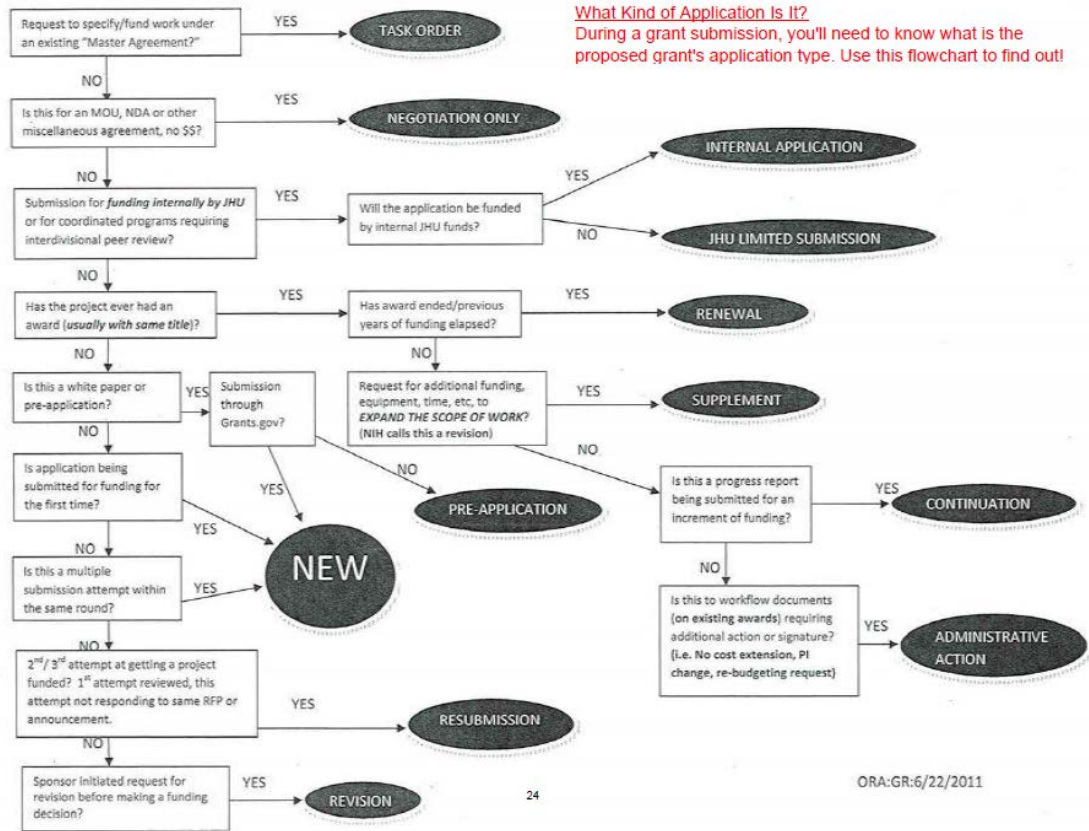
TIMELINE PROCESS CHART



PROPOSAL-TO-AWARD WORKFLOW

How your grant proposal is processed by the Office of Research Administration (ORA) and is assigned any internal order numbers (IOs) by Sponsored Projects Shared Services in SAP (SPSS-SAP), once the Notice of Award (NoA) is received.





FOR NON-COEUS SUBMISSIONS IN COEUS LITE

What to know for entering proposal information necessary to produce an official University record.

When you log into Coeus Lite, click on "My Proposals", then "Create New Proposal". Please make note of the proposal number. You will need to enter the Proposal Number or the Principal Investigator's (PI) name if you have logged out of Coeus before approving the record.

A. General Information

1) General Proposal Information:

Proposal Type

Activity Type

Start Date

End Date

Agency/Sponsor – Please search for the sponsor – highlight sponsor, click, and it will automatically fill in the field

Proposal Deadline Date

Anticipated Award Type

Sponsored Proposal # (if renewal or resubmission)

Title

Funding Opportunity # (if applicable)

Click "SAVE"

B. Investigator / Key Persons

Search for PI ("Employee Search") – click on PI's name and it will automatically fill in the field. Add the percent effort – just need to put in total effort for first year. You must "certify" the PI, when finished, print the certification. **PI must sign certification.**

Click "SAVE"

C. Special Review

If applicable, enter all those considered (Human Subject, Animal Usage, Recombinant DNA, etc).

Click "SAVE"

D. Others

The Responsible Cost Center for the PI should be entered.

Click "SAVE"

E. YNQ

Answer all questions (save and print questionnaire when completed).

F. Research Compliance Questions

Answer all questions (save and print questionnaire when completed).

G. Upload Attachments

1. Upload Proposal Attachments

- a. Narrative (also known as Project Summary)
- b. Budget Justification
- c. Other – in description type, write "Budget" and upload the budget being submitted to the agency, could also be a spreadsheet.
- d. Other – use "other" again and in description type, write "Subaward", upload the Subaward budget and justification (if applicable).

2. Upload Institutional Attachments (Internal Documents)

- a. Investigator Certifications – combine all three certifications (PI certification, Yes / No Questionnaire & Research Compliance Questionnaire) into one document. Again, have the PI sign each Certification page. The PI's signature is to ensure that the PI has reviewed and verified these three forms. When complete, upload the all Certifications as one PDF document under the category, "Investigator Certifications".
- b. Cost Sharing – if applicable, upload the Dean's approval document.

H. Budget

In order to populate the Budget Summary, it is advisable to use Coeus Premium, following these steps:

1. Go to "Coeus Home" (top left hand side of screen)
2. Launch Coeus Premium
3. After logging into Coeus Premium, click on Maintain then Proposal Development
4. "Select Development Proposal" will appear – either enter the proposal # or the PI's last name (use "*" before and after PI's last name)
5. Make certain proposal is highlighted – go up to bottom row of icons and click on "Edit"
6. Go to top line in pull down menu, click on "Edit" then "Budget"
7. "Select Budget" will pop up – click on "New"

8. Toward the bottom of the screen, type in Total Costs, Direct Costs and Indirect Costs (IDC) for each period; check "Final" and in "Budget Status" choose "Complete" (to the right of the screen)

9. Go up to the bottom row of icons and click on second icon from right (SAVE – looks like a floppy disk)

I. Approval

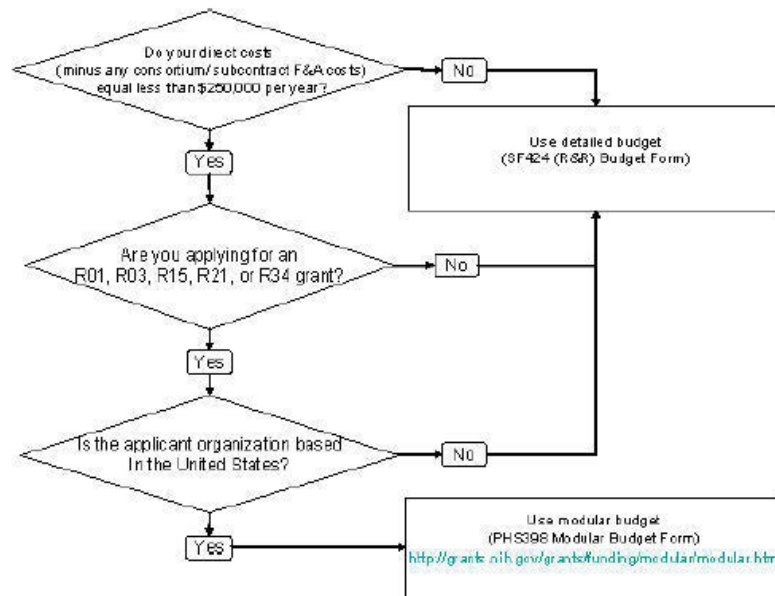
When all the above areas are entered, click on verification to find any errors or other issues. Once the proposal has been verified and there are no issues or errors, the proposal is ready for routing. You may do this from Coeus Premium or Coeus Lite. Look for "Submit for Approval" and click, then follow the screens, which will route the proposal.

The proposal may be routed to the Department Administrator and/or Department Chair prior to being received in the Sponsored Projects Office. Please communicate within your department when the proposal is completed.

GENERAL BUDGET FORMAT

While this General Budget Format outlines non-modular budget expectations for most types of grant submissions, this list can be applied to a NIH modular budget (applicants request funds in lump sums of \$25,000 intervals) when you are trying to estimate costs. These are all areas that one should think about when developing a modular budget, along with using the modular spreadsheet, located in the templates of this guide.

To determine whether to use a detailed versus modular budget for your NIH application, see the flowchart below.



Direct Costs:

Direct costs are the expenses directly associated with a specific research project. The sponsor is expected to provide for all direct costs, which may include:

- **Salaries and Wages:** List professional personnel to be involved along with a percentage of effort. Next, list staff required and the estimated number of calendar months to be devoted to the project each year. On federally funded projects, administrative salaries are generally unallowable. If they are to be included, it is essential that sufficient justification for clerical and administrative

staff be provided. Refer to the university policy regarding administrative support on proposals; the web page address is www.finance.jhu.edu. Remember to deduct staff vacation charges prior to calculating effort.

- **Fringe Benefits:** Varying fringe benefits are associated with different personnel categories.
- **Materials and Supplies:** These are normally expendable items with a useful life of less than one year. It is generally unacceptable to include office supplies. Provide details for all materials and supplies required.
- **Capital Equipment:** Identify the piece of equipment including the model number, manufacturer, name of the vendor, contact person and telephone number on a separate budget explanation page. Capital equipment must be directly related to the proposed research, have a useful life of more than one year, and cost in excess of \$5,000. General purpose equipment, such as desks and typewriters, is generally not allowed. Consult agency regulations or call the Business and Research Administration (BARA) Office for more specific information.
- **Travel:** Describe separately domestic and foreign travel associated with the project. Provide a breakdown of costs according to destination, reason for travel, number of travelers, number of trips, etc. When appropriate, use Federal Travel Regulations (FTRs) as a guideline to allowable travel costs.
- **Consultants:** Identify the names of consultants, specialty, daily rate, and justification for their use.
- **Printing and Publication Costs:** Estimate the number of pages, page charges, and name(s) of journal(s).
- **Subawards / Subcontracts:** List the names and addresses for all subcontractors. Also submit a letter of intent from the subcontractor (signed by an authorized representative) along with a detailed cost estimate and rate agreement. If the subcontractors' work is not described in detail in Johns Hopkins's proposal, have the subcontractor submit a separate statement of work.
- **Alterations and/or Renovations:** Itemize the requirements and costs. These changes must be approved by the appropriate dean prior to submission of the proposal.
- **Other Direct Costs:** Includes direct costs not specifically described by the general headings above, such as 20% tuition, and health insurance fees for graduate students on research grants.

Facilities and Administrative (F&A) Costs:

Previously known as Indirect Costs, are the expenses incurred for general University operations while conducting the research project, such as library services, administrative costs, and building use and maintenance. F & A costs are calculated as a percentage of direct costs and are set by the Federal Government.

The Federal Government, in particularly the Office of Management & Budget (OMB), provides rules ([OMB Circular A-21](#)) governing the calculation of F & A cost rates and periodically audits the costs supporting the rates we have negotiated. Some items, such as capital equipment and tuition/stipends, are excluded from the F&A cost calculation.

Known as Modified Total Direct Costs (MTDC), this formula entails deducting the following direct cost items prior to calculating F&A: Equipment exceeding \$5,000; Subcontracts (amounts in excess of \$25,000); Tuition; Patient Care Costs; Rental of off-site facilities; Capital Expenditures; and Fellowships and Scholarships.

F&A cost rates may vary according to the type or location of the research project. Consult Standard Proposal Information for current rates, and contact BARA for updates and rates not covered by the information sheet.

Application of F&A Rates to Sponsored Projects

F&A cost rates are applicable to all sponsored projects (grants, contracts, cooperative agreements, subgrants and subcontracts) funded by federal, state or private sponsors. The application of these rates allows Johns Hopkins University (JHU) to recover certain costs (e.g. facilities, utilities, libraries, administration, student services, etc.) associated with externally funded training and research activity that, although they are true costs, cannot be identified specifically with a particular project or activity. The Federal Government determines the rate that is necessary to collect these costs from sponsored awards. Therefore, any reduction in the allowable rate is considered cost sharing, and JHU must cover those costs from other sources.

The first step in determining the proper F&A rate is to read the sponsor's program guidelines. If there is a limit on F&A, the program guidelines or announcement will list the rate that should be used. If the guidelines do not mention F&A or do not indicate that something other than the applicable Federal negotiated rate should be used, the appropriate full rate should be used.

The next step in determining the appropriate rate is to establish what type of project you are proposing. ([OMB Circular A-21](#)) describes the different types of awards – Organized Research, Instruction and Training or Other Sponsored Activities.

On vs. Off Campus

Based on the planned activity and statement of work, determine if your project qualifies for an off campus rate. In order for a project to be considered off campus, the following qualifications must be met:

1. The Principal Investigator (PI) will be away from his or her campus facilities (i.e. office and laboratory) for a minimum of three consecutive months;
2. The PI's on campus facilities will be made available for use by other faculty and/or students during the PI's absence; and
3. The PI will be performing work in accordance with the statement of work of the proposed and funded project while at the off campus location.

These qualifications are a fiscal determination based upon space utilization and are not simply a definition of where some of the project work is being performed.

Procedures to Request Off Campus F&A

A letter describing the justification for the off-campus F&A rate should be sent to the Vice Dean for Research. This request is required for all stages of sponsored activity, i.e., primary proposals, continuations, etc. The request should be made prior to the proposal's submission to BARA for signatures. This will allow for timely review and approval of the proposal.

Off campus rates can only be used relative to the effort of a University employee. The performance of non-university personnel must be handled via a subcontract to another institution, which takes on campus F&A for the first \$25,000, or a consulting agreement, which takes full F&A for the entire amount. The University must bear a responsibility for the work being done by non-JHU personnel, and the individual must be responsible to JHU for the integrity of the work performed.

Once the project type and location are determined, the proper federal negotiated rate should be applied. Federal rates can be used with state and private sponsors, and must be used if JHU will be a subcontractor on a federal prime award. Questions may be directed to your Sponsored Projects Office (SPO) contact.

Cost Sharing

Some agencies require that the University share a percentage of the research costs. Cost sharing represents a financial commitment to a research project. Whenever the full costs of a project are not recovered (direct or F&A), the University is, in fact, sharing a percentage of the research costs and it is considered cost sharing. University cost sharing should not be included in a proposal **unless it is mandatory by statute, regulation or written policy.**

No cost sharing, waiver or modification can be accepted without the approval of the Krieger School of Arts and Sciences (KSAS) Vice Dean for Research. The School of Arts & Sciences generally will not approve voluntary cost sharing, and requires that all cost sharing be approved in advance and documented by written approval of the Vice Dean for Research.

Cost sharing may take the form of outright, in-kind or matching.

- Outright cost sharing generally constitutes a cash contribution coming from University sources.
- Matching usually refers to a third-party cash contribution through gifts or grants specifically earmarked for participation on a project.

SUBAWARDS AND SUBCONTRACTS

Subaward: An award of financial assistance in the form of money made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services.

Subcontract: Transfers a portion of the research or substantive effort of a prime award to a third party (another institution or organization) to fulfill prescribed activities or functions under an award. It is written under the authority of, and consistent with, the terms and conditions of a prime award (grant, contract or cooperative agreement). The award document functions just as a contract when received by Johns Hopkins University (JHU), except the terms and conditions will include those required by the flow-through activity.

A. When Initial Proposal Questionnaire (IPQ) is received:

1) Subawards and Subcontracts need to be indicated on the IPQ. For each subaward or subcontract, we need to collect the following information:

- a) Principal Investigator(s) (PI) Name
- b) PI address
- c) Name of contact for the subaward institution
- d) Contact information for Department Administrator (Admin) and/or Research Service Analyst (RSA) from the subaward institution

2) Be sure to include subawards in your timeline.

B. Meet with the PI to:

1) Verify with the PI that there will be subawardees.

2) Obtain the Statement of Work (SOW), budget and budget justification for each subawardee.

3) Obtain from your PI, the contact information from each subawardee, as listed above.

C. Proposal Development Tasks:

1) When putting together the budget for the proposal, you will need to contact the Admin/RSA person at the subawardee institution for their budget.

- In-kind contributions may include University or third-party contributions of efforts, services or goods.

To be acceptable as cost sharing, expenditure must:

- Be verifiable from the official University records;
- Not be used as cost sharing for any other sponsored program;
- Be necessary and reasonable for proper and efficient accomplishment of the project;
- Be allowable under the University governing cost principles and policies ([OMB Circular A-21](#)) and Johns Hopkins University Charging of Departmental Administrative Costs Policy;
- Be incurred during the effective dates of the award; and
- Not be paid by the Federal Government under another sponsored project.

It is important to remember that all types of cost sharing must be accounted for, even if only mentioned in the proposal text and not specified in the budget. See the [Office of the Controller's Accounting for Cost Sharing Policy](#) for further information on accounting and tracking cost sharing.

2) Use the budget information from the subawardee's to prepare a consolidated budget. Prepare a separate budget just for your PI to be added to the consolidated budget.

3) Prepare a Proposal Checklist for each subawardee so they know what documents they must provide to JHU.

4) Subawardees should provide the needed documents two (2) weeks before the proposal submission date.

5) Subawardees may not need to provide all of the documents as the JHU PI. Contact your Sponsored Projects Office (SPO) to make sure what is required for Coeus for your particular subaward. A typical subaward packet will include:

- a) Signed Face Page / Letter of Intent
- b) Statement of Work
- c) Budget
- d) Budget Justification
- e) Facilities & Administration (F&A) Checklist

D. When the sponsor awards your grant:

1) When you have been notified about your award you will need to complete the Subaward form. The form can be found in Kasper through the following link: http://www.jhu.edu/kasper/sponsored_projects/pre_proposal.html#subaward

This form should be signed by the PI and the originals need to go to your SPO contact (it is permissible to scan & email). Your 96xxxxxx Internal Order (IO) number should be added to your grant in approximately two (2) weeks. Contact your SPO if you do not receive notification of your new subaward IO number.

RESEARCH COMPLIANCE CONTACTS AT JOHNS HOPKINS UNIVERSITY

Always check your specific application and agency for compliance requirements:

Johns Hopkins University's Animal Care and Use Committee (ACUC)

Website: <http://web.jhu.edu/animalcare>

Email: acuc@jhmi.edu

Location: 1620 McElderry Street, Reed Hall, Room B122, Baltimore, Maryland 21205-1911

Telephone: 443-287-3738

Fax: 443-287-3747

Johns Hopkins University's Classified Research

Policy Website: http://jhuresearch.jhu.edu/JHU_Classified_Research%20Policy.pdf

Committee on Research Information Practices Site:

<http://jhuresearch.jhu.edu/compliance-classified-committee.htm>

Johns Hopkins University's Conflict of Interest

Website: <http://jhuresearch.jhu.edu/compliance-conflict.htm>

Information based website with links to several University Offices

Johns Hopkins University's Controller's Office

Website: <http://finance.jhu.edu>

Location: 1101 East 33rd Street, Baltimore, Maryland 21218 (Eastern High School)

Information based website with links to several internal Controller offices

Johns Hopkins University's Effort Reporting

Website: <http://jhuresearch.jhu.edu/compliance-effort.htm>

Information based website with links to several University Offices, training courses, and relevant OMB circulars

Johns Hopkins University's Exports Control Office (ECO)

Website: <http://jhuresearch.jhu.edu/compliance-export.htm>

Location: JHU Research Projects Administration, Suite W-400, Wyman Park Center

Telephone: 410-516-0415 (6-3295)

Fax: 410-516-7775

Johns Hopkins University's Financial Management

Website: <http://jhuresearch.jhu.edu/compliance-financial.htm>

Information based website with links to JHU Controller's Office, OMB circulars, and NIH policies

Johns Hopkins University's Health, Safety & Environment (HSE)

Website: <http://jhu.edu/safety>

HSE Website: <http://www.hopkinsmedicine.org/hse>

Location: 3100 Wyman Park Drive, Suite G04

Telephone: 410-516-8798

Fax: 410-516-4314

Johns Hopkins University's Human Participants

Website: <http://jhuresearch.jhu.edu/compliance-human.htm>

Information based website with links to university policy, review boards, training, and professional organizations

Homewood Specific: Institutional Review Board (IRB)

Website: <http://web.jhu.edu/Homewood-IRB>

Email: hirb@jhu.edu

Location: AMR 007

Telephone: 410-516-0150

Johns Hopkins University's Institutional Compliance Oversight Committee (ICOC)

Website: <http://jhuresearch.jhu.edu/compliance-committees-icoc.htm>

List of ICOC members and their contact information

Johns Hopkins University's Research Misconduct

Website: <http://jhuresearch.jhu.edu/compliance-research.htm>

Information based website with links to university contacts and policies along with professional and federal policies

Johns Hopkins University's Responsible Conduct of Research Website:

<http://jhuresearch.jhu.edu/compliance-responsible.htm>

Information based website with links to University contacts, guidelines, and professional organizations

Johns Hopkins University's Research Oversight Committee

Website: (under revision, general description of oversight committees is here:

<http://jhuresearch.jhu.edu/compliance-committees.htm>)

List of Research Oversight Committee members and their contact information

Johns Hopkins University Technology Transfer (JHTT)

Website: <http://www.techtransfer.jhu.edu>

Email: JHTT-Communications@jhu.edu

Location: 100 N. Charles Street, 5th Floor, Baltimore, Maryland, 21201

Telephone: 410-516-8300

Fax: 410-516-4411

USEFUL LINKS:

American Recovery and Reinvestment Act (ARRA) Reporting Tool

<http://ssc.jhmi.edu/sponsoredprojects/arra.html>

Coeus User Guides

http://jhuresearch.jhu.edu/COEUS/user_guides.htm

Effort Reporting System

<http://www.it.johnshopkins.edu/services/applications/administrative/ers.html>

Electronic Research Administration (eRA) for the National Institutes of Health (NIH)

<http://era.nih.gov/>

Facilities and Administrative (F&A) Cost Agreement

<http://finance.jhu.edu/depts/cost/index.html>

Finance Document Search – you may have to request have permission for this application. You can access your proposal and any Notice of Grant Awards.

<http://finance.jhu.edu/apps/fds/index.html>

Hopkins One

<https://portalcontent.johnshopkins.edu/buttons/hopkinsone.html>

Johns Hopkins University

<http://www.jhu.edu/>

Kasper – website for Sponsored Projects Business Office.

http://www.jhu.edu/kasper/sponsored_projects/index.html

Maryland State Dept. of Health and Mental Hygiene – Division of Drug Control – form for Application for Controlled Dangerous Substance Registration.

<http://dhmh.maryland.gov/drugcont/>

Johns Hopkins Enterprise Authentication (JHED AKA myJHED) -

<https://my.johnshopkins.edu/uPortal/render.userLayoutRootNode.uP>

National Aeronautics and Space Administration (NASA)

Website: www.nasa.gov

National Institutes of Health (NIH)

Website: www.nih.gov

National Science Foundation (NSF)

Website: www.nsf.gov

National Science Foundation's (NSF) Fastlane

<https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp>

Office of Management & Budget (OMB) Circulars – Instructions or information issued by OMB to Federal agencies.

http://www.whitehouse.gov/omb/circulars_default

OMB Circular A-110 – uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations.

http://www.whitehouse.gov/omb/circulars_a110

OMB Circular A-133 – audits of state, local governments and non-profit organizations.

http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf

OMB Circular A-21 – cost principles for educational institutions.

http://www.whitehouse.gov/omb/circulars_a021_2004

ORIS - Office of Research Information Systems

<http://jhuresearch.jhu.edu/oris.htm>

Research Administration @ Johns Hopkins University – the Tools page is particularly useful, with updated forms and sample agreements

<http://jhuresearch.jhu.edu/index.htm>

Space Telescope Science Institute (STScI)

Website: www.stsci.edu

United States Department of Justice, Drug Enforcement Administration (DEA), Office of Diversion Control – website to apply for or renew DEA Drug Control Certificate.

<http://www.deaiversion.usdoj.gov/index.html>

United States Department Of Health and Human Services (DHHS), Office of Extramural Research: National Institutes of Health (NIH) – everything you need to know about NIH grants.

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

FREQUENTLY USED ACRONYMS

ACUC – Animal Care & Use Committee (internal)	HSE – Health, Safety & Environment
ADMIN/RSA – Department Administrator and/or Research Service Analyst	IACUC – Institutional Animal Care and Use Committee (external)
ARRA – American Recovery and Reinvestment Act	IDC – Indirect Cost (recovery)
BARA – Business and Research Administration	IO – Internal Order (number)
CCR – Central Contractor Registration	IPQ – Initial Proposal Questionnaire
CFR – Code of Federal Regulations	IRB – Institutional Research Board
Co-PI(s) – Co-Principal Investigator(s)	JHED – Johns Hopkins Enterprise Authentication
DEA – Drug Enforcement Administration	JHTT – Johns Hopkins Technology Transfer
DHHS – Department Of Health and Human Services	JHU – Johns Hopkins University
DOD – Department of Defense	JIT – Just In Time
DUNS – Data Universal Numbering System	KASPER – Krieger School of Arts and Sciences Pathway to Electronic Resources
ECO – Exports Control Office	KSAS – Krieger School of Arts and Sciences
eRA – Electronic Research Administration	LOI – Letter of Intent
FARS – Federal Acquisition Regulations	MOU – Memorandum of Understanding
F&A – Facilities & Administration	MTA – Material Transfer Agreement
FTRs – Federal Travel Regulations	MTDC – Modified Total Direct Costs

NASA – National Aeronautics and Space Administration

NCE – No Cost Extension

NCURA – National Council of University Research Administrators

NDA – Non-disclosure Agreement

NEH – National Endowment for the Humanities

NGA – Notice of Grant Award

NIH – National Institutes of Health

NSF – National Science Foundation

OEHS – Office of Environmental Health and Safety

OMB – Office of Management & Budget

ONR – Office of Naval Research

ORIS – Office of Research Information Systems

PA – Program Announcement / Proposal Announcement

PC MID – PubMed Central Identification

PD – Proposal Development

PHS – Public Health Service

PI(s) – Principal Investigator(s)

RPA – Research Projects Administration

RSA – Research Service Analyst

SAP – Systems, Applications, and Products in Data Processing

SOW – Statement of Work

SPO – Sponsored Projects Office

SPSS – Sponsored Projects Shared Services

STScI – Space Telescope Science Institute

GLOSSARY

A

Abstract. A brief summary of the statement of work.

Account. A record that is established to monitor the revenue and expenditures related to a particular project or program. Various types of accounts can be created, such as general funds, endowment income, private designated gifts, discretionary accounts, revolving accounts, auxiliary enterprises, service centers, sponsored projects (for grants and contracts), capital project accounts, or clinical services.

Account Period. Set up in conjunction with program/project period. See program/project period.

Affiliates. Organizations existing at Johns Hopkins University (JHU) that are not part of the legal entity of Johns Hopkins or Johns Hopkins Medical Institutions but are closely linked to JHU. Therefore, these organizations have a level of responsibility to adhere to some or all of the policies and procedures regarding sponsored projects. Examples include the Kennedy Krieger Institute, Bayview Medical Center, and the Carnegie Corporation.

Agreement. A document having legal force and effect. A contract executed by two or more parties.

Allocable Cost. One that can be charged to a project in accordance with relative benefits received. An allocable cost can be a direct cost or an indirect cost (IDC).

Allocation Account. Represents the secondary account in a multidiscipline/multi account activity.

Allowable Cost. Project costs comprise the allowable costs necessary for the performance of the grant activities, plus the allocable cost portion of allowable Facilities & Administration (F&A) costs of the granting agency. An important component in all grants administration is identification of pre-award, award, and post-award allowable costs. Allowable direct costs are also mandated by the Office of Management & Budget (OMB) Circulars A-110 and A-21.

American Recovery and Reinvestment Act. On Feb. 13, 2009, Congress passed the American Recovery and Reinvestment Act of 2009. A direct response to the economic crisis, the Recovery Act has three immediate goals 1. Create new jobs and save existing ones; 2. Spur economic activity and invest in long-term growth; 3. Foster unprecedented levels of accountability and transparency in government spending. One of three ways the Recovery Act intended to achieve these goals was

through funding federal contracts, grants and loans. To achieve the transparency goal, the Act requires recipients of Recovery funds to report every January, April, July, and October on how they are using the money. All of the data is posted on Recovery.gov so the public can track the Recovery funds. See under Useful Links where to submit this information.

Application. A formal request for financial support of a specific project or activity, also known as a proposal.

Award. An agreement with an external party that obligates funds for a specific time period for a particular research project or other activity based on an approved proposal. The sequence is as follows: (1) after a sponsor receives a proposal, a review is conducted. Based on the merit of this review, a proposal is selected for funding; (2) generally, a proposal is reviewed for criteria of significance, approach, investigator's/project director's expertise, and project environment; (3) funding a proposal can take the form of a grant, contract, or cooperative agreement.

Award Types. Various types of vehicles, which may be used to award funds to a recipient as listed below:

- **Grant.** Financial assistance mechanism received from a Federal, State, Local Government or private sponsor that provides support or stimulation to accomplish a purpose. The University is required to provide financial or technical reporting back to the grantor on the status of funds and progress of the specific activity that was funded.
- **Contract.** A legal binding agreement between two parties that require the University or an Affiliate to provide goods or services in exchange for payment. Contain financial or technical reporting requirements, as well as procurement requirements that must be adhered to.
- **Cooperative Agreement.** A financial assistance mechanism from a Federal, State, Local Government or private sponsor for the collaboration of efforts where the Sponsor and University or Affiliate share responsibility for programmatic management of the project.
- **Subcontract/Subaward.** Collaborative arrangements written under the authority of and consistent with, the programmatic activity and terms/conditions of an award.
- **Fellowship.** Awarded specifically in support of an individual(s) to advance or continue education in a given area of research.
- **Donation/Gift.** Monies given to the University that can be used for a specific purpose or not. These monies are not considered sponsored funds due to the fact that don't mandate formal reporting requirements on how the funds were expended.

B

Base. The amount on which Facilities and Administrative (F&A) is calculated. [F&A is also referred to as Indirect Cost Recovery (IDC)]. In the case of Total Direct Cost calculations, the Base would simply be total direct costs. In instances where Modified Total Direct Cost (MTDC) is used, the Base is total direct costs less individual categorical items that the sponsor has determined are not subject to F&A.

Bayh-Dole Act. Also known as the Patent and Trademark Law Amendments Act (P.L. 96-517), was enacted into law in 1984. This law permits universities and small businesses to elect ownership of inventions made under Federal funding.

Budget. A detailed and concise plan that outlines and allocates estimated costs related to the execution of a project or program.

Budget Detail. A detailed and concise plan that allocates costs related to execution of a project or program. Also, line-by-line expected costs that make up the total direct costs of the project. Normally these costs are broken-out by category, such as: personnel, fringe benefits, travel, equipment, supplies, etc. (see Definition of "Direct Costs").

Budget Narrative/Justification/Notes. Provides written information for reviewers of the sponsor or other committees to determine whether all items of the budget are realistic and justifiable in terms of the aims and methods of the project and currently available resources.

Budget Period. Usually 12 months long (although shorter or longer Budget Periods may be established for compelling programmatic or administrative reasons). With NIH grants, the Budget Period is the period for which funding is assured. This is not to be confused with the "Project Period", which may be several years (see definition for "Project Period").

C

Capital Equipment. An article of non-expendable, tangible property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Machinery, furniture, office machines, vehicles (cars, trucks, etc.), scientific instruments or other apparatus that may be used repeatedly without material impairment of its condition, is not highly perishable, costs \$5,000 or more per unit, and has a useful life of more than one year is defined as equipment.

Clinical Investigation or Clinical Research. Has as its aim the production of new knowledge that can be used to support or negate a theory or practice.

Coeus.

Collaborative Organization. A subawardee responsible for meeting its particular scope of work and having responsibility for its own programmatic decision-making. Is

awarded funds to carry out a project within its own organization as compared to providing goods or services for JHU's program.

Community of Science. An Internet site (www.cos.com) that enables scientists and researchers to locate sponsored funding and access experts at institutions around the world.

Competing Continuation. A request for an additional term of support based on a funded previous project; must compete for available funds. Same as Renewal.

Compliance. Refers to the effective management of public funds to maximize research outcomes. Compliance is adhering to the rules, regulations, and policy of both the sponsor and JHU to avoid fraud, institutional mismanagement, and poor management of funds.

Component. Any item supplied to the Government as part of an end item or of another component.

Component Parts. Individual parts to be used in the fabrication of an item of equipment defined as equipment since the total cost for all would be \$5,000. Purchase requests should be coded using equipment object codes and should contain the alert message "COMPONENT PART."

Conflict of Interest. Conflict of interest exists when external commitments made by JHU employees threaten or impair independent scholarly inquiry, compromise one's freedom of thought or action, or impede an employee's ability to capably perform the duties of his/her JHU position. To minimize the likelihood of such conflicts, JHU and its respective divisions, in accordance with federal regulations, have developed institutional policies affecting faculty and students.

Consortium Agreement. A collaborative arrangement in support of a research project in which some portion of the programmatic activity is carried out through a formalized agreement between the grantee and another organization that is a separate legal entity, administratively independent of the grantee. This is used as a mechanism to transfer support to another organization for support of the project's co-investigator.

Consultant. An individual or entity that offers services, advice and assistance, on a limited basis. Consultants are usually paid a fee for their service.

Continuation. A project approved for multiple-year funding, although funds are typically committed for only one budget period at a time. At the end of each budget period, progress on the project is assessed and reported. If satisfactory, an award is made for the next budget period subject to the availability of funds. Continuations do not compete with new proposals and are not subjected to peer review beyond the initial project approval.

Contract. An agreement between two or more parties, usually for acquiring property or services, for the direct benefit of the sponsor. Characteristics of a contract are: (1) A research topic and the methods for conducting the research are generally provided in detail by the sponsor and the study may be designed or controlled by the sponsor; (2) Requires JHU to provide goods or services in exchange for payment; (3) The method of award is an agreement, documenting detailed specifications, clauses, regulations, and expected performance obligations, including deliverables. Federal contracts are governed by Federal Acquisition Regulations (FARS) as well as specific terms and conditions incorporated into each contract document.

Contract for Computer/Technical Services. Constitutes a work-for-hire arrangement in which JHU owns the work product developed pursuant to the agreement. It is implemented by the departmental preparation of a requisition and the issuance of a Purchase Order by the Purchasing Department.

Contract for Personal Services (Consultant/Independent Contractor). Covers activities performed by private individuals who are not employees of JHU. May be described as an individual or non-corporate business entity that provides personal services to the University and meets the criteria as established by the Internal Revenue Service. To be classified as independent contractors, individuals generally have a separate workplace, are not supervised when they are working within the organization, have a separate set of skills not available to the organization, and have other clients.

Contractor. A person or entity that agrees to furnish materials or perform services at a specified price.

Cooperative Agreement. Financial assistance similar to a grant, but where the sponsor has substantial involvement in the research project. May also be called Memorandum of Understanding (MOU) and has the following characteristics: (1) The Sponsor and JHU share responsibility for programmatic management of the project; (2) Award stipulates the responsibilities of both parties; (3) Requires technical and financial reporting from JHU to the sponsor on the results of the activities; (4) Federal cooperative agreements are governed by the same regulations as Federal grants.

Cost Principles. Those rules set in place by an institution that ensure that costs charged to a sponsored agreement are allowable, allocable, and reasonable under the appropriate Cost Principles.

Cost-Share. Involves the grantee accepting responsibility for a portion of the expense estimated to complete a given objective. It may be covered by in-kind contributions or a portion of the costs matched by the grantee or a third party.

D

Data Universal Numbering System (DUNS) number. The 9-digit number assigned by Dun and Bradstreet, Inc. (D&B), to identify unique business entities.

Data Universal Numbering System +4 (DUNS +4). The Duns number assigned by D&B plus a 4-character suffix that may be assigned by a business concern to establish additional Central Contractor Registration (CCR) records for identifying alternative Electronic Funds Transfer (EFT) accounts for the same concern.

Direct Costs. Costs that can be specifically identified with a particular project, such as personnel salaries and wages, personnel benefits, equipment, supplies, travel, communication, computer use, alterations and renovations, and patient care costs.

Disallowed Costs. Those charges to an award that the Federal awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.

Division of JHU. All academic schools or administrative entities are considered divisions of JHU. Examples are: Krieger School of Arts and Sciences and the Homewood Office of Student Affairs.

E

Effort. The proportion of time spent on any activity and expressed as a percentage of the total professional activity for which an individual is employed by JHU.

Equipment. A tangible nonexpendable item of personal property, including exempt property charged directly to an award. According to the University's capitalization policy, equipment is defined as an acquisition or fabrication item costing \$5,000 or more per unit, with a useful life of more than one year.

Escalation (of future costs for budgeting). The accepted practice of adding a percentage of cost growth to future years, due to anticipated increases in the cost of living and other inflationary practices.

Estimating Costs. The process of forecasting a future result in terms of cost, based upon information available at the time.

Excluded Costs. Those costs not included in a proposal due to being "unallowable," or the desire to absorb costs through other measures.

External Consultants. Individuals who are not on the University payroll. They usually have a separate skill or knowledge not available within the organization.

F

Facilities and Administrative Costs. (F&A) (Also known as Indirect Costs). F&A costs are incurred by JHU for a common or joint objective and cannot be identified specifically with a particular project or activity. They are expenses incurred for general JHU operations while conducting the research project, such as library services, administrative costs, and building use and maintenance. Special characteristics are: (1) F&A costs are calculated as a percentage of direct costs; (2) F&A rates are negotiated with the Federal Government; (3) With few exceptions, these rates must be used; (4) The Federal Government provides rules governing the calculation of F&A cost rates and periodically audits the costs supporting the negotiated rates; (5) F&A rates are based on the function of the project and are classified as research, training/instruction, or other sponsored projects. While the overall F&A cost rate may fluctuate between agreements, 26% of the rate is always capped for Administrative costs.

Federal Acquisition Regulations (FAR). Title 48 of the Code of Federal Regulations (CFR). As the primary regulation used by Federal agencies when requesting supplies and services (contracts), it is intended to provide coordination, simplicity, and uniformity in Federal acquisitions. Most Federal agencies also have supplements to the FAR that implement or supplement the FAR.

Fastlane. National Science Foundation (NSF) electronic forms submission, from proposals to technical reports, via the World Wide Web. NSF Fastlane can be found at www.fastlane.nsf.gov.

Federal Funds Authorized. The total amount of Federal funds obligated by the Federal Government for use by the recipient. This amount may include any authorized carryover of unobligated funds from prior funding periods when permitted by agency regulations or agency implementing instructions.

Fellowship. A grant awarded specifically in the support of an individual postgraduate to advance or continue education in a given area of research. Training grants and other graduate student fellowships are considered sponsored funding and are handled according to the sponsored projects policies of JHU.

Fiscal year. A 12-month period for which an organization plans the use of its funds. At JHU, the fiscal year is July 1 to June 30. A grant's fiscal year may differ from this.

Fixed Cost. A cost that remains constant, regardless of any change in an enterprise's activity (as opposed to a variable cost, which varies in relation to changes in the enterprise's activities.) A lease is an example of a fixed cost. The cost of supplies in a medical clinic is an example of a variable cost.

Fixed Price Contract. A contract or grant where the sponsor agrees to pay a predetermined price, regardless of actual costs, for services rendered. Includes fee-for-service agreements.

Funding. Financial resources (funds) provided by a government or organization to make a project possible.

Funding Period. Means the period of time when Federal funding is available for obligation by the recipient.

G

Government Funding. Any executive agency or any independent establishment in the legislative judicial branch of the government in the Federal, State or Local level that provides financial support for the purpose of performing, analyzing, integrating, and supporting activities in applied research, development, and training.

Grant. Financial assistance received from a sponsor that provides support to accomplish a purpose or objective. Characteristics are as follows: (1) Designates a purpose but does not require a definite service or product; (2) Does not require substantial involvement between the sponsor and JHU; (3) Generally requires technical and financial reporting from JHU and/or Principal Investigator (PI) to the Sponsor on the results of the activities; (4) Is governed by assistance authority of the Federal agencies, the Office of Management and Budget (OMB) Cost and Accounting Circulars and by each individual awarding agency's grants policy document.

H

Human Subjects. A living individual about whom an investigator (either professional or student) conducting research obtains (1) data through intervention with the individual or (2) identifiable private information."

I

Institutional Animal Care and Use Committee (IACUC). Provides for verification of approval of animal use in Public Health Service (PHS)-funded research as required by IACUC.

Incremental Funding. Financial resources (funds) provided in a series of amounts (increments), as determined by a government or organization, to make a project possible.

Indirect Costs. Costs incurred by the recipient organization that cannot be identified specifically with a particular project or program. Also known as F&A costs. These costs include:

- Facilities for Plant Operations and Maintenance – utilities, janitorial services, routine maintenance and repairs.
- Depreciation or Use Allowance for buildings and equipment, excluding buildings and equipment paid for by the federal government.
- Libraries. Expenses for books, library staff, etc.
- Administration
 - General
 - Research
 - Departmental
 - Student Services

Infectious Agents/Biohazardous Materials. When used on campus must be examined and approved for handling, storage and disposal of any materials in this category. These approvals are obtained by contacting the Office of Environmental Health and Safety (OEHS).

Institutional Review Board (IRB). All human subjects research conducted under the auspices of the University is evaluated by one or more Institutional Review Boards. The IRB is charged with the responsibility for reviewing, approving the initiation of, and conducting periodic review of human subjects research conducted by Hopkins faculty, students, and staff. The primary purpose of the IRB is to ensure that the rights and welfare of subjects are protected.

Instruction and Training. The teaching and training (except for research training) activities at JHU funded by grants and contracts from Federal or non-Federal sponsors. Sponsored Instruction includes agreements which support curriculum development as well as all types of teaching/training activities, whether offered for credit toward a degree or certificate, on a non-credit basis, or through regular academic departments or by separate divisions, summer school or external division. Sponsored Instruction includes:

- Any project for which the purpose is to instruct any student at any location; recipients of this instruction may be JHU students or staff, teachers or students in elementary or secondary schools, or the general public.
- Curriculum development projects at any level, including projects that involve evaluation of curriculum or teaching methods. Note that such evaluation may be considered “research” when the preponderance of activity is data collection, evaluation and reporting
- Projects which involve JHU students in community service activities for which they are receiving academic credit

- Activities funded by awards to departments or schools for the support of students
- Fellowship support for pre-doctoral and post-doctoral training activities, which may include grants to fund dissertation work and travel in relation to a dissertation
- General support for the writing of textbooks or reference books, video or software to be used as instructional materials.

Internal Budget. Those budgets created for internal purposes and not available for public viewing or distribution.

J

Just in Time (JIT). An initiative of the National Institutes of Health (NIH) Extramural Reinvention Laboratory under the auspices of the National Performance Review and government-wide efforts to create a government that works better and costs less. JIT postpones the collection of certain information that currently must be included in all competing applications when submitted. The information for the applications with a likelihood of funding is submitted "just-in-time" for awards to be made. This delayed exchange of information significantly relieves the administrative burden for the 75 to 80 percent of applicants who will not receive an award. In addition, the information that is exchanged "just-in-time" for award will be current, rather than several months old as is currently the case (which often necessitates a request for updated information, e.g., for other support).

K

Key Personnel. All individuals who contribute in a substantive way to the scientific development or execution of the project, whether or not salaries are requested. Typically, these individuals are listed in the proposal as "key" and have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of key personnel. Consultants should also be included if they meet the definition of "key personnel."

L

Laboratory Animals. Any live, vertebrate animal used or intended for use in research, research training, experimentation or biological testing or for related purposes.

Legal Purpose. A contract must have a lawful purpose in order to be enforceable.

Letter of Inquiry. A letter initiated by an applicant to determine if a proposed project is within a private agency's fundable program areas and to request agency policy and program information, as well as instructions and forms.

Letter of Intent. A letter advising a funding agency that an application will be submitted in response to its solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.

Level of Effort. A statement of total professional effort that can only equal 100%, no matter how many hours are worked. Effort includes not only research and clinical practice, but also time devoted to teaching, administration, committee service and other professional activities. All research grants or contracts must demonstrate some "professional effort" to perform the project.

Loaned Equipment. Property provided by an outside party for use by the institution for sponsored project or research related activities; title to the property does not pass to the university.

M

Master Account. This type of account represents the primary account in a multi discipline/multi account activity.

Material Transfer Agreement (MTA). Is designed to: (a) Transfer biological research materials created by a JHU investigator to an interested party at another university or for-profit company or (b) provide a JHU investigator with biological materials created by an investigator in another university or a for-profit company. A MTA for outgoing materials are designed to protect JHU from any liabilities associated with the recipient's use of the material and to ensure that the recipient institution or company will not use the material for commercial purposes without a license from JHU. An authorized official of JHU must review and sign these agreements.

Memorandum of Understanding (MOU). A document which is used as a "letter of intent" to perform in a contractor/subcontractor relationship in the event of a future award and which normally sets out preliminary understandings regarding the scope, duration and terms of a prospective collaboration.

Modified Total Direct Cost (MTDC). The portion of direct costs on which the indirect costs are based, namely: salaries and wages, fringe benefits, materials and supplies, services, travel, and up to \$25,000 on each subaward and subcontract.

Modular Grants. A type of grant in which support is requested in specific increments (commonly referred to as "chunks"), without the need for detailed supporting categorical budget information.

Multi-year. All sponsored projects are considered multi-year and financial information is maintained on an "inception to date" basis.

N

New Proposal. A request for support of a project that has not yet been funded and/or is being submitted for the first time. This type must compete for research funds.

No Cost Extension (NCE). Provides for an additional period of performance to accomplish project goals with no additional funding. May be handled internally via University Prior Approval System (UPAS) in certain circumstances or sought externally from the sponsor.

Noncompeting Continuation. A request to pay the next budget increment of a current award; does not compete for available funds.

Noncompliance. Lacking conformity in fulfilling official requirements.

Non-disclosure Agreement (NDA). An agreement by which the recipient agrees to hold in confidence and not to publish, transfer or otherwise disclose any confidential information, directly or indirectly. It may be issued either unilaterally (only one party disclosing) or bilaterally (both parties disclosing) confidential or proprietary information in oral or written form. An NDA is typically intended to preserve unfiled patent rights, trade secrets, or business plans. An NDA typically outlines terms of publication, a description of the confidential information to be disclosed, intellectual property, and use of the parties' names. An authorized official of JHU must review and sign all NDAs.

O

Off-campus Projects. Will take place in space provided at no cost by another organization or space costs are included as a direct cost item in the project budget.

Office of Management and Budget (OMB). The core mission of OMB is to serve the President of the United States in implementing his vision across the Executive Branch. OMB is the largest component of the Executive Office of the President. It reports directly to the President and helps a wide range of executive departments and agencies across the Federal Government to implement the commitments and priorities of the President. As the implementation and enforcement arm of Presidential policy government-wide, OMB carries out its mission through five critical processes that are essential to the President's ability to plan and implement his priorities across the Executive Branch:

1. Budget development and execution, a significant government-wide process managed from the Executive Office of the President and a mechanism by which a President implements decisions, policies, priorities, and actions in all areas

(from economic recovery to health care to energy policy to national security);

2. Management — oversight of agency performance, Federal procurement, financial management, and information/IT (including paperwork reduction, privacy, and security);
3. Coordination and review of all significant Federal regulations by executive agencies, to reflect Presidential priorities and to ensure that economic and other impacts are assessed as part of regulatory decision-making, along with review and assessment of information collection requests;
4. Legislative clearance and coordination (review and clearance of all agency communications with Congress, including testimony and draft bills) to ensure consistency of agency legislative views and proposals with Presidential policy; and
5. Executive Orders and Presidential Memoranda to agency heads and officials, the mechanisms by which the President directs specific government-wide actions by Executive Branch officials.

OMB Circulars. Regulatory circulars issued by the Office of Management & Budget (OMB). JHU, as a nonprofit educational institution, is governed by the following circulars:

- A-21 - Cost Principles for Educational Institutions;
- A-110 – Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations;
- A-133 – Audits of States, Local Governments, and Non-Profit Organizations; and
- (4) Congressional Authorization language for Federal agencies and appropriation bills (approvals by Congress).

On-campus projects. Will take place in space owned or leased by the University or Affiliate without recovery of space rental as a direct cost item in the project budget.

Option. A unilateral right in a contract or grant by which, for a specified time, the Government may elect to purchase additional supplies or services called for by the contract or grant, or may elect to extend the term of the agreement.

Organizational Conflict of Interest. That because of other activities or relationships with other persons, a person is unable, or potentially unable, to render impartial assistance or advice to the Government, or the person's objectivity in performing the contract or grant work is, or might be, otherwise impaired, or a person has an unfair competitive advantage.

Organized Research. All research and development activities that are sponsored by federal and non-federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. Research activities include rigorous inquiry, experiment, or investigation to increase the scholarly understanding of the involved discipline. Examples of sponsored research include:

- Awards to JHU faculty to support research activities
- External funding to maintain facilities or equipment and/or operation of a center or facility which will be used for research
- External support for the writing of books, when the purpose of the writing is to publish research results
- Data collection, evaluation, analysis and/or reporting

Other Sponsored Activities. Means programs and projects financed by Federal and nonfederal agencies and organizations that involve the performance of work other than instruction and organized research. Since most projects in this category do not directly involve students and gain little, if any benefit from libraries, the F&A rate applicable to Other Sponsored activities is less than the rate for Organized Research or Sponsored Instruction. Examples of Other Sponsored Activities include:

- Travel Grants
- Support for conferences, seminars or workshops
- Support for University public events such as "lively arts"
- Publications by the JHU Press
- Support for student participation in community service projects which do not result in academic credit
- Support for projects pertaining to library collections, acquisitions, bibliographies or cataloging
- Programs to enhance institutional resources, including computer enhancements, etc.
- Health services projects

When the institution without outside support undertakes any of these activities, they may be classified as other institutional activities.

P

Patient-care Costs. Research patient care costs are the costs of routine and ancillary services provided to patients participating in research programs.

Per Diem (for Lodging and Meals & Incidental Expenses (M&IE). The phrase is Latin for 'per day', and is often used when referring to daily employee expenses or reimbursements commonly for meals and travel.

Personal Property. Property of any kind except real property. It may be tangible, having physical existence, or intangible, having no physical existence, such as copyrights, patents, or securities.

Post-award. Administrative activities conducted after receiving an award to include: new account set-up, account monitoring, effort reporting, billing, financial report development and submission, and final account closeout.

Pre-award. Functions related to obtaining an award, including: identifying an award, preparing the proposal, submitting the proposal to the agency, and receiving the award.

Pre-award Costs. Costs that are incurred before the beginning dates of an award or budget period, but which can be associated directly with the research project.

Primary Award. Is made in support of a project issued directly from the sponsor to a recipient.

Principal Investigator/Program Director/Project Director (PI). An individual designated by the University or Affiliate to direct and oversee a project or program being supported by the Agreement. The PI has the primary obligation to see that the terms and conditions of the award are fulfilled.

Prior Approval. Written approval by an authorized official evidencing prior consent.

Private Funding. Funding provided for research or other University objectives by any source other than federal government, state government, agencies or established sources governed by regulations applicable to and flowed down to the recipient.

Private Gifts. The classification of an agreement as either a private gift or sponsored agreement has important accounting and tax related implications. Revenue recognition and net asset classifications are substantially different depending upon its classification in the University accounting system. The classification affects the University and divisional research base impacting the allocations of facilities and administrative (F&A) cost to government and non-government agreements and the distribution of University and Divisional F&A recoveries. The effort and resources consumed in the solicitation of private gifts must be recorded and reported as fund-raising expenses. All private gifts over \$250 must be properly receipted by the University to protect the tax deductibility of a gift for a donor.

Program Income. Gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Interest earned on advances of Federal funds is not program income.

Program Period/Project Period. The total time for which support of a project has been programmatically approved. The total project period is comprised of the initial competitive segment, any subsequent competitive segment(s) resulting from a competing continuation award(s), and noncompeting extensions.

Program Year. The annual period of performance designated in the award document during which Sponsorship (usually Federal) begins and ends.

Project Costs. All allowable costs, as set forth in the applicable Federal cost principles, incurred by a recipient, including the value of contributions made by third parties in accomplishing the objectives of the award during the project period.

Project Manager. Usually the Principal Investigator, but in large and complex projects, may be an additional person designated by the Principal Investigator.

Project Period. That period established in the award document during which Sponsorship (usually Federal) begins and ends.

Project Year. The annual period of performance designated in the award document for a specific project.

Property. Unless otherwise stated, real property, equipment, intangible property and debt instruments.

Proposal. An application to a sponsoring agency for funding that contains all information necessary to describe project aims and objectives, staff capabilities, scope, duration, environment and funds requested.

Proprietary Information Agreements. Nondisclosure agreements that are generally used to outline an individual or company's legal obligations with respect to confidential or proprietary information received from another individual or company.

R

Real Property. Land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.

Receipt Rate. The application of a negotiated F&A rate to new receipts as they are deposited into an account. Certain fixed fee contracts allow for the upfront application of F&A recovery. The rate is computed by converting the negotiated F&A rate applied to MTDC to an equivalent rate applied to the total receipts. Used predominantly by the School of Medicine.

Recomplete of Award – Peer reviewed proposal; competes with other proposals.

Renewal of Award. A request for an additional term of support based on a funded previous project; must compete for available funds.

Request for Application (RFA). Solicits proposals for a narrowly defined area for which the sponsor has set aside funds. Usually one receipt date is specified in the RFA. Resulting award usually takes the form of a grant.

Request for Proposals (RFP). A solicitation for proposals for a specific sponsored project. One receipt date is specified in the RFP. Resulting award usually takes the form of a contract.

Revision. A non-funded proposal that is resubmitted for a new round of peer review, or a new proposal being revised before funding is released (often referred to as "Revised Budget).

S

Systems, Applications, and Products in Data Processing (SAP). Johns Hopkins University and Health System (when referenced as one, commonly called Johns Hopkins Enterprise or the Enterprise) runs a complex SAP environment that includes financial, supply chain, and HR solutions and more than 10,000 users. In its unique structure, it has merged two separate corporations, Johns Hopkins University and Johns Hopkins Health System, into a single, unified, and stable SAP environment. Prior to its introduction to the community in January 2007, a system called CUFS (College & University Financial Systems) was in place, which functioned similarly for financial purposes but was not web-based nor used with consistency throughout the Enterprise. As part of the HopkinsOne Project, the site is managed by the Enterprise Business Solutions (EBS) team and contains information contributed by SAP users and stakeholders throughout the Johns Hopkins business community. It is a perpetual "work in progress" with new content being added and updated regularly.

Single Account. This type of account has no allocations and stands alone to represent the expenditure activity for its intended purpose.

Small Awards. A grant or cooperative agreement not exceeding the small purchase threshold fixed at 41 U.S.C. 403(11) (currently \$25,000).

Solicited Proposals. A RFP issued by agencies or private funding sources for a specific research project. These RFPs are generally subject to open bidding to any qualified researcher. Deadlines are specified in the announcement and must be adhered to.

Sponsor. An agency, institute, foundation or individual who provides funds to selected researchers, either competitively or by application and approval, for clearly defined research projects.

Sponsored. Relates only to a research, service, or instruction program that is conducted with support provided by some entity outside the campus (the sponsor). A sponsored project, grant, cooperative agreement or contract, is based on a commitment from the University to carry out the project(s) in keeping with terms agreed upon by both parties. The sponsored project will always require some use of university resources and the sponsor will receive some benefit (which could range from a single technical and financial report through substantial material benefits.)

Sponsored Program. May be used interchangeably with Sponsored Project. It is a financial assistance mechanism that provides money, property, or both, to carry out an approved project or activity (e.g., patient care, teaching, research). In some instances it is referred to as a larger scale research endeavor comprised of several projects. It can be distinguished from a private gift by any one of the following criteria, in that the sponsor has:

- Control or approval of work scope;
- A requirement for a defined deliverable in terms of a report on results of research, or financial accounting for the expenditure of funds;
- Pre-publishing review rights; or
- Licensing rights of products resulting from the research

Sponsored Project. Incorporates the definition of "sponsored" and is sometimes used interchangeably with Sponsored Program. It is a financial assistance mechanism that provides money, property, or both, to carry out an approved project or activity (e.g., patient care, teaching, research).

Sponsored Research. All research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

Spreadsheet (typically using Microsoft Excel). Commonly used by the University for the production of proposals and internally.

Statement of Work (SOW). Also called Specification for Services. Describes the work or services to be performed and may enumerate the goals and methods to be used. It is the contractual vehicle for expressing exactly what the contractor is agreeing to.

Stipends. Reimbursement to help defray the costs of personal maintenance while participating in a conference or training activity in conformance with the usual policy of the grantee organization

Subaward. An award of financial assistance in the form of money made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services.

Subcontract. Transfers a portion of the research or substantive effort of a prime award to a third party (another institution or organization) to fulfill prescribed activities or functions under an award. It is written under the authority of, and consistent with, the terms and conditions of a prime award (grant, contract, or cooperative agreement). The award document functions just as a contract when received by JHU, except the terms and conditions will include those required by the flow-through entity.

Subcontractor. A person, firm or corporation supplying labor and materials or equipment, or labor only, for work supporting the project under separate contract or agreement with the Contractor.

Subrecipient. The legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided. May also be called a subgrantee, subcontractor, or third-tier institution.

Supplement. A request for additional funds for a current award, to cover increased costs (noncompeting) or to expand the scope of work (competing).

Supplemental Agreement. An award modification that is accomplished by the mutual action of the parties.

Suspension. Means an action by a Federal awarding agency that temporarily withdraws Federal sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award by the Federal-awarding agency. Suspension of an award is a separate action from suspension under the Federal agency regulations implementing E.O.s 12549 and 12689, "Debarment and Suspension."

I

Task Order. An order for services placed against an established contract or with Government sources.

Taxpayer Identification Number (TIN). The number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

Teaming Agreement. Often used as a more formal "letter of intent" in which an entity is seeking funding from a sponsor via a contract, and "teams" with a potential subcontractor in the development of a response to the RFP. Normally the agreement contains language, which promises that the contractor will use its best efforts to secure the teaming partner as its subcontractor should an award be made. It sets out preliminary understandings regarding the scope, duration and terms of a prospective collaboration.

Third Party In-Kind Contributions. The value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

Time and Materials (T&M). Utilized for small projects and "rush" jobs. This method of pricing is based upon the actual cost of labor, materials, and equipment used on the project, plus an overhead charge. T&M projects are normally billed in monthly increments as charges are accumulated until the project is completed. Used when it is not possible at the time of placing the contract to estimate accurately the extent or duration of the work or to anticipate costs with any reasonable degree of confidence.

Total Direct Costs. All costs that can be specifically identified with the particular project or activity (Examples: personnel, fringe benefits, travel, equipment, supplies).

Total Project Costs. Total allowable costs (both direct costs and F&A costs) incurred by the grantee to carry out a grant-supported project. Total project costs include costs charged to the Sponsor, as well as costs borne by the grantee to satisfy a matching or cost-sharing requirement.

Training Grants. The NIH will award a National Research Service Award (NRSA) (F31, F32), and Institutional Training Grants (T32s, T34s, and T35s) to eligible institutions to develop or enhance research training opportunities for individuals, selected by the institution, who are training for careers in specified areas of biomedical and behavioral research. The purpose of the NRSA program is to help ensure that highly trained scientists are available in adequate numbers and in the appropriate research areas and fields to carry out the Nation's biomedical and behavioral research agenda. The NRSA program supports both pre-doctoral and

postdoctoral research training as well as limited specialized support at the pre-baccalaureate level.

U

Unallowable Cost. Any cost that, under the provisions of any pertinent law, regulation, or contract, cannot be included in prices, cost-reimbursements, or settlements under a Government award to which it is allocable.

University Research. All research and development activities that are separately budgeted and accounted for by the institution under an internal application of institutional funds.

Unliquidated Obligations. The amount of obligations incurred by the recipient that have not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the recipient for which an outlay has not been recorded.

Unobligated Balance. Means the portion of the funds authorized by the awarding agency that has not been obligated by the recipient and is determined by deducting the cumulative obligations from the cumulative funds authorized.

Unrecovered Indirect Cost. The difference between the amount awarded and the amount that could have been awarded under the recipient's approved negotiated indirect cost rate.

Unrelated Business Taxable Income (UBTI). Income earned by a tax-exempt entity that does not result from tax-exempt activities. The entity may owe taxes on this income.

Unsolicited Proposal. A written proposal for a new or innovative idea that is submitted to an agency on the initiative of the offeror for the purpose of obtaining an award from the Government, and that is not in response to a request for proposals, Broad Agency Announcement, Small Business Innovation Research topic, Small Business Technology Transfer Research topic, Program Research and Development Announcement, or any other Government-initiated solicitation or program.

V

Value (Value of Award). The expected outcome of the award, which provides the greatest outcome benefit in response to the requirement.

Variable Cost. The variable cost principle accounts for overall variations in your project budget direct costs during administration of the program and execution of the project work plan and aims.

W

Workbook. A Microsoft software product in spreadsheet form commonly used by JHU researchers and administrative staff in the development of budgets for proposals and internal analysis. Generally, it is one or more spreadsheets that in total roll up to a workbook usually displaying multiple years of a proposal.

TEMPLATES

INITIAL PROPOSAL QUESTIONNAIRE (IPQ)

What is the Deadline Date for submission? (All materials should be to Research Service Analyst 5 days before Submission date)

Who is the Sponsor?

Note: If it's the National Science Foundation, consider Post Doc Mentoring and Data Management Plan

Is Proposal new or a resubmission?

If it is a resubmission, what is the date of the previous submission and title of proposal?

What is the Announcement Number?

What type of funding are you trying to get?

How many years will this grant run?

What is the anticipated Start Date and End Date?

What is the Proposal Title?

Is there going to be anyone else on this grant with you? Any Co-Principal Investigators?

Will you have any Subawards?

If Johns Hopkins University is the subaward, who is the Prime Sponsor?

What type of activity will this be?
Organized Research, Instruction, Other Sponsored Activity, or Clinical Research

Do you anticipate the need for Cost Sharing, including a reduced Facilities & Administration rate?

What is your budget information?

Any other information needed to get the proposal started:

**Proposal Checklist - Documents Needed
for Proposal**



NIH Proposal

Proposal Number: _____
 Proposal Title: _____
 Due Date: _____
 Agency: _____

Optional

From PI	Complete	Date Inserted in		Notes:
		Date Received	Coeus	
Bibliography				
Biosketch with PCMIID's				
Budget information				
Budget Justification				
Collaboration Letter				
Cover Letter				
Equipment				
Facilities				
Human Subjects				
Letter of Intent (for critical collaborators)				
Personnel Justification				
Project Narrative				
Project Summary				
Research Strategy				
Resources				
Select Agent				
Specific Aims				
Vertebrate Animals				

From RSA/Admin

Initial Proposal Questionnaire				
Proposal Timeline				
Research Compliance Questions				
Yes No Questions				
JHU Letterhead Certification 5 Questions				

NSF Proposal Checklist



- **Single-Copy Documents**
GPG II.2.C.1
 - Information about PI/PDs and Co-PI/co-PDs – auto populated in Fastlane
 - Authorization to Deviate from NSF Proposal Preparation Requirements (if applicable)
 - List of **Suggested Reviewers** or **Reviewers Not to Include** (optional)
 - Proprietary or Privileged Information (if applicable)
 - Proposal Certifications – electronically signed and submitted by AOR
 - Collaborative Proposals – submission link for proposal from multiple organizations
 - *reference: GPG II.4

- **Cover page**
GPG II.C.2.a
 - Awardee Organization**
 - Johns Hopkins University/DUNS
 - Primary Place of Performance
 - *Auto-populated in Fastlane with PI login information
 - Program announcement**
 - Announcement Number (11-1)
 - Division (choose Division from drop down)
 - Programs (select program from drop down)
 - *If unsolicited: choose "Grant Proposal Guide" (Announcement NSF 11-1)
 - Remainder of Cover Sheet**
 - Title
 - Budget/Duration
 - Announcement/Consideration
 - *Target Date (Auto-populated if unsolicited)
 - PI Information (Auto-populated by Fastlane)
 - Co-PI info (if applicable)
 - Renewal (Y/N)
 - Is this being considered by any other Federal Agencies?
 - Other information?

- **Project Summary (1 page)**
GPG II.C.2.b: "(...) a self-contained description of the activity that would result if the proposal were funded. The summary should be written in the third person and include a statement of objectives and methods to be employed"
Must include Headings
 - Intellectual merit
 - Broader Impacts

- **Project Description (15 pages)**
GPG.II.C.2.d: "The Project Description should provide a clear statement of the work to be undertaken and must include: objectives for the period of the proposed work and expected significance; relation to longer-term goals of the PI's project; and relation to the present state of knowledge in the field, to work in progress by the PI under other support and to work in progress elsewhere"
Must include:
 - Merit Review Criteria
 - Results from prior NSF Support (only applicable to PI that have received NSF support within the past 5 years)
 - Human- resource information (if applicable)

- **References Cited**
GPG II.C.2.e
Upload Bibliography

- **Biographical Sketches (2 pages each)**
GPG II.C.2.f
*Senior personnel only

- Sections:**
- Professional Preparation
 - Appointments
 - Publications (5 most closely related to the proposed project, and 5 other significant publications)
 - Synergistic Activities
 - Collaborators & Other Affiliations:
 - Collaborators and Co-Editors
 - Graduate Advisors and Postdoctoral Sponsors
 - Thesis Advisor and Postgraduate-Scholar Sponsors
- Budget**
 GPG II.C.2.g
 Complete budget for each year that support is requested.
- Budget Justification (3 pages)**
 GPG II.C.2.g
 Each line item in the budget should be justified. Consult the GPG for line outline and detail.
- Current and Pending Support**
 GPG II.C.2.h: "All current project support from whatever source (...) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, even if they receive no salary support from the project(s)"
For each award/proposed award:
- Project/Proposal Title
 - Source of Support
 - Project Location
 - Total Award Amount for the entire award period (including indirect)
 - Start and End dates
 - Person- months per year to be devoted to the project
- *Upload pdf or enter each project individually in Fastlane
- Facilities, Equipment, and Other Resources**
 GPG II.C.2.i: "Proposers should describe only those resources that are directly applicable. Papers should include an aggregated description of the resources that the organization will provide to the project, should it be funded"
 *No quantifiable financial information should be included.
- Mentoring Plan (1 page per Postdoc)**
 GPG II.C.2.j: "In no more than one page, the mentoring plan must describe the mentoring that will be provided to all postdoctoral researchers supported by the project (...)"
 *Examples of mentoring activities are listed in the GPG section on Postdoctoral Researcher Mentoring Plan
- Data Management Plan (2 pages)**
 GPG II.C.2.j: "This supplement should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results"
Topics to consider:
- Types of results to be produced on the project (i.e. data, samples, physical collections, etc)
 - Standards for data and metadata format and content
 - Policies for Access and Sharing
 - Policies and provisions for re-use, re-distribution, and the production of derivatives
 - Plans for archiving
- *Data Plan can consist of a statement that no detailed plan is needed if provided with adequate justification.
- Other supplementary Docs**
 GPG II.C.2.j
 Please consult the NSF GPG and program solicitation for additional supplementary document necessity and requirements.

Proposal Checklist - Documents Needed for Proposal

NASA Proposal 

Proposal Number: _____

Proposal Title: _____

Due Date: _____

Agency: _____

Optional

 Date Inserted in

From PI	Complete	Date Received	Coeus	Notes:
Biographical Sketches (for PI)				
Biographical Sketches (for Co-PI / Investigators)				
Budget				
Budget Justification (Narrative and Details) Including - Summary of Personnel, Effort, Facilities, Equipment				
Cover Page				
Current and Pending Support				
Project Summary (abstract)				
References and Citations				
Scientific/Technical/Management Section (15 pgs. Max)				
Special Notification and/or Certification				
Statement of Commitment and Letters of Support				
Table of Contents (1 page)				
From RSA/Admin				
Initial Proposal Questionnaire				
Proposal Timeline				
Research Compliance Questions				
Yes No Questions				
JHU Letterhead Certification 5 Questions				

Tutorial and Help Desk - visit their website:
<http://nspires.nasaprs.com/external>

**Proposal Checklist - Documents Needed
for Proposal**

Other Proposal (check agency requirements and edit as needed)



Proposal Number: _____
 Proposal Title: _____
 Due Date: _____
 Agency: _____

Optional

From PI	Complete	Date Received	Date Inserted in		Notes:
			Coeus		
Bibliography					
Biosketch with PCMIID's					
Budget information					
Budget Justification					
Equipment					
Facilities					
Letter of Intent (for critical collaborators)					
Personnel Justification					
Project Narrative					
Project Summary					
Research Strategy					
Specific Aims					

From RSA/Admin					
Initial Proposal Questionnaire					
Proposal Timeline					
Research Compliance Questions					
Yes No Questions					
JHU Letterhead Certification 5 Questions					



GENERIC PROPOSAL CHECKLIST

<u>ACTIVITY</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
Project Summary / ABSTRACT	_____	_____	_____
BUDGET (Current/Cumulative)			
Percent of Effort/Salary* (Check)	_____	_____	_____
Fringe Benefits (Correct & Prorated)	_____	_____	_____
Salary Cap of _____ per year			
Student Stipends (Must be work required for their degree)	_____	_____	_____
Graduate Student Support**	_____	_____	_____
Foreign Travel (Must detail & justify)	_____	_____	_____
Equipment (Must detail & justify)	_____	_____	_____
Computer Costs (Provide rates)	_____	_____	_____
Consultants (Federal grants recommend payment not to exceed \$388/day)	_____	_____	_____
Subcontracts (See Subcontract checklist)	_____	_____	_____
Tuition & Health Insurance	_____	_____	_____
Rates (Verify accuracy)			
Cost Sharing (Needs approval of Dean)	_____	_____	_____
Facilities & Administration (F&A)	_____	_____	_____
Rates (Current & Prorated)			
If reduced or no F&A, must have agency directive or high level of secretarial/student support, faculty academic salary and/or administrative allowance			
Off Campus Indirect Cost Rate (Provide rationale)	_____	_____	_____
GENERAL			
Are there agency specific requirements? (E.g., certifications, type size, page limitation, etc)	_____	_____	_____
Human Subjects (Approval Date)	_____	_____	_____
Animal Care & Certification (Approval Date)	_____	_____	_____
Foreign Export Requirements (Includes information exchange, software, data and equipment not in the public domain)	_____	_____	_____
RESTRICTIONS ON:			
Intellectual property ownership	_____	_____	_____
Drug-free workforce (instead of workplace)	_____	_____	_____
Indemnification issues	_____	_____	_____
INTERDIVISIONAL PROPOSAL (Routing Sheet)	_____	_____	_____

*NOTE 1: Administrative salaries charged as "direct" must be justified for Federal Agencies or Federal Subrecipients.

**NOTE 2: Requires graduate student salary and 20% tuition on all proposals when allowable and feasible. Proposals with no graduate student support must be justified.

http://www.jhu.edu/kasper/sponsored_projects/pre_proposal.html#forms

COEUS PREMIUM PROPOSAL DEVELOPMENT CHECKLIST

Before submitting your proposal for approval, use this checklist as a guide to make sure you have included all the necessary components of the proposal. Refer to Coeus Help online (http://jhuresearch.jhu.edu/COEUS/user_guides.htm) for detailed instructions or clarification.

PROPOSAL TAB

- Does the Narrative have a check beside it?
- Does the Budget have a check beside it?
- Is the Lead Unit Number correct for the PI?
- Is the PI's Descriptive Title less than 81 characters, and without special characters? (NIH specific)
- Do the Start and End Dates reflect the full project period?
- Is the Proposal Type correct?
This is critical for proper routing of the proposal.
- Is the Activity Type correct?
This is critical for correct calculation of overhead.
- Is the Anticipated Award Type correct?
- Is the Sponsor (Sponsor Code) correct?
- Is the Prime Sponsor field complete if JHU will be a sub-awardee?
- Did you enter Sponsor Proposal Number, if applicable?
Required field for NIH / NSF Resubmission, Revision, Renewal, and Change/Corrected.
- Did you enter prior Award No., if applicable?
Required for Revision, Renewal, or Continuation submissions.
- Did you enter Original Proposal No., if applicable?
Required for Change/Corrected, Revisions, Resubmissions or Progress Reports.
- Is the Notice of Opportunity / Special Program selection correct?
- Is the Subcontract checkbox marked if applicable?
- Is the Funding Opportunity Number or CFDA Number correct?
- Is the proposal connected to Grants.Gov? Do you see the logo?
- Did you enter the Agency Program Code and Agency Division Code? For NSF submissions only: <https://www.fastlane.nsf.gov/pgmanounce.jsp>

ORGANIZATION TAB

- Are additional Performance Sites (Locations) entered?
- Is the address completed for each entered Location?
- Is the Congressional District and DUNS number entered for each additional performing organization?

MAILING INFO TAB

- Is the date entered the date the proposal is due to the sponsor?

INVESTIGATOR TAB

- Are all PIs, Co-PIs & Co-Investigators listed on the Investigator Tab? All should be JHU employees.
- Is the lead unit correct?
- Did you enter the percent effort for the total project period for each Investigator?
- Are all the Investigators certified?

KEY PERSON TAB

- Are all key people listed, including PII/PD/or Co-PI external to JHU, other significant contributors, consultants, and mentors?
- Are Key Person roles entered?
- Did you enter the percent effort for the total project period for each Key Person?
Only use 000% if submitting a PAPER 308 application to NIH, otherwise enter the appropriate % effort.

PROPOSAL PERSONNEL SCREEN

- Did you attach the required Personnel documents (Biosketches, Other Support, etc.) for all Investigators and Key Personnel?
- Did you verify there are no special characters in the file name?
- Are the Biosketches in the correct format?
(Refer to sponsor requirements)
- Did you verify the Person Details?
(eRA Commons User Ids, e-mail addresses, directory title, address, citizenship)
- For NIH Submissions – Does PI's eRA Commons User ID in Coeus match their eRA Commons ID in Commons?
- For NSF Submissions - Does PI's e-mail address in Coeus match their e-mail address in their Fastlane Profile?
- Did you verify the Degree information for each person?
(Rolodex entered persons require manual entry of degree info)

SPECIAL REVIEW TAB

- If your proposal has Human Research Participants or Laboratory Animal Care did you include them in this tab?
- If the Human Research Participants or Laboratory Animal Care protocol is approved, did you enter the approval date in the Appr. Field?
- If the Human Research Participants protocol is exempt, did you include the appropriate exemption code in the comments box?

SCIENCE CODE TAB

- Is the correct code/description filled out?
Choose any applicable terms to assist in administrative data collection.

OTHER TAB

- For NASA submissions only.
Use NSPIRES user name or Authorized Organization Representative (AOR).
This is typically the person in Research Administration who submits the proposal to grants.gov.

GRANTS.GOV SCREEN

- For Change / Corrected applications, is that Submission Type selected on the Opportunity Tab?
- Are all the appropriate forms on the Forms Tab checked to "include?" (i.e. Modular Budget, Sub award Budget, Cover Letter)
- Does the proposal pass the Grants.gov Validation?
- Do all the Uploads attach to the forms in the appropriate fields? Choose print to review.
- Does the R&R Budget form display Senior and Other personnel correctly? Choose print to review.
(# of professionals, person months, salary, and fringe benefits)?

ABSTRACT SECTION

- For NSF Submissions** – If required by the notice of opportunity, did you list Suggested Reviewers or Reviewers Not to Include in the respective Abstract types?
Note: this section is used mainly for old PHS forms, most of this information should be uploaded as Narratives.

NARRATIVE MODULE

Note – Please refer to the Sponsor instructions for which Narrative Types to include with your proposal submission.

- Did you upload the final and correct versions of all the narratives necessary for business review?
- Did you verify that the correct narratives were attached to the corresponding Narrative Type?
- Are all narratives marked as "Complete"?
- Are all narratives in the sponsor required format? (i.e. word or PDF, margins, header/footer, etc.)
- If the submission is a Special Program, did you upload the sponsor instructions?
- Did you make sure there are no special characters in file names?

IF COPIED PROPOSAL

- Application type adjusted?
If necessary, be sure to change the grants.gov submission type as well. For example: a change/corrected resubmission.
- If NIH modular budget, check box filled in on Budget Summary Tab?
- All narratives copied and marked complete?
- Checked YNQs to see if any new questions have been added since last submission?

BUDGET MODULE

Detailed Budget

- Are Direct, Indirect, and Total costs entered for each period of the budget?
- Did you review/confirm the F&A rates applied to the proposal?
- Did you review the Budget Persons Table/Window?
 - Does each individual have the appropriate Appointment Type selected and the correct Effective Date, Calc. Base Salary & Salary Anniversary Date entered?
If no salary anniversary date is entered, default is July 1st.
 - Has the Effective Date on budget Persons screen been updated to reflect effective data of salary listed?
- Are all NAMED and TBA personnel entered correctly in the Personnel Budget Details of Salary Line items?
 - Are Start & End Dates correctly entered for the period of the work?
 - Is the correct Period selected?
 - Was both the % Charged & % Effort entered for each individual paid under that line item?
 - Have the budget salaries been reviewed and confirmed accurate?

***Note** – To populate the Grants.gov forms appropriately, all personnel must be included in the Personnel Budget Details of the Personnel Line Item and the valid cost center that they will be paid from.

- Does the budgeted personnel effort match the stated amount in the budget justification?
- Is the Budget Justification uploaded in the Narrative Module?
- Did you review each period of the budget?
- Is there Cost Sharing indicated?
 - Have you checked with Research Administration to confirm business rules?
- Are any equipment purchases of \$5,000 or more broken out onto separate lines?
 - If so, is there a description and justification in the line item detail?
- If there are subcontracts, are the sub award budgets appropriately uploaded in the Sub Award section of the budget?
- Have you verified that uploaded subcontractor forms populate forms properly/are actually in correct format?

Modular Budget

- Did you mark it as Modular on the Budget Summary Tab and save immediately?
- Did you sync the Modular budget to the Detailed Budget?
- Are all of your modules correct and consistent?
- Did you recalculate the IDC base using the Modular Total Direct Cost if need be?
- Did you include the Modular Budget justifications in the Narrative Module?

General Budget Items

- Did you mark a budget version as Final?
- Did you mark the selected final budget as complete?
- Did you select the appropriated Budget Forms to be included in the Grants.gov submission?

RESEARCH COMPLIANCE QUESTIONNAIRE

- Did you complete the research compliance questionnaire?
- Did you complete other questionnaires, if listed?

YES/NO QUESTIONS

- Are all of the questions reviewed & answered?
- Are the Explanation fields complete for questions that require explanations?
- Are the answers appropriate to this sponsor/submission?

PREPARE FOR ROUTING

- Did you run validation checks? Coeus and Grants.gov.
- Create a pdf of application to review form set and verify that all information appears correctly.



BUDGET NARRATIVE JUSTIFICATION

Do note: A non-modular budget narrative will include most if not all of the components below. However a modular budget justification will only require:

- *Personnel Justification:* The Personnel Justification should include the name, role, and number of person-months devoted to this project for every person on the project. Do not include salary and fringe benefit rate in the justification, but keep in mind the legislatively mandated [salary cap](#) when calculating your budget. [When preparing a modular budget, you are instructed to use the current cap when determining the appropriate number of modules.]
 - *Consortium Justification:* If you have a consortium/subcontract, include the total costs (direct costs plus F&A costs), rounded to the nearest \$1,000, for each consortium/subcontract. Additionally, any personnel should include their roles and person months; if the consortium is foreign, that should be stated as well.
 - *Additional Narrative Justification:* Additional justification should include explanations for any variations in the number of modules requested annually. Also, this section should describe any direct costs that were excluded from the total direct costs (such as equipment, tuition remission) and any work being conducted off-site, especially if it involves a foreign study site or an off-site F&A rate.
-

Proposal Title:

Principal Investigator:

Sponsor:

Starting date:

Ending date:

Salaries - Johns Hopkins University (JHU) Personnel

Principal Investigator (PI) - PI requests funds to cover ___ Person/M of his salary for ___ years. The PI is responsible for all aspects of the project. He ensures that research goals are met in a timely manner, with scientific integrity, and completed within budgeted amounts. He makes certain that project activities and expenditures are in compliance with Federal regulation, Johns Hopkins University policies and procedures and the terms and conditions of any resulting award.

Other positions - This ___-year budget requests funds to cover ___ person/M of the team member, ___ Person/M of an Assistant Research Scientist, and one full time graduate student. All positions are under the direction of the PI. The graduate student's effort is 50% during the academic year (September-May) and at 100% during the summer (June-August).

The salaries requested total is \$ _____. An annual salary increase of ___% is included in the calculations.

Fringe Benefits

We request funds to cover fringe benefits totaling \$_____ based on the approved JHU rate for fringe benefits of ___% for JHU staff. The benefits' cost is included in direct costs.

Other Direct Costs

We request \$_____ to cover Other Direct Costs which includes Materials & Supplies, Tuitions, Publications, and Travel. An annual salary increase of ___% is included in the calculations.

Materials & Supplies:

We request \$_____ to cover the costs of Materials & Supplies (for example, miscellaneous small purchases, poster for conferences); \$_____ to cover mandatory student health insurance; and \$_____ for publications.

Tuition Fees:

We request funding to cover 20% of the full tuition for the graduate student for ___ years.

Publications:

We request funds to cover two publications.

Travel

Funds are requested to support domestic travel for the PI, JHU collaborator and student. Total request for travel is \$_____.

Domestic Travel:

We request funds to cover travel costs between JHU and _____ located in _____ for the PI, a JHU researcher and a student to support collaboration. _____ trips per year are projected, \$_____ per trip. Total request is \$_____ for ___ years.

We also request funds to cover the travel costs for the PI and one collaborator to attend one conference each per year expected to be in _____, for ___ years. The travel costs include airfare, registration cost, and the maximum allowable per diem for five days, estimated total of \$_____ for ___ years.

Estimates for travel are obtained from search engines and the per diem costs are obtained from <http://www.gsa.gov> and based on experience planning other trips with similar specifications.

Equipment

We request funds to cover the purchasing of various components as described on the equipment list included in the budget. We also request funds to cover access costs to the JHU Cleanroom, storage space in the Cleanroom, and Machine Shop costs. The estimated total is \$_____ for ___ years and is based on the following estimated rate:

Cleanroom: __ hrs @ \$ __/hrs
Cleanroom Storage: __ months @ \$ __/month
Machine Shop: __ hrs @ \$ __/hrs

JHU Facilities and Administration Costs (F&A)

The Modified Total Direct Cost (MTDC) base for this proposal includes salaries, fringe benefits, other direct costs and travel expenses. Note that the Johns Hopkins University Facilities & Administration rate is not applied to the tuition and equipment costs.

The current indirect cost rate is __% and the F&A is calculated using the Modified Total Direct Cost base. This rate is expected to remain at the same level for the duration of this proposal. We request funding to cover a total of \$_____.


Total funding requested is \$_____.

The Indirect costs rates are per an agreement negotiated with the Department Of Health and Human Services (DHHS) dated _____ and are subject to change upon future review and evaluation by the federal cognizant agency.

The Johns Hopkins University		Project Dates: Start End		Dates		12/01/00		12/31/01		12/31/02	
Department of...		Project Dates:				12/01/00		12/31/01		12/31/02	
PI:						12M		12M		12M	
Sponsor:											
Title:											
Expense Category	Description	Advt Info	Base Salary	% Effort	Person months	Other	Year 1	Year 2	Year 3	Total	
Salaries JHU	Faculty	PI									
	Research Scientist				0.00						
	Postdoc Fellows				0.00						
	Grad Student				0.00						
	Undergrad				0.00						
Subtotal Faculty/Researcher Salaries							-	-	-	-	
Subtotal Postdocs							-	-	-	-	
Subtotal-Graduate Salaries							-	-	-	-	
Subtotal Undergraduate Salaries							-	-	-	-	
Total JHU Salaries							-	-	-	-	
Fringe Benefits	Fringe Benefits FT/Doc		FY12	FY13	FY14	FY15	FY16				
	Fringe Benefits-Post Doc		35.5%	35.5%	35.5%	35.5%	35.5%				
	Fringe Benefits UG Summer/ FICA Tax		0%	0%	0%	0%	0%				
	Total Fringe Benefits		0%	0%	0%	0%	0%				
	Total JHU Salary & Ben.										
Salaries Off campus	Research Scientist	PI				0.00					
	Associate Res. Sci.					0.00					
	Postdoc Fellows					0.00					
	Grad Student					0.00					
	Undergrad					0.00					
Subtotal Faculty/Researcher Salaries							-	-	-	-	
Subtotal Postdocs							-	-	-	-	
Subtotal-Graduate Salaries							-	-	-	-	
Subtotal Undergraduate Salaries							-	-	-	-	
Total Off Campus Salaries							-	-	-	-	
Fringe Benefits	Fringe Benefits FT/Doc		UFY12	UFY13	UFY14	UFY15	UFY16				
	Fringe Benefits-Post Doc		35.5%	35.5%	35.5%	35.5%	35.5%				
	Fringe Benefits UG Summer/ FICA Tax		0%	0%	0%	0%	0%				
	Total Fringe Benefits		0%	0%	0%	0%	0%				
	Total Off Campus Sal & Ben.										
Other Direct Costs	Graduate Student Health Insurance	Number of Grad Students	\$ 1,740	\$ 1,772	\$ 1,824	\$ 1,888	\$ 1,956				
	Postdoc Surcharge on Salaries		4.5%	4.5%	4.5%	4.5%	4.5%				
	Materials/Supplies/Chemicals										
	Publications										
	Consultant Services (Individual)										
	Telecom (Long Distance Calls)										
	Computer Services (network connection)										
	Travel-Domestic (from travel call)										
	Travel-Outside (from travel call)										
	Subtotal Other Direct Costs							-	-	-	-
	Tuition and Fees							-	-	-	-
	Tuition (20%)							\$ 42,280	\$ 43,920	\$ 45,630	\$ 46,995
Equipment	Equipment over \$4,999										
	Equipment Fabrication										
Subaward(s)	Subaward #1										
	Subaward #2										
	Subtotal Non Bearing Costs										
Total Direct Costs							-	-	-	-	
Modified JHU Total Direct Costs (MTDC)							-	-	-	-	
Modified OFF Total Direct Costs (MTDC)							-	-	-	-	
F&A	JHU Campus Indirect Costs (F&A)		62.0%	62.0%	62.0%	62.0%	62.0%				
	OFF Campus Indirect Costs (F&A)		26.0%	26.0%	26.0%	26.0%	26.0%				
	Subwards (F&A) Rest \$25K										
	Subtotal F&A										
Total Budget							-	-	-	-	

Travel Calculator		Notes		UFY12	UFY13	UFY14
Domestic Travel	Number of trips			0		
	Number of days			0		
	Mileage			0		
	Mileage Rate			0.555	0.555	0.555
	Mileage Expense (# miles X mileage rate)			\$0	\$0	\$0
	Per Diem			\$0	\$0	\$0
	Subtotal			\$0	\$0	\$0
Total Domestic Travel				\$0	\$0	\$0
Foreign Travel	Number of trips			0		
	Number of days			0		
	Per Diem			\$0	\$0	\$0
	Subtotal (# trips X days X per diem)			\$0	\$0	\$0
	Airfare			\$0	\$0	\$0
Total Foreign Travel				\$0	\$0	\$0

JHU Dept of State Per Diem Schedule

PI Certification Questions 

H4	Have lobbying activities been conducted on behalf of this proposal?			
P5	Are you currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from current transactions by a federal department or agency?			
P2	Is there a potential for a real conflict of interest as defined in the institution's Policies and Procedures with regards to this proposal?			
P1	Can you certify that the information submitted within this application is true, complete and accurate to the best of your knowledge? Please be aware that any false, fictitious, or fraudulent claims may subject you as the PI/Co-Investigator to criminal, civil or administrative penalties.			
P3	Have you reported in accordance with the appropriate divisional COI policy all financial interests and fiduciary relationships, you, your spouse/domestic partner, and/or your minor dependents have in any entity/entities that may sponsor this proposal, provide material for use in this proposal, own or control technology used or studied in this proposal?			
Z5	Do you agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports?			

Yes/No Questions for Coeus Proposals

		Yes	No	N/A
12	NSF Beginning Investigator?			
13	NIH Beginning Investigator?			
14	Is this an NSF Small Grant for Exploratory Research?			
15	Is this proposal being submitted to other agencies? If so, please list agency acronyms in explanation separated by commas.			
16	Have all inventions or patents been previously reported? Answer N/A if there are no inventions or patents.			
17	Is this a Phase III Clinical Trial as defined by NIH?			
18	Are human embryonic stem cells used? If so, list the registration numbers of the cell lines in the comment.			
19	Are you currently serving, or have you previously served, as a PI, co-PI, or Program Director on any Federally funded project?			
20	Does the proposal contain high resolution graphics or other graphics where exact color representation is required for proper interpretation (PAPPG, Chapter I.G.1)?			
21	Is the proposal a full application related to submission of a preliminary			
22	Is the principal investigator changing with this application? If so, please enter last and first names of previous investigator in explanation. Please enter LAST NAME, FIRST NAME.			
23	Has the grantee institution changed with this application? If so, enter name of previous institution in explanation field.			

24	Is the principal investigator participating in this project as an employee of the U.S. Government? If so, please click on "More" for instructions.			
25	Is the principal investigator participating in this project as an employee of a foreign organization?			
26	For Dept. of Education, Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, check "Not Applicable".			
27	If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? If yes, please explain in comments.			
28	Is this a clinical trial?			
29	Is the Government permitted to disclose the project title, and the contact information of the signing official, to organizations that may be interested in contacting you for further information?			
31	Is this proposal an NSE Accomplishment Based Renewal?			
EO	Is this proposal subject to review by state Executive Order 12372 process?			
EG	Application is Certified			
G3	Hazardous Materials are Used or Produced			
G4	Genetically Engineered organisms are Used or Produced			
G6	Historical Sites are Affected			
G8	Proprietary or Privileged Information will be contained in the Application			
G9	Does this Project have an actual or potential impact on the environment? If yes, please explain. (Goes with Y/N #27)			
H1	Project Involves the International Cooperative activities			

Research Compliance Questions

1	Does this project involve the use of human subjects via contact, data/records, and/or survey, or the use of human tissue, serum, or other fluids? <i>If yes, be sure to complete the Special Review tab.</i>			
2	Does this project involve disclosure/receipt of protected health information?			
3	Does this project involve the use of any of the following: human embryonic stem cells (hESCs), somatic cell nuclear transfer (SCNT) involving human cells or other human pluripotent stem cells (hPSCs) that are already subject to oversight by the JHU Institutional Stem Cell Research Oversight (ISCRO) Committee?			

4	If Yes, have you obtained review and approval from the Stem Cell Research Oversight Committee (JHU ISCRO)? <i>If yes, be sure to complete the Special Review tab.</i>			
5	Does this project involve the use of live vertebrate animals? <i>If yes, be sure to complete the Special Review tab.</i>			
6	Does this project involve the use of bio-hazardous materials, radioactive materials, hazardous chemicals, or recombinant DNA? <i>If you answer no, please skip to question 10. If yes, be sure to complete the Special Review tab.</i>			
7	Does this project involve the use of bio-hazardous materials? <i>If yes, be sure to complete the Special Review tab.</i>			
8	Does this project involve the use of radioactive materials? <i>If yes, be sure to complete the Special Review tab.</i>			
9	Does this project involve the use of hazardous and highly-toxic chemicals (e.g., carcinogens, mutagens, chemicals NIOSH IDLH level?) <i>If yes, be sure to complete the Special Review tab.</i>			
10	Does this project involve the use of recombinant DNA? <i>If yes, be sure to complete the Special Review tab.</i>			
11	Will the project necessitate alterations or renovations?			
	A. Please provide an explanation of the required alternations.			
	B. Have the alterations/renovations been approved by the Dean's Office?			
12	Will additional space be needed in any project location?			
	A. Please add an explanation of the additional space request.			
	B. Has space request been approved by the Dean's Office?			
13	Are any administrative costs included in your budget?			
	A. Please provide an explanation for the administrative costs requested.			
14	Do you anticipate that program income will be generated under this project?			
	A. Please provide an explanation for the anticipated program income.			
15	If this proposal is funded, will you need multiple accounts?			
16	Is cost sharing or matching required by sponsor?			
	A. Has cost sharing been approved by the department and/or dean, as appropriate?			
	B. Please provide cost centers and/or internal orders that will be used for cost sharing.			
17	Has the principal investigator completed the required effort reporting training?			
18	Will the project include subawards or subcontracted effort to other organizations?			
19	Will human subjects be involved in research by the subcontractor, via contact, data/records, and/or survey, or the use of human tissue, serum, or other fluids?			
20	In this project, will you be utilizing information provided under a confidentiality agreement with a third party?			

	A. Please provide the name of the third party(s) with whom you have the confidentiality agreement.			
21	In this project, will you be utilizing materials provided under a Material Transfer Agreement (MTA) with a sponsor and/or third party? A. Please provide the name(s) of the company or institutions with whom you have or may have the material transfer agreement.			
22	Do you anticipate that the project will involve existing JHU intellectual property (yours or another investigator's), such as an invention, copyright, etc.? A. Please identify the JHU disclosure number, if applicable.			
23	Has the proposed use been approved by Johns Hopkins Tech Transfer?			
EXPORT CONTROL QUESTIONS				
24	Will your project require the involvement of any foreign countries, their citizens, or organizations?			
25	Will any of the proposed project activity take place within a foreign country?			
26	Do you need to list more than 5 countries? If so, please indicate the number of countries in the box provided.			
27	Please list the foreign countries.			
28	Please select the type of project activity that you expect will occur in this country. Circle all that apply: 1. A subcontract with a foreign university or entity; 2. Hiring independent contractors or employees; 3. Opening a foreign bank account; 4. Leasing space; 5. An American or foreign national receiving project-related items including, but not limited to, equipment, information, and/or data; 6. Participating personnel traveling to sponsor an activity in a foreign country (e.g., a conference or meeting); 7. University employee or students working in a foreign country for more than ninety (90) days; 8. Other (describe in text box).			
29	Please describe the type of activity that you expect will take place in Country.			
30	Do you need to select another country?			
31	During your project, will you provide foreign nationals with access to devices, materials, source code or technical data while they are in the United States?			
32	Please provide as much of the following information as you can about any foreign national or foreign organization to which you expect to provide access to project-related devices, materials, source code, or technical data during the course of the project.			

33	You indicated that foreign countries, their citizens or organizations will play some role in the completion of the proposed project, but you have also indicated that no project activity will take place in a foreign country AND that no foreign nationals will play a role in the project in the United States. Did you enter Yes to "will any of the proposed project activity take place within a foreign country" when the answer should have been No? If so, please return to the question and change your answer. If your answers to the questions are accurate, please describe how foreign countries, their citizens or organizations will play some role in the completion of the proposed project.			
34	To the best of your knowledge, will there be any restrictions upon a) the publication of project results, or b) the inclusion of foreign nationals in some or all project activities?			
	A. Please describe the kind of restrictions that you believe will apply to the conduct of your project or to the publication of its results.			
35	Is any item or information that will be used or developed during the proposed project the product of defense funding or specifically designed, developed, configured, adapted, or modified for a military or space application?			
36	Are any foreign countries associated with your project subject to sanctions listed by the Office of Foreign Assets Control (OFAC)?			

Personnel Number of PI (to be filled out by analyst):

[Redacted]

PI Signature

Date

***The PI(s) name(s) above attest(s) to the following:

1. That the information submitted within the application is true, complete and accurate to the best of the PI's knowledge;
2. That any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and
3. That the PI(s) agree(s) to accept responsibility for the scientific conduct of the project if an award is made.

Appendix 5: Biography

Angela DeBoer is the author of this Case Study. She completed a Bachelors of Science in Biology at Old Dominion University in 2016. Her desire to support researcher leads her to the Masters of Science in Research Administration at Johns Hopkins University. Her experience as an intern at JHU KSAS has broadened her perspectives on the needs of research. She is a naval veteran who was deployed during Operation Enduring Freedom/ Operation Iraqi Freedom. She aspires to continue serving the United States, facilitating military research as an administrator. She is looking forward to ventures that will enhance her current skills and the application of her current knowledge to future endeavors.