

Agendas

Tuesday, March 1, 2022 11:26 AM

PLEASE NOTE: THIS ARCHIVE IS PROVIDED FOR YOUR REFERENCE BUT NOT ALL INFORMATION AVAILABLE MAY BE UP-TO-DATE. PLEASE CHECK WITH OSPA OR SPA TO CONFIRM THE INFORMATION PROVIDED IS STILL ACCURATE. OLDER MATERIALS MAY BE OUT OF DATE.

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2022 Agendas

Tuesday, March 1, 2022 11:25 AM

Thursday February 17, 2022

- Meeting Agenda:([.pdf](#))
- Advanced Grant Worktag Request form update. ([.pdf](#))
- Common GoldSheet Errors. ([.pdf](#))
- Incentive-Contribution-RRC Distribution for Supplements and Continuations. ([.pdf](#))
- Preparing Industry Budgets. ([.pdf](#))
- USDA ARS Affiliates – VPR Policy 2-3-22 FINAL. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda

February 17, 2022

1:30 to 2:30pm

<https://iastate.zoom.us/j/92312663410?pwd=VFBFQUJNU0JsaklzeTNTSDRGbXNsQT09>

Guest Speaker

1. Gift Card Program – Tera Lawson, Procurement Services

OIPTT

1. Budget for Flexible Solutions – Emily Coll
2. Loaded Budgets for Industry Partners – Emily Coll

OSPA

1. Common GoldSheet Errors, Continued – Andrea Rich
2. NSF/Research.gov Update – Andrea Rich
3. Updated RRC Distribution Spreadsheet – Andrea Rich
4. Updated Advanced Grant Worktag Request Form – Tammy Polaski
5. Incentive, Contribution, and RRC Distribution on GoldSheets for Supplements & Continuations – Becky Musselman
6. Updated USDA ARS Affiliates Guidelines – Becky Musselman
7. OSPA Staffing Update – Becky Musselman
8. Research Administration System Update – Nichole Richter

Future Meetings

- Thursday, May 19, 2022
- Thursday, September 15, 2022
- Thursday, November 17, 2022

2021 Agendas

Tuesday, March 1, 2022 11:24 AM

Thursday November 18, 2021

- Meeting Agenda:([.docx](#))
- Nov 21 NIH Forms G Rev 3. ([.docx](#))
- Nov 21 OSPA Federal Agency Resource Assignments. ([.docx](#))
- Updated Financial Reorganization Timeline Memo. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Thursday September 23, 2021

- Meeting Agenda:([.docx](#))
- Meeting Handout. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda
November 19, 2021
1:30 – 2:30
<https://iastate.zoom.us/j/93361786051>

Guest Speaker

1. PI Training: Sponsored Funding Education – Heather Paris

SPA

1. FY22 to FY23 Organizational Changes – Workday Request Form – Mindy Stensland

OSPA

1. Project System Update – Nichole Richter
2. NIH eRA FORMS-G - Keary Saul
3. Common GoldSheet Errors – Nichole Richter
4. EO 14026 Minimum Wage for Federal Contractors – Becky Musselman
5. NSF Proposals: COI Annual Disclosure Check Starting 12/1/21 –Becky Musselman
6. Federal Agency Resource Assignments - Becky Musselman

OSPA/SPA/OIPTT

1. Winter Break Plans

Future Meetings

- Thursday, February 18, 2022
- Thursday, May 19, 2022
- Thursday, September 15, 2022
Meeting location and time TBD

Grant Coordinator Agenda
September 23, 2021
10:00 to 11:00 am
<https://iastate.zoom.us/j/98169298869>

Guest Speaker

1. New ISU Visiting Scholar Policy – Brooke Langlitz

SPA

1. Staffing Updates – Mindy Stensland

OSPA

1. NIH eRA FORMS-G - Keary Saul
2. Common Mistakes on the GoldSheet – Andrea Rich
3. New Research Admin System Update – Becky Musselman
 - a. Phase I
 - b. Phase II
4. New Visiting Scholar Question on GoldSheet – Becky Musselman
5. Prize Funding – Becky Musselman
6. Staffing Updates – Becky Musselman
7. Advanced Accounts/Worktags – Becky Musselman & Mindy Stensland
8. Set-up of New Centers – Becky Musselman & Mindy Stensland

OIPTT

1. Introduce Patrick Klepcyk, Director, Office of Innovation Commercialization (OIC)
2. Staffing Updates – Lynne Mumm

Future Meetings

- Thursday, November 19, 2021
 - Thursday, February 18, 2022
 - Thursday, May 19, 2022
- Meeting location and time TBD

2020 Agendas

Tuesday, February 16, 2021 8:50 AM

Thursday February 20, 2020, Gallery Room, Memorial Union

- Meeting Agenda:([.pdf](#))
- Feb 2020 PI Departure Questionnaire handout. ([.pdf](#))
- Feb 2020 Secondary Award Line handout. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda
February 20, 2020 1:15 – 3:30 p.m.
Gallery, Memorial Union

OSPA

1. PI Departure Questionnaire – Tammy Polaski
2. Secondary Award Line (SAL) Form Update – Tammy Polaski
3. NSF PAPPG Update – Andrea Rich

OIPTT

1. Cyber Security News Forthcoming – Lynne Mumm
2. Staffing Update – Lynne Mumm

SPA

1. Reorganizations – Erin Johnson
2. Cost Share Worktags – Erin Johnson
3. Object Class Mapping – Erin Johnson
4. Effort Certifications – Erin Johnson
5. F&A Distribution – Erin Johnson
6. Staffing Update – Mindy Stensland

Future Meetings

- Thursday, May 21, 2020
- Thursday, Sept. 17, 2020
- Thursday, Nov. 19, 2020
- All meetings are scheduled for 1:15 – 3:30 p.m.

2019 Agendas

Monday, February 25, 2019 4:51 PM

Thursday November 21, 2019, Gallery Room, Memorial Union

- Meeting Agenda:([.pdf](#))
- Acronyms Commonly Used in Sponsored Programs Administration. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Thursday, September 19, 2019, Gallery Room, Memorial Union

- Meeting Agenda:([.pdf](#))
- Graduate Assistant Appointments and Stipends in Fiscal Year 2020. ([.pdf](#))
- Procedures for Deleting GoldSheets in Your Liquid Office Inbox. ([.pdf](#))
- (Liquid Office) GoldSheet Work Queue Change Request Form. ([Quick Links](#))
- SPECS. ([.pdf](#))
- SPECS/Upcoming Training Offerings. ([.xlsx](#))
- Award Processing by OSPA and SPA. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Thursday May 16, 2019, Gallery Room, Memorial Union

- Meeting Agenda:([.pdf](#))
- F&A Calculator - USDA TFFA vs Negotiated Rate. ([.xlsx](#))
- Unit Administrator Change Request. ([.pdf](#))
- Updated Guidelines for NIH Modular Budgets. ([.pdf](#))
- Determination of Rates - Third Party Cash Cost Share. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Thursday February 21, 2019, Gallery Room, Memorial Union

- Meeting Agenda:([.pdf](#))
- OUC Independent Contractor or Employee. ([.pdf](#))
- Deletion of GS Form Copies. ([.pdf](#))
- For-Profit Entities as Subrecipients. ([.pdf](#))
- Workday Training Update. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda
November 21, 2019, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

Sarah Kaatz & Kerry Agnitsch ORR – Single IRB Mandate
IRB Requirements for Collaborative, Cooperative and Multi-site Research

OSPA

1. Proposal Routing System Committee Update – Andrea Rich
2. Winter Break Plans and GoldSheet Deadlines – Andrea Rich
3. Updated Sponsored Programs Acronyms List – Becky Musselman
4. Proposals and Awards for Incoming PIs – Becky Musselman
5. Please Notify OSPA - PIs Leaving ISU – Becky Musselman

SPA

1. Workday Updates – Erin Johnson
2. Winter Break Plans – Erin Johnson

OIPTT

1. Winter Break Plans – Dana Rewoldt

Future Meetings

- Thursday, 2/20/2020 – Gallery Room
- Thursday, 05/21/2020 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
September 19, 2019 1:15 – 3:30 p.m.
Gallery, Memorial Union

Guest Speaker

Matt House, Office of Research Integrity – International Travel

OSPA

1. Graduate Assistant Stipends: Budgeting and Allowability on Federally Sponsored Awards – Becky Musselman
2. Revised OSPA Forms – Tammy Polaski
3. GoldSheets for Amendments and Supplements – Andrea Rich
4. Compliance Questions on GoldSheet – Andrea Rich
5. Transfer Button in Liquid Office – Andrea Rich
6. Liquid Office Work Queue Change Request Form – Andrea Rich

OSPA/SPA

1. SPECS/Upcoming Training Offerings – Becky Musselman & Troy Nichols
2. Back Office Award Processes – Tammy Polaski & Erin Johnson
3. Workday Issues Impacting Award Processing of Lead Unit/PI/Other Updates – Tammy Polaski & Erin Johnson

OIPTT

1. Staff Update – Lynne Mumm
2. OIPTT Website - <https://www.techtransfer.iastate.edu/> – Lynne Mumm

SPA

1. Workday Q&A Sessions – Erin Johnson
2. Cost Share Worktags – Erin Johnson

Future Meetings

- Thursday, 11/21/2019 – Gallery Room
- Thursday, 02/20/2020 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Save the Date: Research Administrator Day – September 25, 2019
2004 Black Hall - 1:00 – 2:00 p.m.

Grant Coordinator Agenda
May 16, 2019 1:15 – 3:30pm
Gallery, Memorial Union

SPA

1. Workday Cutover – Joli Coil & Lana Jarvis
2. Cleanup Campaign - Erin Johnson
3. ISU Budget Template Updates –Erin Johnson

OIPTT

1. Update on DFARS 252.204-7012 Covered Defense Information - Dana

OSPA

1. Introduce New Staff – Tammy Polaski
2. OSPA RRC/Unit Assignments – Tammy Polaski
3. Changes to NIFA 30% F&A Rate – Nichole Richter
4. KC Unit Administrator Table Request Form – Becky Musselman
5. Updated Guidelines for NIH Modular Budget Submission – Becky Musselman
6. F&A for Third Party Cash Cost Share – Becky Musselman

Future Meetings

- Thursday, 09/19/2019 – Gallery Room
- Thursday, 11/21/2019 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
February 21, 2019 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

1. Independent Contractor vs. Employee – Heather Smith, OUC and Brenda Behling, SVPP

OPITT

1. Flexible Solutions and Specialty Agreements – Dana Rewoldt

OSPA

1. Introduce New Staff (Nicholas Scott and Amanda Redling)
2. Deletion of GoldSheet Form Copies – Andrea Rich
3. NIH RPPR Delegations to ISU PIs – Andrea Rich
4. Liquid Office Maintenance Spring Break – Andrea Rich
5. VPR Grant Support at ISU Update – Becky Musselman
6. Final Copies of PI Submitted Proposals to Industry – Becky Musselman
7. Additional Information in KC Award Viewer – Becky Musselman
(KC Award Viewer Manual at: <https://www.ospa.iastate.edu/awards>)
8. For-Profit Entities as Subrecipients – Becky Musselman

SPA

1. Introduce Heather Paris, Associate Vice President for Finance and Support Services – Erin Johnson
2. Workday Update – Erin Johnson and Dana Petkov

Future Meetings

- Thursday 5/17/2019 – Gallery Room
- Thursday, 11/20/2018 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

2018 Agendas

Thursday, May 10, 2018 9:43 AM

Thursday November 15, 2018, Gallery Room, Memorial Union

- Meeting Agenda:([.pdf](#))
- Effort Certification in Workday. ([.pdf](#))
- SPECS 2019 Announcement. ([.pdf](#))
- OSPA One-Pager. ([.pdf](#))

Thursday Sept 20, 2018 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.pdf](#))
- USDA ARS Affiliates - VPR Policy. ([.pdf](#))
- ISU Policy on Cost Share for Sponsored Programs. ([.pdf](#))
- PI Eligibility for Various Position Classifications:([.pdf](#))
- On-Campus vs. Off-Campus Decision Tree.([.pdf](#))
- SAMPLE - USDA IFR. ([.pdf](#))
- OVPR Researcher Success Program Schedule with Calendar.([.pdf](#))

Thursday May 17, 2018 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.pdf](#))
- Activity Types and Associated F&A Rates:([.pdf](#))
- Updated Updated GolgeSheet Flowcharts:([.pdf](#))
- Updated Updated GolgeSheet Process Instructions:([.pdf](#))
- NIH RPPR to Awards Team:([.pdf](#))
- USDA REEport Financial Reports (not auditable):([.pdf](#))
- Departure of PI from ISU:([.pdf](#))
- Industry Funded Specialty Agreements:([.pdf](#))

February 15, 2018 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.pdf](#))
- Record Retention for Sponsored Programs Unfunded Proposals:([.pdf](#))
- Updated Subaward Process for COI Companies:([.docx](#))
- Third Party Cost Share Documentation:([.pdf](#))
- Changes to Child Accounts – Post Award Actions:([.pdf](#))
- UIDP Webinar Series: Researcher's Guidebook:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda
February 15, 2018, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

Jerry Zamzow, AVPR – Lean Event: Pre-Award Process
Kerry Agnitsch ORR – NIH Single IRB Mandate

SPA

1. SPA Staffing Update – Mindy Stensland
2. Work Day Update – Mindy Stensland
3. State Auditor Sub-Recipient Monitoring – Mindy Stensland

OSPA

1. OSPA Staffing Update – Andrea Rich
2. Record Retention for Sponsored Programs Unfunded Proposals – Becky Musselman
3. Updated Subaward Process for COI Companies – Becky Musselman
4. Third Party Cost Share Documentation – Becky Musselman
5. Changes to Child Accounts – Post Award Actions – Kristy Stallmann
6. ezFedGrants Performance Reports- Keith Kutz
7. NCURA At-Large Board Position Candidate- Keith Kutz
8. 2018 NCURA Region IV Spring Meeting – Diane Meyer

OIPTT

1. UIDP Webinar Series: Researcher's Guidebook – Dana Rewoldt

Future Meetings

- Thursday, 05/17/2017 – Gallery Room
- Thursday, 09/20/2017– Gallery Room
- Thursday, 11/15/2018 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
May 17, 2018, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

Jerry Zamzow- LEAN Pre-Award Process Update

SPA

1. Workday Update – Shona Roberts
2. Timely Submission of EASE Reports – Mindy Stensland

OSPA

1. Introduce New Staff (Amy Arndorfer) – Tammy Polaski
2. Activity Types and Associated F&A Rates – Becky Musselman
3. Updated GoldSheet – Revised Guidance and Flowchart – Lynn Bagley
4. Subrecipient F&A Rates – Required Documentation – Andrea Rich
5. Final Proposal Collection by OSPA – Andrea Rich
6. OSPA Campus Outreach – Jeff Klein & Andrea Rich
7. NIH RPPR to Awards Team – Jeff Klein
8. USDA REEport Financial Reports (not auditable) – Jeff Klein & Troy Nichols
9. Departure of PI from ISU – Kristy Stallmann

OIPTT

1. United Soybean Board – Lynne Mumm
2. Specialty Agreements – Dana Rewoldt
3. Staffing Update – Dana Rewoldt
4. NIST IT Security – Dana Rewoldt

Future Meetings

- Thursday, 09/20/2018– Gallery Room
- Thursday, 11/15/2018 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
September 20, 2018 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

WorkCyte Update – Dayna Petkov & Christine LaTorre

SPA

1. WorkCyte Update Discussion – Erin Johnson

OSPA

1. Training Offerings – Tammy Polaski & Andrea Rich
2. OSPA Staffing Update – Andrea Rich
3. NIJ Conflict of Interest – Andrea Rich
 - FCOI Check now required for National Institutes of Justice
4. GoldSheet Compliance Questions – Andrea Rich
 - All project activities, including subrecipient activities
5. Transmittal Letter Reminder – Andrea Rich
6. ARS Affiliate Guidelines – Andrea Rich
7. Cash vs In-Kind Cost Share – Becky Musselman
8. PI Eligibility Guidelines – Becky Musselman
9. Updated On-Campus vs. Off-Campus Decision Tree – Becky Musselman

OIPTT

1. NIST IT Security – Dana Rewoldt

Future Meetings

-
- Thursday, 11/15/2018 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
November 15, 2018 1:15 – 3:30pm
Gallery, Memorial Union

SPA

1. SPA - Effort Certification in Workday – Erin Johnson
2. SPA - Dashboard (Reports) in Workday – Erin Johnson
3. SPECS 2019 Announcement – Troy Nichols & Becky Musselman

Guest Speaker - Sarah Nusser, Vice President for Research

1. University Improved Service Delivery
2. Kaizen Update

OSPA

1. New OSPA one-pager – Becky Musselman
2. Introduce Jane Garrity, VPR Director of Strategic Initiatives – Becky

Future Meetings

- Thursday February 21, Gallery Room, MU
- All meetings are scheduled for 1:15 – 3:30 p.m.

2017 Agendas

Thursday, May 10, 2018 9:47 AM

November 16, 2017 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- Rebudget Process:([.pdf](#))
- Post-Award Admin Changes Revised GoldSheet Process:([.pdf](#))
- Post-Award Admin Changes Revised GoldSheet Flowchart:([.pdf](#))
- Preliminary Proposal Submission Procedures:([.pdf](#))
- Electronic Research Update:([.pdf](#))

September 14, 2017 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- NIH Single IRB Review Policy:([.pdf](#))
- Uniform Guidance (UG) – Updated Frequently Asked Questions (FAQ):([.pdf](#))
- OSPA Pre-Award Team Unit Assignments:([.pdf](#))
- OSPA – Grants Hub Pre-Award Training Opportunities:([.pdf](#))
- Revised Application of F&A Cost Rate Agreement:([.pdf](#))
- New F&A Rates for Industry Specialty Agreements:([.pdf](#))
- Final Fee for Service Guidelines:([.pdf](#))

May 18, 2017 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- Commons GoldSheet Errors:([.pdf](#))
- KC Award Notice Email - Various Account Example:([.pdf](#))
- Revised Fee for Service Guidelines:([.pdf](#))
- RTCs Implementation Slides:([.pdf](#))
- OIPTT Industry Collaboration Tip Sheets ([link](#))

February 16, 2017 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- KC Award Viewer Manual:([.pdf](#))
- On-campus or Off-campus F&A Rate Determination:([.xls](#))
- Simplified Application of Next F&A Rate Agreement:([.docx](#))
- Best Practices for Managing Cost Share:([.pdf](#))
- Subaward Invoice Checklist:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda
February 16, 2017, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

Liz Zuercher – Grants Hub

SPA

1. SPA Staffing Update – Erin Johnson
2. Multiple Child Account Budget (CAB) Reconciliation Form – Erin
(Form available on the OSPA Forms webpage under Award Documents)

OSPA

1. Pre-Award Team Short Staff – Andrea Rich
2. USDA ezFedGrants Update – Andrea Rich
3. Updated GoldSheet Manual – Andrea Rich
(Manual available on OSPA Proposals/Pre-Award webpage under FAQs and Manuals)
4. Upcoming Change to Liquid Office Login – Andrea Rich
5. On-Campus or Off-Campus F&A Rate Determination – Becky Musselman
6. Negotiation Summary eData Demo – Becky Musselman
(Path: Public Folders>Custom Reports>University Wide>KC-Sponsored Programs Reports>Negotiation Reports>Negotiation Summary)
7. KC Award Viewer Manual and Demo – Becky Musselman
8. Simplified Application of Next F&A Rate Agreement – Becky Musselman
9. Updated ISU Budget Templates – Andrea Rich
10. 2017 NCURA Region IV Spring Meeting in Madison, WI

OIPTT

1. Staffing, Retirement, and OIPTT-IC Portfolio Changes – Lynne Mumm

Future Meetings

- Thursday, 05/18/2017 – Gallery Room
- Thursday, 09/14/2017 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
May 18, 2017, 1:15 – 3:30pm
Gallery, Memorial Union

OSPA

1. Upcoming GoldSheet Testing – Andrea
2. Common GoldSheet Issues and Slowdowns – Lynn Bagley
3. Feedback on new KC Award Notice Emails – Becky Musselman
4. KC Award Notice Emails for Field Trials, Memberships, and Various Accounts – Becky Musselman
5. Revised Fee-for-Service Guidelines – Becky Musselman
6. May 2018 NCURA Regional in Des Moines – Becky Musselman

OIPTT

1. Staffing Updates – Lynne Mumm
2. OIPTT Just-in-Time Information Sheets - Lynne Mumm
3. OIPTT Breaking into Industry Sponsored Research Handouts - Lynne Mumm
4. NDA/CDA Fillable Forms – Peter Gudlewski

SPA

1. Staffing Updates – Erin Johnson

OSPA/SPA

1. Revised Federal Research Terms & Conditions (RTCs) – Troy Nichols & Kristy Stallmann
2. Upcoming Webinar- NCURA RTCs Update
 - Tuesday 5/23/2017, 206 Durham
3. Reminder- Notify OSPA/SPA Staff of PI Resignations

Future Meetings

- Thursday, 09/14/2017– Gallery Room
- Thursday, 11/16/2017 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Meeting Agenda
September 14, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

**Kerry Agnitsch – Office of Responsible Research
NIH Single Institutional Review Board (sIRB) Mandate**

OSPA

1. Advanced Account Request Form Reminders – Becky Musselman
2. Updated Uniform Guidance FAQ's (July 2017) – Becky Musselman
3. OSPA Staffing Updates – Becky Musselman
4. FY18 OSPA & Grants Hub Pre-Award Training Offerings
5. Revised Procedures for F&A Costs Budgeted in Proposals &
Revised ISU Budget Templates – Andrea Rich
6. Miscellaneous Announcements – Andrea Rich
NIH Forms E for submission beginning January 25, 2018
2018 NCURA Regional Meeting in Des Moines April 15-18

SPA

1. OSPA/SPA Workday Update – Becky Musselman & Erin Johnson
2. SPA Staffing Update – Erin Johnson

OIPTT

1. F&A Rate for Industry Specialty Contracts – Lisa Lorenzen

Future Meetings

- Thursday, 11/16/2017 – Gallery Room
- Thursday, 02/15/2018 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Meeting Agenda
November 16, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speakers

Cara Roesch – Workday Demonstration

OSPA

1. Updated Rebudget Procedures – Pam Helfer
2. Revised GoldSheet Process – Post-Award Changes – Kristy Stallmann
3. ISU Preliminary Proposal Submission Procedures – Andrea Rich
4. Electronic Research Administration Update – Andrea Rich
5. OSPA Staffing Updates – Andrea Rich
6. Reminder- NCURA Region IV Workshop – Andrea Rich

SPA

1. Outstanding Audit Update – Mindy Stensland
2. SPA Staffing Update – Erin Johnson

OIPTT

1. Industry Specialty Contracts – Lynne Mumm

Future Meetings

- Thursday, 02/15/2018 – Gallery Room
- Thursday, 05/17/2018 – Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

2016 Agendas

Thursday, May 10, 2018 9:47 AM

November 17, 2016 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- NSF Salary Rebudget Request Form:([.xlsx](#))

September 15, 2016 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- Office of Internal Audit Presentation:([.pdf](#))
- OSPA Information Sheet - Contacts:([.docx](#))
- FDP Pilot - Expanded Clearinghouse:([.docx](#))
- USDA ezFedGrants:([.docx](#))
- Negotiation Summary Report - Example:([.pdf](#))
- OIPTT Team Nondetailed Portfolio Assignments:([.docx](#))

May 19, 2016 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- SPA-PI Review of Subrecipient Invoices for May 2016 GC handout:([.docx](#))
- Cayuse Tips & Trick:([.pdf](#))
- Federal Information Security Management Act (FISMA):([.docx](#))
- ISU Policy on Cost Share for Sponsored Programs:([.pdf](#))
- Subrecipient vs. Consultant-Contractor-Vendor:([.docx](#))
- Updating GoldSheet Prior to Award:([.docx](#))
- Pre-Award Updated GoldSheet flowchart:([.pdf](#))

February 18, 2016 Grant Coordinator Meeting Handouts

- Meeting Agenda:([.docx](#))
- SPA Handout:([.docx](#))
- Febr 2016 Updating Goldsheet Prior to Award - Change in Process:([.docx](#))
- Febr 2016 Pre-Award Updated GoldSheet Flowchart:([.pdf](#))
- Febr 2016 State of Iowa Appropriations Treated As Sponsored Funding Proc....:([.docx](#))
- Febr 2016 Regents Innovation Funds - Award Process:([.docx](#))
- Febr 2016 PI Departure Form OSPA-SPA-OIPTT:([.docx](#))
- Feb 2016 OSPA Overview One Page:([.pdf](#))
- Feb 2016 Modification to GoldSheet Routing Approvals:([.docx](#))
- Feb 2016 IDC Waiver Request Form:([.pdf](#))
- Code of Business and Fiduciary Conduct:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinator Agenda
February 18, 2016, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speaker

Nancy Brooks, Code of Business and Fiduciary Conduct

SPA

1. SPA Staffing Update – Neena Bentley
2. Fringe Benefit Update – Neena Bentley
3. PI Resignation/Retirement – Neena Bentley & Pam Helfer

OSPA

1. OSPA Staffing Update - Andrea Rich
2. Animal Per Diems – Andrea Rich
3. New User Registration Website – Andrea Rich
4. GoldSheet Process Change (Prior to Award) – Becky Musselman
5. Revised IDC Reduction or Waiver Form – Becky Musselman
6. Modification to GoldSheet Routing Approvals – Becky Musselman
7. State Appropriations Treated as Sponsored Programs – Becky Musselman

OIPTT

1. Regents Innovation Funds – Dana Rewoldt

Future Meetings

- Thursday 05/19/2016 – Pioneer Room
- Thursday 09/15/2016 – Pioneer Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
May 19, 2016, 1:15 – 3:30pm
Pioneer Room, Memorial Union

OIPTT

1. MTA/NDA Process Overview – Dana Rewoldt
2. Loaded Budget/Quote for Industry

SPA

1. Internal Audit Report: Subrecipient Monitoring – Jeanne Vande Voort
2. Internal Audit Report: Business Purpose – Erin Johnson
3. Participant Support Costs Reminder – Erin Johnson

OSPA

1. FISMA - Tammy Polaski
2. Subrecipient Collaborator vs. Consultant/Contractor - Becky Musselman
3. Training Survey Results – Keith Kutz
4. Updated ISU Guidelines on Cost Share for Sponsored Programs - Becky
5. Updated GoldSheet Process – Andrea Rich
6. Cayuse Tips & Tricks – Andrea Rich

Future Meetings

- Thursday 09/15/2016 – Gallery Room
- Thursday 11/17/2016 – Pioneer Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
September 15, 2016, 1:15 – 3:30pm
Gallery, Memorial Union

Guest Speaker

Jordan Bates, Overview of Internal Audit

OSPA

1. OSPA Staffing Update & Unit Assignments – Andrea Rich/Tammy Polaski
2. FDP Pilot - Expanded Clearinghouse – Tammy Polaski
3. ezFedGrants – Level 2 Authorization – Keith Kutz
4. Negotiation Summary eData Report – Becky Musselman
(Path: Public Folders>Custom Reports>University Wide>KC-Sponsored Programs Reports>Negotiation Reports>Negotiation Summary)
5. Unit Administrator eData Report – Becky Musselman
(Path: Public Folders>Custom Reports>University Wide>KC-Sponsored Programs Reports>Unit Administrator)
6. KC Award Viewer – Becky Musselman
7. Misc: 2018 NCURA Region IV Spring Meeting

SPA

1. Income on 4xx Accounts – Erin Johnson
2. Charging Group Meals – Neena Bentley
3. SPECS Update – Troy Nichols
4. Subrecipient Monitoring Training – Troy Nichols & John Gilmour

OIPTT

1. Industry Team Staffing Update – Dana Rewoldt
2. Updated Portfolio Assignments – Dana Rewoldt

Future Meetings

- Thursday November 17, 2016 - Pioneer Room
- Thursday February 16, 2017 - Gallery Room
- Thursday May 18, 2017 - Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

Grant Coordinator Agenda
November 17, 2016, 1:15 – 3:30pm
Pioneer Room, Memorial Union

SPA

1. Link to KC Award Viewer
2. Updated EASE Training Manual
3. Effort Reporting Requirements – New Appendices
 - a. Appendix D: Guidelines for Salary of Senior Personnel Charged to NSF Awards
 - b. Appendix E: Guidelines for Salary Charged to NIH Awards

OSPA

1. Winter Break Update - Tammy Polaski
2. OSPA Staffing Update – Andrea Rich
3. NSF PAPPG Update – Andrea Rich
4. ezFedGrants Update – Andrea Rich
5. NSF Salary Rebudget Request Form – Pam Helfer

OIPTT

1. Winter Break Update – Lynne Mumm
2. Loaded Budget Update – Peter Gudlewski

Future Meetings

- Thursday February 16, 2017 - Gallery Room
- Thursday May 18, 2017 - Gallery Room
- All meetings are scheduled for 1:15 – 3:30 p.m.

2015 Agendas

Thursday, May 10, 2018 9:47 AM

November 19, 2015 Meeting Agenda, OIPTT Handout, SPA Handout, OSPA Handouts

- Meeting Agenda:([.docx](#))
- Notable NSF PAPPG GPG Changes:([.pdf](#))
- UG Costing Policy - Final 11-18-15:([.pdf](#))
- UG - PI Costing Guide - Final 11-18-15:([.pdf](#))
- A-UG Prior Approvals - 11-19-15:([.docx](#))
- Intellectual Property Management Plan template:([.docx](#))

September 17, 2015 Meeting Agenda, OIPTT Handout, SPA Handout, OSPA Handouts

- Meeting Agenda:([.docx](#))
- GrantsHub Overview:([.pdf](#))
- SPA Handout:([.docx](#))
- SPA Hazardous Materials Charges:([.docx](#))
- A-21 Costing Policy Update 9-8-15 FINAL:([.doc](#))
- Participant Support Costs - ISU Guidance:([.docx](#))
- PI Transfer Process:([.docx](#))
- F&A Waiver:([.docx](#))
- Subrecipient Forms Update handout:([.pdf](#))
- Subrecipient Monitoring Guide for Principal Investigators:([.pdf](#))
- Uniform Guidance and Indirect Cost Rates:([.docx](#))
- NSF Budget Justification Notes:([.docx](#))
- OIPTT-Industry Contracts Team Assignment List:([.pdf](#))
- OIPTT-One Page for Brochure:([.pdf](#))
- Iowa State University Research Foundation, Incweb:([.pdf](#))
- Export Control Slides:([.pdf](#))
- Is My Work at ISU Subject to Export Controls:([.docx](#))

May 21, 2015 Meeting Agenda, OIPTT Handout, SPA Handout, OSPA Handouts

- Meeting Agenda:([.docx](#))
- OIPTT-Flexible Solutions:([.pdf](#))
- SPA Handout:([.docx](#))
- NSF compliance checks:([.pdf](#))

February 19, 2015 Meeting Agenda, OIPTT Handout, SPA Handout, OSPA Handouts

- Meeting Agenda:([.docx](#))
- Donna Johns GC Presentation:([.pdf](#))
- Donna Johns Handout-Prepared for ISU Faculty:([.docx](#))
- OIPTT-Flexible Solutions:([.docx](#))
- SPA Handout:([.docx](#))
- SPA-Account Expiration Feature in KFS:([.docx](#))
- OSPA Handout:([.docx](#))
- OSPAdatasheet Handout:([.docx](#))

- Child Account Budget Form ([Link](#))
- Pre-Award Updated GoldSheet Flowchart:([.pdf](#))
- Pre-Award Updated GoldSheet Process:([.pdf](#))
- Post-Award Admin Changes Revised GoldSheet Flowchart:([.pdf](#))
- Post-Award Admin Changes Revised GoldSheet Process:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2014 Agendas

Thursday, May 10, 2018 9:47 AM

November 20, 2014 Meeting Agenda, OIPTT Handout, SPA Handout, OSPA Handouts

- Meeting Agenda:([.docx](#))
- Flexible Solutions:([.docx](#))
- SPA Handout:([.docx](#))
- OSPA Pre-Award – Who We Are and What We Do:([.pdf](#))
- Searching for Funding Opportunities in Cayuse:([.pdf](#))
- OSPA Awards Team and Industry Contracts Team – What We Do:([.pdf](#))
- OSPA Awards Handout:([.pdf](#))
- Sub-Recipient Request Form Refresher:([.pptx](#))

September 18, 2014 Meeting Agenda, ISU Foundation Handouts, SPA Handouts, OSPA Handouts

- Meeting Agenda:([.docx](#))
- New Cardinal Sheet:([.pdf](#))
- Cardinal Sheet Overview and Instructions:([.pdf](#))
- Purpose on Gold Sheet / Higher Education Function Code (HEFC) on Account:([.docx](#))
- Uniform Guidance Update:([.docx](#))
- OSPA Pre-Award Notes:([.docx](#))
- Financial Processing Entry Results:([.pdf](#))
- General Error Correction (GEC) Handout:([.pdf](#))
- SPA Handout:([.pdf](#))

May 14, 2014 Meeting Agenda, SPA Handout, OSPA Handouts

- Meeting Agenda:([.docx](#))
- SPA Handout:([.docx](#))
- Process change for Iowa Energy Center and Leopold Center grants Handout:([.docx](#))
- OSPA Pre-Award Handout:([.docx](#))

March 5, 2014 Meeting Agenda, SPA Handout, Hospitality Expenses Handout, Contracting/Signature Authority Presentation, OSPA Pre-Award Handout

- Meeting Agenda:([.docx](#))
- SPA Handout:([.docx](#))
- Hospitality Expenses Handout:([.docx](#))
- Contracting/Signature Authority Presentation:([.pdf](#))
- OSPA Pre-Award Handout:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2013 Agendas

Thursday, May 10, 2018 9:48 AM

November 21, 2013 Meeting Agenda, SPA Handouts, OSPA Handout

- Meeting Agenda: ([.docx](#))
- SPA Handout: ([.docx](#))
- eDATA Handout: ([.docx](#))
- OSPA Handout: ([.docx](#))

September 12, 2013 Meeting Agenda, SPA Handout and eData & KFS FAQ

- Meeting Agenda: ([.docx](#))
- SPA Handout: ([.docx](#))
- eData & KFS FAQ: ([.docx](#))

May 15, 2013 Meeting Agenda and SPA Handout

- Meeting Agenda: ([.docx](#))
- SPA Handout: ([.docx](#))

March 6, 2013 Meeting Agenda, SPA and OSPA Handouts

- Meeting Agenda: ([.docx](#))
- SPA Handout: ([.docx](#))
- OSPA Handout: ([.docx](#))
- Field Trial Guidance: ([.docx](#))
- Definitions of F&A Rate Types: ([.docx](#))
- Field Trial Account Type Checklist: ([.xlsx](#))
- NIH Public Access Policy: ([.docx](#))
- NIH RPPR Training Grantee Webinar: ([.pdf](#))
- OSPA Award Team Responsibilities: ([.pdf](#))
- Project Report Fact Sheet: ([.pdf](#))
- Project Reports on Research: ([.pdf](#))
- Recent Modifications to the OSPA GoldSheet: ([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2012 Agendas

Thursday, May 10, 2018 9:54 AM

November 15, 2012 Meeting Agenda, SPA and OSPA Handouts

- Meeting Agenda: ([.docx](#))
- SPA Handout: ([.docx](#))
- OSPA Handout: ([.doc](#))
- Purchasing Slides: ([.pdf](#))

September 13, 2012 Meeting Agenda, SPA and OSPA Handouts

- Meeting Agenda: ([.doc](#))
- SPA Handout: ([.doc](#))
- FISMA Handout: ([.doc](#))
- OSPA Handout: ([.doc](#))

May 17, 2012 Meeting Agenda, OSPA, SPA & Guest Handouts

- Meeting Agenda: ([.pdf](#))
- OSPA Handout: ([.pdf](#))
- SPA Handout: ([.pdf](#))
- Brenda Behling (Effort Reporting and Certification, Summer Salaries for B-Base): ([.pdf](#))
- Bill Cahill (VO Document Searches by Vendor Name): ([.pdf](#))
- Brooke Langlitz (Conflict of Interest): ([.pdf](#))

February 16, 2012 Meeting Agenda, OSPA & SPA Handouts

- Meeting Agenda: ([.pdf](#))
- OSPA Handout: ([.pdf](#))
- SPA Handout: ([.doc](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2011 Agendas

Thursday, May 10, 2018 9:54 AM

November 17, 2011 Meeting Agenda, OSPA & SPA Handouts

- Meeting Agenda: ([.docx](#))
- OSPA Handout: ([.pdf](#))
- SPA Handout: ([.pdf](#))

September 15, 2011 Meeting Agenda, OSPA & SPA Handouts

- Meeting Agenda: ([.docx](#))
- Rebudget Handout: ([.pdf](#))
- SPA Handout: ([.pdf](#))

May 19, 2011 Meeting Agenda, OSPA & SPA Handouts

- May 19, 2011 Meeting Agenda ([pdf](#))
- May 19, 2011 Spousal Conflicts of Interest: *Managing Conflicts: When Spouses Write Grants Together* ([pdf](#))
- May 19, 2011 SPA Handout ([pdf](#))

February 17, 2011 Meeting Agenda & SPA Handouts

- February 17, 2011 Meeting Agenda ([pdf](#))
- Summer Tuition Policy Policy ([pdf](#))
- SPA Handout ([pdf](#))
- [NSF Data Management Plan](#)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2010 Agendas

Thursday, May 10, 2018 9:54 AM

November 18, 2010 Meeting Agenda ([pdf](#)) & SPA Handouts ([doc](#))

- November 18, 2010 Meeting Agenda ([pdf](#))
- SPA DRAFT Effort Reporting and Certification Policy ([pdf](#))
- SPA DRAFT 10/26/10 Effort Reporting and Certification Requirements EASE Forms ([pdf](#))

September 16, 2010 Meeting Agenda ([pdf](#)) & SPA Handouts ([PDF](#)) & OSPA Handouts:

- NIH ([pdf](#))
 - USDA ([pdf](#))
 - NSF ([pdf](#))
- OSPA**
- OSPA: Proposal Team Updates
 - Single-counted Grantsmanship Report
 - No Cost Extension requests and ARRA update
 - Liquid Office Update
 - USDA, NIH and NSF updates
 - FFATA
- SPA**
- Award Requirements for Expenditure Documentation
 - LOST (Lessons of Selected Transgressions) – Episode 1

May 20, 2010 Meeting [Agenda](#) (pdf) & [OSPA Handout](#) (pdf) & [SPA Handout](#) (PDF)

OSPA

- Updates: Liquid Office & OSPA Website
 - RACC-led Study Session 9/13/10
 - OSPA Proposal Team Updates & Reminders
- SPA**
- Distinctions in Funding Increments
 - Error Correction of Payroll Benefits
 - Allowability of ISSO Fee for Processing Foreign Visas
 - Unused Airfare Credits
 - On-line Deposits into 497 Accounts
 - Section-Project Changes on Purchase Orders
 - Sick Leave Retirement Payout
 - Tuition Charged to Federal Sourced Awards

February 18, 2010 [Meeting Agenda](#) (pdf), [SPA Handout](#) (pdf)

OSPA

- Liquid Office Update
- OSPA Proposal Team Updates
- OSPA Industry Team Updates
- Sponsor Updates

- SPECS and other training opportunities

SPA

- Fly America Act Requirements for Federal Funds
- Potential Issues from Departmental Review – Fiscal Compliance Initiative
- Account Closeout - Departmental Procedures
- Cost Share - Annual Documentation Time
- NACUBO Expense Codes for Accounts
- **Miscellaneous Items:**
- On-line Financial Information and e-Reports for PIs
- Comment on FY11 Salary Policy

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2009 Agendas

Thursday, May 10, 2018 9:54 AM

December 3, 2009 [Handouts](#) (pdf) & [Meeting Agenda](#) (doc)

- New OSPA Staff
- Awards Team Changes
- Proposal and Goldsheet Update
- NIH Proposal Changes
- New NSF RCR Requirement
- Draft B-Base Salary Guidelines
- Sponsored Programs Accounting
- Iowa Energy Center - Tuition Policy and Other Terms
- Sponsored Programs Financial Reports
- Access to WEB FM for PIs
- CF Actions- Funding Source Changes - Request from Payroll Office
- Use of PI incentive Accounts
- Open Skies Exceptions to Fly America Act
- October 10, 2009 [Handouts](#) (pdf) & [Meeting Agenda](#) (doc)
- IRB Approval of Research Using Survey Procedures
- Computer Purchases on Federal Funding
- U.S. Dept of Justice Financial Review Update
- NIH Kirschstein NRSA Awards
- E-Verify
- May 21, 2009 [SPA Handout](#) (doc)
- Subrecipient Monitoring
- Final Invoices From Subawardees
- Isu Sponsored Programs Costing Policy
- Review Of Office Supply Purchases On Federal Accounts
- Arra (Recovery Act) Reporting Requirements
- MISCELLANEOUS & WebFM Updates

Thursday, February 19, 2009, South Ballroom, Memorial Union [\[Download Agenda\]](#) (PDF, 1 page)

SPA ([handout all-in-one file](#)) (PDF, 7 pages)

- Letters of Intent (LOIs) and Vacation Payouts (Brenda Behling, Vicki Brubaker, and Becky)
- Invention Disclosure to ISURF (Donna Johns)
- Review of SP Financial Reports for Subcontracts (Jeanne)
- Yale University - Department Justice \$7.6M Settlement (Troy)
- WebFM Sponsored Programs Training (Troy)
- WebFM- RMM IDC Summary Screens
- ISU Implementation of 1/5/09 NSF Terms for PI Salary
- Miscellaneous:
- E-reports Update
- Intramural Pre-Billing
- SPA & OSPA
- Kualu Update (Marva, Jeff, and Suzanne)
- e-verify Update (Joanne and Becky)
- Professional Development Opportunities
- Big XII Sponsored Programs Conference; March 3-5, Lawrence, KS
http://www.hbc.ku.edu/Big_XII/home.shtml

- NCURA Region VI Spring Meeting; April 26-29, Minneapolis, MN
<http://www.ncuraregioniv.com/>
- SRA International Midwest Section Meeting May 2-5, Sioux Falls, SD
<http://www.srainternational.org/sra03/template/tntbMWsa09.cfm?id=2198>
- SPECS starts February 24
OSPA ([handout all-in-one file](#)) (PDF, 1 page)
- Pre-Award Updates (Suzanne)
- OSPA Personnel Changes & Opportunities (Joanne)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2008 Agendas

Thursday, May 10, 2018 9:55 AM

Thursday, December 4, 2008, South Ballroom, Memorial Union [[Download Agenda](#)] (PDF, 1 page)

SPA

- Advances - Types and Procedures (Bill Cahill and Becky)
- Graduate Student Fellowships (Becky)
- Departmental Reviews - Fiscal Compliance Initiative (Jeanne)
- NSF - Revisions to PI/Senior Project Personnel Salary Policy (Becky)
- Direct Costing - Proportional Benefit Rule
- WebFM/Account Title System Updates
- E-reports in AccessPlus - Demo and Survey
- SPA & OSPA
- SPECS 2009 (Joanne and Troy)
- KUALI Coeus Update (Joanne, Marva, Jeff)
- OSPA ([handout all-in-one file](#)) (PDF, 14 pages)
- E-Verify (Joanne)
- Proposal Updates (Suzanne)

Thursday, September 18, 2008, Pioneer Room, Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Kuali Coeus (Charlotte Bronson) - research administration software (<http://www.kuali.org>)
- e-Verify (Joanne)
- FDP Update (Joanne & Becky) - [Research Terms and Conditions Agency Implementation Statements](#) (PDF)
- Research Terms & Conditions, subawards (Tammy) [Research Terms and Conditions Prior Approval and Other Requirements Matrix* **. July 2008](#) (PDF)
- USDA F&A Rate (22%) (Diane M & Marva) [Application of Indirect Costs for FY 2008 Awards After the Passage of the Food, Conservation, and Energy Act of 2008](#) (PDF)
- Proposals - sub-recipient letters of commitment, transmittal letter (Diane M. & Joanne)
- [Minority Impact Statement](#) (Joanne & Anne)
- Updated [Supplemental Budget form](#) (Suzanne)
- SPA ([handout all-in-one file](#)) (PDF, 7 pages)
- Introduce New SPA Accountant, Jamy Rentschler
- Advanced Accounts (Troy)
- Reduction of Effort by Key Personnel (Troy)
- Federal Equipment - Restricted and On Loan (Jeff)
- US Dept. of Justice Financial Review (Jeanne)
- Post Doc Benefits (Becky)
- Admin Accounts vs. Sub Accounts (Becky)
- Main Accounts vs. Control Accounts (Becky)
- Incentive and Residual Funds (Becky)

Thursday, May 15, 2008, Gallery, Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Introduction of new [staff](#) members - Susan Masters & May Wu, Proposal Team
- HelpDesk email addresses:
- [LiquidOfficeSupport](#) for account setup and system-wide questions,
- [eGoldSheetSupport](#) for technical questions and support for eGoldSheets (OSPA),

- [eReviewSupport](#) for technical questions and support for eReview Forms (ORA)
- [Federal Demonstration Partnership](#) (FDP) Terms and Conditions (includes a reference to http://www.nsf.gov/home/grants/grants_fdp.htm)
- LiquidOffice Update
- [Grants.gov - software compatibility issues](#) (Vista, Office, Adobe)
[SPA \(handout all-in-one file\)](#)
- RMM IDC Distribution
- NSF Allowability for Meetings & Conferences
- Cost Transfers
- Advances
- Fiscal Compliance Update

Tuesday, February 19, 2008, Pioneer Room, Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Introduction of new staff member - Jennifer Otto, Proposal Team
- [Reorganization of Industry Team](#) (Matthew)
- Update on RMM (new budget model) - David Biedenbach
- Update to forms
- GoldSheet (Jamy)
- Supplemental Budget (Tammy)
- [Advanced Account Request](#) (Tammy)
[SPA \(handouts all in one file\)](#)
- RMM (Budget Model) FY09 IDC Distribution
- General Info
- WebFM Screen
- Retroactive Personnel Actions - Cost Transfers

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2007 Agendas

Thursday, May 10, 2018 9:55 AM

Thursday, November 15, 2007, 1131 National Swine Research Information Center [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Quick Update to GoldSheet Change
- Future training announcement
- Planned system downtime
- **December 18, 2007** - Last day to begin routing (PI signs) an "old" GoldSheet. The GoldSheet "Start" function will be turned off at 5 PM.
- **December 26, 2007** - Last day for an "old" GoldSheet to finish routing through **all** approvers (CoPI/Dept/Center/Institute/Extension/College/VP's/ OSPA). The routing system will shut down at 5 PM.
- **January 2, 2008** - First day to start the updated GoldSheet. The GoldSheet system will be available for use by 8 AM.
- Supplemental Budget issues ([form](#)) ([handout](#))
- Continuation/Renewal proposal - when are GoldSheets needed?
SPA([handouts](#) all in one file)
- WebFM Downloads
- WebFM Departmental Commitments
- SPECS Update
- Fall 07 and Spring 08 Tuition Policy
- Cost Share - Annual Documentation
- SPA Reorganization of [Workload](#)
- Miscellaneous Items

Tuesday, September 25, 2007, Campanile Room - Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- [Gift vs. Sponsored Project](#)
- Update to GoldSheet - Conflict of Interest
- Budget Model Update
- SPA
- Fiscal Year End - Correction Vouchers, RET's and Budget Transfers
- WebFM Departmental Notes
- WebFM Demonstration
- [SPA handouts](#) all in one file (PDF file, 2 pages)

Thursday, May 10, 2007, Gallery - Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Introduction of Jodi Reinhart, Awards Team
- Introduction of new electronic forms, Awards Team
- Round Robin Sessions
- [FastLane 101](#)
- Gift vs. Sponsored Project
- Questions and Answers for electronic forms
- CDA's, MTA's, and Industry and Commodity Sponsored Agreements
- Anything you want to know about problematic contract clauses
- SPA
- Fiscal Year End Tasks

- Training Opportunities and Information
- Recent ISU NSF Desk Review
- OIG Audit Updates
- Miscellaneous Items
[[handouts](#), all in one PDF file]

Thursday, February 15, 2007, Gallery- Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Introduction of Lisa Hattery, Industry Services Specialist in OSPA
- Staffing Changes in OSPA, distribution of work in Awards Team (Jody Sanders' last day in OSPA, 2/15/2007)
- Changes to the GoldSheet
- Update on Export Controls [this is a draft document, please contact OSPA if you want a copy]
Sponsored Programs Education and Certification Sessions - [SPECS Training](#)

SPA

- Research Participant Incentives - [Process and New Form](#)
[[handouts](#) below, all in one PDF file]
- Calculation of F&A/Indirect Costs and IDC Codes
- Recent NSF Inquiries of ISU Awards
- NSF Audits at Other Institutions
- HHS OIG and NSF OIG FY07 Audit Work Plans
- Justification for Transfer Box on CVs
- Response to Annual Cost Share Requests for Documentation

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2006 Agendas

Thursday, May 10, 2018 9:55 AM

Thursday, November 16, 2006, 1:15 - 3:00 p.m.; Great Hall - Memorial Union [[Download Agenda](#)] (PDF, 1 page)

OSPA

- [Introduction of new staff in OSPA](#)
- Matthew Bailey, Sr. Assoc. Director, Industry Team, OSPA
- Anne Kinzel, Awards Team, OSPA
- Marva Ruther, Awards Team, OSPA
- Update from [NCURA](#) National Meeting
- Joanne Altieri, Export Controls
- Tammy Polaski, [FDP Subaward Model](#)
- Diane Meyer, [Grants.gov Update](#)
- New OSPA web pages: [Electronic Research Administration](#), [Introduction to Sponsored Funding for Principal Investigators](#), update to [Staff](#) Page
- Grants.gov: Lessons Learned from ISU submissions, refer to the [eRA page](#) and agency-specific Mini-guides
- **SPA** [[handouts](#) all in one PDF]
- Departmental Use of ISU Foundation Funds
- Cost Share - Time for Annual Documentation
- Change in SPA Application of 90 Day Period
- Section Projects on 4xx Accounts - Request for Departmental Review
- FM to the Web Update
- Federally-Owned Equipment Transferred to ISU

September 28, 2006, 1:15 - 3:00 p.m. Gallery MU. [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Introduction of new staff in OSPA and SPA
- Joanne Altieri, Director, OSPA
- Suzanne Schuknecht, Pre Award Administrator, OSPA
- Jeanne Vande Voort, Accountant, SPA
- LEAN update - Tammy Polaski -Awards, Diane Meyer - Industry
- Update on Compliance process - Tammy Polaski, Diane Ament, Becky Musselman
- Advanced Accounts - electronic form and routing changes - Tammy Polaski, Diane Ament, Becky Musselman
- [Budget review on proposals](#) (PDF, 4 pages) - Diane Meyer
- [IDC Waiver](#) process and [form](#) update - Jamy Rentschler
- **SPA** [[handouts](#) all in one PDF]
- 2006 September Meeting - Becky Musselman
- SPA Initiative - Fiscal Compliance Monitoring - Shona Roberts
- 2006 Compliance Supplement - Becky Musselman
- FY06 HHS and NSF Audit work plans - Becky Musselman

May 18, 2006, 1:00 - 3:00 p.m. Gallery MU. [[Download Agenda](#)] (PDF, 1 page)

OSPA

- [No-Cost Extension Requests](#) (PDF, 2 pages)
- Requires sponsor approval
- ISU approved - expanded authorities
- New [Communication Guidelines](#) Approved by OSPA Roundtable
- [How ISU/institutional policies can affect sponsored research](#)

- [Budget review checklist](#) (PDF, 4 pages)
SPA [\[handouts\]](#) all in one PDF]
- Subrecipient Monitoring
- New SPA Initiative
- Responsibilities of PIs
- NIH carry-forward Information
- New, additional or continuation funding and the use of advanced account numbers
- Allocating charges to federal awards
- New class code for off-site facility rentals
- ISU equipment utilization by other institutions

February 23, 2006, 1:15 - 3:00 p.m. Gallery MU. [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Restructuring OSPA - [Teams](#) for Proposals, Awards, and Industry
- The OSPA [Roundtable](#)
- Grants.gov (electronic applications in general) [[Grants.gov Brochure](#), PDF]
- Demo of new budget template (not available for download at this time)
- SPA [\[handouts\]](#) all in one PDF]
- Allowability of Computers on Federal Funding
- ISU Foundation Liaison Update (497 Accounts)
- Reminder - Annual Cost Share Documentation Time
- Certification of EASE Forms - Who Should Sign?
- Repeat from November 2005 Meeting -- OMB Administrative Requirements and Cost Principles
Moved to [CFR Title 2](#)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2005 Agendas

Thursday, May 10, 2018 9:55 AM

November 17, 2005, 1:15 - 3:00 p.m. Pioneer Room MU. [[Download Agenda](#)] (PDF, 1 page)

OSPA

- Grants.gov (electronic applications in general) [E-Grants Vision; Federal Grant Making Agencies; [Grants.gov Brochure](#), PDF]
- [Cost sharing](#) documentation for proposals
- Routing process for the GoldSheet (page 3 of 23; from the [e-GoldSheet User Manual](#), PDF)
- GoldSheet notes (page 9 of 23; from the [e-GoldSheet User Manual](#), PDF)
- Professional Development
- [NCURA](#):
January 24, 2006 - Post-award Issues for Pre-award and Departmental Administrators (SPA will probably host at ISU)
March 7, 2006 - ERA Federal Update
April 2-4, 2006 - Financial Research Administration Conference VII
Regional Meetings all, April 29 - May 2, 2006 Region IV in Grand Rapids, MI
June 13, 2006 - National Securities Issues
September 12, 2006 - Technology Transfer for the Research Administrator
November 5 - 8, 2006 - Annual Meeting, Washington, D.C.
- [SRA](#):
Regional Meeting, April 22 - 25, 2006, Detroit, MI
October 14 - 18, 2006 - Annual Meeting, Quebec City, Canada
- Big XII Annual Meeting, April 5 - 7, 2006, [University of Oklahoma](#)
- [Fringe Benefits](#) calculations
- "Grants" or "Honorariums" to ISU Employees (see [OMB Circular A-21, Section J.10.d.1](#))
- Administrative Costs on Major Projects, use [OMB Circular A-21, Exhibit C](#) to determine if it qualifies as a "Major Project"
- Lean review of OSPA
- [Grant Coordination Functions](#) (review); Role of a Principal Investigator in Sponsored Funding (review)
SPA [[handouts](#) all in one PDF]
- Introduction of Donna Neubauer, SPA Accountant
- SPA Reorganization by College/Unit [[Responsibility Code by Unit](#)]
- Requests for "Transfers" from Foundation Accounts
- OMB Administrative Requirements and Cost Principles Moved to CFR Title 2
- Non-Grant Related Effort Issues Related to Federal Awards
- FM Access for PIs and Other ISU Staff
- Foreign Meal Per Diems and Business Meeting Expenses
- Cost Share - Time for Annual Documentation

September 22, 2005 [[Download Agenda](#)] (PDF, 1 page)

- Introduction of Dr. John Brighton, Vice Provost for Research
www.vpresearch.iastate.edu/docs/rib/2005-09-09v12n04.pdf
- OSPA staff and functions
- GoldSheet tips
- Changes to form
- Load from previous
- Using the "status" form
- Copy of final proposal
- [Subcontracting](#)
- Industry and recovery of F & A costs

- [Budget justification tips](#)
- Site maps / navigating the OSPA website
- ISU Confidential Hotline
https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=10745
- [SPA Topics](#)
- Introduction of Jeff Klein, SPA Accountant
- SPA organization by college/unit
- Indirect cost incentive program
- U.S. EPA audit
- Justification on cost transfers (CVs & retroactive personal actions)

May 12, 2005 [[Download Agenda](#)] (PDF, 1 page)

- Introduce Jamy Rentschler - Budget Analyst - (515) 294-2859 jamyr@iastate.edu
- [Modular Budgets](#) (Excel File)
- Progress/Technical Reports
- OSPA Survey
- Updated Website - www.ospa.iastate.edu
- Liquid Office - <https://grant001.ats.iastate.edu>
- [SPA Topics](#)
- Revenue Codes for 4xx Accounts
- Rebudgeting Basics
- Web Requisitions- Changes to Fund Account Splits
- Participant Incentives for Human Subjects
- Recent Effort Certification Issues
- HHS OIG Pilot Audits
- OSPA & SPA Summer Hours 7:30-4

February 17, 2005

- Introduce Gary Gillet, Associate Director - Industry
- PI Eligibility - www.vpresearch.iastate.edu/docs/policies/pi_eligibility.html
- Notification/Communication process
- OSPA comprehensive review and evaluation of campus Proposal and Award process
- [NIH Modular Budgets](#)
- [ESNAP](#) - NIH electronic research administration
- Professional Development Opportunities:
- Big XII meeting in Lubbock, Texas, May 18-20, 2005
For more information, www.ors.ttu.edu/Big_XII/index.htm
- SRA/NCURA Spring meeting in Chicago, May 1-4
For more information, visit [NCURA Meetings](#) (NCURA) or at SRA
- The following five items are in one PDF file [[SPA handout](#)] (PDF File, 5 pages)
- FY'05 - Scholarship Class Code Changes
- NSF Grant Policy Manual - Allowability of Meals and Coffee Breaks at Meetings
- 4xx Account Closing Procedures
- SPA Visits to Departments
- Follow-up - Use of Incentive Funds for PI's Salary
- Internal Audit Update

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2004 Agendas

Thursday, May 10, 2018 9:55 AM

November 11, 2004

- Cost Share Overview and Annual Documentation Procedures
- Use of Discretionary (290) and Incentive (490) Funds
- Retroactive Personnel Actions and Related Tuition Cost Transfers
- Update: Intramural Expenditure Documentation Issues
[[Hand out](#)] (PDF File, 3 pages)
- Compliance Approval - Proposals, Awards (New and Existing), Advanced Account Numbers
- [Training](#) - Fundamentals, Advanced e-GoldSheet
- Pre-Proposals
- PI Transfers -To/From ISU
- Gifts vs. Contracts
- Conflicts of Interest

September 22, 2004

- Post Award Departmental Responsibilities
- New Correction Voucher Forms and Discussion of Appropriate Justifications for Cost Transfers
- Transaction Codes
- Foundation Account Guidelines
- Disposal of Property Purchased with Federal Funds
- NSF Conference Grant Audit
- Internal Audit Update
- Allowability of Fees on Sponsored Program Accounts
[[Handout](#)] (PDF File, x pages)
- Responsibilities of Proposal Submission - Before/After
- Upcoming [Training](#) Opportunities

May 19, 2004

- Indirect Cost Posting Exceptions
- [Vacation Pay Outs](#)
- New Class Code 387-00
- NIH Grants Policy Statement Changes
- New USDA [Indirect Cost Rate](#)
- New [Tuition Policy](#)
- FIFO
- [Training](#)
- Sending Final Copies of Proposals to OSPA
- Liquid Office update
- Big XII Sponsored Programs Conference

February 19, 2004

- [3% Surcharge by EH&S](#)
- New [Tuition Policy](#)
- "Final" Proposals Sent to OSPA
- Big XII Sponsored Programs Conference
- [Internal Audit Update, Program Income, Receipts in Excess of Budget Procedures](#)
- Fly America Act (AI Brooks)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2003 Agendas

Thursday, May 10, 2018 9:55 AM

November 20, 2003

- [Grant Coordinator Roles and Responsibilities](#)
- Big XII meeting May 12-14, 2004 @ Embassy Suites in Des Moines
- Pre-Proposals
- Electronic Applications - [Grants.gov](#)
- [Equipment Transfers](#)
- [Departmental Fiscal Responsibility](#)
- [Account Closeout](#)
- Holiday Schedule - OSPA will be closed December 24, 2003 - January 2, 2004

September 18, 2003

- Sponsored Programs Accounting
- [Internal Audit Findings](#)
- [PI Update Memo](#)
- [SPA Approval for Equipment Items \(> \\$5,000\)](#)
- [SPA Approval of retroactive Electronic Personnel Actions](#)
- [Foundation Liaison and System Update](#)
- Departmental Statement Descriptions for Funds Received by SPA
- Sponsored Programs Financial Report : Web Questionnaire
- Office of Sponsored Programs Administration
- e-GoldSheet
- Gifts vs. Grants
- Big XII Conference, May 2004

June 12, 2003

"Tools for the Departmental Administrator"

"The National Council of University Research Administrators (NCURA) is offering a web seminar targeted for departmental administrators next Thursday, June 12, from 11:30 am to 1:00 pm (central time). The College of Engineering is hosting this seminar in the Alliant Energy Lee Liu Auditorium in Howe Hall. All grant coordinators are invited and encouraged to attend."

[[Handout](#)] (PDF File, 31 pages)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Agencies

Thursday, May 10, 2018

1:29 PM

Electronic Research Update:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

November 16, 2017

NIH Proposal Package FORMS-E

NIH is transitioning from the grants.gov proposal package FORMS-D to an updated FORMS-E. The change will take effect for proposals with due dates on or after January 25, 2018. Here's what you need to know:

- Proposals due prior to January 25 should continue to be prepared using FORMS-D proposal packages
- eRA Commons is currently displaying a warning for proposals submitted with FORMS-D. This warning should be ignored for any proposal with a due date before January 25.
- Cayuse is working proactively to make sure you have the FORMS-E proposal package available to create your proposal package- please make sure you draw down the correct opportunity before you being assembling an NIH Cayuse package.
- After the January 25 transition, Cayuse will show an error to applications using FORMS-D. When this happens, you will need to use the transform proposal function to move the proposal data in a FORMS-E opportunity.

NIH Two-Factor Authentication

Tuesday, March 1, 2022 3:39 PM

NIH Two-Factor Authentication

NIH eRA Commons requires a two-factor authentication for all PIs beginning September 15, 2021. PIs will have to choose to log in using either login.gov (which requires setup of a login.gov account) or select Iowa State University in the dropdown of Federated Accounts and then the system will redirect to ISU's single sign-on. The first time that a user logs into the system, the system prompts them for their eRA Commons password. The eRA Commons password must be available to log in.

On a related note, PIs will have a grace period of 45 days after a proposal is submitted or an RPPR is due to get their account converted over to two-factor authentication before their account becomes disabled.

Updated Guidelines for Submission of NIH Modular Budget

Tuesday, February 16, 2021 9:56 AM

Updated Guidelines for Submission of NIH Modular Budgets April 2019

NIH uses a streamlined approach to projects with funding levels proposed at or below \$250K in annual direct costs, where the only information that is required by NIH is the personnel effort on the Personnel Justification, the total direct costs (which must be requested in modules of \$25K) and the F&A costs. A detailed budget and justification is not required and will not be accepted by NIH.

Iowa State has followed suit with only requiring detailed cost information on the ISU Budget for personnel, fringe benefits, and those budget line items that impact the F&A calculation. All other costs can be lumped together under the "Other" budget line. The budget lines that impact F&A and therefore require a detailed budget are as follows:

- Equipment
- Tuition
- Patient Care
- Consortium/Subawards (including breakout into direct costs and F&A costs)

Most PIs do not take advantage of the option to provide a less detailed ISU budget with their GoldSheet presumably because they find the detailed ISU budget to be useful for planning purposes or because their department or college/RRC requires a detailed budget. If the proposal is awarded OSPA does not require a detailed budget in order to set up an award.

Changes to OSPA Review of NIH Modular Budget Projects

OSPA reviews GoldSheets containing modular budgets in the same manner as all other GoldSheets. OSPA reviews for compliance to University policy and sponsor requirements, and ensures the ISU budget and NIH modular budget and personnel justification are in agreement and are correctly calculated.

1. In cases where a discrepancy exists between the ISU budget and the NIH modular budget in Cayuse, OSPA will make changes to the ISU budget to match the Cayuse budget when OSPA has the time and resources to do so. In instances where OSPA staff make changes to the ISU budget, the updated ISU budget template will be emailed to the PI, Grant Coordinator, and lead RRC to notify them of the change and ask the PI to approve the budget. By instructing OSPA to submit the proposal, the PI is providing implicit approval of the budget changes.
2. If other changes are needed, OSPA returns the proposal to the PI/Grant Coordinator for edits.

- Cayuse Tips & Trick:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>



Cayuse Tips & Tricks

OSPA Pre-Award – May 2016

Starting a Proposal Package

First search for the opportunity using the search field. Either the opportunity number or the title may be used.



If the opportunity has not been drawn down, click on the Download Opportunities button and search for the opportunity, using the Opportunity Number. If you are unable to find it, the CFDA may be used. Note: The CFDA number may yield a large number of results.

Cayuse uses a number of icons to complete tasks. Position the mouse over the icon to reveal its function.



Use Plus sign next to the correct opportunity to start a proposal



Copy/Transform icon is used to transform a Cayuse package into a new opportunity or make a copy of an existing proposal. This will reduce data entry for resubmission and allow you to make changes to a proposal package while also having a backup (Cayuse automatically saves changes).



Pencil icon represents autofill which draws information from the Cayuse database. Use Autofill whenever possible to reduce time spent in data entry and reduce clerical error. Note: If you see an error on the autofilled information, correct it in the people tab.



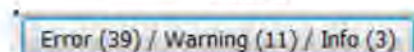
Re-autofill is used to refresh from the people or institution tab any updates that may have been added since the proposal was started.

- If you utilize re-autofill, information that has been hard entered will disappear
- Re-autofill on the budget sections will cause newly entered F&A rates to appear



Permissions

Permission should always be granted to the PI to access proposal as soon as it is initiated



Errors and warnings are just a guide devised based on what the agency generally expects. They are not program specific.

You must always *read and follow the instructions from the RFP.*

Validate Proposal

Under electronic submission tab, conduct a final check to validate proposal. This validation is connected to grants.gov and it will show what errors will actually occur at submission.



The Replicate/Escalate staircase will replicate and escalate detailed budgets. Use "replicate" to copy selected budget categories from one budget period to another. Use "escalate" to increase budget line items by a specific percentage across several budget periods.



The Replicate Escalate function will replicate and escalate defined budget. Use Replicate to copy selected budget categories from one budget period to another. Use “escalate” to increase budget line items by a specific percentage across several budget periods.



[Support](#)

Cayuse Help and Support files may be found by selecting the support button at the bottom of the screen in the Overview tab. Use the search function to browse topics. Contact information for the Help Desk may also be found here.

NIH Single IRB Review Policy

Thursday, May 10, 2018 4:22 PM

NIH Single IRB Review Policy:(.pdf)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

NIH Single IRB Review Policy Effective January 25, 2018

Source: <https://osp.od.nih.gov/clinical-research/implementation-of-the-sirb-policy/>

Single IRB (sIRB) Policy: Requires that a single IRB handle ethical review of non-exempt human subjects research that uses the same protocol but is conducted at multiple sites. This differs from current practice, which *allows* but does not *require* single IRB review.

To carry this out, an IRB at one of the sites must agree to be responsible for IRB review of the research occurring at all sites, and all sites must agree to defer their oversight to the reviewing IRB.

Formal agreements (called “reliance agreements” or “institutional authorization agreements”) must be established between institutions that outline responsibilities.

FAQ's

What types of studies are expected to use a single IRB under the new NIH policy?

The NIH single IRB policy applies to the domestic sites of NIH-funded multi-site studies where each site will conduct the same protocol involving non-exempt human subjects research, whether supported through grants, cooperative agreements, contracts, or the NIH Intramural Research Program.

The NIH single IRB policy does not apply to studies conducted under career development, research training or fellowship awards. Under the policy, “multi-site” is defined as two or more sites. Foreign sites participating in NIH-funded, multi-site studies will not be expected to follow this policy. The policy recognizes that it may not always be possible to use a single IRB, and it provides for exceptions.

When does the single IRB policy take effect?

The single IRB policy is effective for grant applications received for due dates on or after January 25, 2018. For contracts, the policy applies to all solicitations issued on or after January 25, 2018. Please note that this date is eight months later than the effective date that appears in the published single IRB policy. NIH decided to extend the effective date to provide additional time for implementation.

The NIH single IRB policy states that it applies to domestic “NIH-funded multi-site studies.” What does “NIH-funded multi-site studies” mean?

For the NIH single IRB policy, “NIH-funded multi-site studies” mean that the same protocol involving non-exempt human subjects research is being conducted at more than one site and is being wholly or partially funded by NIH.

What is meant by the “same research protocol” for the NIH single IRB policy?

Protocols that address the same research questions, involve the same methodologies, and evaluate the same outcomes are considered to be the “same research protocol.” Additionally, sites that are accruing research participants for studies that are identical except for variations due to local context consideration would be considered to be conducting the “same research

protocol.” If a study involves a separate site for study coordination or coordination of data and statistical analyses and the site is conducting the same protocol as the other participating sites, then all sites would be expected to rely on the designated single IRB.

Investigators who have questions about whether specific research protocols fall under the policy should discuss them with the Program Official listed on the FOA.

Who is responsible for selecting the single IRB for an NIH award and when must this be done?

In the NIH application/proposal for research funding, the applicant/offeror is expected to submit a plan describing the use of a single IRB that would be selected to serve as the IRB of record for all study sites. Where possible, the plan would identify the IRB that will serve as the single IRB. For delayed-onset research, where the IRB cannot be identified, applications/proposals should include a statement indicating that award recipients will follow the NIH single IRB policy and will provide a single IRB plan to the funding NIH Institute or Center prior to initiating a multi-site protocol.

Potentially Challenging areas:

Must the participating sites proposed in the NIH application agree ahead of time to rely on the single IRB identified in the application?

Sites should agree to a single IRB arrangement prior to the submission of an application or proposal. The applicant should indicate the participating sites’ willingness to rely on the selected single IRB in the single IRB plan.

Does the NIH single IRB policy apply in cases where the sites in a multi-site study are funded by multiple NIH awards?

Yes. The policy applies to NIH-funded collaborative research protocols where all sites for a particular study are conducting the same protocol, regardless of the number of NIH awards funding that study protocol.

If an NIH awardee has an ongoing multi-site trial that is still recruiting, must a single IRB be selected and take over the review for all participating sites?

The NIH single IRB policy applies to all competing grant applications (new, renewal, revision, or resubmission) with receipt dates on or after the policy effective date. Ongoing, non-competing awards will not be expected to follow the policy until the grantee submits a competing renewal application after the policy is in effect. For contracts, the policy applies to all solicitations issued on or after the effective date.

Will signed Reliance Agreements from participating sites need to be in place prior to NIH funding?

No. Signed reliance agreements from participating sites will not be required to be in place prior to funding a multi-site study but must be in place prior to starting the proposed multi-site human subjects research. A Reliance Agreement must be in place at a participating site before that site engages in human subjects research for the project.

In what timeframe is an NIH awardee expected to execute the Reliance Agreement with participating sites?

NIH requests certification of IRB approval as part of the Just-in-Time process. However, NIH recognizes that, for some studies, obtaining signed Reliance Agreements among sites may take longer to complete. In such cases, an acceptable timeframe for establishing the single IRB and obtaining IRB approval must be agreed upon by the NIH funding Institute or Center and the award recipient(s). Awards will not be made without certification of IRB approval; however, in extenuating circumstances the grant award will be made without certification of IRB approval but will include terms and conditions restricting all human subjects activities. Once the Reliance Agreements are signed and IRB approval is obtained, the NIH Institute or Center will lift the restrictions by revising the Notice of Award and the award recipient may then start the proposed multi-site human subjects research. A Reliance Agreement must be in place at a participating site before that site engages in human subjects research for the project.

RPPR

Wednesday, March 6, 2019 1:02 PM

- NIH RPPR to Awards Team:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

eRA Commons Submission Process for NIH Research Performance Progress Reports (RPPR)

Annual and final NIH research performance progress reports (RPPR) are completed and submitted in the eRA Commons system. Currently at Iowa State the Annual RPPR is completed by the Principal Investigator (PI) and either submitted by the PI or a delegate within the department. In contrast, the Final RPPR is currently completed by the PI and submitted by an OSPA Pre-Awards Team member as the Signing Official (SO). The new process will no longer include the Pre-awards Team but rather the responsibility for SO submission will now be with the Post-Awards Team (Kristy Stallman, Aaron Lott and Jeff Klein).

The OSPA Awards Team Signing Official will **NOT** review the report for accuracy and completeness but will only act to submit the report and resolve report edit errors with the PI and department. Because the submission requires the SO to certify compliance, accuracy and validity of the report, OSPA will require the PI to provide a separate certification statement to mitigate risk for Iowa State. This is due to the nature of the report and the content of the report, which is not easily verifiable by the SO. The following statement will be required from the PI before OSPA submits the final RPPR to NIH. OSPA will require the statement to be in the form of an email from the PI or a separate signed document.

In completing this RPPR for grant <Insert NIH award number>, <insert PD/PI name> certifies to the best of my knowledge that Iowa State University is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal and scientific information in the progress report. I further certify that I am accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report.

5/10/2018

Kristy Stallmann, Award Administrator, OSPA

(515) 294-6913

kstall@iastate.edu

Authorized Signatory for awards and post-award activities for the College of Business, Design, Engineering and Human Sciences , Office of the Vice President for Research, Office of the Senior Vice President and Provost, and Division of University Services and Division of Finance (formerly) Office of the Senior Vice President for Business and Finance).

Aaron Lott, Award Administrator, OSPA

(515) 294-6290

lotta@iastate.edu

Authorized Signatory for awards and post-award activities for the Ag Experiment Station Veterinary Medicine, and Office of the Senior Vice President for Student Affairs. Special Assignments: AES/VET USDA Research Support Agreements (Task Orders); and AES Iowa Nutrient Research Center and Leopold Center Grant Agreements.

Jeff Klein, Award Administrator, OSPA

(515) 294-0523

jeklein@iastate.edu

Authorized Signatory for awards and post-award activities for College of Liberal Arts and Sciences, Extension and Outreach, and Office of the President. Special Assignments: VPR INTRANS Iowa DOT Addendums and Amendments; PRES Regent Innovations Fund Grant Agreements.

5/10/2018

Electronic Research Update:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

November 16, 2017

NSF Electronic Research Administration Changes

NSF is working to modernize and streamline the user experience in FastLane and Research.gov. Here's what you need to know

- NSF is working to identify and discontinue multiple accounts held by the same person-investigators may find that they are locked out of their account if it has been identified as a duplicate.
- OSPA can no longer reset passwords for FastLane/research.gov users due to increased security measures
- NSF will be migrating its new user setup to a system where users will use a personal (e.g. gmail) email that they will always have access to in order to establish an account, and then use a business (e.g. Iowa State) email for notices and business purposes associated with proposals and awards. The intent here is to allow an individual to always have access to their NSF information, even if they transfer to a new Institution
- NSF continues to transition from FastLane to Research.gov for many functions- make a habit of using research.gov as a starting place rather than FastLane.

Transition to Research.gov

Tuesday, March 1, 2022 3:39 PM

NSF Transition to Research.gov

NSF (National Science Foundation) continues its transition from FastLane to Research.gov and they are asking that institutions continue to transition proposals into Research.gov. FastLane is planned to be discontinued December 31, 2022 and at that time all proposals will go through Research.gov. Please take note of submission instructions as an additional wave of opportunities will be available in Research.gov in October 2021.

We recently saw an issue where on-campus users were not able to access FastLane and it is likely that bugs will go unresolved in FastLane as NSF switches their effort to research.gov. Initially we avoided Research.gov due to bugs, but the time has come to really put our efforts into learning the new platform before it's the only option available to us.

NSF Salary Rebudget Request Form

Monday, May 14, 2018 1:34 PM

NSF Salary Rebudget Request Form -
November 17, 2016 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

**IOWA STATE UNIVERSITY
NSF SALARY REBUDGET REQUEST FORM**

Note: A separate request form must be completed for each state fiscal year (July 1 to June 30).

Name of PI/Senior Personnel: _____
 Academic/Home Department: _____
 For ISU Fiscal Year Ending June 30, _____

List all NSF and NSF flow-through accounts that are requested to be charged salary in the stated fiscal year.

ISU Account Number(s)	NSF-Funded Person Months in Fiscal Year	# of Months Requested To Be Charged in Fiscal Year	Change to Statement of Work?
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
	0.00	0.00	

Justification for charging more than two months of salary in the stated fiscal year (include detail specifying the level of effort to be incurred and, if applicable, the programmatic reasons necessitating any increased in effort):

Form Completed By: _____ Date: _____
 PI/Senior Personnel Signature: _____ Date: _____
 OSPA Awards Team Approval: _____ Date: _____

From Appendix D, ISU Effort Reporting Requirements -

Salary Charges to National Science Foundation Awards:

1. No more than two months' salary from ALL NSF awards may be charged during a one year period (including flow-through funding from NSF) unless rebudget approval has been received from the OSPA Awards Team. Please see the ISU NSF Salary Rebudget Request form and instructions located on the Forms page of the OSPA website.
2. ISU has defined the "one year period" to correspond with the state fiscal year: July 1st through June 30th.
3. If 100% of a B-base employee's salary is charged to an NSF project, then 100% of this employee's effort for the respective week, month or semester must be devoted to that same project, i.e., no teaching, no personal time from work, no administrative duties, no proposal writing, etc...
4. Effort devoted to the NSF projects during the academic year may not be compensated for during the summer.

Return to OSPA: ospa-awards@iastate.edu or 1138 Pearson Hall

USDA

Wednesday, March 6, 2019 12:42 PM

USDA ARS Affiliates - VPR Policy 2-3-22 FINAL

Tuesday, March 1, 2022 4:02 PM



USDA ARS Affiliates - VPR Policy 2-3-22 FINAL

USDA ARS Affiliates Who Participate on ISU Proposals and Funded Awards

*Office of the Vice President for Research
Updated February 3, 2022*

Federal Requirements

ISU has received guidance from USDA ARS that USDA ARS affiliates cannot serve as the Lead PI on Iowa State University (ISU) proposals or awards. This guidance from USDA ARS is consistent with ISU and federal policy to ensure USDA ARS employees are appropriately representing their affiliation with USDA ARS as federal employees when proposing collaborative activities in conjunction with ISU. Although USDA ARS affiliates cannot serve as the Lead PI on ISU proposals or awards, USDA ARS affiliates can continue to collaborate on ISU proposals or awards as indicated below.

USDA ARS Affiliates as Co-PIs on ISU Proposals to NSF

With authorization from USDA ARS, USDA ARS affiliates can serve as Co-PIs on ISU proposals to the National Science Foundation (NSF) and on ISU proposals to third parties that intend to submit a proposal as the prime on an NSF funding opportunity and intend to subaward to ISU. Should USDA ARS affiliates be interested in serving as Co-PI or as key personnel on an NSF (or NSF pass through) proposal to be submitted by ISU, they are required to submit a letter of collaboration from USDA ARS identifying the USDA ARS affiliates involved in the proposed project to the Office of Sponsored Programs Administration (OSPA) prior to proposal submission. For ISU proposals to NSF (or NSF pass through) involving USDA ARS affiliates, the USDA ARS affiliates will be listed on the proposal as an unfunded Co-PI or key personnel with a USDA ARS affiliation.

USDA ARS Affiliates as Subrecipients on ISU Proposals to Non-NSF Entities

For ISU proposals involving USDA ARS affiliates to be submitted to any sponsor other than NSF (or NSF pass through), USDA ARS requires ISU to budget a subaward or subcontract to USDA ARS for their participation in the project. A USDA ARS letter of collaboration is also required for this type of subrecipient collaboration prior to proposal submission by ISU. USDA ARS affiliates should not be listed as a Co-PI on ISU proposals to USDA ARS.

GoldSheets will not include USDA ARS Affiliates

USDA ARS affiliate participation in NSF proposals will be as a USDA ARS employee, and not as an ISU employee. Effective June 18, 2018, USDA ARS affiliates cannot be listed on the ISU GoldSheet, and the USDA ARS affiliate will not be considered an ISU PI or ISU Co-PI in recognition of the USDA affiliate's status as a federal employee. In addition, USDA ARS affiliates cannot submit proposals on behalf of ISU.

Upon Receipt of an Award

If an award is granted, USDA ARS affiliates are not authorized to have any supervisory or financial authority over an ISU project or ISU personnel or students. Consequently, USDA ARS affiliates cannot manage any ISU funds and, as a result, cannot be listed or named as a fiduciary authority on any ISU accounts. USDA ARS affiliates are also not eligible to receive ISU incentive.

We appreciate your cooperation regarding this matter. If there are questions regarding the above, please contact the OSPA Director or OSPA Assistant Director at 294-5225.

ARS Affiliates VPR Policy (OLD)

Wednesday, March 6, 2019 12:43 PM

- 2018
- USDA ARS Affiliates - VPR Policy. (.pdf)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

USDA ARS Affiliates Who Participate on ISU Proposals and Funded Awards

*Office of the Vice President for Research
June 18, 2018*

Federal Requirements

ISU has received guidance from USDA ARS that USDA ARS affiliates cannot serve as the Lead PI on Iowa State University (ISU) proposals or awards. This guidance from USDA ARS is consistent with ISU and federal policy to ensure USDA ARS employees are appropriately representing their affiliation with USDA ARS as federal employees when proposing collaborative activities in conjunction with ISU. Although USDA ARS affiliates cannot serve as the Lead PI on ISU proposals or awards, USDA ARS affiliates can continue to collaborate on ISU proposals or awards as indicated below.

USDA ARS Affiliates as Co-PIs on ISU Proposals to NSF

With authorization from USDA ARS, USDA ARS affiliates can serve as Co-PIs on ISU proposals to the National Science Foundation (NSF) and on ISU proposals to third parties that intend to submit a proposal as the prime on an NSF funding opportunity and intend to subaward to ISU. Should USDA ARS affiliates be interested in serving as Co-PI or as key personnel on an NSF (or NSF pass through) proposal to be submitted by ISU, they are required to contact their USDA ARS Administrative Officer for authorization. A copy of the approved authorization from USDA ARS identifying the USDA ARS affiliates involved in the proposed project must be forwarded to the Office of Sponsored Programs Administration (OSPA) prior to proposal submission. For ISU proposals to NSF (or NSF pass through) involving USDA ARS affiliates, the USDA ARS affiliates will be listed on the proposal as an unfunded Co-PI or key personnel with a USDA ARS affiliation.

USDA ARS Affiliates as Subrecipients on ISU Proposals to Non-NSF Entities

For ISU proposals involving USDA ARS affiliates to be submitted to any sponsor other than NSF (or NSF pass through), USDA ARS requires ISU to budget a subaward or subcontract to USDA ARS for their participation in the project. USDA ARS authorization is also required for this type of subrecipient collaboration prior to proposal submission by ISU. USDA ARS affiliates should not be listed as Co-PI on ISU proposals to USDA ARS.

GoldSheets will not include USDA ARS Affiliates

USDA ARS affiliate participation in NSF proposals will be as a USDA ARS employee, and not as an ISU employee. Effective immediately, USDA ARS affiliates cannot be listed on the ISU GoldSheet, and the USDA ARS affiliate will not be considered an ISU PI or ISU Co-PI in recognition of the USDA affiliate's status as a federal employee. In addition, USDA ARS affiliates cannot submit proposals on behalf of ISU.

Upon Receipt of an Award

If an award is granted, USDA ARS affiliates are not authorized to have any supervisory or financial authority over an ISU project or ISU personnel or students. Consequently, USDA ARS affiliates cannot manage any ISU funds and, as a result, cannot be listed or named as a fiduciary authority on any ISU accounts. USDA ARS affiliates are also not eligible to receive ISU incentive

If an award is granted, USDA ARS affiliates are not authorized to have any supervisory or financial authority over an ISU project or ISU personnel or students. Consequently, USDA ARS affiliates cannot manage any ISU funds and, as a result, cannot be listed or named as a fiduciary authority on any ISU accounts. USDA ARS affiliates are also not eligible to receive ISU incentive.

We appreciate your cooperation regarding this matter. If there are questions regarding the above, please contact the Director of the Office of Sponsored Programs Administration (OSPA) or Manager of the OSPA Pre-Award Team at 294-5225.

IFR Sample (Incoming Funds Records)

Wednesday, March 6, 2019 12:54 PM

- SAMPLE - USDA IFR. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

07/20/18

Agricultural Research Service
Agricultural Research Information System
Authorization to Apply for and Use Funds From Outside Sources
Incoming Funds Records

Modecode/Log Number: 5030-20-15 0063648

Status: Pending

Date Created: 06/29/2018

Pre-Award Approval: 07/18/2018

Location/Management Unit Name:

AMES, IOWA
NATIONAL ANIMAL DISEASE CENTER
FOOD SAFETY AND ENTERIC PATHOGENS RESEARCH

ARS PI:

Email:

Series: Microbiology

Purpose of Funds: Research > 25,000

Type of Agreement: Reimbursable Cooperative Agreement

ARS Agreement Holder: Yes

ARS Agreement Holder Log No:

ARS Proposed Total Funding: \$60,000.00

Grant Proposal: Yes Grant Awarded:

Date:

Internal Comments:

07/17/2018 Grant proposal being submitted to USDA, NIFA, AFRI, (Agriculture and Food Research Initiative). If awarded, total award is \$500,000 to Iowa State University and of those funds ARS to receive \$60,000 in sub agreement from ISU.

7-03 tmd, sent to rw for review

7-09 rw, provided revisions to the objective and approach; tmd, made revisions per rw

7-09 cl, provided that the \$5,000 identified for federal salaries is intended to be a summer/part-time student that would spend 100% of time on the project.

7-09 rw, approved

7-09 tmd, sent to chh for review

7-09 chh, approved

Original Source of Funds:

0166 NIFA - AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI)
COMPETITIVE GRANTS PROGRAM, U.S. DEPARTMENT OF AGRICULTURE

Type: USDA

Direct Source of Funds:

1414 IOWA STATE UNIVERSITY

Type: Non-Federal

IPSC: Non Exempt

Start Date: 01/01/2019

End Date: 12/31/2020

Duration: 24 (months)

Budget Records Detail

Fed Salaries: 5,000.00

Equipment: 0.00

Supplies: 44,500.00

Travel: 4,500.00

Other Costs: 0.00

Extramural: 0.00

IPSC Amt: 6,000.00

Total Proposed: \$60,000.00

Does ARS PI or any full-time resident of your household have any activity or financial interest (dealings) with the Cooperating Organization or are you applying as an adjunct scientist? No

07/20/18

Agricultural Research Service
Agricultural Research Information System
Authorization to Apply for and Use Funds From Outside Sources
Incoming Funds Records

Area Ethics Advisor Review:

Confirmation and determination of 'dealings' question responded by SY.

No dealings, no conflict

Signature	Recommended	A/D	Date	Signature	Approved / Concurred	A/D	Date
RL:	xxxxxxx	A	07/02/2018	NPL:			
CD/LD/DAD:	Kehrli, Jr Marcus F	A	07/02/2018	BPMS:			
AO:				DA:	LINDSAY JAMES A	A	07/18/2018
SBFO:							
AD:	xxxxxx	A	07/11/2018				
ADO:							

***** Official *****

07/20/18

**Agricultural Research Service
Agricultural Research Information System
Authorization to Apply for and Use Funds From Outside Sources
Incoming Funds Records**

Modecode/Log Number: 5030-20-15 0063648

Title of Proposal:

Immunometabolism Governance of Immune Cell Function and
Metabolic Partitioning During Health Challenge in Pigs

Objective:

To better understand the effect of infection on T cell metabolism as it relates to function and test the ability of metabolic substrate availability to impact immune cell function, we propose the following specific aims:

1. Fully characterize and contrast the metabolic and immunological state of activated peripheral T cells.
2. Identification of mechanisms controlling IFN-gamma transcription and translation in effector T cells.

Approach:

Blood samples will be collected and processed in order to evaluate metabolic state and function of T cells. T cells will be sorted from the total peripheral lymphocyte population for evaluation. Basal metabolic state and the effects of adding different amounts of metabolic substrates or pathway inhibitors to the T cell cultures will be evaluated as they relate to metabolism and function (cell proliferation and cytokine production). Blood samples will be collected from animals in both objectives 1 and 2. Recently developed methods used in immunology research that have been modified by ARS will be used for evaluation of metabolic status of porcine immune cell populations. This evaluation utilizes an extracellular flux analyzer which can assess the metabolic status of cells.

Keywords:

T CELLS
IMMUNE
METABOLIC
CELL FUNCTION

Title of In-house Project:

Intestinal Microbial Ecology and Metagenomic Strategies to
Reduce Antibiotic Resistance and Foodborne Pathogens

Project Number: 5030-31320-004-00D

Accession: 0430363

Relevance to Parent Project:

Objective 1: Subobjective 1B: Test the efficacy of novel probiotics as a non-antibiotic feed additives to improve gut health. The intent of this subobjective is to provide potential non-antibiotic alternatives to improve intestinal health and subsequently limit disease. This project will evaluate the ability of metabolic substrates, glutamine and glucose, to modulate the host immune cell function and subsequently aid in resolution of disease without the use of antibiotics. Thus, the funds will enhance the OSQR-approved objective to identify non-antibiotic feed additives to improve the health of the animal, this work will test metabolic substrates as opposed to probiotics. Cooperators: Dr. Nicholas Gabler (PD), and Christopher Tuggle (CoPI) Iowa State University ARS PI Crystal Loving and her technician will spend 5% of time on this project. Grant-supported technician will spend 100% time on this project. Proposal Deadline: 7/26/2018, letter from ARS to ISU by 7/20/18.

Deliverables / Anticipated Products / Outcomes:

ARS will provide data related to immune cell metabolism and cell function. ARS will be heavily involved with experimental execution, data analysis and interpretation, and reporting of results.

07/20/18

Agricultural Research Service
Agricultural Research Information System
Authorization to Apply for and Use Funds From Outside Sources
Incoming Funds Records

Modecode/Log Number: 5030-20-15 0063648

***** Official *****

07/20/18

Agricultural Research Service
Agricultural Research Information System
Authorization to Apply for and Use Funds From Outside Sources
Incoming Funds Records

Modecode/Log Number: 5030-20-15 0063648

<u>Sub Class</u>	<u>Code</u>	<u>Description</u>	<u>%</u>
NP	108 N	Food Safety, (animal and plant products)	

***** Official *****

REReport Financial Reports

Wednesday, March 6, 2019 1:03 PM

- USDA REReport Financial Reports (not auditable):([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

REEport: USDA NIFA Reporting System

Annual Project Financial Reports

The USDA REEport reporting portal replaces the CRIS Web forms system and provides tools for progress reporting as well as the annual project financial reporting. Since the recent inception of the new REEport system, there has been some uncertainty as to who is responsible for completing the project financial report. The annual project financial report is a separate report from the SF425 financial report that Sponsored Programs Accounting completes and submits to awards@nifa.usda.gov. The annual project financial report is a project level report that reports expenditures by funding source, as well as all staff support FTEs. As the annual financial project report is not an auditable document, it is the responsibility of the Principal Investigator and or the administering department to complete and submit the report.

The annual project financial report consists of two sections:

1. Allocation of Funds to Work Unit/Project at Location: Please refer to the past two 9/30/XX Sponsored Programs Financial Reports to determine the annual total expenditures to report for the period. Only total expenditures for the past federal fiscal year are reported (10/1/XX-9/30/XX). If you have questions regarding the allocation of Funds to Work Unit/Project, please contact your Sponsored Programs Accountant.
2. Staff Support (FTE)

Iowa State is a NIFA Partner Institution and the annual project financial report is completed/submitted exclusively by Financial and Site Administrators. Site Administrators, in addition to completing and submitting the project financial report, manage REEport user accounts and roles. Financial administrators only function to complete and submit the annual project financial report. Currently, Iowa State does not have a central Site Administrator for the USDA REEport system and so it is necessary for each College to designate a Site Administrator.

The annual project financial report due date does not coincide with the anniversary date of the award but is due annually by February 1. Once a report becomes overdue, an auto-generated message is sent to the PI/PD listed on the award, below is an example of a REEport project financial report overdue notice.

5/14/2018

NIFA Award Recipient:

You are receiving this message because you are listed as either the Project Director or Authorized Organizational Representative (AOR) on the below award(s) funded by the National Institute of Food and Agriculture (NIFA). NIFA terms and conditions state that award recipients are required annually to submit a Project Financial Report. This report is due each February 1st, and reports on expenditures and FTEs that occurred in the most recently completed federal fiscal year. To date, our records show that this report has not been submitted and is now late.

Award Number #: 2014-XXXXX-XXXXX, Proposal Number #: 2013-XXXXX, Accession #: XXXXXXX

Please work to have the report(s) submitted as soon as possible, otherwise future funding may be withheld. Complete instructions on how to access the system and complete this report can be found in the REEport Financial Report Manual at <https://nifa.usda.gov/resource/reeport-financial-report-manual>.

NOTE: This requirement applies to all awards that began in Fiscal Year 2015 and later, or that received any continuation of funding in Fiscal Year 2015 and later. If the listed award falls outside this requirement, NIFA would still ask that you complete the report. This data is invaluable to our agency and allows us to demonstrate the impact of NIFA funding, and to continue to provide future funding for the valuable work you do.

NOTE: This report is different from the SF-425, and is submitted in the REEport system.

Once you have completed and submitted your report to NIFA, you will receive an automated email confirmation. Once you have received confirmation, your reporting obligation is complete, and no follow-up is required on your part. If you encounter any technical issues, you may contact electronic@nifa.usda.gov.

For additional information, the link below provides more detail on completing and submitting the REEport Project Financial Report.

<https://nifa.usda.gov/sites/default/files/resource/REEport%20Financial%20Report%20Manual%2001242018.pdf>

5/14/2018

[Download](#) | [Update](#) | [Submit to NEA](#) | [Summary PDF](#)

Expand All Folders Collapse All Folders

- 0 Project Financial Report(s) with Errors
- 0 Project Financial Report(s) with Alerts
- 1 Project Financial Report(s) Eligible for Reporting

Acct#	Project#	FiscalYr	Title	Department	Proj. Dir.	Baseline	Proj. Status	Start Date	End Date	Total Period	View	Alerts	Errors
1002119	(None)	2013-01076	Adaptation in Endangered Snowshoe Hare Populations During Long Term Exposure to Polychlorinated Biphenyls in Low And Chose Individuals	USDA Beltsv...	Hovassy, Janet	NON FOR...	ACTIVE	04/01/2014	03/31/2015	\$0.00	PDF	None	None

[Show All](#)

2. Enter your expenditure and FTE data. Click **Save**, then click **Cancel** to return to the main financial screen. Repeat steps 1 and 2 as necessary for multiple projects.

Allocation of Funds to Work Unit / Project at Location

Federal Funds NIFA Administered

Hatch Funds	201	\$	
Multi State Funds	202	\$	
McIntire-Stennis Funds	203	\$	
Contracts, Grants, Cooperative Agreements	204	\$	75000.00
Other Funds (Animal Health Sec. 1433, Evans-Allen, Other NIFA)	205	\$	
Total NIFA Funds	231	\$	75000.00

Other Federal Funds

USDA Contracts, Grants, Coop Agreements	219	\$	
National Science Foundation	209	\$	33000.00

Staff Support

Non-Federal Employed Staff Support (Report nearest 0.1 Year)

Scientists (Assistant Professor and above)	241	3.0
Professional Support	242	0.2
Technical Support	243	0.1
Clerical, Labor and Other	244	
Total Staff Years	350	3.3

3. Verify that you have no Errors or Alerts. If you do have a project listed in either the Errors or Alerts folders, please follow the guidance in the [Project Financial Reports with Errors and Alerts Folders](#) section.
4. Having entered all your data, and addressing any Errors or Alerts, you are now ready to submit. Click **Submit to NIFA**, then read and accept the confirmation statement.

Expand All Folders Collapse All Folders

- ☐ 0 Project Financial Report(s) with Errors
- ☐ 0 Project Financial Report(s) with Alerts
- ☐ 1 Project Financial Report(s) Eligible for Reporting

*Requires Mozilla Firefox or Internet Explorer 11 [Guide for PDFs](#) [Site Administration Manual](#)

training-portal.nifa.usda.gov says:

Are you sure you want to submit your Project Financial Report to NIFA? By clicking the [Submit to NIFA] button, I hereby certify that all data reported is accurate to the best of my knowledge and that I have reviewed all Alerts associated with this submission. This Project Financial Report is approved by me.

☐ Prevent this page from creating additional dialogs.

5. You should receive a confirmation email with an attached PDF summary of

USDA ezFedGrants

Tuesday, March 5, 2019 1:56 PM

- USDA ezFedGrants:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

USDA ezFedGrants

Implementation Overview:

- Implementation scheduled for October 2016 (APHIS and FAS)
 - NIFA implements in FFY17 for Capacity Grants only
 - Other USDA agencies will announce implementation schedules
- Use is *required* for USDA agencies that have implemented it
- Some USDA agencies are providing training (e.g. APHIS)
- New interface to learn and some new terminology

Key Features:

- Standardized interface and processes across USDA agencies and programs
- Single source of input for applications, awards, financial and technical reports, claims, and closeout
- Automated work flow process and e-signatures
- 24/7 access to agreement records
- Applicants can search and apply online for non-competitive funding opportunities
 - Interfaces with Grants.gov to bring in competitive grant applications
 - Increases efficiency with a streamlined application review process
- Accurate tracking of financial and reporting data to help enforce compliance with federal assistance requirements
- Integrated with the USDA's financial system including ASAP accounts
 - Expedite claim approval
 - Increases efficiency, speed, and visibility for SF 270 and ASAP draws and related payments

ezFedGrants Access:

Anyone at ISU who will be involved with the application, award, and management of grants and cooperative agreements (and other award types as implemented) will require access to ezFedGrants. Access is gained by:

- Visiting: <https://www.eauth.usda.gov/MainPages/index.aspx>
- **Click Create an Account**
- **Click Register for a Level 2 Account** under the *Request Level 2 Access to* section
- Complete the form and submit
- Receive a confirmation email. Follow email instructions to:
 - **Activate** your Level 1 access
 - **Visit** a Local Registration Authority in Boone or Nevada to obtain Level 2 eAuthentication (this step is expected to be on-line in very near future)

visit a Local Registration Authority in Boone or Nevada to obtain Level 2 eAuthentication (this step is expected to be on-line in very near future)

ezFedGrants Login:

- <https://grants.fmfi.usda.gov>
- **Click** the *ezFedGrants Access* log in link and enter the Level 2 eAuthentication user ID and password.

User Roles:

Role	Role Functions
Grants Administrative Official (GAO)	<ul style="list-style-type: none">▪ Grants Processor Functions▪ Manage Permissions▪ Approve External User Access Requests
Signatory Official	<ul style="list-style-type: none">▪ Search and View Opportunities▪ Edit, Search and View Applications▪ Sign Applications, Agreements, Claims, and Financial/Performance reports
Grants Processor	<ul style="list-style-type: none">▪ Search and View Opportunities, Applications, Claims, Progress Reports, and Amendments▪ Create and Edit Applications▪ Submit/Sign Financial and Progress Reports

Budgets

Wednesday, March 6, 2019 1:17 PM

Preparing Industry Budgets (02.14.2022)

Tuesday, March 1, 2022 4:01 PM



Preparing Industry Budgets (02.14.2022)



Preparing Industry Budgets ...

Iowa State and our industry partners think about budgets very differently. Industry evaluates the total cost and the value proposition while our budgets include line items to meet our accounting standards. We also approach facilities & administrative costs (F&A) very differently. For Iowa State, F&A is part of the total cost of research. The allowed rate is negotiated with the federal government. Most companies manage their F&A at the executive or corporate level. The company researchers do not usually see F&A on their internal project budgets and, therefore, perceive F&A as a "tax" on the research.

The recommended way to present budgets to companies is to use a loaded budget, which mirrors the typical internal industry budget. The budget should be a value proposition – is the research worth, to the company, the amount of money proposed in the budget?

Recommended/Loaded Budget (used with Industry)

Personnel	\$ 100,000
Equipment	\$ 5,000
Supplies	\$ 11,250
Travel	\$ 3,000
Other	\$ 10,500
Subcontract	\$ 3,750
Total	\$ 133,500

Traditional Budget (used with GoldSheet)

Personnel	\$ 50,000
Benefits	\$ 15,000
Tuition	\$ 2,500
Equipment	\$ 5,000
Supplies	\$ 7,500
Travel	\$ 2,000
Other	\$ 7,000
Subcontract	\$ 2,500
F&A/Indirect	\$ 42,000
Total	\$ 133,500

Budget Justification:

Personnel – one graduate student and one ½ time post-doc.
Equipment – a new lens is needed for the microscope
Supplies – 5,000 slides will be prepared at \$1.50/slide, plus material prep
Travel – two people attending 1 conference, plus 2 visits to the company
Subcontract – slide analysis by XYZ
Other – analysis cost to buy time on supercomputer



TIPS

BUDGET DEVELOPMENT

- Use the Loaded Budget for industry sponsors located at <http://www.ospa.iastate.edu/forms> (Loaded BOB). It will create the loaded budget table automatically. See the first tab of the Excel workbook for instructions.
- Budget enough to accomplish the proposed project without over-budgeting (making a profit).
- Assume yours is a fixed price project. Request full payment upfront in the payment schedule and avoid a big lump sum payment at the end.
 - Sketch out the budget before agreeing on a ballpark figure with the company.
 - Include F&A in estimates (loaded, not broken out) from the beginning. When the initial budget only shows direct costs, companies often get sticker shock after F&A is factored in and the bottom line increases significantly.
- For a cost reimbursable project, Iowa State will be paid what is actually spent on the project, up to the budgeted amount. An accurate budget gives the company confidence in your ability to manage a project.
- Forecast travel expenses to include those times that you are going to have face-to-face meetings with the company.

OTHER CONSIDERATIONS

- The company should pay the full cost of the research, including F&A. If the company wants to reduce the project cost, discuss how to modify the scope of work to fit the company's budget.
 - Iowa State is required by federal mandate to not charge the federal government more for a project than we would charge any other sponsors.
 - It is important to understand that if we were to charge industry less, we would be putting Iowa State's federal funding at risk.
 - Iowa State can occasionally waive some costs, but that is the exception rather than the rule. These decisions are made at the discretion of the PI's college and the VPR's office.
-

www.techtransfer.iastate.edu

Secondary Award Line (SAL) Form

Tuesday, February 16, 2021 11:40 AM

Secondary Award Line (SAL) Form


An updated Secondary Award Line (SAL) Form has been posted to OSPA's website. The form and instructions can be found at: <https://www.ospa.iastate.edu/forms>. The SAL form can be found under the Award Documents section.

Award Documents


Advanced Grant Worktag Request Form [rev Aug 2019]	(MS-Excel File)
Multiple Secondary Award Line (SAL) Reconciliation Form [rev Sep 2019]	(MS-Excel File)
NIH RPPR certification [rev Jun 2018]	(Email Form)
No-Cost Extension Request [rev Aug 2019]	(Web Form)
NSF Salary Rebudget Request Form [rev Aug 2019]	(MS-Excel File)
Rebudget Request Form [rev Sep 2019]	(MS-Excel File)
Secondary Award Line Form [rev Feb 2020]	(MS-Excel File)
Subrecipient Request Form [rev Jul 2019]	(PDF, 2 pages)

The form has been updated and we ask that you now also enter the Cost Center (CCXXX) and Business Unit (BUX) in the Secondary Award Line section.

The section that has been updated is as follows:



SECONDARY AWARD LINE	Period of Performance: From:	To:
	Title (if different):	
	PI Name:	Secondary Grant Worktag: GR-
	Lead Org Dept:	
	Cost Center: CC	Business Unit: BU RRC/Org Unit:



Please begin using this updated SAL form immediately. The previous version of this form will no longer be accepted.

IOWA STATE UNIVERSITY
SECONDARY AWARD LINE FORM (CHILD ACCOUNT BUDGET FORM)

1. AWARD INFORMATION			
PRIMARY AWARD LINE	PI Name:		Primary Grant Worktag: GR- _____
	PI Signature:		GoldSheet Number: _____
	Sponsor:		
	Title of Project:		
SECONDARY AWARD LINE	Period of Performance: From: _____ To: _____		
	Title (if different):		
	PI Name:	Secondary Grant Worktag: GR- _____	
	Lead Org Dept:		
Cost Center: CC _____		Business Unit: BU _____	RRC/Org Unit: _____
2. SECONDARY AWARD LINE PRINCIPAL INVESTIGATOR CERTIFICATIONS			
<p>* I agree to be bound by the terms and conditions of the outside grant or contract which supports this activity, and, in consideration of the information and facilities made available to me by the University or the outside sponsor, to assign copyright and patent rights to the Iowa State University Research Foundation, Inc. in accordance with the terms and conditions stated in the Faculty Handbook.</p> <p>* I certify that I have not been debarred, suspended, or declared ineligible to receive agency funds.</p> <p>Conflict of Interest and Commitment (COIC): Real or perceived conflicts of interest may exist in a project when an investigator or a member of his or her family has: a management role in, financial interest in, or a paid consulting agreement with the sponsor or paid consulting agreements with other entities on topics related to the project. By signing this form, all investigators certify that they have read and understand ISU's Conflict of Interest and Commitment Policy [http://www.provost.iastate.edu/help/coic] and made all disclosures required by it. For further information, call 4-7793.</p> <p style="text-align: center;">Is there a potential for Conflict of Interest? <input type="radio"/> Yes <input type="radio"/> No</p> <p style="text-align: center;">If yes, are disclosure procedures being implemented? <input type="radio"/> Yes <input type="radio"/> No</p> <p>* I certify to the best of my knowledge that the statements contained in this form are true.</p> <p style="text-align: center;">Signature of: _____ Date: _____</p>			
3. SECONDARY AWARD LINE BUDGET TO BE ENTERED		4. SECONDARY AWARD LINE COMPLIANCES	
Salary/Wages	\$		1. Will vertebrate animals be used in this project?
Payroll Benefits	\$		<input type="radio"/> Yes <input type="radio"/> No
Equipment	\$		If yes, provide IACUC Log #: _____
Travel - Domestic	\$		2. Are the following safety or health hazards involved?
Travel - Foreign	\$		a. Recombinant DNA, Human, or Animal Pathogens
Student Tuition	\$		<input type="radio"/> Yes <input type="radio"/> No
Supplies/Materials	\$		b. Radiological Materials
Subcontracts			<input type="radio"/> Yes <input type="radio"/> No
Subcontracts - Burdenable	\$		If yes to either, provide IBC Log #: _____
Subcontracts - Nonburdenable	\$		3. Will human subjects be used in this project?
Other Direct Costs			<input type="radio"/> Yes <input type="radio"/> No
Computer Usage	\$		If yes, provide IRB Log #: _____
Printing/Copying	\$		5. SECONDARY AWARD LINE AUTHORIZATIONS
Honoraria Services	\$		This form has been received and is judged to be consistent with the objectives and capabilities of the unit receiving the funding and represented by the signatures below. The proposed effort is considered compatible with other University duties of the Investigator(s) and consistent with University policies.
Postage	\$		Authorization on behalf of:
Other Direct Costs	\$		Printed Name of Authorizer: _____
Participant Support Costs	\$		Signature & Date: _____
TOTAL DIRECT COSTS \$			Authorization on behalf of:
Indirect Costs	Rate: _____ \$		Printed Name of Authorizer: _____
TOTAL ALL COSTS \$			Signature & Date: _____

Return to: OSPA: ospa-awards@iastate.edu OR 1138 Pearson Hall
OIPTT: industry-contracts@iastate.edu OR 1805 Collaboration Place, Suite 2100

rev. 2/13/2020

Graduate Assistant Appointments and Stipends in Fiscal Year 2020

Tuesday, February 16, 2021 11:35 AM

IOWA STATE UNIVERSITY

Graduate College

Graduate Assistant Appointments and Stipends in Fiscal Year 2020

Overview

Recruiting and retaining graduate students is a priority for Iowa State University. The full financial packages (stipends, benefits, and tuition scholarships) offered to some graduate applicants need to be competitive. Our transition in July 2019 to appointing graduate assistants (GAs) in Workday is intended to increase our competitiveness. The vast majority of GAs will be assured of full-term appointments that provide equal monthly stipend payments. Several term options with flexible start and end dates will be available through an efficient administrative appointment process. During and beyond FY20, suggestions for how we might improve our appointment procedures in student-centered ways will be welcome.

Further Detail & Frequently Asked Questions

What is a graduate assistantship?

An assistantship provides financial support to a degree-seeking graduate student. The university expects the graduate assistant (GA) to engage in designated teaching, research, or administrative-service efforts that enhance the student's education. While graduate faculty and the institution benefit from the activities of GAs, the primary purpose of an assistantship is to support student learning and development. Our appointment practices will pertain to all three types of GAs, teaching, research, and administrative assistants.

Why update the practices for appointing GAs? How will this be an improvement?

Our updated practices coincide with our transition to Workday. The updates will standardize most appointments to full terms, and can result in GAs being assured of equal monthly payments.

What is a stipend?

A stipend is "a fixed sum of money paid periodically for services or to defray expenses" (merriam-webster.com). At Iowa State, stipends are provided to recognize the accomplishments of a GA during the period of the GA appointment. Although not hourly employment, many supervisors expect half-time RAs to contribute, on average, 20 hours of effort per week. Stipend allocations will be spread evenly throughout the appointment by dividing the total stipend by the number of months represented by at least one day in the appointment.

Can I hire a graduate student as an hourly employee?

Hourly employment of graduate students is possible but is restricted to ensure that GA appointments are used when the contributions of students relate to and enhance learning and professional development in their areas of scholarship. Please see the *Graduate College Handbook*.

Am I expected to appoint a GA for a full term, using standard dates for the term?

Yes, the expectation is that the majority of GA appointments will be offered for a full academic term (Fall or Spring semester, Summer, or full calendar or academic year). Most GA appointments will adhere to term start and end date ranges that will be adjusted each year based on the university's academic calendar. Appointments for less than a full term will be permitted in FY20 due to timing of new grants or issues with student visas.

August 2019

What terms are available for appointments in FY20, and what are the minimum stipends for these terms?

Numerous term options are available for FY20. Minima below apply to ½-time appointments.

ENTIRE YEAR

Appointment Start	Appointment End	Minimum Stipend (\$)
August 5 - September 15	one year minus one day from start	24,500

ACADEMIC YEAR

Appointment Start	Appointment End	Minimum Stipend (\$)
August 5 - September 15	May 8 – May 15	18,400

FALL 2019

Appointment Start	Appointment End	Minimum Stipend (\$)
August 5 - September 15	December 20 - December 31	9,200
September 16 - October 20	December 20 - December 31	7,475
October 21 - last day tuition automatically reassesses	December 20 - December 31	4,600

SPRING 2020

Appointment Start	Appointment End	Minimum Stipend (\$)
January 1 - February 2	May 8 – May 15	9,200
February 3 - March 8	May 8 – May 15	7,475
March 9 - last day tuition automatically reassesses	May 8 – May 15	4,600

SUMMER 2020 (entire)

Appointment Start	Appointment End	Minimum Stipend (\$)
May 4 - July 1	August 7 - August 15	6,100

SUMMER 2020 (monthly)

Appointment Start	Appointment End	Minimum Stipend (\$)
May 16, June 16, July 16	June 15, July 15, August 15	2,034

* Date ranges may be affected by immigration regulations, and ranges will change annually with the academic calendar.

What if I am awarded a new grant that provides funds starting late in a term, on November 1 for example, and I want to use those funds to support a student assistant starting that day?

This will be possible. A lower minimum stipend will apply (see table above), and eligibility for a tuition scholarship should be considered (appointments of at least three months are needed to be eligible).

What are options when an international student's arrival is delayed until after the start of a semester?

The Graduate College will allow appointments with reduced minimum stipends to begin after September 15 and February 2 in Fall 2019 and Spring 2020, respectively, when it can be verified that an international student was unable to arrive earlier due to an unavoidable issue with a visa.

August 2019

Am I required to appoint a GA for the entire academic year, or can I appoint for only a term?

You may make GA appointments for only an academic term, or for the entire academic, fiscal, or calendar year.

Will I still be able to offer ¼-, ½-, or ¾-time assistantships? Yes, though as in the past, international students not on curricular practical training may be on no more than ½-time GA appointments during the academic year.

Can more than one funding source be used to create a GA position?

Yes, though please see the next question about effort reporting and certification.

Is stipend pay in compliance with effort reporting and certification?

Yes, it must be. The appointment dates specified in the GA offer will be the actual start and end dates of GA-related activity and will fall within the designated ranges. The allocation process for payments allows the stipend amount to be allocated among multiple funding sources in relation to the benefit provided to the federal award (direct or indirect). This allocation process, combined with the appointment period closely coinciding with the period of services rendered, yields a practice compliant with the Effort Reporting and Certification Policy.

May I set the work schedule for a GA?

Yes. The PI/supervisor will still set expectations, and manage the assistantship-related activities.

What are the minimum stipends for full terms for FY20?

Minimum stipend rates for FY20 are shown below. Lower minima apply to appointments that begin late in the fall or spring semester (see page 2). Departments are encouraged to utilize uniform stipend rates because this will simplify effort reporting. If individual PIs/supervisors elect to offer a stipend rate higher than the departmental standard for an individual GA, please seek guidance on effort reporting from Sponsored Programs Accounting. For GA stipends paid with federal funds, only the minimum departmental stipend amount (for the appropriate milestone, if differences based on milestones are established) can be charged to the federal project. See page 5 for additional information on stipends, tuition, and fees paid from sponsored funding.

Annual	Fall 19 or Spring 20	Summer 2020	Summer 2020 (monthly)
¼ time: \$12,250	\$4,600	\$3,050	\$1,017
½ time: \$24,500	\$9,200	\$6,100	\$2,034
¾ time: \$36,750	\$13,800	\$9,150	\$3,050

Why is the minimum stipend the same for a GA who starts in early September instead of in August for Fall?

The vast majority of GAs start appointments in August (fall) and January (spring). A GA whose appointment begins shortly later than another GA can be expected to accomplish similar outcomes during the term. Remember that the specified dollar amounts are minima; higher stipends can be provided to GAs who begin comparatively early, and hiring units may narrow the range of start dates allowed by the Graduate College.

Can a current GA accept an additional appointment, to add to a current appointment?

Yes, this is possible in many cases. For example, domestic students on a ½-time GA can be appointed for a second, ¼-time GA. The standard term dates apply to the second appointment also. International students not on curricular practical training can be appointed to appointments up to ½ time during the academic year.

What happens if the GA appointment ends early (i.e., the student completes all degree requirements or graduates before the end of the appointment)?

The stipend will end at the end of the last month of GA-related activity; the remainder of the term pay will be forfeited. If a student ends an appointment before completing three months (Fall or Spring) or four weeks (Summer), the tuition scholarship is no longer guaranteed, and the student may be billed for the difference in the resident rate and the appropriate alternative rate.

August 2019

What about leave for GAs? What can I allow for absences?

The PI/supervisor will approve absences. Please see the *Graduate College Handbook*.

I have heard concerns that GAs may receive unequal deposit amounts during their appointments. Is that true, and can that be avoided?

This is true, but unequal deposits can be avoided. Equal monthly deposit amounts will result when consecutive terms do not overlap within the same month. For example, a half-time GA fall appointment for the \$9,200 minimum that starts on August 19 and ends on December 20 will lead to a deposit of \$1,840 in August, September, October, November, and December. But, if that GA were appointed in the summer term immediately before this fall appointment, and if that summer appointment ended in August, the GA would receive an August allotment for the summer appointment plus the August allotment for the fall appointment, an unusually large deposit. This can be avoided by ending the summer appointment in July rather than August, or by starting the fall appointment in September rather than August. Use of start and end dates of consecutive terms to maximize equality in deposited amounts should be feasible for all teaching assistants and administrative assistants, as well as for many research assistants. There may be some research assistants whose funding sources will necessitate, because of requirements for effort reporting, start and end dates that will result in one or more deposit amounts per year that are higher than usual. In general, longer terms (an entire year, for example) will lead to greater equality in deposited amounts than shorter, consecutive terms (semester by semester).

In the example above, the \$1,840 monthly deposit amount is less than the minimum monthly stipend established for FY19. Won't continuing GAs perceive a decrease?

It will be helpful to explain to GAs who were provided the minimum in FY19 and will be provided the minimum again in FY20 that the total amount they receive over the appointment period should increase in FY20 even though the monthly deposit in most months of FY20 may be less than it was in FY19. Proration accounts for this. In FY19, a fall appointment was likely to lead to smaller deposits in August and December than in September, October, and November. That's because most fall appointments in FY19 did not comprise all days of August and December, and the amount deposited was prorated by day. So, a GA might have had deposits of \$2,000 in September – November, but deposits of only \$1,500 in August and December, totaling \$9,000 for the semester. For FY20, the GA will receive \$1,840 in each of the five months, totaling \$9,200.

August 2019

STIPENDS, TUITION, AND FEES ON SPONSORED FUNDING

Federal costing policies must be followed when stipends and tuition are paid from federally sourced funds. The paragraphs below provide a recap of federal regulations OMB Circular A-21 and Uniform Guidance: 2 CFR Part 200 regarding the allowability of charging graduate stipends, tuition and fees to federally sourced awards.

The general rule is that federally sourced awards can be charged no more than the Iowa State University minimum required to be provided to the graduate student for stipends, tuition, or fees in accordance with established institutional policy. Some federally sources such as USDA Hatch Act funding do not allow tuition of any amount to be charged. Therefore:

- Federal awards can be charged for 100% of the tuition scholarship for a PhD student as long as the award does not prohibit the charging of tuition.
- Federal awards can be charged for 50% of the tuition scholarship for a Master's student as long as the award does not prohibit the charging of tuition.
- To be an allowable charge to a federal award, the percentage of tuition paid from the grant should be less than or equal to the percentage of stipend paid from that grant during a qualifying consecutive appointment period (at least three months for the fall and spring semesters, and at least six weeks for the summer term).
- Federal awards can be charged for stipends at the university's minimum stipend rate amount or at the departmental minimum stipend rate amount.
- If a department has established a minimum stipend rate that is greater than the university's minimum stipend rate, federal awards can be charged the departmental minimum stipend rate (for the appropriate milestone, if differences based on milestones are established). The university's minimum is the lowest possible GA stipend rate. A department can establish a minimum stipend rate for each graduate program it manages, and these minima may exceed the university's minimum stipend rates. Departmental stipend rates are the lowest possible stipend rates for all GAs in that graduate program. Major professors/PIs and centers are not permitted to set minimum stipend rates or to charge stipends rates higher than the departmental minimum stipend rate to federal awards.
- Federal awards cannot be charged for student fees because there is no institutional policy requiring that student fees be paid.
- Certain fellowship and training grants are an exception to the above policy. Consult the award documents to determine allowable stipend, tuition, and fee payments.

If, for strategic reasons, a department wants to provide a stipend or tuition scholarship in excess of the university minimums, or wants to cover student fees, federal awards cannot be charged for the additional stipend, tuition, or fees, but other funding sources could be used such as:

- non-federal grants, as long as the award does not prohibit the charging of tuition and fees
- foundation funds, if permitted by the donor
- general university funds
- service center funds if the GA is working on the account and his/her stipend and scholarship are considered when pricing the service

Departments and colleges may have additional requirements relating to the proper costing of graduate stipends; this document only addresses university-level institutional policy.

Questions regarding the allowability of stipends, tuition, and fees on sponsored awards should be directed to the accountant in Sponsored Programs Accounting assigned to the award.

August 2019

Child Accounts

Thursday, May 10, 2018 10:02 AM

Post Award Actions

Thursday, May 10, 2018 10:06 AM

Changes to Child Accounts – Post Award Actions:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Changes to Child Accounts – Post-Award Actions

Extending a Child Account

Extensions of time for child accounts do not need to be approved or processed by OSPA/OIPTT. Forward these requests, including Lead PI approval, to SPA. The SPA accountant will extend the end date as requested by the Lead PI. A child account cannot be extended beyond the end date of the parent account. SPA will notify OSPA if they receive a request to extend a child account that would first require a no-cost extension of the parent account.

Closing a Child Account

Child account closures do not need to be approved or processed by OSPA/OIPTT. Forward any requests to SPA. The SPA accountant will work with the PI/GC to adjust the end date of the child account (if necessary) and return any unused funding back to the parent account.

Changing the PI of the Child Account – Lead Unit/RRC will remain the same:

This change may be completed through either one the following:

1. The department should obtain a copy of the most recent CAB form for the child account from OSPA or OIPTT. The department should print it, mark up any changes, obtain all new signatures, and return to OSPA or OIPTT for processing.
2. The Lead PI/Unit may contact their SPA accountant to close the existing child account and return any unspent funding back to the parent account. The Lead PI/Unit should route a CAB form to OSPA/OIPTT to set up a new child account for the new child account PI.

Changing the PI of the Child Account – Lead Unit/RRC also changing:

Lead PI/Unit/RRC should contact their SPA accountant to close the existing child account and return any unspent funding back to the parent account. The Lead PI/Unit should route a CAB form to OSPA/OIPTT to set up a new child account for the new child account PI.

Revised Budget for Child Account

- If the award is subject to the Federal Research Terms & Conditions which give ISU rebudgeting authority, those terms will flow down to the child account, as well. No prior approval is required and no changes will be made to the budget categories of the child account.
- If the award has rebudgeting restrictions, the child account PI/Unit should seek approval from the Lead PI. The Lead PI/Unit will need to determine if the budget categories of the parent account can be adjusted to absorb the changes of the child account revised budget. The budget categories of the parent account will be reduced/increased by the increases/decreases to the child account budget categories.
- If the revised budget of the child account funds will trigger the need for the Lead PI to seek approval to rebudget the project (i.e. change in scope of work, more than \$25,000 unbudgeted equipment, budget deviations totaling xx% of the total budget as designated by the sponsor), then the Lead PI/Unit should submit a Rebudget Request Form for the overall project/budget and include detail of how the child account budget should be adjusted if the overall rebudget is approved.

Code of Business - 2018

Wednesday, March 6, 2019 12:34 PM

<https://www.policy.iastate.edu/policy/business/conduct>

2016 (Outdated) Code of Business

Wednesday, March 6, 2019 12:32 PM

- Code of Business and Fiduciary Conduct:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

IOWA STATE UNIVERSITY

OF SCIENCE AND TECHNOLOGY

Policy Library

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Code of Business and Fiduciary Conduct

Effective: August 26, 2005

Updated/Revised: January 1, 2016

Contact: [Office of the President](#)

Policy Statement

[As stated by the president of Iowa State University](#), Iowa State University is committed to adhering to the highest principles of ethical behavior. All employees must abide by the [Code of Business and Fiduciary Conduct](#) adopted by the Board of Regents, State of Iowa. This Code sets forth the fundamental expectations of employees when carrying out their duties, including conducting responsibilities with fairness, integrity and respect, promoting and protecting the institution's best interests, and complying with applicable laws and policies.

In addition, Iowa State University has adopted policies that support the expectations set forth in the Code of Business and Fiduciary Conduct. The supporting policies (see links below) address conflicts of interest, undue influence, discriminatory bias, and proper use of university funds, resources and information.

The Code of Business and Fiduciary Conduct makes each member of the university community responsible for bringing suspected violations of applicable law, university policies and government contracts to the attention of appropriate offices. University policy provides guidance on which office is appropriate for receiving reports of suspected violations.

The Senior Vice President for Business and Finance is responsible for developing a program to promote a culture of compliance. This program is described in the [Business Ethics Awareness and Compliance Program document](#).

Supporting Policies

Conflicts of interest

- [Conflicts of Interest and Commitment](#) - ISU policy
- [Conflict of Interest Vendors/Employees, Procurement](#) - ISU policy
- [Conflict of Interest](#) - Board of Regents policy
- [Conflicts of Interest](#) - State law (Iowa Code, see §68B.2A)
- [Codes of Conduct](#) - Federal regulations (2CFR §200.318)
- [Segregation of Duties](#)
- [Consenting Relationships](#)
- [Nepotism \(Employment/Supervision of Immediate Family Member\)](#)

Undue influence

- [Gifts](#) - ISU policy
- [Gratuities and Gifts, Procurement](#) - ISU policy
- [Conflicts of Interest](#) - State law (Iowa Code, see §68B.2A)

Discriminatory bias

- [Discrimination and Harassment website](#) - ISU Office of Equal Opportunity
- [Discrimination and Harassment](#) - ISU policy

Use of funds

- [Expenditures \(Allowable, Appropriate, and Documented\)](#)
- [Travel - Airfare](#)
- [Travel - Authorization and Funding](#)
- [Travel - Foreign](#)
- [Travel - Reimbursement](#)
- [ISU Foundation Funds](#)

Use of assets and resources

- [Facilities and Grounds Use, Activities](#)
- [Personal Use and Misuse of University Property](#)
- [Information Technology](#)
- [Equipment Acquisition](#)
- [Excess Property Disposal](#)

Use of information

- [Acceptable Use of Information Technology Resources](#)
- [Family Educational Rights and Privacy Act \(FERPA\)](#)
- [Social Security Number Protection](#)
- [Electronic Privacy](#)
- [Employee Records](#)
- [Health Information Privacy and Security](#)

Fairness and Integrity in the Conduct of Business

- [Competition with the Private Sector](#)
- [Conflict of Interest Vendors/Employees, Procurement](#)
- [Contracting Authority \(Non-employment Related\)](#)
- [Competitive Procurement](#)
- [Board of Regents Purchasing Policy](#)

Reporting Suspected Violations

- [Reporting Responsibility - Violations](#)
- [Non-Retaliation Against Persons Reporting Misconduct](#)

Resources

Links

- [President Leath's Letter 2014-07-25](#)
- [Business Ethics Awareness and Compliance Program \[PDF\]](#)
- [Statement on Ethics - Professional and Scientific](#)
- [Code of Business and Fiduciary Conduct \[Policy in PDF with line numbers\]](#)

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Cost Share Policy - 2018

Thursday, May 10, 2018 10:01 AM

<https://www.ospa.iastate.edu/sites/default/files/imported/policies/docs/Sept%202018%20ISU%20Policy%20on%20Cost%20Share%20for%20Sponsored%20Programs%209-18-18.pdf>

- ISU Policy on Cost Share for Sponsored Programs. (.pdf)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

ISU Policy on Cost Share for Sponsored Programs

September 18, 2018

Iowa State University (ISU) engages in cost sharing when it is in the best overall interest of the institution. Instances of cost share include projects with a sponsor-mandated cost share requirement or projects where cost share is strongly encouraged and promises to create new opportunities for research at ISU.

Mandatory Cost Share –

Project costs that are not paid for by the sponsor and are required as a condition of the award.

Many federal and state agencies, foundations and organizations require cost sharing on some projects as a condition of eligibility for an award. Projects with **mandatory cost share** requirements must include the cost share commitment details in the proposal. Usually, when a sponsor requires cost sharing, they will specify the amount or percentage to be contributed by the university, often with the additional explanation “no more and no less” (e.g. NSF). Cost sharing by the university implies the commitment and use of institutional resources to support a specific sponsored project.

Voluntary Committed Cost Share –

Project costs that are pledged by ISU on a voluntary basis and specifically included in the proposal budget, budget justification or award.

Cost share committed beyond the required mandatory amount, if cost share is permitted at all by the sponsor, is considered **voluntary committed cost share**. Voluntary cost share is never a requirement of the sponsor. Some PIs may choose to include voluntary committed cost share in their proposals in hopes of enhancing their chance of being funded. In general, federal agencies do not use voluntary committed cost share as a factor during the merit review of applications or proposals unless it has been specified in the notice of funding opportunity. When cost share is strongly encouraged by the sponsor and pledged by ISU, such cost sharing is considered to be voluntary committed cost share.

Guidelines for Cost Share

- Contributions to mandatory cost share may come from the PI, department, center, institute, college/unit, the Office of the Vice President for Research (VPR) and external third parties. When institutional support is required, the VPR Office will coordinate the final documentation of cost share support and commitments.
- Institutional support from the Office of the Senior Vice President and Provost (SVPP) or the VPR Office will normally not be provided for voluntary committed cost share requests.
- Requests for institutional cost share support from the VPR Office, that are in addition to PI, department, center, institute, college and/or unit cost share, must be submitted to the VPR Office, see procedures below.
- When no institutional support is required, documentation of cost share support and commitments from PIs, departments, centers, institutes, colleges and/or units other than the VPR Office are the responsibility of the Lead Unit (RRC) indicated on the proposal.
- Cost share request to the VPR office should be submitted through the Lead Unit (RRC); in most cases this will be through the associate dean for research of the corresponding college.

- All cost sharing commitments from all sources must be made for allowable costs per sponsor guidelines and must meet the requirements of the proposal guidelines.
- No federal or federal-flow through funds can be used as a source of cost share on another sponsored project.
- Cost sharing provided by external third parties must be documented in writing prior to submission of a proposal.
- Documentation of cost share support must categorize each type of cost share commitment as one of the following: 'ISU cash' contribution, 'ISU in-kind' contribution, 'third-party cash' contribution, or 'third-party in-kind' contribution. 'Cash contributions' refers to cost share that is supported by an actual cash transaction that is recorded in the ISU accounting system. This includes documented cost share effort of faculty and staff time to projects. 'In-kind contributions' refers to cost share where the value of the contribution can be readily determined and verified, but where no actual ISU cash transaction exists during the award period. Examples of 'in-kind contributions' include volunteer services, donated equipment, donated supplies, and third party non-cash contributions.
- Documenting cost sharing expenditures
 - All cost share included as part of an award to the university must be documented and reported to the sponsor and is subject to audit.
 - Expenditures documented as cost share must be reasonable to accomplish the objectives of the sponsored project.
 - Cost sharing of faculty and staff effort must be documented in Section B1 on their corresponding EASE (Employee Activity Summary of Effort) form.
 - Cost sharing of non-salaried expenditures is documented by providing transaction detail of cost share expenditures to Sponsored Programs Accounting.
 - A specific expenditure transaction cannot be used or reported as cost share on more than one federal project.
 - Cost sharing must be incurred during the award period.

Procedures for VPR institutional cost share support

Requests to the VPR Office for institutional cost share should include the following information:

- (1) estimated total project budget including cost share (for each year and a cumulative total)
- (2) the IDC revenues that ISU would be expected to receive (for each year and a cumulative total)
- (3) the required amount of mandatory cost share, with an indication of any 'cash' requirements or 'in-kind' limitations
- (4) the names of the PI and Co-PIs
- (5) the salary home(s) of the PI and Co-PIs, and the percentage of the salary paid by each unit (if a PI or Co-PI is paid by multiple units)
- (6) a copy of the solicitation (RFP, RFQ, BAA, proposal guidelines).

When institutional cost sharing is required, the VPR Office will normally coordinate contributions from the PIs, departments, centers, institutes, and other colleges or units and/or VPR Office, as appropriate. The VPR Office will, in most cases, contact the PI to discuss in-kind contributions and possible contributions from other sources. The VPR Office will approve and distribute the final documentation of institutional cost share support and commitments.

- A complete set of approved final cost share documentation must be shared with all contributing parties before a proposal is submitted.
- The VPR Office will forward approved final cost share documentation to the Office of Sponsored Programs Administration.
- On the GoldSheet, the entire amount of cost share can be attributed to the Lead Unit (RRC), or the amounts and sources of cost share can be listed individually. A summary of the cost sharing agreement should be routed with the GoldSheet.
- If an award is received at a significantly lower amount than what was proposed (i.e. at 10% or greater reduction), the cost sharing contributions will be revised accordingly.

When VPR institutional support is not required, the Lead Unit (RRC) indicated on the proposal will normally be responsible for documenting contributions from the PIs, departments, centers, institutes, and/or other colleges or units other than the VPR office. Requests to the VPR Office for cost share should include Items (1) – (6) listed above.

- On the GoldSheet, the entire amount of cost share can be attributed to the Lead Unit (RRC), or the amounts and sources of cost share can be listed individually. A summary of the cost sharing agreement should be routed with the GoldSheet.
- If an award is received, the Lead Unit (RRC) will be responsible for obtaining funds or providing funds to cover all cost share commitments.
- A complete set of cost share support and commitment documentation must be distributed by the Lead Unit (RRC) to all contributing parties, OSPA and Sponsored Programs Accounting after the award is received.

Any questions regarding this Policy on Cost Share for Sponsored Programs should be directed to the Office of the Vice President for Research or the Office of Sponsored Programs Administration at 294-5225 or grants@iastate.edu.

2015 (Outdated) Cost Share

Wednesday, March 6, 2019 11:03 AM

- ISU Policy on Cost Share for Sponsored Programs:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

ISU Policy on Cost Share for Sponsored Programs

December 10, 2015

Iowa State University (ISU) engages in cost sharing when it is in the best overall interest of the institution. Instances of cost share include projects with a sponsor-mandated cost share requirement or projects where cost share is strongly encouraged and promises to create new opportunities for research at ISU.

Mandatory Cost Share –

Project costs that are not paid for by the sponsor and are required as a condition of the award.

Many federal and state agencies, foundations and organizations require cost sharing on some projects as a condition of eligibility for an award. Projects with **mandatory cost share** requirements must include the cost share commitment details in the proposal. Usually, when a sponsor requires cost sharing, they will specify the amount or percentage to be contributed by the university, often with the additional explanation “no more and no less” (e.g. NSF). Cost sharing by the university implies the commitment and use of institutional resources to support a specific sponsored project.

Voluntary Committed Cost Share –

Project costs that are pledged by ISU on a voluntary basis and specifically included in the proposal budget, budget justification or award.

Cost share committed beyond the required mandatory amount, if cost share is permitted at all by the sponsor, is considered **voluntary committed cost share**. Voluntary cost share is never a requirement of the sponsor. Some PIs may choose to include voluntary committed cost share in their proposals in hopes of enhancing their chance of being funded. In general, federal agencies do not use voluntary committed cost share as a factor during the merit review of applications or proposals unless it has been specified in the notice of funding opportunity. When cost share is strongly encouraged by the sponsor and pledged by ISU, such cost sharing is considered to be voluntary committed cost share.

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- Requests for institutional cost share support from the VPR Office, that are in addition to PI, department, center, institute, college and/or unit cost share, must be submitted to the VPR Office, see procedures below.
- When no institutional support is required, documentation of cost share support and commitments from PIs, departments, centers, institutes, colleges and/or units other than

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- All cost sharing commitments from all sources must be made for allowable costs per sponsor guidelines and must meet the requirements of the proposal guidelines.
- No federal or federal-flow through funds can be used as a source of cost share on another sponsored project.
- Cost sharing provided by external third parties must be documented in writing prior to submission of a proposal.
- Documentation of cost share support must categorize each type of cost share commitment as one of the following: 'ISU cash' contribution, 'ISU in-kind' contribution, 'third-party cash' contribution, or 'third-party in-kind' contribution. Here 'cash' contributions refer to commitment of new funds, while 'in-kind' refers to dedicating existing expenses as support for the proposed project.
- Documenting cost sharing expenditures
 - All cost share included as part of an award to the university must be documented and reported to the sponsor and is subject to audit.
 - Expenditures documented as cost share must be reasonable to accomplish the objectives of the sponsored project.
 - Cost sharing of faculty and staff effort must be documented in Section B1 on their corresponding EASE (Employee Activity Summary of Effort) form.
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- (4) the names of the PI and Co-PIs
- (5) the salary home(s) of the PI and Co-PIs, and the percentage of the salary paid by each unit (if a PI or Co-PI is paid by multiple units)
- (6) a copy of the solicitation (RFP, RFQ, BAA, proposal guidelines).

When institutional cost sharing is required, the VPR Office will normally coordinate contributions from the PIs, departments, centers, institutes, and other colleges or units and/or VPR Office, as appropriate. The VPR Office will, in most cases, contact the PI to discuss in-kind contributions and possible contributions from other sources. The VPR Office will approve and distribute the final documentation of institutional cost share support and commitments.

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- If an award is received at a significantly lower amount than what was proposed (i.e. at 10% or greater reduction), the cost sharing contributions will be revised accordingly.

When VPR institutional support is not required, the Lead Unit (RRC) indicated on the proposal will normally be responsible for documenting contributions from the PIs, departments, centers, institutes, and/or other colleges or units other than the VPR office. Requests to the VPR Office for cost share should include Items (1) – (6) listed above.

- On the GoldSheet, the entire amount of cost share can be attributed to the Lead Unit (RRC), or the amounts and sources of cost share can be listed individually. A summary of the cost sharing agreement should be routed with the GoldSheet.
- If an award is received, the Lead Unit (RRC) will be responsible for obtaining funds or providing funds to cover all cost share commitments.
- A complete set of cost share support and commitment documentation must be distributed by the Lead Unit (RRC) to all contributing parties, OSPA and Sponsored Programs Accounting after the award is received.

Any questions regarding this Policy on Cost Share for Sponsored Programs should be directed to the Office of the Vice President for Research or the Office of Sponsored Programs Administration at 294-5225 or grants@iastate.edu.

Best Practices for Managing Cost Share

Monday, May 14, 2018 1:27 PM

Best Practices for Managing Cost Share:([.pdf](#)) -
February 16, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

<https://www.ospa.iastate.edu/sites/default/files/imported/training/docs/2017-02-16/Managing%20Cost%20Share.pdf>

Best Practices for Managing Cost Share

Definition: Cost sharing (or matching) is the portion of project or program costs not borne by the funding agency. Cost share sources include all contributions such as cash and in-kind contributions from third parties, university funds (e.g., faculty or staff effort, direct costs), and unrecovered indirect costs.

AT THE TIME OF YOUR AWARD:

- Review and verify the sources of cost share for your award which were submitted with the proposal and determine your plan for tracking them.
- Complete the Sponsored Programs Accounting (SPA) [cost share summary template](#) and return this to your [SPA accountant](#).
- Notify everyone who committed to providing cost share that your proposal has been funded and that Iowa State is now obligated to track and report this cost share during the project period.
- Make sure that cost share which was committed by each subrecipient has been included in the terms and conditions of their subaward agreement.

ALLOWABLE COST SHARE MUST BE:

- 1) Verifiable from the recipient's records.
- 2) Not included as contributions for any other sponsored or federally assisted project or program.
- 3) Necessary and reasonable for proper and efficient accomplishment of the project.
- 4) Allowable under the applicable cost principles of the award.
- 5) Not paid by the federal government under another award (except where authorized by federal statute to be used for cost sharing or matching).
- 6) Included in the approved budget when required by the awarding federal agency.
- 7) Incurred during the performance period of the award.

DURING THE AWARD PERIOD:

Sponsored Programs Accounting (SPA) Responsibilities:

- Coordinate the overall process documenting cost share on sponsored programs accounts.
- Enter percentages to be printed on [EASE forms](#) based on budget data or input from departments.
- Provide cost share reports to federal agencies or other sponsors.

Department Responsibilities:

- Create a file to maintain all cost share documentation tracked by the department.
- Update SPA regarding any changes in effort that needs to be entered into the EASE system.
- Collect and keep documentation for any third party cost share or university cost share other than salary and indirect costs (IDC), such as donations, hourly payroll, equipment, supplies, and tuition expenditures.
- Collect and forward any third party in-kind letters to their Sponsored Programs accountant.
- Verify cost share amounts reported by SPA to the sponsor.

Acceptable Documentation for Cost Share:

Third Party Costs: Signed memo from collaborator with summary of total cost share, source of cost share, date, and project title. The contributing third party needs to ensure that they are able to provide supporting documentation for those reported expenses.

Other Sponsored Projects: Financial reports showing expenditures incurred on another account/award.

Other University Funds: Departmental financial statements detailing the expenditures by account, with transaction details highlighted on the statements.

Faculty salary, wages, and IDC: This is documented by SPA through the EASE and financial system.

Updated November 2016



Third Party Documentation

Thursday, May 10, 2018 10:08 AM

Third Party Cost Share Documentation:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

ISU Policy on Cost Share for Sponsored Programs

December 10, 2015

Iowa State University (ISU) engages in cost sharing when it is in the best overall interest of the institution. Instances of cost share include projects with a sponsor-mandated cost share requirement or projects where cost share is strongly encouraged and promises to create new opportunities for research at ISU.

Mandatory Cost Share –

Project costs that are not paid for by the sponsor and are required as a condition of the award.

Many federal and state agencies, foundations and organizations require cost sharing on some projects as a condition of eligibility for an award. Projects with **mandatory cost share** requirements must include the cost share commitment details in the proposal. Usually, when a sponsor requires cost sharing, they will specify the amount or percentage to be contributed by the university, often with the additional explanation “no more and no less” (e.g. NSF). Cost sharing by the university implies the commitment and use of institutional resources to support a specific sponsored project.

Voluntary Committed Cost Share –

Project costs that are pledged by ISU on a voluntary basis and specifically included in the proposal budget, budget justification or award.

Cost share committed beyond the required mandatory amount, if cost share is permitted at all by the sponsor, is considered **voluntary committed cost share**. Voluntary cost share is never a requirement of the sponsor. Some PIs may choose to include voluntary committed cost share in their proposals in hopes of enhancing their chance of being funded. In general, federal agencies do not use voluntary committed cost share as a factor during the merit review of applications or proposals unless it has been specified in the notice of funding opportunity. When cost share is strongly encouraged by the sponsor and pledged by ISU, such cost sharing is considered to be voluntary committed cost share.

Guidelines for Cost Share

- Contributions to mandatory cost share may come from the PI, department, center, institute, college/unit, the Office of the Vice President for Research (VPR) and external third parties. When institutional support is required, the VPR Office will coordinate the final documentation of cost share support and commitments.
- Institutional support from the Office of the Senior Vice President and Provost (SVPP) or the VPR Office will normally not be provided for voluntary committed cost share requests.
- Requests for institutional cost share support from the VPR Office, that are in addition to PI, department, center, institute, college and/or unit cost share, must be submitted to the VPR Office, see procedures below.
- When no institutional support is required, documentation of cost share support and commitments from PIs, departments, centers, institutes, colleges and/or units other than

the VPR Office are the responsibility of the Lead Unit (RRC) indicated on the proposal.

- Cost share request to the VPR office should be submitted through the Lead Unit (RRC); in most cases this will be through the associate dean for research of the corresponding college.
- All cost sharing commitments from all sources must be made for allowable costs per sponsor guidelines and must meet the requirements of the proposal guidelines.
- No federal or federal-flow through funds can be used as a source of cost share on another sponsored project.
- Cost sharing provided by external third parties must be documented in writing prior to submission of a proposal.
- Documentation of cost share support must categorize each type of cost share commitment as one of the following: 'ISU cash' contribution, 'ISU in-kind' contribution, 'third-party cash' contribution, or 'third-party in-kind' contribution. Here 'cash' contributions refer to commitment of new funds, while 'in-kind' refers to dedicating existing expenses as support for the proposed project.
- Documenting cost sharing expenditures
 - All cost share included as part of an award to the university must be documented and reported to the sponsor and is subject to audit.
 - Expenditures documented as cost share must be reasonable to accomplish the objectives of the sponsored project.
 - Cost sharing of faculty and staff effort must be documented in Section B1 on their corresponding EASE (Employee Activity Summary of Effort) form.
 - Cost sharing of non-salaried expenditures is documented by providing transaction detail of cost share expenditures to Sponsored Programs Accounting.
 - A specific expenditure transaction cannot be used or reported as cost share on more than one federal project.
 - Cost sharing must be incurred during the award period.

Procedures for VPR institutional cost share support

Requests to the VPR Office for institutional cost share should include the following information:

- (1) estimated total project budget including cost share (for each year and a cumulative total)
- (2) the IDC revenues that ISU would be expected to receive (for each year and a cumulative total)
- (3) the required amount of mandatory cost share, with an indication of any 'cash' requirements or 'in-kind' limitations
- (4) the names of the PI and Co-PIs
- (5) the salary home(s) of the PI and Co-PIs, and the percentage of the salary paid by each unit (if a PI or Co-PI is paid by multiple units)
- (6) a copy of the solicitation (RFP, RFQ, BAA, proposal guidelines).

When institutional cost sharing is required, the VPR Office will normally coordinate contributions from the PIs, departments, centers, institutes, and other colleges or units and/or VPR Office, as appropriate. The VPR Office will, in most cases, contact the PI to discuss in-kind contributions and possible contributions from other sources. The VPR Office will approve and distribute the final documentation of institutional cost share support and commitments.

- A complete set of approved final cost share documentation must be shared with all contributing parties before a proposal is submitted.
- The VPR Office will forward approved final cost share documentation to the Office of Sponsored Programs Administration.
- On the GoldSheet, the entire amount of cost share can be attributed to the Lead Unit (RRC), or the amounts and sources of cost share can be listed individually. A summary of the cost sharing agreement should be routed with the GoldSheet.
- If an award is received at a significantly lower amount than what was proposed (i.e. at 10% or greater reduction), the cost sharing contributions will be revised accordingly.

When VPR institutional support is not required, the Lead Unit (RRC) indicated on the proposal will normally be responsible for documenting contributions from the PIs, departments, centers, institutes, and/or other colleges or units other than the VPR office. Requests to the VPR Office for cost share should include Items (1) – (6) listed above.

- On the GoldSheet, the entire amount of cost share can be attributed to the Lead Unit (RRC), or the amounts and sources of cost share can be listed individually. A summary of the cost sharing agreement should be routed with the GoldSheet.
- If an award is received, the Lead Unit (RRC) will be responsible for obtaining funds or providing funds to cover all cost share commitments.
- A complete set of cost share support and commitment documentation must be distributed by the Lead Unit (RRC) to all contributing parties, OSPA and Sponsored Programs Accounting after the award is received.

Any questions regarding this Policy on Cost Share for Sponsored Programs should be directed to the Office of the Vice President for Research or the Office of Sponsored Programs Administration at 294-5225 or grants@iastate.edu.

F&A Agreement

Thursday, May 10, 2018 4:31 PM

<https://www.ospa.iastate.edu/proposal/preparation/fa-rate>

Activity Type Definitions

Wednesday, March 6, 2019 12:59 PM

- Activity Types and Associated F&A Rates:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

DEFINITIONS OF ACTIVITY TYPESⁱ AND ASSOCIATED F&A RATES

Note: The F&A rate on the proposed budget should be based on the GoldSheet Activity Type selected.

Organized Research

Organized research means all research and development activities of an institution that are separately budgeted and accounted for. **Research and development** means all research activities, both basic and applied, and all development activities that are supported at universities, colleges, and other non-profit institutions.

Research is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

Development is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

Examples: Sponsored research projects; research training projects; all federally sponsored clinical trials and early stage (phase 1 and 2) non-federally funded clinical trials. Typically would include most projects conducted by research centers and institutes.

Organized Research F&A Rates:

7/1/16 to 6/30/18 – 52% MTDC

7/1/18 to 6/30/20 – 53% MTDC

Instruction

Instruction means the teaching and training activities of an institution. Except for research training (which falls under the Organized Research definition), this term includes all teaching and training activities, whether they are offered for credits toward a degree or certification or on a noncredit basis, and whether they are offered through regular academic departments or separate divisions, such as a summer school division or an extension division.

Instruction F&A Rates:

7/1/16 to 6/30/20 – 53% MTDC

Other Sponsored Activities

Other sponsored activities mean programs and projects financed by Federal and non Federal agencies and organizations which involve the performance of work other than instruction and organized research. Examples of such programs and projects are health service projects, and community service programs.

Other Sponsored Activities (Public Service, Academic Support, Student Services, Institutional Support, Operations & Maintenance, Scholarships & Fellowships, Student Financial Aid) Rates:
7/1/16 to 6/30/20 – 33% MTDC

ⁱ Derived from the definitions published by OMB in the Uniform Guidance (2 CFR 200).

New F&A Rates for Industry Specialty Agreements

Thursday, May 10, 2018 4:32 PM

- New F&A Rates for Industry Specialty Agreements:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

New F&A Rates for Industry Specialty Agreements

Implementation Fall 2017

Background

The Division of Finance, the Office of Economic Development and Industry Relations, and the Office of the Vice President for Research have agreed on a new simplified set of F&A (facilities and administration, also known as 'indirect cost') rates for industry specialty agreements. Over the years, Iowa State has negotiated different F&A rates with industry sponsors depending on the type of project to be performed. The different rates, between 0% and full F&A rate (currently at 52% for on-campus research project) have led to confusion among our industry sponsors.

These new F&A rates are uniform for all Industry-sponsored trials and technical evaluations: they do not involve the development of new intellectual property, and the sponsor determines the trial/evaluation protocol. Please see the attached file for the characteristics of these types of agreements. The new F&A rates are:

- Animal Product Trials – 15%
- Field Trials – 15%
- Human Subject Trials – 15%
- Technical Evaluations – 15%

In addition, the following company-matching programs will be assessed the same F&A rate:

- CIRAS Technical Assistance Program – 15%
- Regents Innovation Fund projects (RIF) – 15%

Research agreements (currently 52% on campus, and 26% off campus), agreements with approved commodity groups (0%), and Fee for Service DO NOT fall under this new F&A rate. See the attached file for the characteristics of these agreements. In addition, agreements with federal agencies (or involving federal flow-through funds) DO NOT fall into any of the trial and evaluation categories mentioned above.

Implementation of the new F&A Rates

The following implementation plan should minimize disruptions to campus and to collaborations with industry partners:

- The new F&A rates take effect September 20, 2017.
- Current projects will continue at the current F&A rate for the term of the agreement.
- OIPTT will continue to make the decision about the type of agreement to be used for a project, including if it fits the definition for a specialty agreement. Should questions arise, OIPTT will consult with the Office of the Vice President for Research.
- New agreements or renewals of current agreements will follow the new F&A rates, if applicable.
- No IDC waiver is required for using the new F&A rates for new agreements categorized by OIPTT.
- Projects that are currently Fee for Service (FFS) projects and need to be switched to an agreement type listed above can continue as FFS for the term of the agreement. They will be transitioned at the time of the next agreement renewal.

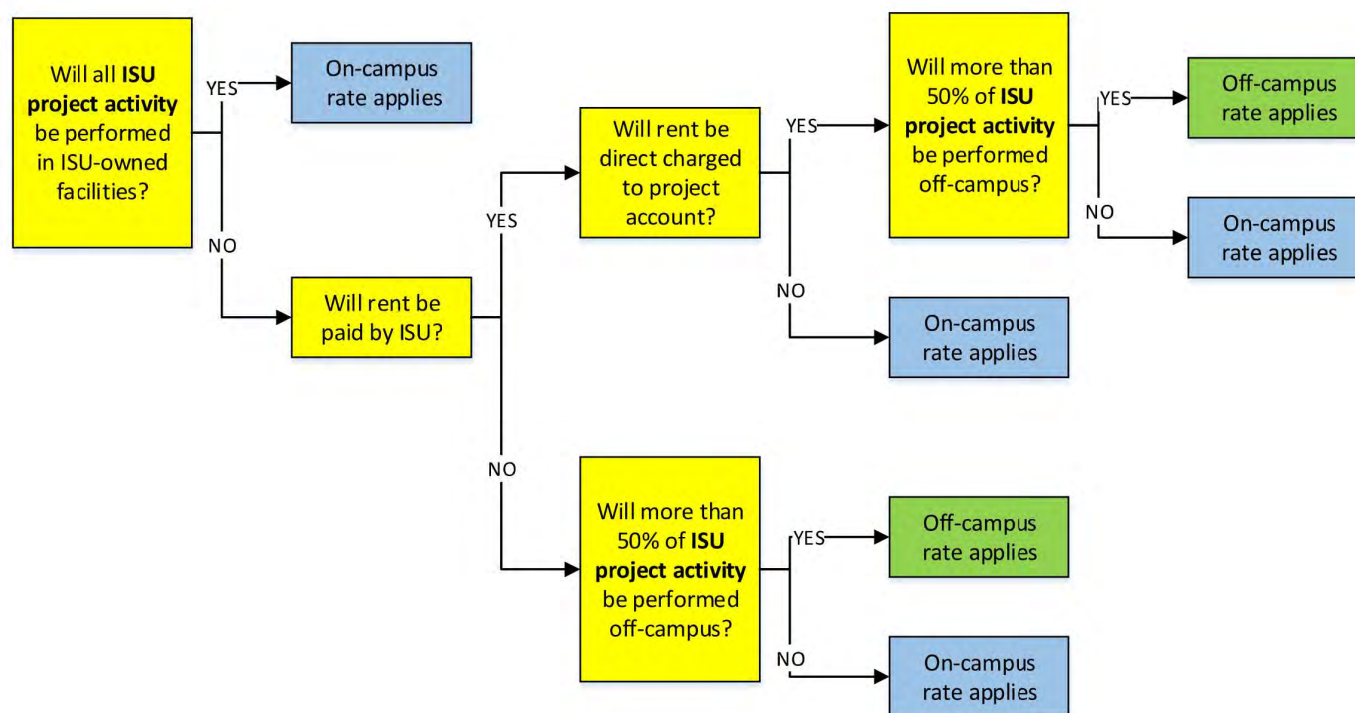
On-campus or Off-campus F&A Rate Determination

Wednesday, March 6, 2019 12:50 PM

- On-Campus vs. Off-Campus Decision Tree.([pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Iowa State University
On-campus or Off-campus F&A Rate Determination
October 2018



Note: ISU project activity includes all sponsored funding activities, mandatory cost share activities, and voluntary committed cost share activities related to a project, **but does NOT include activities performed under subrecipient agreements to other institutions for their work**

2017 (Outdated) On-campus or Off-campus

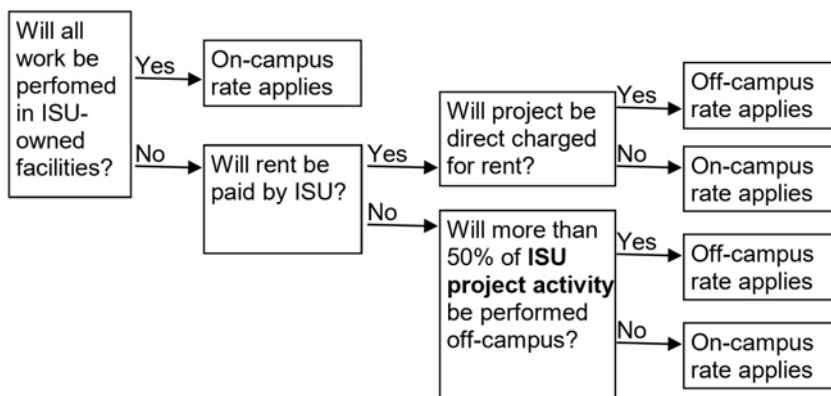
Monday, May 14, 2018 1:24 PM

On-campus or Off-campus F&A Rate Determination:([.xls](#)) -
February 16, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Iowa State University
On-campus or Off-campus F&A Rate Determination

RM 3/27/08
MV, RM 1/27/17



Note: ISU project activity includes all sponsored funding activities, mandatory cost share activities, and voluntary committed cost share activities related to a project, **but does NOT include activities performed under subrecipient agreements to other institutions for their work.**

Revised Application of F&A Cost Rate Agreement

Thursday, May 10, 2018 4:31 PM

Revised Application of F&A Cost Rate Agreement:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Iowa State University
Revised Application of F&A Cost Rate Agreement
RM 9/7/17

ISU has graduated F&A rates for Organized Research that change over the life of the F&A Cost Rate Agreement. ISU will no longer process proposal budgets using the simplified application of F&A rates. This change is effective with proposals received in OSPA on 10/1/17 or later.

Revised F&A Budgeting Approach for Organized Research Proposals:

ISU will use an F&A rate of 52% for the portion of each period (e.g. Year 1, Year 2, Year 3) before 7/1/18, and use an F&A rate of 53% for the portion of each period on or after 7/1/18.

Examples with Organized Research F&A rates:

FY17 – 52%

FY18 – 52%

FY19 – 53%

A proposed period of performance of 7/1/17 to 6/30/19 would use an F&A rate of 52% in Year 1 (7/1/17 to 6/30/18) and an F&A rate of 53% in Year Two (7/1/18 to 6/30/19).

A proposed period of performance of 1/1/18 to 12/31/19 would use F&A rates of 52% and 53% in Year 1 (52% - 1/1/18 to 6/30/18 and 53% - 7/1/18 to 12/31/18) and an F&A rate of 53% in Year Two (1/1/19 to 12/31/19).

A proposed period of performance of 4/1/18 to 3/31/20 would use F&A rates of 52% and 53% in Year 1 (52% - 4/1/18 to 6/30/18 and 53% - 7/1/18 to 3/31/19) and an F&A rate of 53% in Year Two (4/1/19 to 3/31/20).

The ISU Budget Templates (BOB) have been revised to reflect this change in budgeting F&A for organized research proposals.

ISU Charging of F&A to Project Accounts:

For awards from organized research proposals that budgeted F&A using 52% or 53% F&A rates, the F&A rate charged by the ISU financial system will be based on the date of the expense transaction.

F&A rate charged based on the expenses' Transaction Date:

Transaction dates - 7/1/16 to 6/30/18: 52%

Transaction dates – 7/1/18 to 6/30/19*: 53%

*Will use until the next F&A Cost Rate Agreement is negotiated

These changes were requested by the Division of Finance. Questions on the budgeting of F&A costs in proposals should be directed to ospa-proposals@iastate.edu. Questions on the charging of F&A costs to project accounts should be directed to your assigned sponsored programs accountant.

Simplified Application of Next F&A Rate Agreement

Monday, May 14, 2018 1:26 PM

Simplified Application of Next F&A Rate Agreement:([.docx](#)) -
February 16, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Iowa State University
Simplified Application of Next F&A Cost Rate Agreement
RM 2/13/17

ISU will have graduated F&A rates for Organized Research that change over the life of the next F&A Cost Rate Agreement. ISU plans to simplify the application of multiple F&A rates on proposal budgets after the new rates are rolled out to campus.

Simplified Approach:

ISU will budget for proposals using one rate for an entire period (e.g. Year 1, Year 2, Year 3) based on the start date of the period. This simplified approach will be much easier for campus to implement, and the lost F&A revenue will be minimal.

Example with Organized Research F&A rates:

FY17 – 52%

FY18 – 52%

FY19 – 53%

Any proposal period starting in FY17 (7/1/16 to 6/30/17) would budget for the entire period (up to one year) using the FY17 negotiated rate of 52%.

Any proposal period starting in FY18 (7/1/17 to 6/30/18) would budget for the entire period (up to one year) using the FY18 negotiated rate of 52%.

Any proposal period starting in FY19 (7/1/18 to 6/30/19) would budget for the entire period (up to one year) using the FY19 negotiated rate of 53%.

If a three-year proposal had a proposed start date of 1/1/17, then the following F&A rates would be applied to the proposal budget for the following periods:

52% - Year 1 – 1/1/17 to 12/31/17 (start date of this period is in FY17)

52% - Year 2 – 1/1/18 to 12/31/18 (start date of this period is in FY18)

53% - Year 3 – 1/1/19 to 12/31/19 (start date of this period is in FY19)

Once an award came in, as with similar past practice, we would use the F&A rates for the periods as proposed, and not adjust F&A rates based on actual start dates of each period.

With KFS, an award with multiple F&A rates will have separate account numbers set up for each different F&A rate.

Determination of F&A Rates Applied to Sponsored Funds and Third Party Cash Cost Share

Tuesday, February 16, 2021 9:51 AM

Determination of F&A Rates Applied to Sponsored Funds and Third Party Cash Cost Share
OSPA Guidelines RM 4/10/19

Definitions:

Cost Share – The portion of ISU sponsored project costs not paid by the Sponsor.

Third Party Cash Cost Share – Cash committed as cost share by an external third party (not the Sponsor and not ISU) to support an ISU sponsored project. Cost share commitments from a third party must be documented in writing prior to submission of a proposal. A separate GoldSheet is needed for third party cash cost share when the Sponsor funds the ISU project.

Unrecovered F&A Costs – Can be included as part of cost share with the prior approval of the Sponsor. Unrecovered F&A costs means the difference between the amount of F&A charged to the Sponsor and the amount of F&A which could have been charged to the project using ISU's approved negotiated F&A cost rate. This includes both unrecovered F&A costs on sponsored funding and unrecovered F&A costs on third party cash cost share.

F&A Rate Determination Guidelines:

1. **F&A Rate Determination for Sponsor** – Determine if F&A costs are limited on the project funding to be provided by the Sponsor.
 - a. **No limitation by Sponsor.** There will be no unrecovered F&A costs on sponsored funding that uses ISU's approved negotiated F&A cost rate.
 - b. **Yes, limitation exists.** This must be a published rate restriction or an approved waiver.
 - i. **Unrecovered F&A Costs Allowed as Cost Share by Sponsor** – Determine if Sponsor will allow unrecovered F&A costs to be used as cost share.
 1. **Not allowed.** Unrecovered F&A costs on sponsored funding are not budgeted as cost share (e.g. NIFA per 7 CFR 3430.52(b)).
 2. **Allowed.** Unrecovered F&A costs on sponsored funding should be budgeted as cost share.
2. **F&A Rate Determination for Third Party Cash Cost Share** – Determine if F&A costs are limited on the project funding to be provided by the Sponsor.
 - a. **No limitation by Sponsor.** There will be no unrecovered F&A costs on third party cash cost share funding that uses ISU's approved negotiated F&A cost rate.
 - b. **Yes, limitation exists.** The Third Party Cash Cost Share funding will use the same F&A rate as used by ISU on the sponsored funding.
 - i. **Unrecovered F&A Costs Allowed as Cost Share by Sponsor** – Determine if Sponsor will allow unrecovered F&A costs to be used as cost share.
 1. **Not allowed.** Unrecovered F&A costs on third party cash cost share funding are not budgeted as cost share (e.g. NIFA per 7 CFR 3430.52(b)).
 2. **Allowed.** Unrecovered F&A costs on third party cash cost share funding should be budgeted as cost share.

As in the past, a GoldSheet is not needed for the third party cash cost share funding until the award stage of the sponsored funding.

F&A Calculator - USDA TFFA vs Negotiated Rate

Tuesday, February 16, 2021 10:03 AM

<https://www.ospa.iastate.edu/sites/default/files/imported/forms/docs/F%26A%20Calculator%20-%20USDA%20TFFA%20vs%20Negotiated%20Rate.xlsx>

FDP - Expanded Clearinghouse

Tuesday, March 5, 2019 1:54 PM

- FDP Pilot - Expanded Clearinghouse:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

FDP Pilot

Iowa State University is now participating in the Federal Demonstration Partnership (FDP) Expanded Clearinghouse Pilot for Subrecipient Entity Monitoring

Live as of 8/18/2016

Purpose of pilot:

- To develop one single web based repository for all FDP entities (and potentially others) to enter, upload, maintain and update all entity related information about their organization
- To utilize this centralized online repository of entity information to enable Pass-Through Entities to obtain and review all necessary subrecipient entity information and conduct subrecipient entity monitoring and risk assessment activities in a timely and streamlined fashion without requiring time and resources to send and collect various forms to obtain information
- ***Reduce administrative burden associated with verifying standard information required for subrecipient issuance and monitoring***
- Eliminate swapping of subrecipient commitment forms completed on a transaction-by-transaction basis in favor of accessing an on-line, up-to-date standardized, streamlined subrecipient data repository (an "entity profile")
- Determine whether such a repository effectively reduces the data collection and review burden for pass-through entities and subrecipients alike

Information included in the Clearinghouse:

- Entity Information
 - Demographic Information (name, address, type, small business status, parent information, etc.)
 - Entity Identification Numbers and Codes
 - Entity Rate Agreements
 - Department of Defense Registration Numbers
 - Department of Education Registration Numbers
 - Assurances and Agency Approvals (Accreditations)
 - DOD/ONR System Reviews
 - Entity Key Contacts
- Entity Certifications
 - Conflict of Interest
 - Debarment and Suspension
 - Lobbying
 - Affirmative Action Compliance
 - FFATA
- Single Audit Information (*will eventually also include Financial Questionnaire option*)
 - Single Audit Status & Links
 - Core info about any findings, deficiencies, material weaknesses
- Entity Official Certification

How this works:

- Institutions participate as both a subrecipient and as a pass-through entity
- Participants have formally agreed to terms of the Pilot
- Participants have created their Entity Profile
- FDP has posted each participant's Entity Profile
- PTEs access their participating subrecipients' on-line Entity Profile in lieu of sending a subrecipient commitment form for each subaward between the parties (throughout the pilot)
 - *Transaction-specific information may still be shared*
- Participants track how many subwards are transacted via this mechanism (throughout the pilot, reported quarterly)
- Participants evaluate the pilot (at least twice)

PARTICIPATING INSTITUTIONS CAN BE FOUND AT:

http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_173303.pdf

SAMPLE PUSH-BACK LANGUAGE:

I am writing to let you know that the [YOUR OWN INSTITUTION'S NAME] is a pilot participant in the FDP Expanded Clearinghouse. It is my understanding that your organization is also a pilot participant. As a part of the pilot, both our organizations have agreed that effective August 18, 2016, we will not send or require completion of a subrecipient commitment forms, but will instead use our profile that is posted on-line at the FDP Expanded Clearinghouse site (http://sites.nationalacademies.org/PGA/fdp/PGA_171219). Please use my profile to obtain the information you need. If you have transaction-specific requirements, I will be happy to provide those but I will need you to tell me precisely what you need via an email or a transaction-specific request form (one that does not also include data elements found in our profile.)

Federal Regulations

Wednesday, March 6, 2019 10:57 AM

FISMA - Federal Information Security Modernization Act

Wednesday, March 6, 2019 10:58 AM

<https://www.dhs.gov/fisma>

Federal Information Security Management Act (FISMA)

Background

The Federal Information Security Management Act, or FISMA, is a federal law enacted in 2002. FISMA provides the framework for the creation of standards related to federal information systems. FISMA requires each federal agency to develop, document and implement an agency-wide program to provide information security for information and information systems that support the operations and assets of the agency, including those provided or managed by another agency or contractor.

FISMA standards were developed and published by the National Institute of Standards and Technology (NIST). NIST has published several documents related to the standards that are applicable both to federal agencies and to contractors (like ISU) that may be required to comply with the standards when providing services.

The standards provide for security categorization levels that indicate the type of security requirements necessary to protect the IT system or data. Categories include confidentiality level; integrity level; availability level; and overall level. The levels include Low, Moderate and High.

Federal agencies have begun to flow down the requirements of FISMA in contracts, cooperative agreements, and even in grants. At ISU, OSPA has identified FISMA terms and conditions in agreements from the US Department of Agriculture, the US Department of Transportation, the US Department of Defense, and the Iowa Department of Public Health. These agreement terms may or may not indicate the FISMA security category and level applicable to the work proposed under the award. These terms may or may not be applicable to your project.

When Would FISMA Apply to Your Sponsored Project?

FISMA may apply to your sponsored project when your project involves collecting, storing, processing, transmitting or using information **on behalf of** a federal agency. The phrase “**on behalf of**” is not defined in the law; however, “on behalf of” could be interpreted as applying to those projects for which ISU acts as a direct extension of a federal agency or when ISU may be accomplishing a federal government function for a federal agency. Additionally, FISMA could apply to your project if you will be transmitting data to a federal system or if you need to utilize or access a federal system for the scope of work.

FISMA – Budgeting for a Sponsored Project

Compliance with the requirements of FISMA may be costly. Researchers need to be aware of the FISMA security category and level required in an award in order to make an assessment of potential cost. Researchers should consult with ISU Information Technology Services (ITS) to develop a “buy vs. build” analysis to develop an appropriate cost estimate for FISMA compliance. Note that ISU IT systems are not compliant as a whole with FISMA and creating FISMA compliant systems within ISU will incur costs that should be budgeted in your sponsored project budget. However, it may not be possible to configure ISU IT systems to conform to FISMA requirements for any particular project. As a result,

researchers may need to consider the hire of a third party IT systems contractor that is FISMA compliant to provide FISMA related services and include these costs in the proposal budget. Researchers may contact OSPA, OIPTT or ITS if they have questions regarding FISMA compliance. See contact information listed below.

FISMA award terms

Federal awards may contain references to FISMA that are labeled in various ways. You may see references to NIST, system security plan requirements, information security assessments or document references such as 800-53. Typically, federal contracts with FISMA requirements will have a section of the agreement entitled "Information Security"; grants or cooperative agreements may have a section entitled "FISMA compliance." OSPA will review agreements for FISMA clauses and will work with the researcher and the agency to determine whether the clause applies to the work being conducted under the award. If the clause does not apply, OSPA will request the agency provide a written determination of non-applicability. If the clause does apply, the researcher should work with ISU ITS to discuss IT system requirements and cost, if the cost of compliance was not included in the award budget. It may be necessary for ISU to request additional funds from the agency to comply with FISMA requirements if the cost has not been included in the original budget request.

FISMA Information

More information on FISMA may be found at:

NIST FISMA URL: <http://csrc.nist.gov/groups/SMA/fisma/index.html>

OSPA/OIPTT Contact Information

To discuss FISMA requirements at the time of proposal submission, please contact the OSPA PreAward Team at ospa-proposals@iastate.edu. To discuss FISMA agreement terms and conditions at the time of award, please contact ospa-awards@iastate.edu or industry-contracts@iastate.edu (for industry and commodity awards).

ITS Contact Information

To discuss development of a buy vs. build analysis for FISMA compliance and/or obtain interpretation assistance on the security and technology implications of FISMA requirements, please contact the ITS Director of Security Operations, Andrew Albinger at albinger@iastate.edu or 294-3984.

Fee for Service

Thursday, May 10, 2018 4:34 PM

Final Fee for Service Guidelines:([.pdf](#)) -
September 14, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>



Fee for Service Projects – Are services routinely provided by an approved fee-for-service unit (“FFSU”) at an established rate approved by the Financial Accounting & Reporting Office and are characterized by:

- The service will be performed by a FFSU established through ISU's Financial Accounting & Reporting Office (FAR).
- The FFSU provides the service to others on a recurring basis using the same or similar methods and techniques.
- Rates charged by the FFSU must be approved by FAR prior to starting the fee-for-service operation.
- The service does not require project-specific approval from the IRB, IACUC, IBC or RSC; services provided pursuant to an approved, standing protocol that covers a class of services (i.e., an umbrella protocol) may be offered as fee-for-service.
- No new intellectual property is anticipated.
- Client owns the data and results except parties may agree that ISU will own rights to educational training materials.
- Any publishing rights rest with the client.
- No publications are anticipated by ISU faculty, staff or students.
- The arrangement does not contain ISU cost sharing, matching funds, subawards or pass-through funding.
- The FFSU must use a fee-for-service agreement on the Office of University Counsel (OUC) webpage or a customized fee-for-service agreement developed by OUC for the FFSU. If the client requires use of the client's agreement, the agreement must be reviewed and approved by OUC prior to execution.

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Revised Fee-for-Service Guidelines – to be posted on FAR’s website (Summer 2017)

Fee-for-Service

Fee-for-service projects are services routinely provided by an approved fee-for-service (“FFS”) unit at an established rate approved by the Financial Accounting & Reporting Office and are characterized by:

- The service will be performed by a FFS unit established through ISU’s Financial Accounting & Reporting Office (FAR).
- The FFS unit provides the service to others on a recurring basis using the same or similar methods and techniques.
- Rates charged by the FFS unit must be approved by FAR prior to starting the fee-for-service operation.
- The service does not require project-specific approval from the IRB, IACUC, IBC or RSC; services provided pursuant to an approved, standing protocol that covers a class of services (i.e., an umbrella protocol) may be offered as fee-for-service.
- No new intellectual property is anticipated.
- Client owns the data and results except parties may agree that ISU will own rights to educational training materials.
- Any publishing rights rest with the client.
- No publications are anticipated by ISU faculty, staff or students.
- The arrangement does not contain ISU cost sharing, matching funds, subawards or pass-through funding.
- The FFS unit must use a fee-for-service agreement on the Office of University Counsel (OUC) webpage or a customized fee-for-service agreement developed by OUC for the FFS unit. If the client requires use of the client’s agreement, the agreement must be reviewed and approved by OUC prior to execution.

Fringe Benefit Rates

Wednesday, March 6, 2019 11:29 AM

<https://www.ospa.iastate.edu/proposal/preparation/benefits>

Fringe Benefit Pool

Wednesday, March 6, 2019 11:30 AM

- SPA Handout:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

GRANT COORDINATOR MEETING 2/18/16

SPONSORED PROGRAMS ACCOUNTING (SPA)

1. SPA Staff Update
Neena Bentley from Interim Manager to Manager
New accountant, Corey Hassebrock, handling BEI and Plant Pathology-EXT
2. Fringe Benefit Pool Update

FRINGE BENEFIT POOL

What is it?

A fringe benefit pool is where:

- Employee benefits are clustered and averaged by employee groupings
- Rates are calculated annually as a percentage of salaries and wages
- Benefits are charged to all funding sources on a consistent basis
- Employee benefits choices are kept within the pool rather than by units

What benefits are included in the pool?

- Medical/ Dental/Wellness
- Retirement/ Social Security/ Medicare
- Workers Compensation/Unemployment Compensation
- Life/ Disability insurance and Disability Waivers
- Employee Assistance Program/Tuition Reimbursement/Child Care
- Sick Leave Payouts \geq 720 hours

Why is ISU going to use it?

- Spreads fringe costs over total salary base and funding streams, releasing approximately \$3.4 M of general fund dollars for other strategic purposes
- Simplifies accounting, budget administration, and grant processes (the rate budgeted will match the rate charged to the account)
- Total cost impact can be calculated at point of salary/hiring decisions
- Relieves departmental burden for long term sick leave payouts

What are the new rates?

- Faculty - 27.5 %
- P&S/Other - 34.5% (K-base, M-base)
- Post Docs - 32.9%
- Grad students - 9.8%
- Sr. Leader - 11.4% (person with annual salary $>$ \$265,000)
- Merit - 45.8%
- Temporary - 17.1%
- Students - 0.62% (No FICA/Medicare)

When will the new rates be implemented?

- July 1, 2016

What is the financial impact to units across campus?

- Intent- revenue neutral for general fund sources for FY 2017
- Makes budgeting of benefits more accurate

3. PI Resignation/Retirement – Neena Bentley & Pam Helfer

Sometimes a PI will inform ISU of his/her intent to leave the university, and sometimes we find out at the 11th hour, or even after-the-fact. The goal of this form is to eliminate redundant requests for information from SPA, OSPA and/or OIPTT and to foster communication with the department to make sure the various processes are handled as efficiently as possible.

SPA (Pam Olson) checks HR status to confirm the termination date.

Pam emails the form to:

PI

Dept Chair

Departmental Admin person as listed on the Sponsored Programs Contact List

cc: OSPA-Awards, OSPA-Proposals, OIPTT, and the SPA accountant.

Note: When the form is returned, using reply-all regarding any questions will help everyone see which individuals originally received the email if follow-up is needed.

Who should I contact with additional questions?

OSPA Pre-Award Team

- Questions about pending proposals

OSPA Award Team

- Awards and contracts from non-industry and non-commodity sponsors

OIPTT Industry Contracts Team

- Awards or contracts from industry and commodity sponsors
- Non-Disclosure Agreements
- Materials Transfer Agreements

OIPTT Commercialization Manager

- Intellectual property disclosures and licenses (needed, pending and/or existing)

ISU Research Foundation

- Patents or patent applications

GoldSheets

Thursday, May 10, 2018

1:12 PM

Prize Funding

Tuesday, March 1, 2022 4:26 PM

Prize Funding

We have recently noticed an increase in prize funding award activity. ISU will treat federal prize funding as sponsored funding. ISU will treat prize funding with terms (indemnification, grant of rights to 3rd parties, etc.) as sponsored funding. A GoldSheet is required if the prize funding is treated as sponsored funding. OIPTT will handle prize funding from industry and commodities, and OSPA will handle prize funding from federal agencies and others. The ISU Foundation will handle prizes from non-federal sponsors that do not have restrictive terms.

Feb 22 Common Goldsheet Errors

Tuesday, March 1, 2022 4:03 PM



Feb 22 Common Goldsheet Errors

Notes on Common Goldsheet Errors

Feb 2022 Grant Coordinator Meeting

Load from Previous function helps save time but we see both rushing errors and system errors. When using load from previous, please ensure that you proof read the GoldSheet data to ensure it is accurate. Here are some places we often see mistakes

- OSPA sees people to contact for budget issues who are no longer with the university
- Compliance information has not been updated (most common for a new project with same sponsor/personnel)
- Departments that no longer exist are not updated so the routing gets corrupted
- When using load from previous- ensure that the PI name loads in correctly
 - you can see net ID for the PI listed in the new format (e.g ANDREA RICH – arich)

Submission Type is very helpful to OSPA and we often see incorrect information in this field.

- Other Electronic – OSPA submits through an electronic portal
- PI Submits – PI/GC submit through electronic portal/email/hard copy

Program Name field often has incomplete information. Please include both the opportunity number and the title- we do not require you follow the OSPA format but we do need the opportunity number and the title to make sure we have the correct opportunity. Here's the format OSPA uses to for program names.

Format: [Opportunity number] [Opportunity name]; [Area number Area name]; [Phase]

Note: Always include the Topic/Area/Phase number, if applicable.

Examples:

NSF 21-565 Small Business Innovation Research Program Phase II (SBIR Phase II)

NSF 21-579 Improving Undergraduate STEM Education: Education and Human Resources (IUSE: EHR);
Track 1 Engaged Student Learning; Level 1

PD 20-1403 Process Systems, Reaction Engineering, and Molecular Thermodynamics

DARPA-RA-19-01 Young Faculty Award (YFA)

USDA-NIFA-AFRI-006609 Foundational and Applied Sciences Program; A1152 Physiology of Agricultural Plants

Foreign Countries Involved: Be sure to list foreign countries on the last page of the GoldSheet for any of these conditions:

- Project is being funded by a foreign entity
- Project is being carried out in a foreign country
- Project involves personnel who working in the US on a Visa

Incentive, Contribution and RRC Distribution on GoldSheets for Supplements & Continuations

Thursday, May 10, 2018 1:12 PM



Feb 22 Incentive-Contribution-RRC Distribution for Supple...

February 2022 Grant Coordinator Meeting

Incentive, Contribution and RRC Distribution on GoldSheets for Supplements & Continuations

Proposal Submission Types:

A supplement is a proposal request for additional funds on an existing project, and will have the same period of performance as the existing project award.

A continuation is a non-competitive proposal that is required by the sponsor for an existing project to receive additional funding and to add additional time to the period of performance.

Award Process:

When awarded, both supplemental funding and continuation funding increase the amount of funding on an existing award.

Each award has only one incentive distribution profile (totaling 15%), only one PI/Co-PI contribution profile (totaling 100%), and only one RRC 45% IDC distribution profile (totaling 100%). It is not possible to have two profiles for one award at the same time.

The incentive, contribution, and RRC distribution listed on a new GoldSheet being processed for an existing award will override and replace the existing profile from the prior GoldSheet.

Common Errors and Advice:

Is it a common error to leave off Co-PIs and/or assume that the distribution profile entered on a GoldSheet for a supplement or continuation will only apply to that specific piece of funding. The incentive distribution, PI/Co-PI contribution, and RRC distribution percentages entered on each GoldSheet should reflect the incentive, contribution, and RRC distribution for the entire project period.

OSPA advises campus to use the Load from Previous functionality to start a GoldSheet for supplements and continuation funding. This will ensure that all PIs and Co-PIs from a prior GoldSheet are listed. If starting a GoldSheet from scratch for a supplement or continuation proposal, please compare the new GoldSheet to the previous GoldSheets submitted for the existing project to ensure the accuracy of Co-PIs and percentages entered for that project.

New Visiting Scholar Question on GoldSheet

Tuesday, March 1, 2022 3:42 PM

New Visiting Scholar Question on GoldSheet

The VPR asked OSPA to add a visiting scholar question to the GoldSheet. This change is expected to go live in the near future after additional testing is completed. In order to accommodate this request, the “Is this an FDP-GLP study? Yes/No” question was removed, and the following question “Are you hosting or planning to host Visiting Scholars? Yes/No” was added to the Compliance Information section on the first page of the GoldSheet. This is not a project specific question. The VPR wants to be able to identify PIs who are currently hosting or are planning to host visiting scholars.

GoldSheet Work Queue Change Request Form - LiquidOffice

Tuesday, February 16, 2021 11:30 AM

<https://www.ospa.iastate.edu/#QuickLinks>

Quick Links

- **Contacts**
- NSF Data Management Plan Info
- Cayuse login
- GoldSheet login
- Institutional Information for Proposal Submissions
- Tuition rates
- Fringe benefit rates
- F&A Agreement
- pivot Funding Opportunities
- **New User Registration**
- **Unit Administrator Change Request**
- **GoldSheet Work Queue Change Request**
- Grant Coordinator E-Mail Change Request
- Requesting Access to KC

Common GoldSheet Errors

Thursday, May 10, 2018 4:35 PM

Commons GoldSheet Errors:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Common Errors, Slowdowns, and Mistakes on GoldSheets
OSPA Pre-Award Team - May 14, 2017

Proposal does not follow instructions in the guidelines: The most frequent and most preventable errors that OSPA encounters come from non-conformity with the guidelines. Specific examples include missing or incorrect forms; significantly less or more detail in the budget justification than required by the sponsor; and using the wrong budget template. OSPA recommends that the guidelines be reviewed by all staff involved in the proposal preparation process. FAQs, agency policy and procedure guides (often found as a link in the guidelines), and modifications to the original announcement may contain important information.

Untimely receipt of subrecipient documents: Subawards on a proposal add complexity and time to the proposal preparation process. OSPA cannot approve the GoldSheet and associated budget and budget justification until all documents have been received from the subrecipients.

Incorrect formatting of budget justification: Budget justification templates are used by many on campus to streamline budget preparation. Budget justifications need to be formatted to comply with the requirements of the specific sponsor or guidelines, and these formatting requirements are often overlooked.

Lack of monitoring - GoldSheet routing: Delays in GoldSheet routing often occur when no one is monitoring the progress of a GoldSheet through the approval routing tree. Co-PIs frequently overlook the notification email. Monitoring of the GoldSheet as it routes through the approval routing tree will prevent many slowdowns from occurring.

Multiple attachments of the same document to the GoldSheet: It is difficult for a reviewer to determine which version of a document is the most recent without explanatory notes on the GoldSheet or the use of a numbered/consistent file-naming convention. Emailing attachments to OSPA while the GoldSheet is still routing is discouraged and can make it difficult to determine which version is most recent. The preferred method is to email the revised documents to the current GoldSheet approver and request they be attached to the GoldSheet.

Participant Support Costs Budgeting Mistakes – Not following ISU Guidance: Items are often budgeted in this category in error (e.g., travel for ISU employees). See ISU's Participant Support Costs Guidance on SPA's website under Various Topics or details. For NIH proposals, Participant Support Costs should only be budgeted when specified in the FOA. As Participant Support Costs are exempt from IDC (F&A), it is important to follow the ISU guidance and the sponsor's guidelines when budgeting these costs.

Lack of GoldSheet Notes: Notes help downstream reviewers understand changes or unusual circumstances when reviewing the GoldSheet. As a general practice, OSPA checks the NOTES section as the first step of a GoldSheet review. Situations where notes are very useful include requests to update page 1 of the GoldSheet with any corrections, confirmation of the correct budget total amount if the budget has changed, indication of unique sponsor requirements, and requirements for specific budget forms to be included in the submission.

Procedures for Deleting GoldSheets in Your Liquid Office Inbox

Tuesday, February 16, 2021 11:33 AM

Procedures for Deleting GoldSheets in Your Liquid Office Inbox

September 2019

These procedures are used to delete a GoldSheet, one GoldSheet at a time, from your inbox or a work queue where you are an authorize user.

1. Sign into Liquid Office



2. Navigate to the inbox or the work queue where the GoldSheet is located by clicking on the appropriate tab in the Liquid Office dashboard.



3. Select the checkbox next to the inbox item you wish to delete.



4. Click the Transfer button on the top right of your screen.



5. Click on the Search button in the top middle of your screen.

Transfer Form: Goldsheet_Initiate_BPM v6_1

Transfer to:

User

Notes:

Subject

Notes

6. A new window will open, type "delete" in the search box and click on the Search button.

LiquidOffice - Mozilla Firefox

https://grants.its.iastate.edu/lfserver?DFS_Action=RouteListFavoriteTargets&DFS_ByW...

Search Users

in

7. The search will return the "LO Delete Collector [ITUIS]" in the results. Select the radio button in front of the delete collector and then click on the OK button in the top right.

Search Users

in

	User Name	UserID
1	<input checked="" type="radio"/> LO Delete Collector [ITUIS]	lo_delete.users.its.iastate.edu.ISU

8. The following will appear. Click on the top Send button under the "Transfer to:" box.

Transfer Form: Goldsheet_Initiate_BPM v6_1

Transfer to:

User

Notes:

Subject

Notes


The GoldSheet is now deleted from your Inbox.

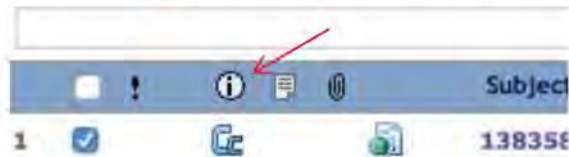
Delete Form Copies from Liquid Office

Wednesday, March 6, 2019 1:21 PM

Delete Form Copies from Liquid Office

Form Copies are copies of routed Goldsheets that are sent to the PI, GoldSheet Initiator, and Departments during the routing process. The form copy serves as a record of the GoldSheet as it was signed/approved so that it can be referenced later by looking in the PI or Initiator's inbox, or a department's work queue. Form Copies can be deleted from either an Inbox or from a departmental work queue using the following process.

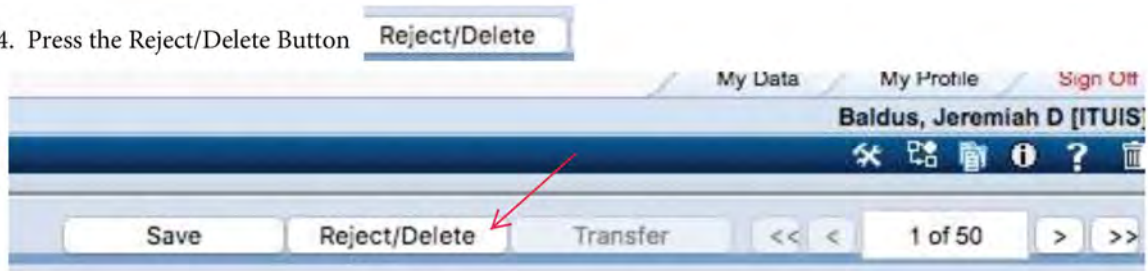
1. Open Liquid Office dashboard and navigate to the Inbox (PI or Initiator) or Work Queue (Department) Tab
2. Click the status() button so that the form copies (CC) appear first.



3. Check ☒ each item to be deleted.



4. Press the Reject/Delete Button



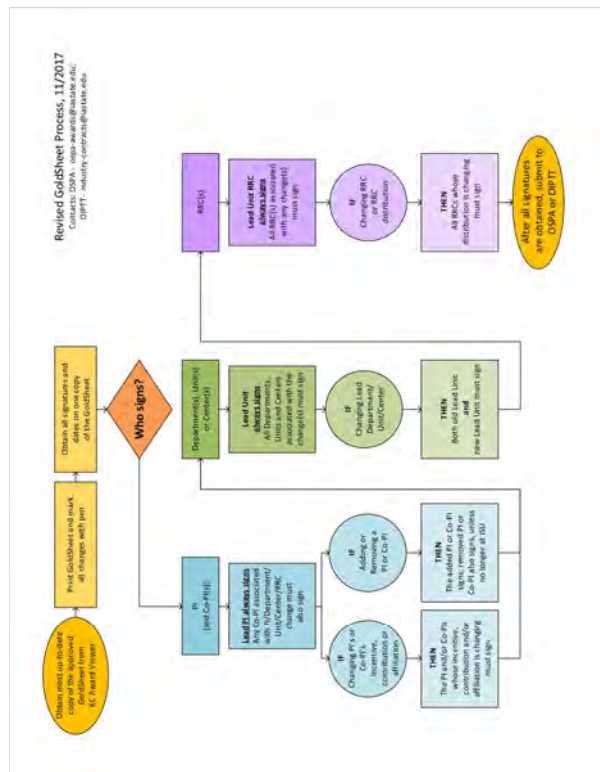
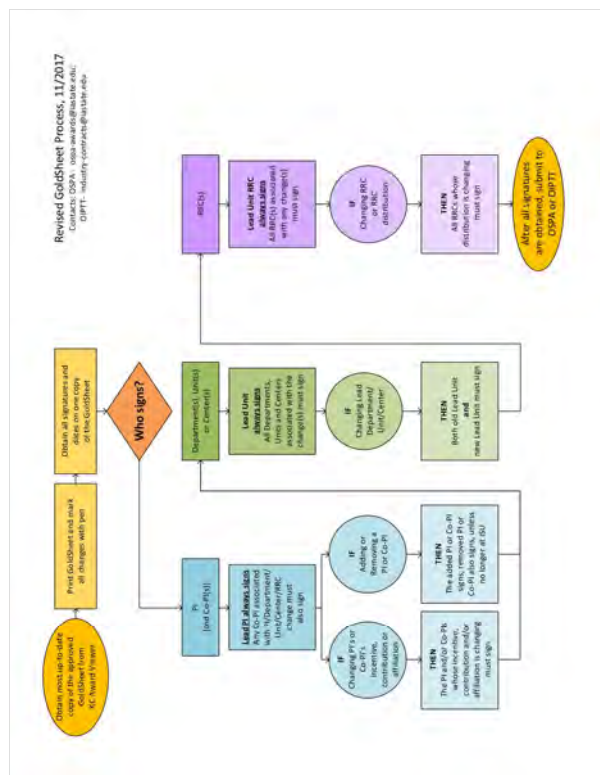
5. Click OK

grants.its.iastate.edu says

Do you really want to Delete the selected document(s)?

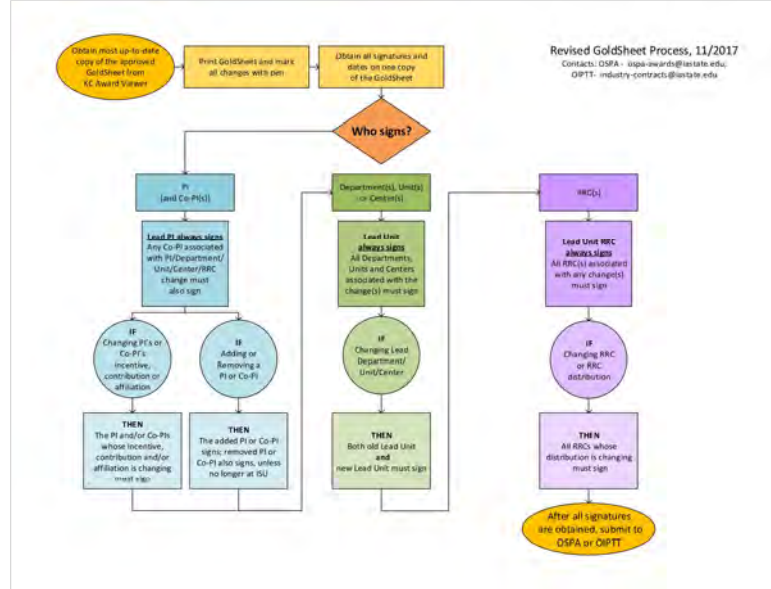
Cancel

OK



- Post-Award Admin Changes Revised GoldSheet Process (.pdf)
- Post-Award Admin Changes Revised GoldSheet Flowchart (.pdf)

From <https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive/>



OSPA – AWARDS TEAM & OIPTT – INDUSTRY CONTRACTS POST-AWARD ADMINISTRATIVE CHANGES TO A SPONSORED PROJECT

Administrative changes may be necessary on a funded sponsored project. The most common are (some may occur concurrently):

1. Replacing, adding, or removing PI(s)
2. Rearranging PI(s) (changing a Co-PI to a PI, vice versa)
3. Changing the PI's and/or Co-PI's incentive, contribution, or affiliation (Department/Unit/Center)
4. Changing the Lead Unit
5. Changing the RRC or RRC distribution

Changes #1-2 above generally require two separate actions – one to make the change internally (known as the "Revised GoldSheet" process), and one to make the change externally, with the sponsor.*

Changes #3-5 only require the internal process, a Revised GoldSheet.

REVISED GOLDSHEET PROCESS

1. Obtain the most up-to-date copy of the approved GoldSheet for the award you wish to change from KC Award Viewer.
2. Print all pages of the GoldSheet and mark all of the necessary and appropriate changes with a pen. If using Adobe to make changes electronically, do not delete any information; use editing features to cross out old information and then type in new information – all changes must be visually clear to everyone reviewing the Revised GoldSheet.
3. Obtain the required signatures on a single copy of the GoldSheet. In general, any persons and administrative areas associated with the changes in the Revised GoldSheet are required to sign. Specifically, the following signatures will be required on the Revised GoldSheet in the corresponding spaces previously signed:
 - a. The PI(s)
 - The lead PI must **always sign** acknowledging any change.
 - If a PI or Co-PI has retired or left the institution, his/her signature is not required.
 - Any PI and/or Co-PIs whose incentive **or** contribution **or** affiliation is changing **are** required to sign, unless they have left the institution.
 - Note: Any Co-PIs whose incentive **and** contribution **and** affiliation remain the same **are not** required to sign.
 - b. Authorized Signatory for all PI/Co-PI affiliations (Departments/Units/Centers) associated with changes in (a) above
 - The Lead Unit must **always sign** acknowledging any change.
 - If not previously listed on GoldSheet, please add the new affiliation (Department/Unit/Center) and obtain a signature from the new affiliation.
 - If Lead Unit is changing, both the new Lead Unit and old Lead Unit must sign.
 - c. Authorized Signatory for all RRCs associated with the changes in (a) and (b) above
 - The Lead Unit RRC must **always sign** acknowledging any change.
 - Any updates needed to the RRC distribution will be determined by colleges/VP Units after all PIs and departments have signed the Revised GoldSheet.
 - If changing RRC distribution, all colleges/VP Units whose RRC distribution percentages change are required to sign.

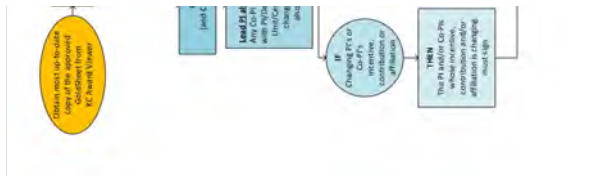
*Depending on the particular award terms and conditions, the sponsor will likely need to approve the change before any change is made internally to records and accounts at ISU.

November 2017

4. Once all signatures are received, transmit the Revised GoldSheet by email (one scanned PDF document of all pages) or by campus mail (all pages are required) to OSPA or OIPTT at ospa-awards@iastate.edu or industry-contracts@iastate.edu. Emails indicating approval of changes will not be accepted.
 - a. For federal or non-profit sponsors, submit to OSPA at ospa-awards@iastate.edu.
 - b. For industry or commodity sponsors, submit to OIPTT at industry-contracts@iastate.edu.
5. Any deviation from the process above will need to be discussed and approved in advance by the appropriate OSPA/OIPTT Award Administrator.
6. Once the Revised GoldSheet is finalized and approved by OSPA or OIPTT, a copy will be available in KC Award Viewer. The lead PI, Lead Unit, and RRC have the responsibility to forward the approved Revised GoldSheet on to other affected parties.

EXTERNAL PROCESS FOR PI CHANGES

1. Send an email to ospa-awards@iastate.edu or industry-contracts@iastate.edu with the following information and documentation:
 - a. A clear description of the change (i.e. who is taking over, why the current PI will no longer be involved, why you are adding a Co-PI, etc.);
 - b. A current bio/sketch for proposed PI; and
 - c. A justification for the proposed PI's credentials for involvement with the project.
2. Your OSPA/OIPTT Award Administrator will then review and submit the request per the terms of the award.
3. Your OSPA/OIPTT Award Administrator will follow up as necessary until approval/disapproval is received and the internal Revised GoldSheet process can be finalized.



4. Once all signatures are received, transmit the Revised GoldSheet by email (one scanned PDF document of all pages) or by campus mail (all pages are required) to OSPA or OIPTT at ospa-awards@iastate.edu or industry-contracts@iastate.edu. Emails indicating approval of changes will not be accepted.
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EXTERNAL PROCESS FOR PI CHANGES

1. Send an email to ospa-awards@iastate.edu or industry-contracts@iastate.edu with the following information and documentation:
 - a. A clear description of the change (i.e. who is taking over, why the current PI will no longer be involved, why you are adding a Co PI, etc.);
 - b. A current biosketch for proposed PI; and
 - c. A justification for the proposed PI's credentials for involvement with the project.
2. Your OSPA/OIPTT Award Administrator will then review and submit the request per the terms of the award.
3. Your OSPA/OIPTT Award Administrator will follow up as necessary until approval/disapproval is received and the internal Revised GoldSheet process can be finalized.

November 2017

Updating Goldsheets (2018)

Wednesday, March 6, 2019 11:15 AM

<https://www.ospa.iastate.edu/sites/default/files/imported/proposal/docs/May%202018-Draft-P-A%20Updated%20GS%20Process%20Instr-5-14-2018%20%20FINAL.pdf>

- Updated Updated GolgeSheet Process Instructions:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

OFFICE OF SPONSORED PROGRAMS ADMINISTRATION **PRIOR TO AWARD. UPDATED GOLDSHEET GUIDANCE**

May 2018

Administrative changes may be necessary on a GoldSheet prior to award, most commonly due to errors that are discovered during routing. Changes made to the GoldSheets prior to award most commonly include:

1. Adding, rearranging, or removing PIs or Co-PIs
2. Changing the PI's and/or Co-PI's incentive, contribution, or affiliation (department/unit/center)
3. Changing the Lead Unit
4. Changing the RRC or RRC distribution

In cases when project personnel need to be changed (Item #1 above), a new GoldSheet is required. Please initiate a new GoldSheet and email ospa-proposals@iastate.edu to request the original GoldSheet be deleted. For all other changes listed (items #2-4 above), the original GoldSheet should continue to route with updates using the following process.

UPDATED GOLDSHEET PROCESS (Note: A new GoldSheet is acceptable if this option is preferred.)

1. Obtain the most recent version of the GoldSheet that needs to be updated. If the GoldSheet has not yet reached OSPA, obtain the GoldSheet from the current reviewer in Liquid Office.
2. Print the GoldSheet and mark all of the necessary and appropriate changes with a pen. You may route a scanned copy via email or route a hard copy of the GoldSheet being updated. Please note that all signatures must appear on the same single copy of the GoldSheet. OSPA will not accept multiple copies or emails in lieu of signatures.
3. Obtain the required signatures on the Updated GoldSheet. In general, any persons and administrative areas associated with the changes are required to sign if the person/affiliation/RRC has previously approved the GoldSheet. Specifically, the following signatures will be required on the Updated GoldSheet, in the corresponding spaces previously signed:
 - a. The PI(s)
 - The lead PI must **always sign** acknowledging **any** change.
 - Any Co-PIs whose incentive **or** contribution **or** affiliation is *changing* **must** sign, unless they have left the institution.
Note: Any Co-PIs whose incentive **and** contribution **and** affiliation *remain the same* **are not** required to sign.
 - b. Authorized Signatory for **all affected** PI/Co-PI affiliations (department/unit/center) associated with changes in (a) above
 - The Lead Unit must **always sign** acknowledging **any** change.
 - If not previously listed on GoldSheet, please add the new affiliation (department/unit/center) and obtain a signature from the new affiliation.
 - If Lead Unit is changing, both the new Lead Unit and old Lead Unit must sign.
 - c. Authorized Signatory for **all** RRCs associated with changes in (a) and (b) above

- (department/unit/center) and obtain a signature from the new affiliation.
- If Lead Unit is changing, both the new Lead Unit and old Lead Unit must sign.
- c. Authorized Signatory for **all** RRCs associated with changes in (a) and (b) above
 - The Lead Unit RRC must **always sign** acknowledging **any** change.
 - If changing RRC distribution, all colleges/VP units whose RRC distribution percentages change must sign.
 - College/VP units will complete any updates needed to the RRC distribution after all Pls and affiliations (department/unit/center) have signed the Updated GoldSheet.

4. Once all required signatures are obtained on the Updated GoldSheet from the PI, Lead Unit, Lead RRC and those affected Co-PIs, affiliations (department/unit/center) and RRCs who have approved the GoldSheet prior to the updates, the Updated GoldSheet should be attached (all pages of the Updated GoldSheet are required to be attached) to the routing original GoldSheet, and a comment should be added to the notes section of the GoldSheet. If the original GoldSheet has been fully routed and it is prior to award, email the Updated GoldSheet document to ospa-proposals@iastate.edu. Emails indicating approval of changes will **not** be accepted.
5. Those who have not previously approved the original GoldSheet will document their approval of the Updated GoldSheet by approving the original routing GoldSheet with the Updated GoldSheet attached.
6. Any deviation from the process above will need to be discussed and approved in advance by the appropriate OSPA Pre-Award Administrator.
7. It is the responsibility of the Lead Unit and/or RRC to forward a copy of the Updated GoldSheet, budget and budget justification to affiliations (department/unit/center) and RRCs that were not in the routing tree of the original GoldSheet.

- Updated Updated GolgeSheet Flowcharts:([.pdf](#))

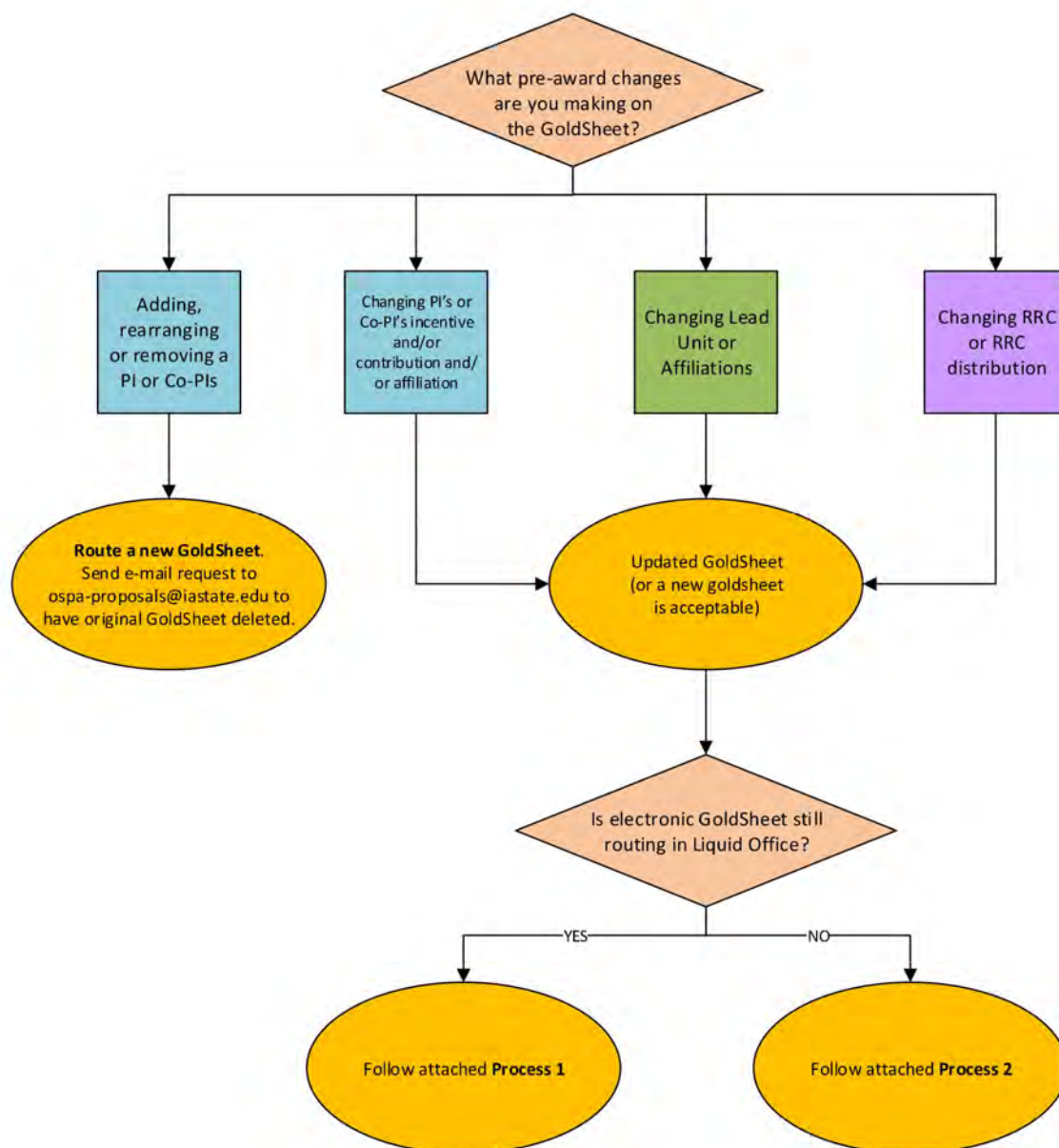
From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Prior to Award, Updated GoldSheet Process

May 2018

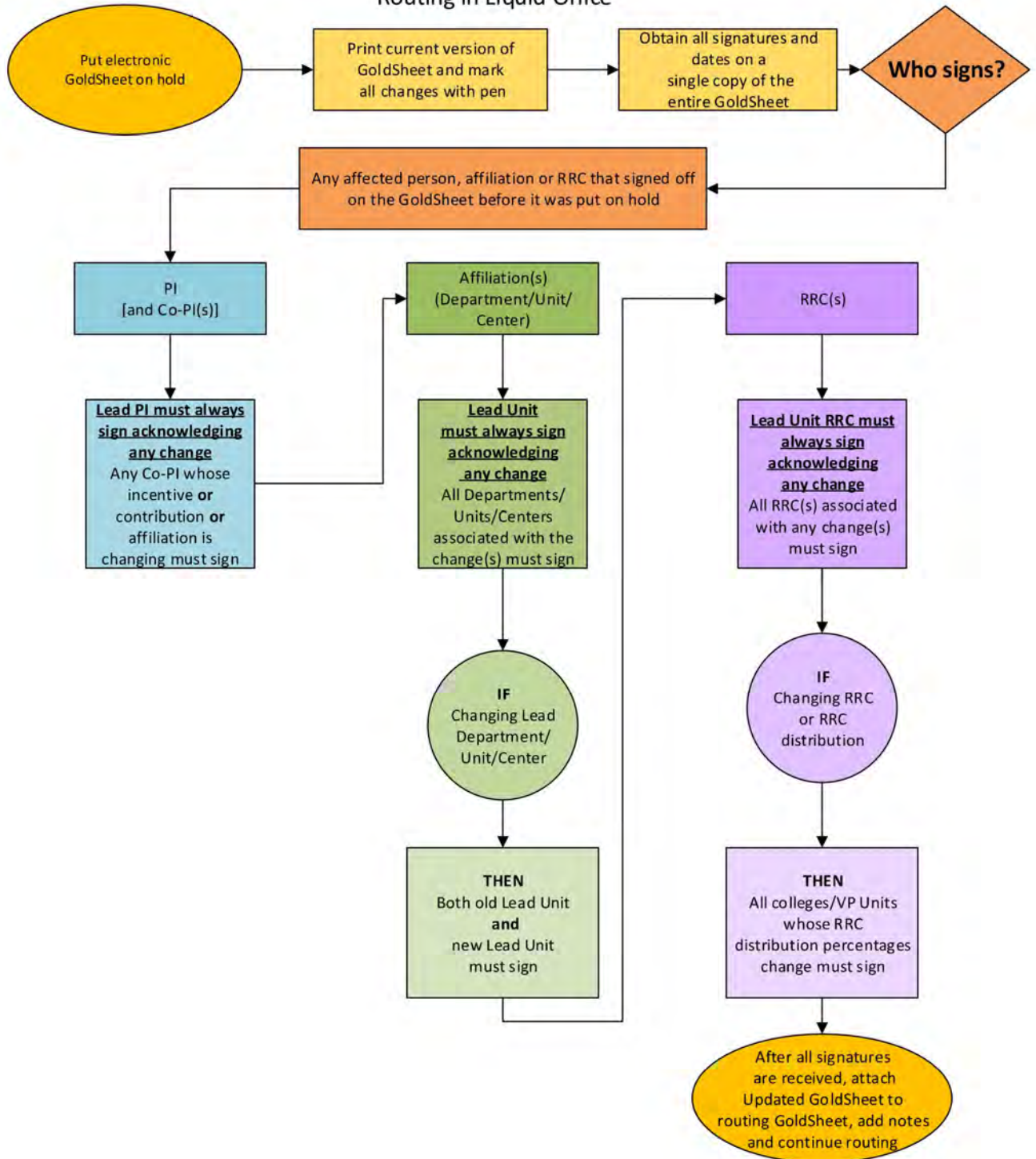
Contact: OSPA Pre-Award Team

ospa-proposals@iastate.edu



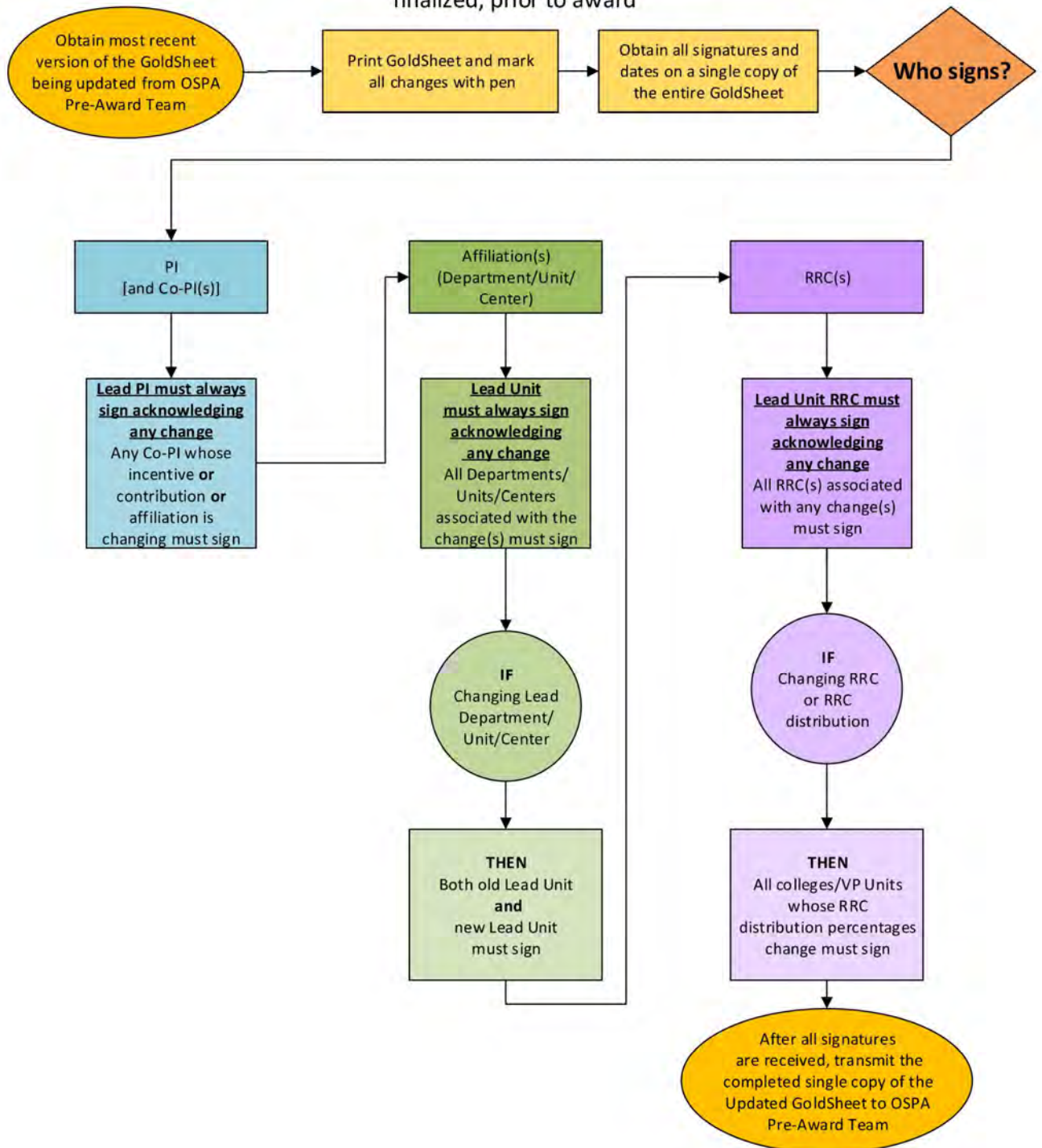
Prior to Award, Updated GoldSheet Process 1

Electronic GoldSheet is Still
Routing in Liquid Office



Prior to Award, Updated GoldSheet Process 2

Electronic GoldSheet has been routed to
OSPA Pre-Award Team, finalized or not
finalized, prior to award



May 2016 (Outdated) Updating Goldsheets

Wednesday, March 6, 2019 11:10 AM

- Updating GoldSheet Prior to Award:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

OFFICE OF SPONSORED PROGRAMS ADMINISTRATION

GUIDANCE FOR UPDATING GOLDSHEET PRIOR TO AWARD

May 2016

Administrative changes may be necessary on the GoldSheet prior to award, most commonly due to errors that are discovered during routing. Changes made to the GoldSheet most commonly include:

1. Replacing, adding, or removing PIs or Co-PIs
2. Changing the PI's and/or Co-PIs incentive and/or contribution
3. Changing the Lead Unit
4. Adding or Removing Departments or Units
5. Changing the RRC Unit(s) or RRC distribution

In cases when project personnel needs to be changed (Item 1 above), a new GoldSheet is required. Please initiate a new GoldSheet and email ospa-proposals@iastate.edu to request the original GoldSheet be deleted. For all other changes listed, the original GoldSheet should continue to route with updates using the following process.

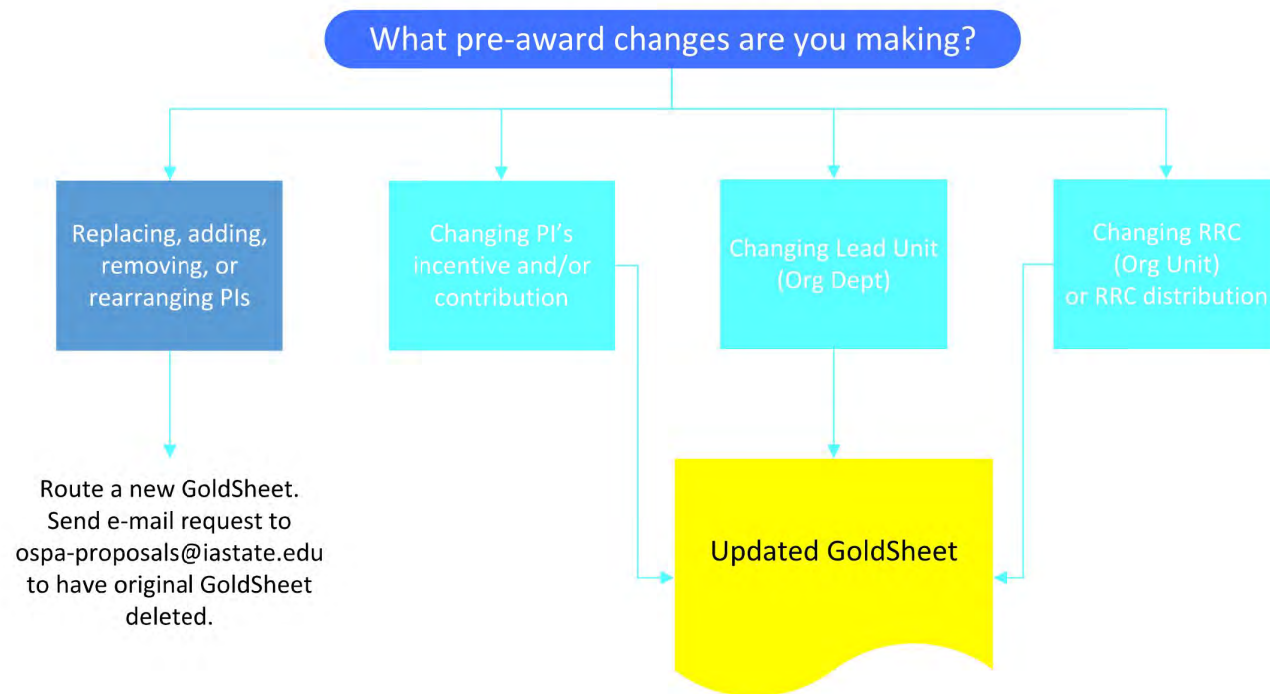
UPDATED GOLDSHEET PROCESS

1. Obtain the most up-to-date copy of the GoldSheet that needs to be changed. If the GoldSheet has not yet reached OSPA, obtain the GoldSheet from the current reviewer in Liquid Office.
2. Print the GoldSheet and mark all of the necessary and appropriate changes with a pen. You may route a scanned copy of the GoldSheet being updated for signatures via email, or route a hard copy of the GoldSheet being updated for signatures. Please note that all signatures needed must appear on the same copy of the GoldSheet. OSPA will not accept multiple copies or emails in lieu of signatures.
3. Obtain the required signatures. In general, any persons/units affected by the changes are required to sign if the person/unit has previously approved the GoldSheet. Specifically, the following signatures will be required in the corresponding spaces previously signed:
 - a. The PI(s):
 - The lead PI must **always sign** acknowledging **any** change.
 - Any Co-PIs whose incentive **or** contribution is *changing* **are** required to sign, unless they have left the institution.
 - Any Co-PIs whose incentive **and** contribution *remain the same* **are not** required to sign.
 - b. Lead Unit(s):
 - The Lead Unit (administering department) must **always sign** acknowledging **any** change.
 - If the Lead Unit is changing, both the new Lead Unit and old Lead Unit are both required to sign.
 - The Lead Unit is to send the Updated GoldSheet to all non-Lead Units listed on the GoldSheet.
 - c. RRC(s):
 - The Lead RRC (college/VP unit of the administering department) must **always sign** acknowledging **any** change.
 - If changing the RRC distribution, all colleges/VP Units whose distribution percentage changes are required to sign if the GoldSheet was approved by the college/VP Unit prior to the updates.

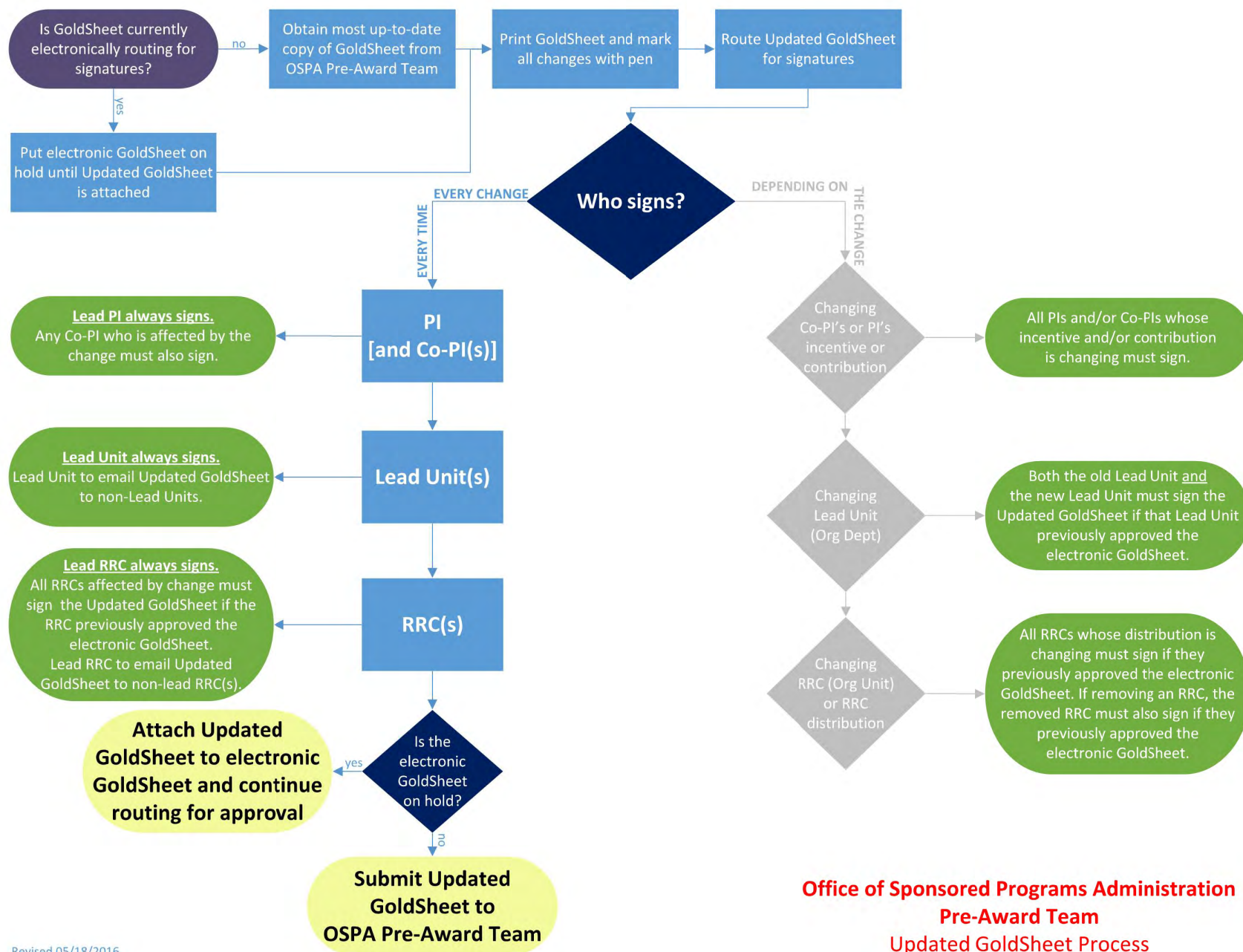
- Colleges/VP units will complete any changes needed to the RRC distribution after the PI, all affected Co-PIs, and the Lead Unit have signed the Updated GoldSheet.
 - The Lead RRC is to send the Updated GoldSheet to all non-Lead RRCs listed on the GoldSheet.
4. Once all required signatures are obtained on the Updated GoldSheet from the PI, Lead Unit, Lead RRC and those affected Co-PIs and RRCs who have approved the GoldSheet prior to the updates, the Updated GoldSheet should be attached (all pages of the Updated GoldSheet are required to be attached) to the routing original GoldSheet, and a comment should be added to the notes section of the GoldSheet. If the original GoldSheet has been fully routed and is prior to award, email the Updated GoldSheet document to ospa-proposals@iastate.edu. Emails indicating approval of changes will not be accepted.
 5. Those who have not previously approved the original GoldSheet will document their approval of the Updated GoldSheet by approving the original routing GoldSheet with the Updated GoldSheet attached.
 6. Any deviation from the process above will need to be discussed and approved in advance by the appropriate Pre-Award Administrator.

- Pre-Award Updated GoldSheet flowchart:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>



Office of Sponsored Programs Administration
Pre-Award Team
Updated GoldSheet Process



Feb 2016 (Outdated) Updating Goldsheet

Wednesday, March 6, 2019 11:38 AM

- Febr 2016 Updating Goldsheet Prior to Award - Change in Process:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

OFFICE OF SPONSORED PROGRAMS ADMINISTRATION

GUIDANCE FOR UPDATING GOLDSHEET PRIOR TO AWARD

Administrative changes may be necessary on the GoldSheet prior to award, most commonly due to errors that are discovered during routing. Changes made to the GoldSheet most commonly include:

1. Replacing, adding, or removing PIs or Co-PIs
2. Changing the PI's and/or Co-PIs incentive and/or contribution
3. Changing the Lead Unit
4. Adding or Removing Departments or Units
5. Changing the RRC Unit(s) or RRC distribution

In cases when project personnel needs to be changed (Item 1 above), a new GoldSheet is required. Please initiate a new GoldSheet and email ospa-proposals@iastate.edu to request the original GoldSheet be deleted. For all other changes listed, the original GoldSheet should continue to route with updates using the following process.

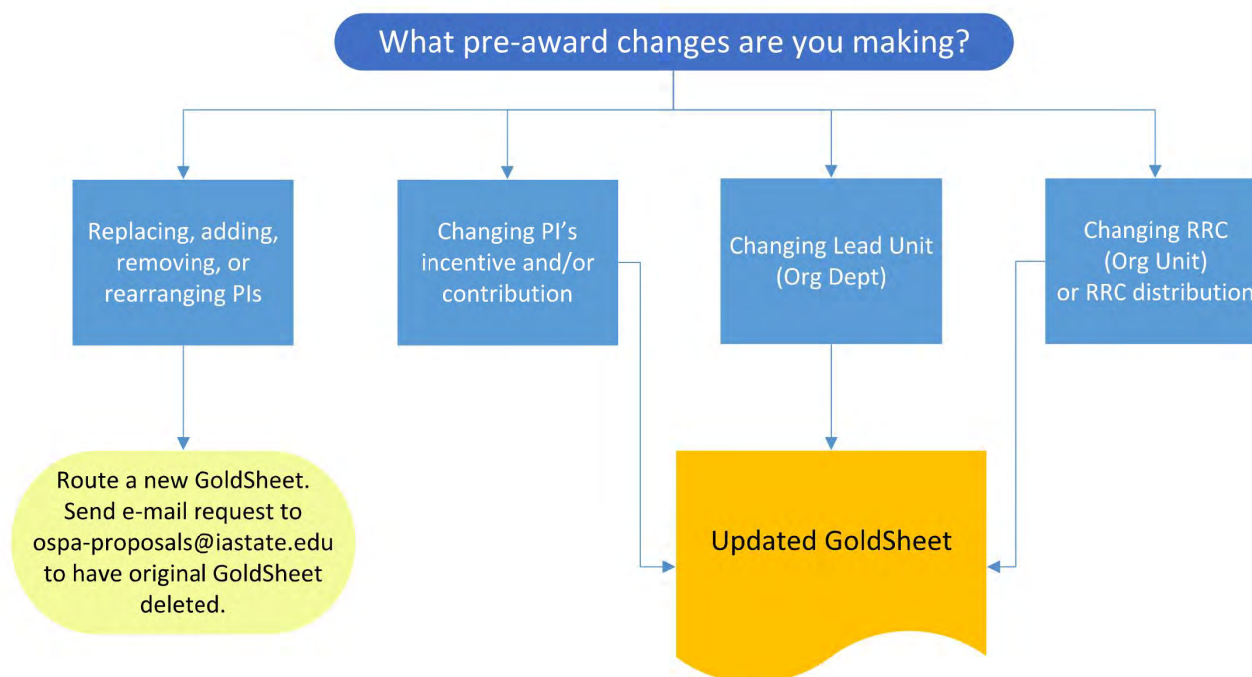
UPDATED GOLDSHEET PROCESS

1. Obtain the most up-to-date copy of the GoldSheet that needs to be changed. If the GoldSheet has not yet reached OSPA, obtain the GoldSheet from the current reviewer in Liquid Office.
2. Print the GoldSheet and mark all of the necessary and appropriate changes with a pen. You may route a scanned copy of the GoldSheet being updated for signatures via email, or route a hard copy of the GoldSheet being updated for signatures. Please note that all signatures needed must appear on the same copy of the GoldSheet. OSPA will not accept multiple copies or emails in lieu of signatures.
3. Obtain the required signatures. In general, any persons/units affected by the changes are required to sign if the person/unit has previously approved the GoldSheet. Specifically, the following signatures will be required in the corresponding spaces previously signed:
 - a. The PI(s):
 - The lead PI must **always sign** acknowledging **any** change.
 - Any Co-PIs whose incentive **or** contribution is *changing* **are** required to sign, unless they have left the institution.
 - Any Co-PIs whose incentive **and** contribution *remain the same* **are not** required to sign.
 - b. Authorized Signatory for **all affected** PI/Co-PI Departments/Units associated with changes in (a) above that have previously approved the GoldSheet prior to the updates:
 - If not previously listed on GoldSheet, please list the new Department or Unit and obtain the signature from that Authorized Signatory.
 - If the Lead Unit is changing, both the new Lead Unit and old Lead Unit are required to sign.
 - If changes are made that impacts a Department or Unit, that Department/Unit is required to sign acknowledging the change if they have already signed the GoldSheet prior to the updates.
 - c. Authorized Signatory for **all affected** RRCs that previously approved the GoldSheet prior to the updates:
 - If changing the RRC distribution, all colleges/VP Units whose distribution percentage changes are required to sign if the GoldSheet was approved by the college/VP Unit prior to the updates.
 - College/VP units will complete any changes needed to the RRC distribution after the PI and all affected Co-PIs and Units have signed the Updated GoldSheet.

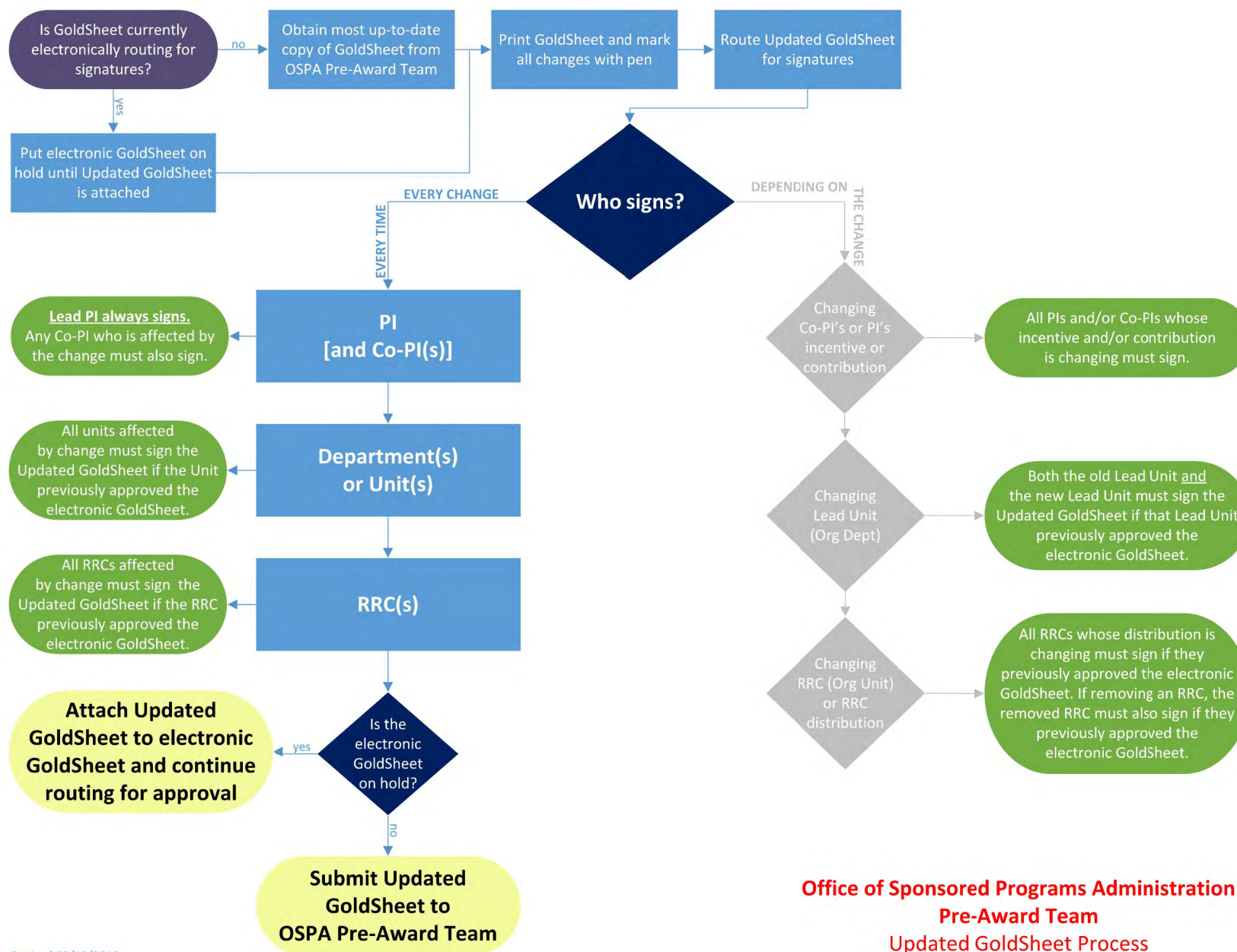
4. Once all signatures are obtained on the Updated GoldSheet from those who have approved the GoldSheet prior to the updates, the Updated GoldSheet should be attached (all pages of the Updated GoldSheet are required to be attached) to the routing original GoldSheet, and a comment should be added to the notes section of the GoldSheet. If the original GoldSheet has been fully routed and is prior to award, email the Updated GoldSheet document to ospa-proposals@iastate.edu. Emails indicating approval of changes will not be accepted.
5. Those who have not previously approved the original GoldSheet will document their approval of the Updated GoldSheet by approving the original routing GoldSheet with the Updated GoldSheet attached.
6. Any deviation from the process above will need to be discussed and approved in advance by the appropriate Pre-Award Administrator.

- Febr 2016 Pre-Award Updated GoldSheet Flowchart:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>



Office of Sponsored Programs Administration
Pre-Award Team
Updated GoldSheet Process



2016 Modification to Routing

Wednesday, March 6, 2019 12:26 PM

- Feb 2016 Modification to GoldSheet Routing Approvals:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Modification to GoldSheet Routing Approvals To Be Implemented in Spring 2016

A modification will be made to the Liquid Office system's routing workflow to simplify the GoldSheet approval process and to improve GoldSheet approval processing time. The number of departmental approvals required for a GoldSheet will decrease. With this modification, only the Administering Lead Unit (Department/Center) will approve the GoldSheet.

Current GoldSheet Review and Approval Routing Tree:

1. PI
2. Co-PIs – approve concurrently
- 3. Departments/Centers of PI and all Co-PIs – approve concurrently**
4. RRCs (College/VP Unit) of PI and all Co-PIs – approve one at a time
5. OSPA

New Modified GoldSheet Review and Approval Routing Tree:

1. PI
2. Co-PIs – approve concurrently
- 3. Administering Lead Unit (Department/Center) – one approval**
4. RRCs (College/VP Unit) of PI and all Co-PIs – approve one at a time
5. OSPA

Note: Departments/Centers of PI and of all Co-PIs that are not the Administering Lead Unit will receive an FYI notification with a copy of the approved GoldSheet attached in their respective Liquid Office work queues **after OSPA has approved the GoldSheet.**

OSPA anticipates that this change should reduce the GoldSheet approval processing time for complex GoldSheets by a minimum of one day. If you have any questions, please contact ospa-proposals@iastate.edu.

IDC Waiver

Wednesday, March 6, 2019 12:27 PM

11/2017 Form:

<https://www.vpresearch.iastate.edu/facilities-administrative-costs/>

<http://www.vpresearch.iastate.edu/wp-content/uploads/2017/11/FA-rate-waiver-request-form-11-21-17.pdf>

Outdated Form:

Feb 2016 IDC Waiver Request Form:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Industry

Wednesday, March 6, 2019 1:11 PM

- Industry Funded Specialty Agreements:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>



Industry Funded Specialty Agreements . . .

From time to time, an industry sponsor will fund projects that require contract terms that differ from the standard sponsored research agreement. The projects may include using a standardized ISU protocol, using a piece of equipment that is unique to the university, or conducting trials outside of the sponsor's internal R&D functions. For these situations, ISU has an array of specialty agreements available. Contact OIPTT with questions regarding any of these specialty agreements.



Animal Product Trial Agreements

- Evaluation of material (e.g., drug, medical device) or animal feed where sponsor provides the material and/or evaluation protocol
- Animal subjects generally require IACUC approval
- No new intellectual property is anticipated; improvements to background intellectual property are owned by providing party
- Sponsor has the right to review public disclosures, remove its confidential information, and request delay to protect patentable subject matter
- A 15% F&A rate (of total direct costs) is charged



Commodity Agreements

- Research projects funded by agricultural commodity groups
- Typically involve a proposal in response to an RFP
- Public disclosure is usually allowed without sponsor review
- No F&A rate (0%) is charged for approved commodity groups



Consortia and Membership Agreements

- Involve one or more universities and multiple industry members; see <http://www.vpresearch.iastate.edu/index.cfm?nodeID=48338&audienceID=1> for information on establishing new consortia or membership centers
- Membership fees support projects selected for funding by industry members
- Intellectual property ownership follows inventorship; all members have non-exclusive rights to intellectual property with reimbursement of patent costs
- Members have the right to review public disclosures and request delay to protect patentable subject matter; research project reports are provided to all members
- A 10% F&A rate (of total direct costs) is charged with VPR approved F&A waiver



Field Trial Agreements

- Evaluation of agricultural material (e.g., seeds, plants, chemicals) where sponsor provides the material and/or evaluation protocol
- IBC approval may be required
- Confidential field trials are generally for pre-commercial materials; non-confidential field trials are generally for commercially available products; for additional information, see the Field Trial Guidance and Academic Research License tip sheets
- No new intellectual property is anticipated
- Public disclosure is typically allowed without sponsor review for non-confidential field trials
- A 15% F&A rate (of total direct costs) is charged



Human Subject Trial Agreements

- Evaluation of non-pharmaceutical products (e.g., nutritional supplements, food products) or other testing (e.g., exercise effects, apparel, devices) where sponsor provides the product and/or evaluation protocol
- Human subjects generally require IRB approval
- No new intellectual property is anticipated; improvements to background intellectual property are owned by providing party
- Sponsor has the right to review public disclosures, remove its confidential information, and request delay to protect patentable subject matter
- A 15% F&A rate (of total direct costs) is charged



Technical Evaluation Agreements

- Evaluation of non-biological or non-animal related material (e.g., equipment, software, samples, prototype) where sponsor provides the material and/or evaluation protocol
- No new intellectual property is anticipated; improvements to background intellectual property are owned by providing party
- Sponsor has the right to review public disclosures, remove its confidential information, and request delay to protect patentable subject matter
- Sponsor owns data and reports
- A 15% F&A rate (of total direct costs) is charged

Contact Information

Industry Contracts Team	industry-contracts@iastate.edu	294-4740
Dana Rewoldt, Lynne Mumm, May Wu, Peter Gudlewski, Leanna Harestad, Mary Bonvillain		
Office for Responsible Research		
IACUC Team	iacuc@iastate.edu	294-5412
IBC Team	bphc@iastate.edu	294-6288
IRB Team	irb@iastate.edu	294-4215

www.techtransfer.iastate.edu

ISU Policies

Tuesday, March 1, 2022

3:46 PM

ISU Visiting Scholar Policy

Tuesday, March 1, 2022 3:46 PM

ISU Visiting Scholar Policy

The new [Visiting Scholars policy](#) governs the designation, approval, roles, and the overall responsibility for visiting scholars at Iowa State. The [Visiting Scholars website](#) provides additional information and guidance. The policy became effective on May 10, 2021.

KC

Monday, May 14, 2018 9:42 AM

KC Award Notice Email - Various Account Example:([.pdf](#)) -
May 18, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Id: 1508
From: admin
Recipients: alexking , sboersma , smsabtu , tborts
Channel: KC Notification Channel
Producer: KC Notification System
Type: FYI
Priority: Normal
Send Date: 2017-05-12T09:13:21.000-05:00
Removal Date: none


Title: KC Award Notice 017260-00001-1; 138866 VPR CMI Membership 400-25-70
Content:

Congratulations, an award with new or additional funding has been finalized by OSPA/OIPTT.

PI: Alexander King
LEAD UNIT: AMES LABORATORY
TITLE: CMI Affiliate Program Membership
SPONSOR: INTERNATIONAL ELECTRONICS MANUFACTURING INITIATIVE
SPONSOR AWARD #:
TOTAL OBLIGATED FUNDS: \$.00
PROJECT PERIOD: 04/01/2017-03/31/2020
ACCOUNT: *

**If this is a new award and an account number is not listed above, you should receive a new SPA account notice email.*


KC AWARD #: 017260-00001

The award package has been sent to Sponsored Programs Accounting (SPA) for additional processing (e.g. account assignment, KFS budget entry). A KC Award Notice summary is available at the following print link:  You must be logged into AccessPlus to access this summary.

The KC Award Viewer link on the uBusiness tab in AccessPlus may also be used to view KC Award 017260-00001 and to obtain attachments of the award documents and approved GoldSheets for this project. Step by step instructions may be found under Quick Links on the OSPA website at <http://www.ospa.iastate.edu>.

If this award includes indirect costs, please contact ospa-awards@iastate.edu if you wish to make any changes to the PI incentive. Any changes to the IDC distribution must be coordinated through the lead RRC administering unit. If you have any other questions regarding this award, contact ospa-awards@iastate.edu or if this is an industry or commodity award, contact industry-contracts@iastate.edu.

Please do not reply to this email.

 [Back to Action List](#)

Award Processing by OSPA and SPA

Tuesday, February 16, 2021 10:07 AM

KC Award Viewer

Awards, Amendments, GoldSheet, program guidelines and award budget for funded projects are accessible in the KC Award Viewer.



KC Award Viewer Manual

For instructions on how to navigate the KC Award Viewer, we have provided a **KC Award Viewer Manual** on the OSPA website @ Quick Links (right side of home page) OR at the following link:

<https://www.ospa.iastate.edu/sites/default/files/imported/award/KC%20Award%20Viewer%20Manual%20-%20February%202017.pdf>

Quick Links

- [Contacts](#)
- [NSF Data Management Plan Info](#)
- [Cayuse login](#)
- [GoldSheet login](#)
- [Institutional Information for Proposal Submissions](#)
- [Tuition rates](#)
- [Fringe benefit rates](#)
- [F&A Agreement](#)
- [pivot Funding Opportunities](#)
- [New User Registration](#)
- [Unit Administrator Change Request](#)
- [Grant Coordinator E-Mail Change Request](#)
- [Requesting Access to KC Award Viewer](#)
- [KC Award Viewer Manual](#)

If you currently do not have access to the KC Award Viewer there is a 2 step process to gain access.

Step:

- 1) **Requesting Access to the KC Award Viewer** - follow instructions provided – complete/submit IT Administrative Systems Request.
- 2) Submit **Unit Administrator Change Request** form. Permission must be provided from the unit head (Chair, Director or Dean) or RRC fiscal officer. Submit form as instructed.

Negotiation reports:

e-Data / Custom Reports / University Wide / KC-Sponsored Programs Reports / Negotiation Reports / Negotiation Summary

Select by: Account Number or Proposal Number

Hints:

- You may need to select by KC Award number or ISU Account Number (old account numbers have not been updated to corresponding KC Award Number).
- If you are not able to find by proposal number search by account number.

OSPA SAMPLE AWARD NOTICE

From: from.kc_email_service@iastate.edu <from.kc_email_service@iastate.edu>

Sent: Date/Time

To:

Subject: KC Award Notice xxxxxx-00001-1; <GS#> <RRC> new award

Congratulations, an award with new or additional funding has been finalized by OSPA/OIPTT.

PI: <name>

LEAD UNIT: <Lead Unit-RRC>

TITLE: xxxxxxxxxxxx

SPONSOR: <sponsor name>

SPONSOR AWARD #: <sponsor agreement number>


TOTAL OBLIGATED FUNDS: \$_____.00

PROJECT PERIOD: <start date>-<end date>

ACCOUNT: *<KC Award number>

**If this is a new award and an account number is not listed above, you should receive a new SPA account notice email.*

KC AWARD #: xxxxxx-00001

The award package has been sent to Sponsored Programs Accounting (SPA) for additional processing (e.g. account assignment, KFS budget entry). A KC Award Notice summary is available at the following print link:  **You must be logged into AccessPlus to access this summary.**

The KC Award Viewer link on the uBusiness tab in AccessPlus may also be used to view KC Award xxxxxx-00001 and to obtain attachments of the award documents and approved GoldSheets for this project. Step by step instructions may be found under Quick Links on the OSPA website at <http://www.ospa.iastate.edu>.

If this award includes indirect costs, please contact ospa-awards@iastate.edu if you wish to make any changes to the PI incentive. Any changes to the IDC distribution must be coordinated through the lead RRC administering unit. If you have any other questions regarding this award, contact ospa-awards@iastate.edu or if this is an industry or commodity award, contact industry-contracts@iastate.edu.

Please do not reply to this email.

(You may also get an additional KC Action notice with the same message)

Business Process from KC to Workday:

Nightly an integration process runs to bring KC actions into the Workday Inbox of the SPA Accountant from items processed by OSPA/OIPTT during the day. The SPA Accountant works those actions and determines what needs to be updated/created by the notes listed in the action from OSPA/OIPTT. Once the SPA Accountant submits the award into a completed status a notification will occur. This is sent to the notifications are of Workday for the following individuals: Grant Coordinator, PI, GFS, Cost Center Manager

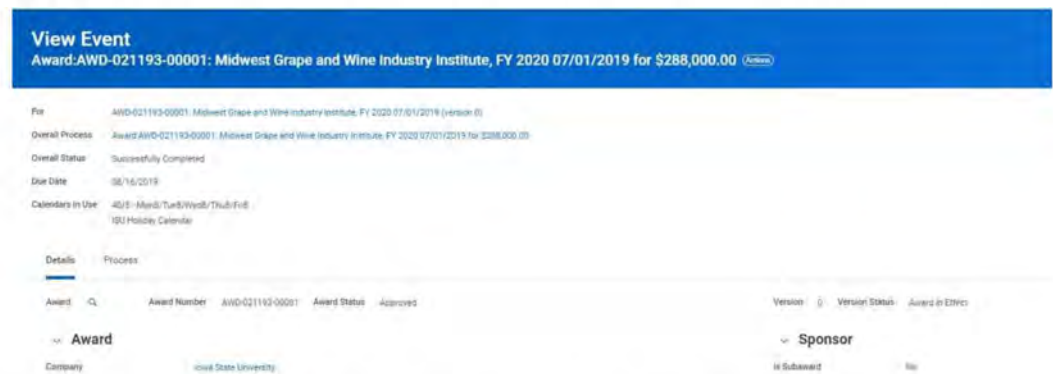
Workday Notice:

Item is listed in notifications (bell icon in Workday)

Example:



To see more information on what occurs select the blue link on the notification. It will show the following:



Scroll down to the Award Notes and the comments will outline what action occurred.

Looking at the Budget:

Enter the award number in the search box and select Enter. The result below will render. Select the item labeled as Budget.

Results

Search Results 2 Items

All of Workday

AWD-021193-00001: Midwest Grape and Wine Industry Institute, FY 2020 07/01/2019 (version 1)	Award
AWD-021193-00001: Midwest Grape and Wine Industry Institute, FY 2020 07/01/2019 (version 1)	Budget

The following will result:

View Budget

Budget AWD-021193-00001: Midwest Grape and Wine Industry Institute, FY 2020 07/01/2019 (version 1)

Company Iowa State University

Budget Structure Award Budget Consultant

Budget Name AWD-021193-00001: Midwest Grape and Wine Industry Institute, FY 2020 07/01/2019 (version 1)

Budget Template Award Budget Consultant - AWD-021193-00001: Midwest Grape and Wine Industry Institute, FY 2020 07/01/2019 (version 1)

Budget Status Available

Default Balanced Amendment No

Enable for Allocations No

Translation Currency USD

Account Translation Rule Set Account Translation Rule Set

Ledger Account Summary (Print)

Ledger Account Summary 1 Rows

Ledger Account Summary	Original Amount	Amendment Amount	Current Amount
001 Standard Account Set (Parent) 401 Other Direct Costs	40,000.00	0.00	40,000.00
100 Standard Account Set (Parent) 401 Payroll Benefits	40,700.00	0.00	40,700.00
100 Standard Account Set (Parent) 401 Payroll Benefits	140,000.00	0.00	140,000.00
100 Standard Account Set (Parent) 401 Payroll Benefits	10,000.00	0.00	10,000.00
100 Standard Account Set (Parent) 401 Payroll Benefits	10,000.00	0.00	10,000.00
Total	240,700.00	0.00	240,700.00

The first column is the original budget centered, second column is any amendments, third column is the total budget which should match the total award.

Relationship between KC Award Updates and Workday Updates:

<u>KC Award Change</u>	<u>Workday Change</u>
1. Sponsor or Prime Sponsor	ISU Fund of Sponsor and/or ISU Resource Type (IRT)
2. KC Lead Unit ID (Lead Org Dept and/or Lead Org Unit in eData)	Cost Center/Business Unit
3. KC Principal Investigator	Assignee
4. KC Activity Type	Function

Request Change to ISU Unit Administrator Table

Tuesday, February 16, 2021 10:01 AM

Request Change to ISU Unit Administrator Table

The KC Unit Administrator Table is used to determine which individuals have access to KC Award Viewer for a specific unit (e.g. department or center). The Unit Administrator Table also populates the Unit Administrator List, which is a directory for campus to use in order to determine who can be contacted regarding a sponsored project proposal or award in each unit. Please use this form to request individual access be added or removed for a unit. Access can be granted without permission for a Department Chair, Center Director, Dean, or RRC fiscal officer. All others requesting access must receive permission from the unit head (Chair, Director or Dean) or RRC fiscal officer.

Unit(s) to be changed: _____

☐

If unit has multiple parent units (RRCs) please update all units

Individual(s) to be added: _____

NetID: _____

Check Appropriate Role: ☐ Grant Coordinator

☐ ISD Grants Finance Specialist

☐ Department Head

☐ RRC

Individual(s) to be removed: _____

NetID: _____

Check Appropriate Role: ☐ Grant Coordinator

☐ ISD Grants Finance Specialist

☐ Department Head

☐ RRC

Endorsed by : _____ Date: _____

Printed Name: _____

Please return completed form to ospa-proposals@iastate.edu. Questions regarding the completion of this form can be directed to OSPA, (515)294-5225.

KC Award Viewer Manual

Monday, May 14, 2018 1:21 PM

KC Award Viewer Manual:([.pdf](#)) -

February 16, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

<https://www.ospa.iastate.edu/sites/default/files/imported/training/docs/2017-02-16/Feb%202017%20KC%20Award%20Viewer%20Manual.pdf>

KC Award Viewer Manual

The **KC Award Viewer** in *AccessPlus* allows access to award documents and approved GoldSheets for funded sponsored projects. Award documents and GoldSheets are available for ISU awards with GoldSheet numbers 113000 and higher.

Lead PIs have access to their own awards. Co-PIs do not have access to awards in the KC Award Viewer. Grant coordinators have access to awards for their assigned Lead Org Departments (KC Units). RRC staff (college and VP administrators) have access to all awards. The grant coordinator and RRC assignments are viewable in the "Unit Administrator" custom eData report, using the following path: (Public Folders>Custom Reports>University Wide>KC-Sponsored Programs Reports>Unit Administrator).

HOW TO ACCESS AWARD DOCUMENTS

1. Log in to AccessPlus and navigate to the KC Award Viewer:

Open the "uBusiness" tab in AccessPlus.



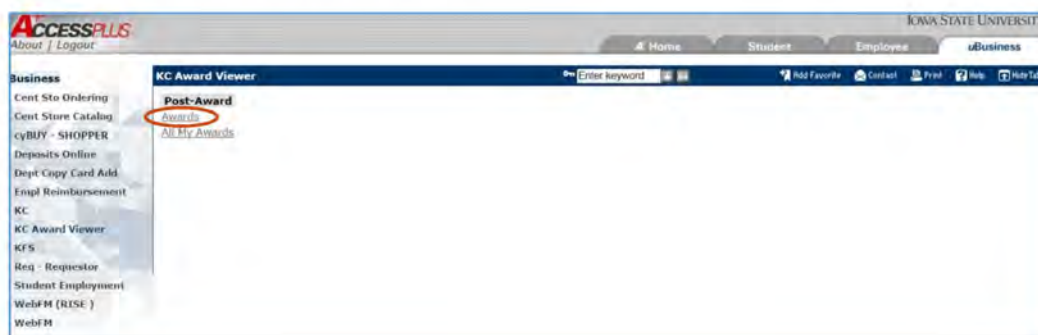
On the left hand side of the uBusiness screen, select "KC Award Viewer" from the menu.



2. Search for an Award – Two options:

A. Use the KC Award Viewer “Awards” search

Select “Awards” to search for a specific award.



Enter the GoldSheet number into the “Institutional Proposal Number” text box and select the “search” button.

Alternately, you may also search for one or multiple awards using other fields such as:

“**Award ID**” is the KC Award # (example: 014848-00001, or use asterisks to search *014848*)

“**Account ID**” is the ISU account number (example: 4041784 – do not use any dashes)

“**Investigator**” is the PI (example: *Nusser* - use asterisks as wildcards)

Search results, such as the following example, will be listed at the bottom of the search page.

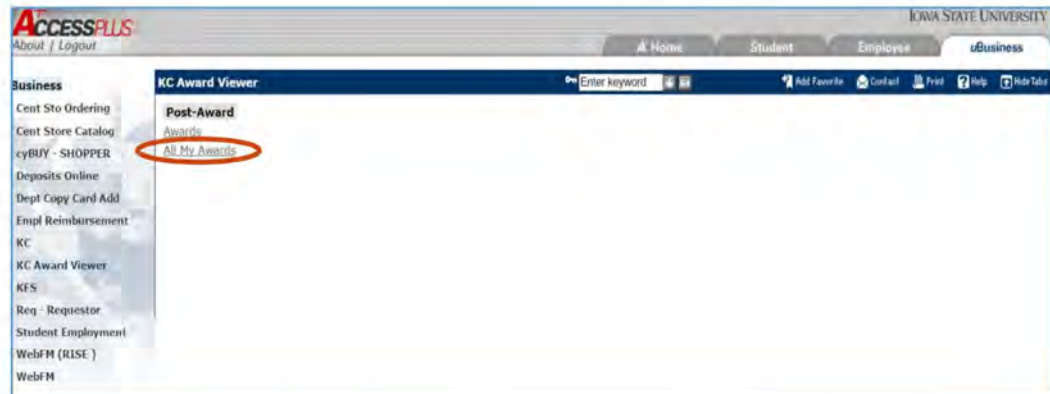
One item retrieved.

Actions	Award ID	Account ID	CEFA Number	Lead Unit ID	Lead Unit	Investigator	Award Status	Award Title	Sponsor Award ID	Sponsor ID	Sponsor Name	Prime Sponsor ID	Prime Sponsor Name	Project Start Date	Project End Date	Archive Location	Archive Date
open copy media	014848-00001	4041784	47.070	IS-17742	VP FOR RESEARCH	Sarah Nusser	Active	BD Hubs: MIDWEST: SEEDCom: Sustainable Enabling Environment for Data ...	15744	001411	UNIVERSITY OF ILLINOIS URBANA CHAMPAIGN	001051	NSF: NATIONAL SCIENCE FOUNDATION	10/01/2015	09/30/2018		

Export options: [CSV](#) | [spreadsheet](#) | [XML](#)

B. Use the KC Award Viewer "All My Awards" search

Select "**All My Awards**" to auto-populate the AccessPlus user's name in the Investigator search field, and then select the "**search**" button.



Awards for that Investigator will be listed at the bottom of the search page. Only awards where the Investigator is the Lead PI may be opened.

Search results may be sorted by clicking on any of the underlined column headers.

3 items retrieved, displaying all items.

Actions	Award ID	Account ID	CFDA Number	Lead Unit ID	Lead Unit	Investigator	Award Status	Award Title	Sponsor Award ID	Sponsor ID	Sponsor Name	Prime Sponsor ID	Prime Sponsor Name	Project Start Date	Project End Date	Archive Location	Archive Date	
open	media	015076-00001	4042085	12.300	16-0235	AEROSPACE ENGINEERING-RNGS	Close Window	Active	Optimization of Micro-Scale Aluminum Reactivity for Dynamic Loading	21C21801	001338	TEXAS TECH UNIVERSITY	000294	CCO-OFFICE OF NAVAL RESEARCH (ONR)	01/01/2016	12/31/2018		
open	media	014159-00001	4202093	47.041	16-0235	AEROSPACE ENGINEERING-RNGS	Close Window	Active	Predicting Dynamic Response of Structural Cables and Power Transmissions...	1537917	001091	NSF-NATIONAL SCIENCE FOUNDATION			08/01/2015	08/31/2018		
open	media	004499-00001	4222092	43.002	16-0235	AEROSPACE ENGINEERING-RNGS	Close Window	Active	Advanced 3D Runback Models for Surface Water Transport	NW12AC21A	000263	NASA-NATIONAL AERONAUTICS & SPACE ADMINISTRATION			01/01/2012	12/31/2016		

3. Open an Award:

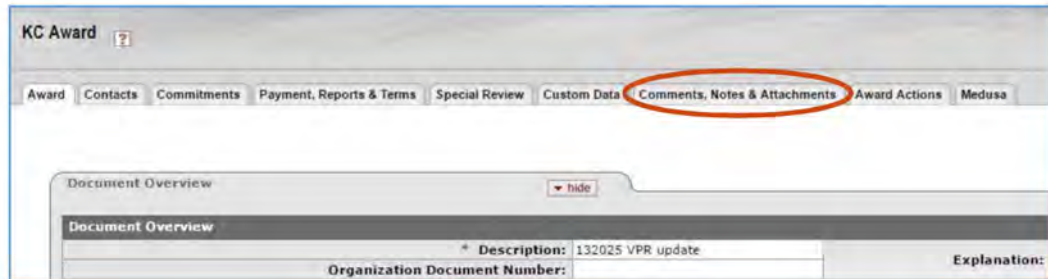
Locate the award you would like to view award documents for and select "**open**" in the Actions column.

3 items retrieved, displaying all items.

Actions	Award ID	Account ID	CFDA Number	Lead Unit ID	Lead Unit	Investigator	Award Status	Award Title	Sponsor Award ID	Sponsor ID	Sponsor Name	Prime Sponsor ID	Prime Sponsor Name	Project Start Date	Project End Date	Archive Location	Archive Date	
open	media	015076-00001	4042085	12.300	16-0235	AEROSPACE ENGINEERING-RNGS	Diane Wright	Active	Optimization of Micro-Scale Aluminum Reactivity for Dynamic Loading	21C21801	001338	TEXAS TECH UNIVERSITY	000294	CCO-OFFICE OF NAVAL RESEARCH (ONR)	01/01/2016	12/31/2018		
open	media	014159-00001	4202093	47.041	16-0235	AEROSPACE ENGINEERING-RNGS	Diane Wright	Active	Predicting Dynamic Response of Structural Cables and Power Transmissions	1537917	001091	NSF-NATIONAL SCIENCE FOUNDATION			08/01/2015	08/31/2018		
open	media	004499-00001	4222092	43.002	16-0235	AEROSPACE ENGINEERING-RNGS	Diane Wright	Active	Advanced 3D Runback Models for Surface Water Transport	NW12AC21A	000263	NASA-NATIONAL AERONAUTICS & SPACE ADMINISTRATION			01/01/2012	12/31/2016		

4. View the Award Documents:

Select the "**Comments, Notes, and Attachments**" tab from the menu along the top of the KC Award screen.



Select the "**show**" button on the "**Attachments**" panel to show the documents attached to the award.



Select the "**view**" button on the right hand side to open a document.

The screenshot shows a table of attachments. The table has columns: 'Last Update:', 'Updated By:', 'Attachment Type:', 'Description:', 'File Name:', and 'Actions'. The 'File Name' column is circled in red. The 'Actions' column contains 'view' buttons for each row, which are also circled in red.

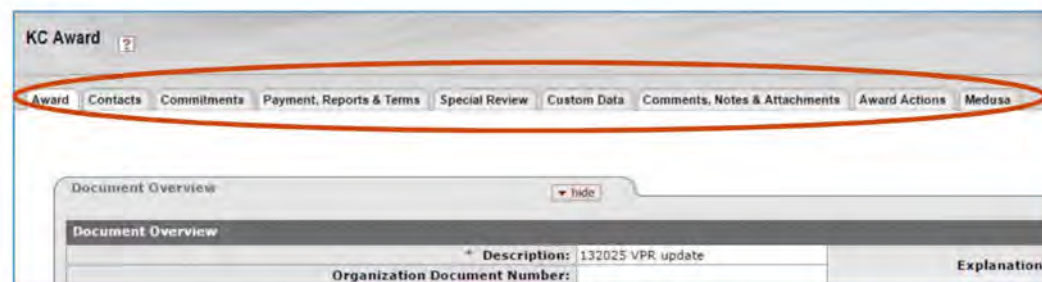
	Last Update:	Updated By:	Attachment Type:	Description:	File Name:	Actions
1	Dec 2, 2015 3:14:01 PM	tra	MSG	132025 - AWARD/AMENDMENTS	132025 Award full ex.msg	view
2	Nov 17, 2016 4:38:24 PM	tra	MSG	132025 - AWARD/AMENDMENTS	132025 full ex Amend 3 - includes v12 of FB13253.msg	view
3	Jun 17, 2015 9:49:38 AM	admin	PDF	132025 - EGOLDsheet - Goldsheet_Export_BPM v5_2	132025_Goldsheet.pdf	view
4	May 16, 2016 10:32:53 AM	tra	MSG	133253 - AWARD/AMENDMENTS	133253 Amend 1 full ex.msg	view
5	Nov 17, 2016 4:39:15 PM	tra	MSG	133253 - AWARD/AMENDMENTS	133253 Amend 3 full ex - also see FB 132025.msg	view
6	Oct 1, 2015 10:55:36 AM	admin	PDF	133253 - EGOLDsheet - Goldsheet_Export_BPM v5_2	133253_Goldsheet.pdf	view
7	Nov 14, 2016 2:32:19 PM	tra	MSG	135557 - AWARD/AMENDMENTS	135557 full ex Amend 2.msg	view
8	May 23, 2016 10:04:44 AM	admin	PDF	135557 - EGOLDsheet - Goldsheet_Export_BPM v5_2	135557_Goldsheet.pdf	view

Documents from all GoldSheets linked to one award will be displayed, and the GoldSheet number is included in the naming convention of the File Name (the first six digits of the File Name reference documents for a specific GoldSheet).

These documents reside on OSPA's electronic filing system. Only awards, amendments, and GoldSheets for funded projects are accessible in the KC Award Viewer. No-cost extension approvals received on or after 01/01/2017 will also be included. Please contact ospa-awards@iastate.edu if you need copies of other documents related to the award such as budgets, Child Account Budget forms, and subrecipient agreements.

BRIEF OVERVIEW OF KC AWARD INFORMATION

Once the KC Award record is opened in KC, additional information may be found in the following tabs:



Award Tab

- Funding Proposals Panel - lists all GoldSheets linked to the award.
- Details and Dates Panel - provides internal ISU and sponsor information, project start and end dates, and total amount funded for the award.
- Subawards Panel - shows proposed and active subrecipients.

Contacts Tab

- Key Personnel and Credit Split Panel- lists all ISU PIs and Co-PIs on the most current approved GoldSheet, along with their incentive and contribution percentages.
- Central Administration Contacts Panel - lists award-specific ISU administrative contacts.

Commitments Tab

- Cost Sharing Panel – shows information entered by Sponsored Programs Accounting, if any.
- Rates Panel – provides F&A (indirect cost) rate information.
- Preaward Authorizations Panel – indicates approved pre-award spending (Sponsor Authorization) and approved advanced account request (Institutional Authorization), if any.

Payment, Reports & Terms Tab

- Payments & Invoices Panel – displays information entered by Sponsored Programs Accounting.
- Terms Panel – Referenced Document Terms will include some terms and conditions from the award but is not an exhaustive listing. Refer to the award documents for complete information.

Special Review Tab

- Lists compliance information, as indicated on the most current approved GoldSheet.
- Shows other category types of special review that are tracked.

Custom Data Tab

- IDC Return to RRC Panel – RRC distribution based on the most recent approved GoldSheet.

Comments, Notes & Attachments Tab

- Attachments Panel – allows for viewing of award documents and related funded GoldSheets.

Award Actions Tab

- Not intended for use by campus.

Medusa Tab

- Automatically opens to an award summary, including Negotiation and Subaward information.

OSPA/Grants Hub/OIPTT

Tuesday, March 5, 2019 1:49 PM

<https://www.ospa.iastate.edu/contact>

<https://www.grantshub.iastate.edu/about/directory/>

<http://www.new.techtransfer.iastate.edu/about/staff/>

Contacts (prior years)

Thursday, May 10, 2018 4:28 PM

- 2016 OSPA Pre-Award Team Unit Assignments:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

- 2016 OSPA Information Sheet - Contacts:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

- 2016 OIPTT Team Nondetailed Portfolio Assignments:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Feb 2016 OSPA Overview One Page:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

2018

OSPA One-Pager. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

<https://www.ospa.iastate.edu/sites/default/files/imported/training/docs/2018-11-15/Nov%202018%20OSPA%20One-Pager.pdf>

Training

Thursday, May 10, 2018 4:30 PM

OSPA – Grants Hub Pre-Award Training Opportunities:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

**Save the Date: OSPA – Grants Hub Pre-Award Training Opportunities
Fiscal Year 2018**

Reading an RFP: In this session, you will learn the fundamentals of reading and interpreting agency guidelines. We will discuss information commonly found in sponsor guidelines and tips and tricks for common mistakes.

Tuesday September 19th 8:30-10:00 – Gold Room, Memorial Union

Wednesday September 20th 3-4:30pm – Gold Room, Memorial Union

Budget Basics: In this session, you will learn about practical tools and strategies for developing your proposal budget according to agency requirements.

Tuesday October 3rd 8:30-10am – Gold Room, Memorial Union

Friday, October 20th 1-3:30pm 1485 Vet Med

Sub-Awards: In this session, you will learn practical ways of working with subrecipients and collaborators in sponsored research including tips on effective communication and managing timelines for successful submissions.

November 14th 8:30-10:00am – Gold Room, Memorial Union

November 15th 3-4:30pm - Gold Room, Memorial Union

Budget Basics: In this session, you will learn about practical tools and strategies for developing your proposal budget according to agency requirements.

Friday February 2nd, 1-2:30pm Wilcke Suites, CVM

Tuesday February 6th, 8:30-10:00am. Gold Room, Memorial Union

Sponsor Specific Proposal Development – NSF: In this session, you will learn about the recent changes to the Proposal & Award Policies & Procedures Guide (PAPPG) along with NSF specific requirements for proposal development.

Tuesday, February 20th 8:30-10:00am – Gold Room, Memorial Union

Wednesday, February 21st 3-4:30pm – Gold Room, Memorial Union

Sponsor Specific Proposal Development – NIH: In this session, you will learn about NIH specific requirements including, modular budgets, budget, and personnel justifications. Attendees will learn tips, tricks and common issues with proposal development.

Tuesday March 27th 8:30-10:00am – Gold Room, Memorial Union

Wednesday, March 28th 3-4:30pm – Gold Room, Memorial Union

Sponsor Specific Proposal Development – USDA: In this session, you will learn about USDA and USDA – NIFA specific requirements including, IDC limitations, Cost-share requirements and other agency specific forms.

Monday April 23rd 3:00-4:30am – Gold Room, Memorial Union

Wednesday April 25th 8:30-10:00am – Gold Room, Memorial Union

AR/HM 09-07-17

OIP TT Tip Sheets

Monday, May 14, 2018 9:55 AM

OIP TT Industry Collaboration Tip Sheets ([link](#)) -
May 18, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

<https://www.techtransfer.iastate.edu/index.cfm?nodeID=93502&audienceID=1>

[Welcome](#)
[For Industry](#)
[For Iowa State](#)
[About Us](#)
[Links](#)
[News & Reports](#)
[Contact Us](#)
[For Start-Ups](#)
[MTA/CDA Request](#)

**Technology
SEARCH**[CLICK HERE](#)**Plant Germplasm
Information**[CLICK HERE](#)**ISU Inventors
Disclosure Form**[CLICK HERE](#)

ISURF/OIPTT TIP SHEETS



ISURF Just In Time Series

- [IP Ownership Checklist](#)
- [Disclosure](#)
- [Software Disclosure](#)
- [Tangible Property](#)
- [Provisional](#)
- [Utility Patent Application](#)
- [PCT and Foreign Patent Applications](#)
- [Issued Patent](#)
- [Licensed Technology](#)
- [Pathway Idea to Commercial Product](#)
- [Close File](#)
- [Startup](#)

OIPTT Working With Industry

Tip Sheets

- [Finding Industry Collaborators](#)
- [Protecting Your Research Data and Materials](#)
- [Funding Avenues for Industry Research](#)
- [Writing Successful Industry Proposals](#)
- [Preparing Industry Budgets](#)
- [Industry Funded Specialty Agreements](#)
- [Field Trial Guidelines and Procedures](#)
- [Field Trial Academic Research Licenses](#)
- [Animal Product Trial Guidelines and Procedures](#)
- [Technical Evaluation Guidelines and Procedures](#)
- [Industry Funded Projects with Flexible Solutions for Intellectual Property](#)
- [Industry Sponsored Research and Intellectual Property](#)

What to Expect

- [Sponsored Research Agreement](#)
- [Non-Disclosure Agreement](#)
- [Material Transfer Agreement](#)
- [Master Agreement Timeline](#)

Pre-Proposals

Thursday, May 10, 2018 1:27 PM

Preliminary Proposal Submission Procedures:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Preliminary Proposal Submission Procedures

Grant Coordinator Meeting

November 16, 2017

Sponsors request or require preliminary submission to gauge interest in a program area or as a tool to limit the number of full proposals evaluated by review committees. Investigators are generally allowed to independently submit preliminary proposals, which includes pre-proposals, letters of intent, white papers, and concept papers. OSPA review is only required when one or more of the following criteria are met:

1. A detailed budget is required.
2. The sponsor does not require a second/full submission.
3. The submission includes agreeing to terms or making representations on behalf of the university.

In some cases due to sponsor restraints, OSPA must submit the pre-proposal. If the pre-proposal is not required due to the criteria mentioned above, OSPA will submit the pre-proposal without a GoldSheet. In these cases, the following protocol should be followed:

1. Alert OSPA Pre-Award 24 hours prior to submission deadline to ensure that proposal can be submitted and allow OSPA Pre-Award to anticipate high volume
2. Complete final edits to proposal and release access to OSPA. Please note, OSPA does not receive automated notice from Sponsor Portal when submission package is complete.
3. Once you are sure no further edits are required, email OSPA Pre-Award Administrator/ ospa-proposals@iastate.edu with permission to submit. Please note the proposal will NOT be reviewed by OSPA, so final edits should be complete prior to emailing OSPA.

Principal Investigator (PI)

Wednesday, March 6, 2019 12:48 PM

PI Departure Questionnaire

Tuesday, February 16, 2021 11:44 AM

PI Departure Questionnaire

When a Principal Investigator (PI) resigns or retires from the University, there must be a plan for orderly transfer or closure of all sponsored project activities. The PI Departure Questionnaire is the first step in this process. This questionnaire is to be used by the PI and department administration to notify the Office of Sponsored Programs Administration (OSPA) of an upcoming PI separation. A PI separation is defined as resignation or retirement from the University.

The form will be posted to OSPA's website at <https://www.ospa.iastate.edu/forms>. The questionnaire will be added under the Award Documents section.

Once a questionnaire has been submitted to OSPA it will be used to review a PI's sponsored project activity. OSPA will develop a detailed list of the PI's active projects and pending proposals. The lists will be sent to the PI and department/center for input on the plan for each project.

Please note that this questionnaire may lead to interaction with various administrative units at the University. (e.g. OSPA, OIPTT Industry Contracts, Sponsored Programs Accounting (SPA))

The purpose of this questionnaire is to ensure that tasks associated with close out procedures are completed in a timely manner and will also ensure that all aspects of the PI's sponsored projects are appropriately concluded, transferred and/or terminated.

This document and resultant activity from the separation process will serve:

- To promote effective processes for termination and close out of sponsored projects;
- To comply with institutional, state, federal and non-federal sponsor guidelines regarding transfer of awards and close out;
- To enhance communication, assign accountability and responsibilities to departments, the separating PI, OSPA, OIPTT and SPA.

IOWA STATE UNIVERSITY

Office of Sponsored Programs Administration

PI Departure Questionnaire

ISU Information

PI Name *

Anticipated Departure Date * Year Month Day

Email Address *

Phone Number *

ISU Home Department or Center *

ISU Grant Coordinator *

ISU Grant Coordinator Email *

Is the PI a named researcher on any active sponsored awards? * ☐ Yes ☐ No

Does the PI have any active proposals that have not been awarded? * ☐ Yes ☐ No

Will the PI have Emeritus Status? * ☐ Yes ☐ No ☐ Unknown

Will the PI have Affiliate Status after departure? * ☐ Yes ☐ No ☐ Unknown

What email can the PI be contacted at after leaving ISU?

What phone number can the PI be contacted at after leaving ISU?

New Institution (if applicable)

Name of New Institution

New Institution Administrative Contact Name

New Institution Administrative Contact Email

New Institution Administrative Contact Phone Number

Additional Information

Completed by: * Enter email address if copy of request is desired.

CAPTCHA

This question is for testing whether or not you are a human visitor and to prevent automated spam submissions.

☐ I'm not a robot

reCAPTCHA

PI Departure/Resignation/Retirement

Wednesday, March 6, 2019 11:32 AM

- Departure of PI from ISU:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

May 2018

PI and Co-PI Transfers and Departures from ISU

Potential Outcomes

- Transfer active awards to new institution
- Transfer award and subcontract a portion back to ISU
- No change to lead PI if PI is granted emeritus or affiliate status
- Change the lead PI at ISU
- Change the lead PI at ISU and subcontract a portion to the new institution
- Terminate the project and return/relinquish unspent funds
- If departing individual is a Co-PI, work with lead PI to determine continuing role on project
- If departing individual has material transfer or non-disclosure agreements, OIPTT will be in contact to determine next steps

PI and Department Responsibilities

The following items should be shared with OSPA/OIPTT:

- Identify final date of employment at ISU and effective date of transfer (usually the day after final day at ISU)
- Plans for transfer or necessary changes to each active award
- Department chair approves proposed plan for each active award
- Advises if PI will be granted emeritus status or affiliate status
- Provide a brief summary of progress to date and description of work to be accomplished which may be submitted to sponsor
- Calculate amount of funds to be transferred. This includes reviewing all expenditures to ensure they benefit the award within the newly revised end date (usually the PI's final day of employment) and ensuring all project expenditures are posted to the project account.
- Share contact information for a departmental staff person and/or sponsored programs staff person at the new institution
- If the PI has been in communication with a program officer at the sponsor/agency and received recommendations or additional guidance regarding the transfer process
- Communicate with any subawards on the project regarding project changes. This can cause delays if subcontractors are not aware of potential changes.

5/17/2018

- SPA Handout:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

1. PI Resignation/Retirement – Neena Bentley & Pam Helfer

Sometimes a PI will inform ISU of his/her intent to leave the university, and sometimes we find out at the 11th hour, or even after-the-fact. The goal of this form is to eliminate redundant requests for information from SPA, OSPA and/or OIPTT and to foster communication with the department to make sure the various processes are handled as efficiently as possible.

SPA (Pam Olson) checks HR status to confirm the termination date.

Pam emails the form to:

PI

Dept Chair

Departmental Admin person as listed on the Sponsored Programs Contact List

cc: OSPA-Awards, OSPA-Proposals, OIPTT, and the SPA accountant.

Note: When the form is returned, using reply-all regarding any questions will help everyone see which individuals originally received the email if follow-up is needed.

- Febr 2016 PI Departure Form OSPA-SPA-OIPTT:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

IOWA STATE UNIVERSITY

OF SCIENCE AND TECHNOLOGY

Date: March 6, 2019
To: _____
CC: OSPA-Awards, OSPA-Proposals, OIPTT, SPA Accountant, Pam Olson
Subject: **Project & Account Updates: PI Retirement, Resignation, or Transfer**

It has come to our attention that you will be departing Iowa State University and currently have the following active projects/accounts at ISU.

Please complete and return this form to polson@iastate.edu so that we may assist you in making all necessary changes for your upcoming retirement, resignation, or transfer to another institution.

Last date of ISU employment: _____
New institution (if applicable): _____

Please complete the table below for actions regarding each of your accounts: (if more space is needed, please use the back of this form.)

Account Number	Requested Action (1-10 from below)	Comments
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.

Requested Actions:

- 1) No change to lead PI at ISU, if departing PI is granted emeritus, affiliate or collaborator status at ISU.
- 2) Change the lead PI at ISU. Please indicate name of new ISU lead PI in comments.
- 3) Change the lead PI at ISU and subaward part of the funds to the new institution so the departing PI may continue work on the project there. Please indicate name of new ISU lead PI in comments.
- 4) Transfer an active award with the lead PI to the new institution.
- 5) Transfer an active award with the lead PI to the new institution, and subaward part of the funds back to ISU if any activity is to continue here. Please indicate name of ISU PI for subaward.
- 6) Terminate the project and return unspent funds to the sponsor.
- 7) The project is fixed price, completed and all funds have been received. The balance on the project is residual funds and will be transferred to the department or another ISU PI.
- 8) Incentive account (490): please transfer balance to the 290 or 490 account indicated in comments.
- 9) Foundation parallel account (497): department must contact ISU Foundation to change PI.
- 10) Other – please provide an explanation.

It is important to review the status for all active projects and confirm that all technical reporting has been submitted to each sponsor. Failure to submit all technical reports may result in the sponsor not accepting or reviewing any future grant applications from the PI or ISU. For additional guidance on Departure of a Principal Investigator from Iowa State University, please review the PI Transfer Process document found at <http://www.ospa.iastate.edu/proposal>.

Signature and Date
Principal Investigator

Signature and Date
Chair, _____
Department Name

Signature and Date
Chair, _____
Department Name

Signature and Date
Chair, _____
Department Name

Return this completed form to polson@iastate.edu.

Additional Accounts:

Account Number	Requested Action (1-10 from below)	Comments
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.

PI and Co-PI Transfers and Departures from ISU

Your OSPA /OIPTT contact will advise the departing PI of any sponsor-specific requirements and use the information provided to prepare the transfer request, whether it be through an online system (such as NSF FastLane/ Research.gov) or with a formal letter of request with supporting documentation.

Who Do I Contact?

OSPA Pre-Award	Pending Proposals
OSPA Awards	Awards and Contracts from Non-Industry and Non-Commodity
OIPTT- Industry	Awards and Contracts from Industry and Commodity, NDAs/MTAs
OIPTT- Commercialization	IP Disclosures and Licenses, ISURF, Patents and Patent Applications
SPA	Close-out, Equipment Sales and Transfers

5/17/2018

PI Eligibility

Wednesday, March 6, 2019 12:49 PM

- PI Eligibility for Various Position Classifications:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>



PI Eligibility for Various Position Classifications

Tenured, Tenure-Eligible, and NTER Faculty (Category 1)

Tenured, tenure-eligible, and NTER (non-tenure eligible research) faculty are automatically eligible to serve as PIs on sponsored projects and compliance protocols at the time of hire. Such individuals generally have terminal degrees in their field and, by virtue of their training and qualifications at the time of hire, generally have the relevant project management skills.

Professional and Scientific (P&S) — P37 and Above (Category 2)

P&S employees in P37 (grade 37) positions and above are automatically eligible to serve as PIs on sponsored projects and compliance protocols at time of hire. Because of their qualifications and position responsibilities, the following P&S P36 position titles also qualify the employee for automatic PI status for both sponsored projects and compliance protocols: Extension to Families Specialist, Extension to Youth Development Specialist, Field Specialist III, and Librarian II.

Clinical Track Faculty, Lecturers, and Clinicians

Clinical track faculty, senior lecturers, and senior clinicians are automatically eligible to serve as PIs on sponsored projects and compliance protocols. Lecturers and clinicians with PhDs or DVMs may serve as PIs on compliance protocols. Lecturers and clinicians who are required as a part of their position responsibilities to use animals in teaching may serve as PIs on IACUC teaching protocols. All projects must be performed within the investigator's term appointment period.

Adjunct Faculty

Adjunct faculty are automatically eligible to serve as PIs on sponsored projects and compliance protocols. All projects must be performed within the investigator's term appointment period.

Affiliate Faculty

Affiliate appointments are unpaid, usually part-time appointments granted to persons who are typically employed elsewhere and who provide academic service to the university in furtherance of the research or graduate education mission of the university. In some instances, the affiliate appointment formally recognizes services provided to the university as per a cooperative agreement with another governmental agency (e.g., USDA).

- Affiliate faculty who are federal employees are automatically eligible to serve as PIs on sponsored projects and compliance protocols if permitted to do so by their employer.

Source: <https://www.vpresearch.iastate.edu/principal-investigator-eligibility-guidelines/> 09/18/2018

Note that, according to federal policy, USDA affiliates cannot serve as ISU PIs or ISU Co-PIs on proposals or awards. USDA ARS affiliates interested in serving as an ARS Co-PI on an ISU proposal should contact their ARS Administrative Officer for further information and authorization.

- Affiliate faculty granted the status following a resignation from a tenured/tenure-eligible position at ISU are automatically eligible to serve as co-PI on existing awards and compliance protocols only if having served as PI or co-PI while formerly employed at ISU.

Visiting Faculty

Visiting faculty may serve as PIs on sponsored projects and compliance protocols if (1) a Category 1 or Category 2 employee serves as co-PI, and (2) the PI's unit chair or director agrees by signing the ISU proposal data form (GoldSheet) to meet the contractual obligations of the award should the PI not perform as required. This includes the timely provision of all required deliverables and reports, payment of unallowable costs, reimbursement of the funding agency for work not completed, etc. The right to serve as PI is contingent on responsible performance in grants management. All projects must be performed within the visitor's term appointment period at Iowa State.

Emeritus Faculty

Retired faculty who previously served as PIs and who are awarded emeritus status may continue to serve as PIs on existing sponsored projects and compliance protocols, and they are automatically eligible to serve as co-PIs on new sponsored projects or compliance protocols. The use of university resources, such as space, equipment, etc., by emeritus faculty requires the approval of the department chair.

Postdoctoral Associates

Postdoctoral associates may serve as PIs on sponsored projects and compliance protocols if a Category 1 or Category 2 employee serves as co-PI.

Undergraduate and Graduate Students

Undergraduate and graduate students may serve as PIs on compliance protocols for the Institutional Review Board if a Category 1 or Category 2 employee serves as co-PI.

Co-Investigators

All ISU Faculty & Staff are eligible to serve as Co-Investigators on Sponsored Projects

Source: <https://www.vpresearch.iastate.edu/principal-investigator-eligibility-guidelines/> 09/18/2018

PI Waivers

Individuals not eligible to serve as a PI per the above criteria may request a waiver to serve as PI. A request, with the required approval of a supervisor, should be submitted [here](#).

- *Waiver to Serve as PI on Proposals and Awards.* The request should include (1) a CV, and (2) a cover letter describing evidence of prior successful independent scholarship, such as a Ph.D. or M.S. with an extensive record of independent research, and evidence of prior successful grants management, such as service as a Co-PI, and (3) documented approval for requestor's supervisor.
- *Waiver to Serve as PI on Compliance Protocols.* The request should include (1) a CV, and (2) a cover letter describing evidence of prior successful independent scholarship in an area relevant to the compliance area, and (3) documented approval for requestor's supervisor.

PI Status for Dissertation Research Awards

In rare circumstances, it may be appropriate for an individual who is not eligible to serve as a PI for ISU purposes to serve as a PI on an external proposal. An example would be an individual applying for a dissertation research award. In these cases, the individual should be shown as a Co-PI on the Proposal Data Form (GoldSheet), and the individual's supervisor or department chair should be shown as the PI on the GoldSheet. The GoldSheet is an internal document that does not leave Iowa State. Any Co-PI shown on the GoldSheet is given credit for the proposal and/or subsequent award in the Office of Sponsored Programs Administration database.

Further Information

Questions regarding eligibility to serve as PI should be directed to [Jerry Zamzow](#) in the Office of the Vice President for Research, 2610 Beardshear Hall, Ames, IA, 50011 (jzamzow@iastate.edu).

Source: <https://www.vpresearch.iastate.edu/principal-investigator-eligibility-guidelines/> 09/18/2018

Proposal Routing and Development System Implementation

Tuesday, March 1, 2022 3:40 PM

New Research Admin System Update

Tuesday, March 1, 2022 3:40 PM

New Research Admin System Update

The goal of this project is a staged implementation of a new Pre-Award and Award Management system to replace outdated administrative systems. Liquid Office (aka GoldSheet System) and fillable PDF forms are currently used for recording proposal information and approvals, and Kuali Coeus 5.2.1 is used for recording awards, subawards, negotiations, and institutional proposals. Kuali Coeus data is transferred nightly to Cognos (aka eData) for proposal, award, subaward and negotiation reporting purposes. A new cloud-based system is desired to improve functionality, increase efficiencies, and add value to the proposal, routing and approval, award and subaward processes.

The first phase of implementation will replace and enhance both ISU's GoldSheet functionality and the ISU Foundation's Cardinal Sheet functionality into one integrated system. The new proposal development, routing and approval system should support the external funding proposal development process in a manner that makes information more accessible for all stakeholders and removes pain points for both PIs and administrators.

The second phase of implementation will replace and enhance ISU's Kuali Coeus Award, Subaward, Negotiation and Institutional Proposal modules functionality and business processes.

A Project Team and Executive Team were formed in February 2021 and have been charged to select and implement a new system. An RFP was issued by ISU in early July 2021 for a Cloud-Based Research Administration System, and potential supplier responses were received in August 2021. Short demos with some potential suppliers were completed earlier this week. Our plan is to have increased campus involvement in the next round of demos with a limited number of potential suppliers.

Rebudget

Thursday, May 10, 2018

1:10 PM

Rebudget Process

Thursday, May 10, 2018 1:18 PM

Rebudget Process:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

OSPA/OIPTT/SPA Procedure for Rebudgets on Sponsored Awards

A Rebudget Request Form* is submitted to OSPA/OIPTT when the Sponsor's terms and conditions for an award require rebudgeting. OSPA/OIPTT will review the form and the Sponsor's terms and conditions to determine whether Sponsor approval is needed or if OSPA/OIPTT has been delegated institutional authority to approve. In general, Sponsor approval is not needed for the following (except when required by the award terms):

- Awards subject to Federal research terms and conditions (RTCs)
- Fixed price agreements
- Federal contracts
- Industry agreements

OSPA/OIPTT will not process Rebudget Request Forms if rebudgeting is not required by ISU or the Sponsor.

Deobligations of funds for subrecipient agreements and funds unspent by subrecipients do not require a Rebudget Request Form. If funds provided to a subrecipient are to be deobligated prior to the termination of the subrecipient agreement, PIs should contact OSPA/OIPTT to request execution of a deobligation amendment for the subrecipient.

Exceptions

Rebudgeting due to **changes in the scope of work** on any sponsored project requires submission of the Rebudget Request Form. Sponsor approval is required for all changes in scope of work. Award terms and conditions will be reviewed to determine what is needed by the sponsor for the request. OSPA/OIPTT may request additional documents from the PI and/or grant coordinator.

Rebudgeting more than \$25,000 to purchase unbudgeted equipment on sponsored projects under Federal research terms and conditions requires submission of the Rebudget Request Form due to materiality and potential audit concerns. Please note that the \$25,000 threshold is cumulative for the project, and not a per item amount.

Rebudgeting more than \$5,000 to purchase unbudgeted equipment on industry sponsored projects requires submission of the Rebudget Request Form to OIPTT.

Process for Sponsored Awards that Require Sponsor Approval of Rebudgeting

PIs and grant coordinators should submit a Rebudget Request Form when changes to the budget rise to the required level of sponsor approval (i.e. if the sponsor requires approval of budget deviations totaling 10% of the total budget, do not submit a Rebudget Request Form until the known deviations to the existing budget total 10%).

Additionally, OSPA/OIPTT and SPA will accept the Sponsor's budget approval form (if one exists) in lieu of the Rebudget Request Form as long as the Sponsor's budget line items conform to the current ISU sponsored program budget categories.

Who to Contact with Questions:

If you are unsure about the terms and conditions of your award for rebudgeting, please direct questions to:

For industry and commodity sponsors: industry-contracts@iastate.edu

For all other sponsor types: ospa-awards@iastate.edu

*Rebudget Request Form may be found at <http://www.ospa.iastate.edu/forms>.

November 2017

Record Retention

Thursday, May 10, 2018 9:59 AM

Sponsored Programs Unfunded Proposals

Thursday, May 10, 2018 10:14 AM

Record Retention for Sponsored Programs Unfunded Proposals:([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

IOWA STATE UNIVERSITY

Records Retention

Sponsored Programs Unfunded Proposals

This record type refers to sponsored programs proposals submitted but not funded by the sponsor.

Last updated: 06 Feb 2018

Active Retention

Retention: 5 fiscal years – After the fiscal year in which the proposal was submitted

Managed By: OSPA retains electronic submissions made by OSPA; the PI or relevant administrative unit retains submissions made by the PI

Data Classification

Restricted if contains personally identifiable information or confidential information

Disposal Method

Confidential destruction if record contains any sensitive, personally-identifiable or confidential content

Resources

- [Office of Sponsored Programs Administration \(OSPA\)](#)

Category

- [Administrative & Financial](#)

For questions about this record type, contact: Office of Sponsored Programs Administration

Ames, Iowa 50011, (515) 294-4111, [Contact Us](#).

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Regents Innovation Fund (RIF)

Wednesday, March 6, 2019 12:21 PM

- Febr 2016 Regents Innovation Funds - Award Process:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

AWARD PROCESS FOR REGENTS INNOVATION FUND (RIF) PROJECTS

BACKGROUND INFORMATION ON RIF

The ISU Office of Economic Development and Industry Relations (EDIR) coordinates a grants program, the Regents Innovation Fund (RIF) that is supported by Iowa economic development appropriations to the Board of Regents. RIF awards support projects up to \$50,000 for a six-month time period. Successful projects may be awarded a second phase of funding of up to \$50,000 for an additional six months of work. Each Award requires one-to-one matching funds. Examples of sources for matching funds:

- University general funds
- Federal funds
- Industry funds
- Gifts or endowments
- Pappajohn Center donor support
- Research Park support

Matching funds or “cost share” is considered “cash” when a third party pays ISU in support of the project. All other cost share is considered “in-kind.”

PROCESS

RIF- Application Process:

Pending the availability of funds, a Request For Proposals (RFP) for RIF Phase I and/or Phase II applications is typically issued in the spring of each year. Applicants are required to complete the Proof-of-Concept Initiative (POCI) application form. All proposals should have a clear commercial benefit or potential for the state of Iowa and must show a clear participation by Iowa industry(s). Proposals will be evaluated by internal and external reviewers with appropriate technical and/or business expertise; review criteria can be found [here](#). Selected applicants will then be invited to present their project to a review panel for final funding determinations. Pending the availability of funds, RIF proposals will also be considered on an ad hoc basis.

Award Process Steps:

- 1) EDIR sends Regents Innovation Fund Award Letter:
 - A) Kris Johansen, (kajohans@iastate.edu, 294-3208) will send out by email an award letter to:
 - the PI
 - PI's departmental grant coordinator
 - OSPA at OSPA-awards@iastate.edu
 - OIPTT at industry-contracts@iastate.edu if necessary
 - B) The RIF Award Letter will include the following components:
 - notice of award
 - award amount
 - period of performance
 - PI name
 - industry sponsor (if any)
 - title of the awarded proposal
 - RIF parent account number
 - if a GoldSheet is necessary (see step 7 below)

C) The RIF Award Letter provides the PI with the following instructions:

“Regents Innovation Fund Award” (\$xx,xxx): You will need to forward a detailed budget to OSPA for the RIF funds awarded using the Child Account Budget Form, which may be found at <http://www.ospa.iastate.edu/forms> (scroll down to the Award Documents section and click on Child Account Budget Form), and include a copy of this award letter and a copy of the proposal, which is attached to this message. Do not use the RIF parent account number below; OSPA will forward information to SPA for account number assignment. **No Gold Sheet is required for these RIF funds.**

- 2) OSPA will confirm the lead PI on the Child Account Budget (CAB) form agrees with RIF Award Letter. (If an award is made to a student or a Professional & Scientific (P&S) position not eligible to serve as PI, then the PI listed in the Award Letter will either be a major professor of the student, or faculty that would oversee P&S position work.) If they don’t match up, OSPA will contact the PI listed in the RIF Award Letter to resolve the issue.
- 3) OSPA will review the Award Letter for period of performance, amount, detailed budget, RIF parent account number, compliances and signatures. OSPA will contact EDIR and/or the PI with any questions. OSPA will forward a copy of the RIF award documents to the appropriate ISU office(s) if any certifications or compliances are marked “Yes” (Sections 2 & 3 of the CAB form).
- 4) OSPA will save the RIF award documentation to FileBound and process this Child Account Budget in KC. SPA will then assign a child account number to the RIF award.
- 5) Subrecipient agreements from RIF funds will be issued by OSPA. Please submit a Subrecipient Request Form, found at <http://www.ospa.iastate.edu/forms>, if a subrecipient agreement is needed.

The process is complete if the EDIR Award Letter does not require completion of a GoldSheet. If a GoldSheet is required continue to Step 6.

- 6) The RIF Award Letter from EDIR will instruct the PI to route a GoldSheet, if it is needed. A GoldSheet will be required for:
 - A) any cash match provided by the industry partner;
 - B) any use of Intellectual Property (IP) as Background Intellectual Property (BIP) in the project; or
 - C) if the industry partner requests an agreement.
- 7) The PI will initiate and route a GoldSheet. When OSPA approves and finalizes the GoldSheet, OIPTT can run eData reports and access the GoldSheet information.
- 8) OIPTT will develop and negotiate the agreement with the industry partner, using the RIF shortened agreement form.
- 9) OIPTT will email the agreement to the PI for approval and signature.
- 10) OIPTT will email the Award agreement to the industry partner for approval and signature.
- 11) Upon receipt of fully executed agreement, OIPTT will process the Award.
 - A) The agreement will be saved in FileBound and logged into KC by OIPTT.
 - B) The industry cash match funds will be assigned a different account number than the RIF funds account number.

- Negotiation Summary Report - Example: (.pdf)

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Negotiation Summary

iation tus	Negotiator Name	Start Date	End Date	PI	Lead Org Unit	Lead Org Dept	Agreement Type	Negotiation Title	Sponsor	Subrecipient Organization	Account	Award/ Proposal
ite	POLASKI TAMARA R	07/27/2016	08/09/2016	YANG BING	COLLEGE OF LIBERAL ARTS & SCIENCES	GENETICS DEVELOPMENT & CELL BIOLOGY-LAS	Contract	REGULATORY HIERARCHIES AND ROLES OF NON-CODING RNAS IN MAIZE ANTHERS	DONALD DANFORTH PLANT SCIENCE CENTER		4046126	134368

ivity Status	Start Date	End Date	Activity ID	Location	Activity Type
npleted	08/09/2016	08/09/2016	5546	PI, Lead Unit, & RRC	Notice Sent
npleted	08/04/2016	08/09/2016	5383	OSPA Admin Support	Checklist/KC Data Entry
npleted	07/28/2016	07/28/2016	5123	PI & Lead Unit	Request Sent
npleted	07/28/2016	08/03/2016	5122	Sponsor	Executable Document
npleted	07/27/2016	07/28/2016	5095	OSPA Awards Team	Review/Negotiation

IOWA STATE
UNIVERSITY

Negotiations

Account Nbr: 4046126

Negotiations

Negotiation ID	Negotiation Status	Negotiation Nbr
1754	Complete	POL TAM

Activities

Negotiation ID	Activity Status
1754	Completed
1754	Completed
1754	Completed
1754	Completed
1754	Completed

Sep 7, 2016

Subaward Processes

Thursday, May 10, 2018 10:00 AM

COI Companies

Thursday, May 10, 2018 10:11 AM

Updated Subaward Process for COI Companies:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

DRAFT – Should be finalized in near term.

Updated Subcontract Process for COI Companies

1. PI sends OSPA/OIPTT a completed Subrecipient Request Form that indicates a COI subrecipient.
2. OSPA/OIPTT determines that subcontract has sponsor approval.
3. OSPA/OIPTT notifies COI (coi@iastate.edu) of request for COI subrecipient.
4. COI Program Staff contacts proposed COI subrecipient/entity about need to obtain COI vendor status and conducts review to determine if COI in Research Management Plan is needed.
5. COI entity sends request for COI vendor status information to Cheryl Ervin (cervin@iastate.edu), ISU Business Services/Procurement Services.
6. Cheryl sends information to COI entity on what needs to be done to request COI vendor status.
7. COI entity requests COI vendor status.
8. Request reviewed by COI Procurement Committee.
9. If request is approved, Cheryl Ervin sends COI entity a COI vendor status approval letter.
10. COI entity provides COI vendor status approval letter to COI@iastate.edu.
11. COI Program Staff notifies OSPA (ospa-awards@iastate.edu) or OIPTT (indcntnt@iastate.edu) that COI vendor status has been approved and that COI in Research Management Plan is in place.
12. OSPA/OIPTT negotiates and finalizes the subcontract with COI entity.
13. OSPA/OIPTT enters subcontract in KC Subaward module.
14. SPA sets up -23 PO and processes subcontract invoices.
15. OSPA handles required subcontract reporting (e.g. FFATA reporting).

OSPA/OIPTT 2-15-18

For Profit Entities

Wednesday, March 6, 2019 1:21 PM

For-Profit Entities as Subrecipients
Grant Coordinator Meeting
2/21/19

Summary:

For-profit entities who are ISU subrecipients on federal-sourced grants or cooperative agreements (federal financial assistance and related flow-through funding) are not allowed to include profit or fees in their budget. Exceptions will only be made with expressed approval from the Federal Agency.

Uniform Guidance (2 CFR 200) Background:

2 CFR 200.101(c) states: Federal awarding agencies may apply subparts A through E of this part to for-profit entities, foreign public entities, or foreign organizations, except where the Federal awarding agency determines that the application of these subparts would be inconsistent with the international obligations of the United States or the statutes or regulations of a foreign government.

2 CFR 200.400(g) states: The non-Federal entity may not earn or keep any profit resulting from Federal financial assistance, unless explicitly authorized by the terms and conditions of the Federal award. See also §200.307 Program income.

Cost Principles for For-Profit Entities:

The cost principles for for-profit entities are located in 48 CFR Part 31. Profit or fees are not considered a "cost".

Subrecipient Budget Implications:

ISU may need to ask the for-profit subrecipient if there are any fees or profit included in their hourly rates, fringe benefit rates, or other rates. If there are, ISU will need to ask for revised budgets excluding the fees and/or profit.

Invoice Checklist

Monday, May 14, 2018 1:31 PM

- Subaward Invoice Checklist:([.pdf](#)) -
February 16, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

<https://www.ospa.iastate.edu/sites/default/files/imported/training/docs/2017-02-16/Subaward-Invoice-Checklist-Nov-2016.pdf>

Subaward Invoice Checklist

- | | |
|--------------------------|--|
| <input type="checkbox"/> | Overall performance of this subawardee on the project is satisfactory |
| <input type="checkbox"/> | There are no outstanding technical reports or deliverables due |
| <input type="checkbox"/> | All technical reports or deliverables this subawardee has submitted have been reviewed |
| <input type="checkbox"/> | The amount the subawardee has spent to date seems reasonable given the work performed to-date (i.e., not too much or too little spent) |
| <input type="checkbox"/> | The expenses look reasonable and are in line with the approved budget |
| <input type="checkbox"/> | Have regular communication with this subawardee regarding their approved workplan |

GREEN LIGHT

- Subawardee is performing satisfactorily
- Technical reports and deliverables are being submitted in a timely manner
- Expenses are on par with period of performance and in line with approved budget
- Good communication with the PI



YELLOW LIGHT

- Technical reports or deliverables are overdue
- Project appears to be underspending or overspending
- Some difficulty communicating with the PI
- Budget categories that are significantly underspent/overspent



RECOMMENDED ACTION

- Communicate your concerns with the subaward's PI and document these conversations
- Request additional information at the level of detail that would help address your concerns
- Compare proposed to actual (work being done, budget expenditures, etc.) to identify performance gaps
- Increase frequency of communication with subawardee
- Discuss your concerns with your SPA accountant

RED LIGHT

- Technical reports or deliverables significantly overdue
- Expenses being billed that are not in the approved budget
- Poor communication with PI
- Concerns about integrity of research
- Work being done is out-of-scope



RECOMMENDED ACTION

- Do not approve payment of invoices until concerns are addressed
- Request an on-site visit with your subawardee
- Expand scope of communication with your subawardee to include Iowa State's Office of Sponsored Programs Administration and their Sponsored Programs Accounting office



Subrecipient Collaborator vs. Consultant/Contractor

Wednesday, March 6, 2019 11:07 AM

Subrecipient vs. Consultant-Contractor-Vendor:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

SUBRECIPIENT COLLABORATOR VS. CONSULTANT/CONTRACTOR

ISU GUIDELINES

May 2016

Background: Iowa State University (ISU) Principal Investigators (PIs) commonly work with peers in their fields on sponsored research projects. These peers can be from other educational institutions, government entities, industry, or even sole proprietorships. Benefits of such collaborations are numerous, and include:

- augmenting ISU PI competencies
- strengthening ISU proposals
- building professional networks and relationships
- enhancing quality and outcomes of the research

How the role of the external entity is detailed and described in the proposal's statement of work determines the appropriate contract type (subrecipient agreement, professional services agreement, purchase order) that will be executed by ISU. There are significant differences between the role of a subrecipient collaborator and the role of a consultant/contractor.

The Subrecipient Collaborator Role: Subrecipient collaborators, often named as Co-PIs in an ISU proposal, usually assume substantive, programmatic roles in a research project. Such roles are described in the ISU proposal. Subrecipient collaborators may be designated in the proposal as:

- leading a specific project task or co-leading a specific project task
- collaborating on a number of project tasks which results in a substantive contribution
- providing an important programmatic project role
- participating substantively in the project design
- engaging in project research and programmatic decision-making
- collaborating to achieve project objectives
- creating and co-authoring project publications without transfer of ownership to ISU
- providing cost share or matching funds
- working on development of intellectual property without transfer of ownership to ISU

The Consultant/Contractor Role: Consultants are typically used for limited or specialized advice, analyses and services ("brain and briefcase for a fee"). Consultants do not perform significant or influential project roles, and are not responsible for the design and conduct of the project. Contractors, aka vendors, are used to provide goods or services that will be owned by ISU. Consultants/Contractors may be designated in the proposal as:

- providing goods or services based on instructions of the ISU PI
- providing goods or services considered to be ancillary to the project
- providing expert advice or analysis in support of the project
- providing specialized evaluation services in support of the project
- providing patentable or copyrightable technology or products that will be owned by ISU

ISU Guidelines:

- The treatment of an external entity in the proposal's budget must be consistent with the description of the external entity in the proposal's statement of work.
- An external entity designated as Co-PI, co-Project Lead, Task Lead, Co-leader or key personnel cannot be budgeted as a consultant, and must be budgeted as a subrecipient.
- Subrecipient agreements cannot be issued to individuals or sole proprietors.

Useful Tools and Information:

1. 2 CFR Part 200.330 outlines criteria to consider when making subrecipient vs. contractor determinations. External entities performing significant project roles should be classified as subrecipients. Consultants would typically be classified as contractors.
2. The Federal Demonstration Partnership (FDP) has a checklist available to assist in determining whether an external entity is appropriately classified as a subrecipient or contractor. This checklist is available at: http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_153319.pdf and on the OSPA web site.
3. Subrecipient Agreements issued by OSPA or OIPTT are used for subrecipient collaborators. Subrecipients are normally subject to all prime sponsor requirements, including ownership of intellectual property, publication rights, and have the responsibility to adhere to all other sponsor restrictions or requirements in the prime agreement.
4. Consultant terms are defined by agreement and are never cost-reimbursable. Payment is based on delivery of goods or services rather than reimbursement of allowable costs. Professional Service Agreements issued by ISU Purchasing are used for consultants.
5. Contractor(vendor) terms are defined using ISU procurement policies and procedures. Contractor agreements and Purchase Orders are issued by ISU Purchasing.

ISU Purchasing Bid Limits:

Value	Classification	Minimum Bid Requirements
\$3,000 and above (<i>federal funds</i>)	All	A price reasonableness evaluation must be performed and documented to ensure ISU is paying a reasonable price.
\$1 - \$24,999	Supplies	Orders may be processed based on estimated cost. Fax quotes, phone quotes, or letter quotes from at least one vendor may be prudent.
\$2,001 - \$24,999	Services	Departments may choose contractors and develop PSAs under \$25,000, except where a conflict of interest exists. However, departments will be expected to document the selection process they have followed for all PSAs in excess of \$2,000.
\$5,000 - \$24,999	Equipment	Purchasing agent's discretion is utilized to determine pricing method and need for competitive bidding. Any equipment purchase requires a minimum of one phone, fax, or written bid (offer) be obtained to establish fixed pricing.
\$25,000 - \$249,000	All	Requires written competitive bids be obtained, unless sole source request is approved.
\$250,000 or **	Equipment/Supplies	Requires written quotations be obtained and may require a formal sealed bidding procedures when price is the only factor.

Subrecipient Invoices

Tuesday, March 5, 2019 2:08 PM

- SPA-PI Review of Subrecipient Invoices for May 2016 GC handout:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

GRANT COORDINATOR MEETING 5/19/16

SPONSORED PROGRAMS ACCOUNTING (SPA)

Documentation of Principal Investigator (PI) Approval for Subrecipient Invoices in the VO System

The Uniform Guidance at 2 CFR 200.331 requires ISU to review required financial reports from subrecipients. The financial reports under most subaward agreements are subrecipient invoices; the person with the best knowledge of the financial performance of the subrecipient is the Principal Investigator (PI). Documenting the review and approval of the invoice is the most important part of the approval process! The latest Internal Audit report suggests that the best practice for documenting approval is within the VO system itself.

Internal Audit Summary: During a recent departmental review conducted by ISU Internal Audit their testing found that of nine subrecipient invoices examined none of invoices had approval documented in the VO system. The department was able to locate approval in the department file or email for three of the invoices, but could not locate approval for the other six.

Acceptable methods of obtaining PI approval are listed below along with explanations of each and how they can be stored in the VO system.

Paper

The department approver can obtain PI approval of an invoice by having the PI sign and date the invoice.

- The approver would print a copy of the invoice from the VO system for the PI to review.
- The PI would review the charges on the invoice and would document their approval to pay by signing and dating the invoice. Any notes such as "OK to pay" could also be added to verify their approval.
- Retain the supporting documentation of the approval.
- Scan and attach the signed/approved invoice the VO system using the "Attach document" feature under in the Notes and Attachment tab within the VO.

PI Approval within the VO System

In order to use the VO system for approval, a PI would need to have access set up to the KFS system.

- Once the PI has access to the KFS system, the department approver can ad hoc route the VO document to the PI for approval.
- Under the Ad Hoc Recipient tab in the VO document, the department approver would ad hoc route the PI using the "Approve" action request.
- The PI would then receive an email indicating they had a KFS action item to approve.
- The PI would open the VO, open and review the invoice and then approve the item acknowledging their approval of the invoice for payment.

Email

The department approver in the VO system can email the PI to obtain their approval.

- Open the invoice attached in the VO document
- Save this invoice as a PDF file
- Attach this newly created PDF file to an email. An email template to send to the PI has been developed for use in obtaining email approval (see attached).
- After the PI replies to the email, retain the email for supporting documentation of the approval.
- Attach the documentation to the VO system by saving the email as a file and then using the "Attach document" feature under in the Notes and Attachment tab within the VO.

Below is the suggested email template to use when sending the invoice to the PI. The easiest way to use this is to copy and paste this template into a custom signature in outlook, and then use the signature to email the PI.

Dr. XXXXX

Please review the attached invoice and send your approval to pay by (Insert Date). (Attach copy of invoice from VO system)

Subrecipient – PO Number

eDoc ID:

Amount: \$

Account Number:

The PI is responsible for reviewing subrecipient invoices on all sponsored funding

- Do costs incurred follow the subrecipient's approved budget?
- Are costs reasonable based on the amount of work performed and the activities reported in the technical report?

If you don't feel comfortable with the charges because they are unusual, excessive, or appear unrelated to the project, you have the right to request clarification and details from the subrecipient for invoiced charges.

Examples of detailed support may include:

- Copies of payroll records
- Copies of paid invoices and receipts
- Written justification for expenditures
- Sole source justification if required by Federal guidelines
- Descriptions of services rendered by consultants including hourly rates and time reports
- Detail of travel charges incurred stating the purpose and amounts charged for airfare, meals, lodging, ground transportation, etc.

Costs determined to be unallowable or unreasonable should be disallowed. Contact your sponsored programs accountant if there's a problem. Federal regulations suggest enforcement action can be taken, when warranted, against a non-compliant subrecipient. These actions include:

- Temporarily withholding cash payments pending correction of deficiency
- Disallowing all or part of the activity not in compliance
- Wholly or partly suspending or terminating the subrecipient agreement
- Taking other legal remedies

The Subrecipient Monitoring Guide (also attached) provides more detailed information on sub monitoring responsibilities.

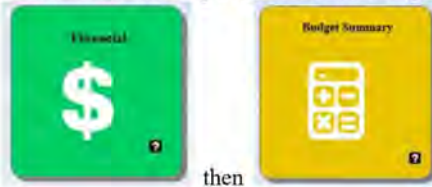
Thank you,


__Subrecipient...

Guide available on SPA website: <http://www.controller.iastate.edu/spa/subrecipient.html>

Reminders:

- 1) 2016 Year-End Financial Processing Information & Schedule were sent to CIN by Kevin Houlette
- 2) Encumbrance tracking available in the Budget Portal



Choose at least one Resource Unit, select and run.
Choose the "Encumbrance Tracking" report and run.

Choose your Org Dept to filter down to the department level.

NEW: The Faculty Start Up accounts are now in the list, so you may choose them if you want!

Sub Fund Group

- ☒ RRC CONTROL
- ☒ ASC CONTROL
- ☒ GEN UNIV OTHER
- ☒ GEN UNIV PERSONNEL
- ☒ GEN UNIV BLDG REPAIR
- ☒ GEN UNIV CAPITAL PROJ
- ☐ GEN UNIV FACULTY START UPS
- ☐ ADV COMMIT FACULTY START UPS
- ☒ ADVANCE COMMITMENTS

[Select all](#) [Deselect all](#)

The results will show all of your encumbrances subtotaled by Sub Fund Group. This report is extremely comprehensive and helpful at the end of the fiscal year. Here is an example:

IOWA STATE UNIVERSITY

General Fund Budget Reports

Encumbrance Tracking

☐ Budget Summary
☐ Departmental Summary
☒ Encumbrance Tracking
☐ ICR Tracking
☐ Admin Fee Tracking
☐ Tuition Tracking

Fiscal Year: 2016 Month: May

Resource Unit:

- ☐ RU-ACADEMIC ADMIN AND SUPPORT
- ☐ RU-AG EXPERIMENT STATION
- ☐ RU-AGRICULTURE & LIFE SCIENCES
- ☒ RU-BUSINESS
- ☐ RU-DESIGN
- ☐ RU-ENGINEERING
- ☐ RU-EXTENSION
- ☐ RU-FACILITIES SERVICES
- ☐ RU-HUMAN SCIENCES

[Select all](#) [Deselect all](#)

Sub Fund Group:

- ☒ GEN UNIV REVENUE
- ☒ RRC CONTROL
- ☒ ASC CONTROL
- ☒ GEN UNIV OTHER
- ☒ GEN UNIV PERSONNEL
- ☒ GEN UNIV BLDG REPAIR
- ☒ GEN UNIV CAPITAL PROJ
- ☒ GEN UNIV FACULTY START UPS
- ☒ ADV COMMIT FACULTY START UPS

[Select all](#) [Deselect all](#)

[Financial Summary Portal](#)
[SPA Financial Portal](#)
[Sub Acct Portal](#)
[Object Portal](#)
[Labor Portal](#)
[Browse Lists](#)
[Custom Reports](#)
[Help](#)

Org Dept:

All Depts

[Run](#) [Print](#) [PDF](#)

RU-BUSINESS thru May of FY2016				Current Cash Balance	Equipment Encumbrances	Non Equipment Encumbrances	Payroll Encumbrances	Telecom Encumbrances	Travel Encumbrances	Current Free Balance
Org Department	Sub Fund Group	Account	Account Name							
ACCOUNTING	GEN UNIV OTHER	7010810	ACCOUNTING	(17,824.24)		476.00			910.00	(19,210.24)
		7010811	ACCOUNTING- COLLEGE/ISU GRANTS	4,000.00						4,000.00
		GEN UNIV OTHER		(13,824.24)	0.00	476.00	0.00	910.00	0.00	(15,210.24)
	GEN UNIV PERSONNEL	7040810	ACCOUNTING	406,628.71			298,459.09			108,169.62
		7040811	ACCOUNTING	(11,297.18)			4,864.88			(16,162.06)
		GEN UNIV PERSONNEL		395,331.53	0.00	0.00	303,323.97	0.00	0.00	92,007.56
ACCOUNTING			381,507.29	0.00	476.00	303,323.97	910.00	0.00	76,797.32	

State of Iowa Appropriations

Wednesday, March 6, 2019 11:46 AM

- Febr 2016 State of Iowa Appropriations Treated As Sponsored Funding Proc...([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

State of Iowa Appropriations Treated by ISU as Sponsored Programs - Process

Sometimes State of Iowa appropriations are treated as sponsored programs by ISU. These instances are situations where Iowa State University is specifically designated in the legislative appropriations language of an approved House File or Senate File. The following process applies to situations where State of Iowa appropriations will be treated by ISU as a sponsored program.

OSPA/SPA/Controller/Department Process:

1. State of Iowa appropriations are legislatively approved and a decision is made by SVPP/RRC that the appropriations will be treated as a sponsored program by ISU.
2. SPA/Controller determines if the appropriations funding will be drawn by the Controller through the Board of Regents, or if SPA will invoice a State of Iowa agency.
3. SPA emails ospa-awards@iastate.edu to let the OSPA Awards team know how funding will be received.
4. PI/Administering Department processes a GoldSheet and attaches a copy of the legislative language (approved House File or Senate File) to the GoldSheet. If possible, the legislative language for the appropriations within the House or Senate File should be highlighted. An IDC waiver is not required.
5. OSPA Pre-Award Team reviews and approves the GoldSheet, and emails ospa-awards@iastate.edu to notify the OSPA Awards Team that a GoldSheet for State of Iowa appropriations was processed.
6. OSPA Awards Team determines if the House File or Senate File will serve as the award document, or if an agreement will need to be negotiated with the State of Iowa agency.
7. OSPA Awards Team processes a KC award action with notification to SPA after Item 6 is completed.
8. SPA establishes a new 47x account number and enters a KFS budget with a 0% IDC rate.
9. SPA and the PI/Administering Department need to ensure that the funding is fully spent by the expiration date of the appropriations.

RM 1/26/16

Training

Wednesday, March 6, 2019 12:39 PM

SPECS

Wednesday, March 6, 2019 12:39 PM

Sept 2019 SPECS Announcement

SPECS is once again being offered and will start on Tuesday, October 1, 2019. SPECS is offered jointly by the Office of Sponsored Programs Administration (OSPA) and Sponsored Programs Accounting (SPA). It is a 10-session certification training program that covers a full range of topics related to the successful management of sponsored projects at ISU. Topics include all PreAward and Post-Award functions, research compliance, technology transfer and related issues. The participants attend 5 sessions in the fall and 5 sessions in the spring. An email will be sent out to the Grant Coordinator list in September with information about signing up for SPECS. Dates for the first five fall 2019 sessions are 10/1, 10/15, 10/29, 11/12, and 12/3.

<https://www.ospa.iastate.edu/sites/default/files/imported/training/docs/2019-09-19/Sept%202019%20GC%20Writeup%20SPECS%20FY20.pdf>

- SPECS 2019 Announcement. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Sponsored Programs Education and Certification Sessions (SPECS) After an 18-month hiatus, OSPA and SPA are excited to offer SPECS once again in 2019. SPECS is a 10-session certification training program that covers a full range of topics related to the successful management of sponsored projects at ISU. Topics include numerous Pre-Award and Post-Award functions, research compliance, technology transfer and other related issues. Participants attend 5 sessions in the spring and 5 sessions in the fall. The first SPECS session of 2019 will be held on Tuesday, February 26, 2019. An email will be sent out to the Grant Coordinator list in January 2019 with information on how to sign up for the program. Dates for the first five sessions of 2019 are 2/26, 3/12, 3/26, 4/9, and 4/23.

Acronyms Commonly Used in Sponsored Programs Administration

Tuesday, February 16, 2021 11:37 AM

Acronyms Commonly Used in Sponsored Programs Administration

2

2 CFR 200 Uniform Guidance (UG), *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*

A

A-21 OMB Circular A-21, *Cost Principles for Educational Institutions*

A-87 OMB Circular A-87, *Cost Principles for State, Local and Indian Tribal Governments*

A-102 OMB Circular A-102, *Grants and Cooperative Agreements with State and Local Governments*

A-110 OMB Circular A-110, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals or Other Non-Profit Organizations*

A-122 OMB Circular A-122, *Cost Principles for Non-Profit Organizations*

A-133 OMB Circular, A-133, *Audits of States, Local Governments & Non-Profit Organizations*

AAALAC Association for Assessment and Accreditation of Laboratory Animal Care (International)

AAAS American Association for the Advancement of Science

AAMC Association of American Medical Colleges

AAU Association of American Universities

AAUP American Association of University Professors

ACO Administrative Contracting Officer

ADA Americans with Disabilities Act of 1990

AECA Arms Export Control Act

AFARS Army Federal Acquisition Regulation Supplement

AFOSR Air Force Office of Scientific Research

AFRL Air Force Research Lab

AHRQ Agency for Healthcare Research and Quality

AID Agency for International Development (USAID)

ANPRM Advance Notice of Proposed Rulemaking

AOR Authorized Organizational Representative

APHIS Animal and Plant Health Inspection Service

APLU Association of Public and Land-grant Universities

Acronyms Commonly Used in Sponsored Programs Administration

ARL	Army Research Lab
ARO	Army Research Office
ARPA	Advanced Research Projects Agency
ARRA	American Recovery and Reinvestment Act of 2009
ARS	Agricultural Research Service
ASAP	Automated Standard Application for Payments
ATP	Advanced Technology Program
AUTM	Association of University Technology Managers
AVP	Associate Vice President
AWA	Animal Welfare Act
AY	Academic Year

B

B2B	Business-to-Business
BAA	Broad Agency Announcement
BAFO	Best and Final Offer
BIS	Bureau of Industry and Security (at the Department of Commerce)

C

CAS	Cost Accounting Standards
CASB	Cost Accounting Standards Board
CAURA	Canadian Association of University Research Administrators
CBD	Commerce Business Daily
CBO	Congressional Budget Office
CCH	Commerce Clearing House
CCL	Commerce Control List
CCR	Central Contractor Registration
CDA	Confidentiality Disclosure Agreement
CDC	Centers for Disease Control and Prevention
CFDA	Catalog of Federal Domestic Assistance
CFO	Chief Financial Officer

Acronyms Commonly Used in Sponsored Programs Administration

CFR	Code of Federal Regulations
CLIN	Contract Line Item Number
CMIA	Cash Management Improvement Act
CMS	Centers for Medicare & Medicaid Services (DHHS)
CO	Contracting Officer
COFAR	Council on Financial Assistance Reform
COGR	Council on Governmental Relations
COI	Conflict of Interest
COIC	Conflict of Interest Committee
Co-PI	Co-Principal Investigator
COS	Community of Science
COSEMPUP	Committee on Science, Engineering, Medicine and Public Policy
COTR	Contract Officer's Technical Representative
CRA	Cooperative Research Agreement
CRA	Certified Research Administrator
CRADA	Cooperative Research and Development Agreement
CRISPR	Clustered Regularly Interspaced Short Palindromic Repeats
CRS	Congressional Research Service
CSR	Center for Scientific Review
CSREES	Cooperative State Research, Education, and Extension Service (USDA)
CTAA	Cooperative Technology Administration Agreement
CUI	Controlled Unclassified Information
CV	Curriculum Vitae
CY	Calendar Year

D

DA	Departmental Administration Costs
DARPA	Defense Advanced Research Projects Agency
DC	Direct Costs
DCAA	Defense Contract Audit Agency
DDTC	Directorate of Defense Trade Controls
DEAR	Department of Energy Acquisition Regulation

Acronyms Commonly Used in Sponsored Programs Administration

DEC	Determination of Exceptional Circumstances
DED	Department of Education (also ED or USDE or USDEd)
DFAR	Defense Federal Acquisition Regulation
DHHS	Department of Health and Human Services (also HHS)
DHS	Department of Homeland Security
DIA	Defense Intelligence Agency
DOC	Department of Commerce
DOD	Department of Defense (also DoD)
DODGARS	Department of Defense Grant and Agreement Regulations
DOE	Department of Energy
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State
DOT	Department of Transportation
DPL	Denied Persons List
DS-2	Disclosure Statement
DSMB	Data Safety Monitoring Board
DTUA	Data Transfer and Use Agreement
DUA	Data Use Agreement
DUNS	Data Universal Numbering System
DURC	Dual Use Research of Concern

E

EAA	Export Administration Act
EAR	Export Administration Regulations
ebXML	Electronic Business using Extensible Markup Language
EC	Export Control
ECCN	Export Control Classification Number
ECO	Export Control Officer
EDA	Economic Development Administration (DOC)
ED	Department of Education (also DED or USDE or USDEd)
EDGAR	Education Department General Administration Regulations

Acronyms Commonly Used in Sponsored Programs Administration

EDI	Electronic Data Interchange
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
EERE	Office of Energy Efficiency & Renewable Energy (DOE)
EFT	Electronic Funds Transfer
EH&S	Environment, Health & Safety
EIN	Employee Identification Number
EO	Executive Order
EPA	Environmental Protection Agency
EPLS	Excluded Parties List System
ERA	Electronic Research Administration
eSNAP	Electronic Streamlined Non-competing Award Process
EU	European Union

F

F&A	Facilities and Administrative (rate or cost) (also Indirect Cost or IDC)
FAA	Federal Aviation Administration
FAC	Federal Audit Clearinghouse
FAIN	Federal Award Identification Number
FAPIS	Federal Awardee Performance and Integrity Information System
FAR	Federal Acquisition Regulation
FASA	Federal Acquisition Streamlining Act
FASAB	Federal Accounting Standards Advisory Board
FASEB	Federation of American Societies for Experimental Biology
FB	Fringe Benefits
FBO	Federal Business Opportunities (also Contract Opportunities)
FCC	Federal Communications Commission
FCTR	Federal Cash Transaction Report
FDA	Food and Drug Administration
FDP	Federal Demonstration Partnership
FEDIX	Online federal information service involving many federal agencies
FEMA	Federal Emergency Management Agency (DHS)

Acronyms Commonly Used in Sponsored Programs Administration

FFATA	Federal Funding Accountability and Transparency Act
FFMIA	Federal Financial Management Improvement Act
FFRDC	Federally Funded Research and Development Centers
FFS	Fee for Service
FHWA	Federal Highway Administration (DOT)
FIPSE	Fund for the Improvement of Postsecondary Education
FISIP	Faculty Incentive Salary Increment Program (ISU)
FMC	Federal Management Circular
FOIA	Freedom of Information Act
FR	Federal Register
FRE	Fundamental Research Exclusion/Exemption
FSR	Financial Status Report
FTC	Federal Trade Commission
FTE	Full-Time Equivalent
FWA	Federal-wide Assurance
FY	Fiscal Year

G

GA	General Administration Costs
GAAP	Generally Accepted Accounting Principles
GAGAS	Generally Accepted Government Auditing Standards
GAN	Grant Adjustment Notice
GAO	Government Accountability Office
GASB	Governmental Accounting Standards Board
GATT	General Agreement on Tariffs and Trade
GCP	Good Clinical Practice (NIH)
GMO	Grants Management Office or Officer
GOCO	Government-Owned, Contractor-Operated
GPO	Government Publishing Office
GRFP	Graduate Research Fellowships Programs (NSF)
GSA	General Services Administration
GUIRR	Government-University-Industry Research Roundtable

Acronyms Commonly Used in Sponsored Programs Administration

H

HBCU	Historically Black College or University
HERD	Higher Education Research and Development Survey (NSF)
HHS	Department of Health and Human Services (also DHHS)
HIPAA	Health Insurance Portability and Accountability Act
HRSA	Health Resources and Services Administration
HSARPA	Homeland Security Advanced Research Projects Agency (DHS)
HUD	Department of Housing and Urban Development

I

IACUC	Institutional Animal Care and Use Committee
IBC	Institutional Biosafety Committee
IBS	Institutional Base Salary
ICF	Informed Consent Form
IDC	Indirect Costs (also known as F&A)
IDIQ	Indefinite Delivery/Indefinite Quantity (contract type)
IDR	Interdisciplinary Research
IG	Inspector General
IHE	Institution of Higher Education
IND	Investigational New Drug or Investigational New Drug Application
IP	Intellectual Property
IPA	Intergovernmental Personnel Act
IPR	Intellectual Property Rights
IR&D	Independent Research and Development
IRB	Institutional Review Board
ITAR	International Traffic in Arms Regulations

J

JAG	Judge Advocate General
JCS	Joint Chiefs of Staff (DOD)

Acronyms Commonly Used in Sponsored Programs Administration

L

LAR Lab Animal Resources

M

M&O Management and Operating (contract type)

MBDA Minority Business Development Agency (DOC)

MBE Minority Business Enterprise

MBE/WBE Minority Business Enterprise / Women Business Enterprise

MLA Manufacturing Licensing Agreement

MOA Memorandum of Agreement

MOU Memorandum of Understanding

MSA Master Service Agreement

MTA Material Transfer Agreement

MTDC Modified Total Direct Costs

MTRA Material Transfer Research Agreement

N

NACCA National Conference on College Cost Accounting

NACUA National Association of College and University Attorneys

NAICS North American Industry Classification System (code)

NAM National Academy of Medicine

NAS National Academy of Sciences

NASA National Aeronautics and Space Administration

NCE No-Cost Extension

NCI National Cancer Institute (NIH)

NCURA National Council of University Research Administrators

NDA Non-Disclosure Agreement

NEA National Endowment for the Arts

NEH National Endowment for the Humanities

NERF Non-Exclusive Royalty-Free (license type)

Acronyms Commonly Used in Sponsored Programs Administration

NGA	Notice of Grant Award
NGO	Non-Governmental Organization
NHGRI	National Human Genome Research Institute (NIH)
NIAID	National Institute of Allergy and Infectious Diseases (NIH)
NICRA	Negotiated Indirect Cost Rate Agreement
NIEHS	National Institute of Environmental Health Services (NIH)
NIFA	National Institute of Food and Agriculture (USDA)
NIH	National Institutes of Health (DHHS)
NIHGPS	National Institutes of Health Grants Policy Statement
NIJ	National Institute of Justice (DOJ)
NIMH	National Institute of Mental Health (NIH)
NIST	National Institute of Standards and Technology (DOC)
NLM	National Library of Medicine (NIH)
NLRB	National Labor Relations Board
NOAA	National Oceanic and Atmospheric Administration (DOC)
NOFA	Notice of Funding Availability
NPRM	Notice of Proposed Rulemaking
NPS	National Park Service (DOI)
NRC	National Research Council
NRC	Nuclear Regulatory Commission
NRL	Naval Research Laboratory
NSA	National Security Agency
NSB	National Science Board
NSC	National Security Council
NSF	National Science Foundation
NSPIRES	NASA Solicitation and Proposal Integrated Review and Evaluation System
NSTC	National Science and Technology Council
NTIS	National Technical Information Service (DOC)
NTSB	National Transportation Safety Board

O

OCR	Office for Civil Rights (HHS)
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Acronyms Commonly Used in Sponsored Programs Administration

OECD	Organization for Economic Cooperation and Development
OER	Office of Extramural Research (NIH)
OFAC	Office of Foreign Assets Control (US Treasury)
OFCC	Office of Federal Contract Compliance (DOL)
OFFM	Office of Federal Financial Management (OMB)
OHRP	Office for Human Research Protections (HHS)
OIG	Office of Inspector General
OIPTT	Office of Intellectual Property and Technology Transfer (ISU)
OIRA	Office of Information and Regulatory Affairs (OMB)
OLAW	Office of Laboratory Animal Welfare (NIH)
O&M	Operations and Maintenance Costs
OMB	Office of Management and Budget
ONR	Office of Naval Research
OPERA	Office of Policy for Extramural Research Administration (NIH)
OPM	Office of Personnel Management
ORCID	Open Researcher and Contributor Identifier
ORI	Office of Research Integrity (ISU)
ORR	Office for Responsible Research (ISU)
OSEP	Office of Special Education Programs (DEd)
OSHA	Occupational Safety and Health Administration (DOL)
OSPA	Office of Sponsored Programs Administration (ISU)
OSTP	Office of Science and Technology Policy

P

PAPPG	Proposal & Award Policies & Procedures Guide (NSF)
PD	Project Director
PHI	Protected Health Information
PHS	Public Health Service
PI	Principal Investigator
PIA	Proprietary Information Agreement
PII	Personally Identifiable Information
PKI	Public Key Infrastructure

Acronyms Commonly Used in Sponsored Programs Administration

PMS	Payment Management System
POC	Point of Contact
POP	Period of Performance
PRD	Presidential Review Directive
PTE	Pass-through Entity
PTO	Patent and Trademark Office (also USPTO)
PUI	Predominantly or Primarily Undergraduate Institution

R

R01	Standard NIH Research Project Grant
R&D	Research and Development
R&R	Research and Related
RBM	Research Business Models
RCR	Responsible Conduct of Research
rDNA	Recombinant DNA
REEU	Research and Extension Experiences for Undergraduates (USDA)
REU	Research Experience for Undergraduates (NSF)
RFA	Request for Application
RFP	Request for Proposal
RFQ	Request for Quotation
RPPR	Research Performance Progress Report
RRC	Resource Responsibility Center
RSC	Radiation Safety Committee
RTC	Research Terms and Conditions

S

S&W	Salaries and Wages
S2S	System-to-System
SACHRP	Secretary's Advisory Committee on Human Research Protections
SAM	System for Award Management
SAMHSA	Substance Abuse and Mental Health Services Administration (HHS)

Acronyms Commonly Used in Sponsored Programs Administration

SBA	Small Business Administration
SBU	Sensitive But Unclassified
SBIR	Small Business Innovation Research
SEOG	Supplemental Education Opportunity Grant (DED)
SEVIS	Student and Exchange Visitor Information System (DHS uses to track foreign students)
SF	Standard Form
SFA	Student Financial Aid
SNAP	Streamline Non-competing Award Process
SO	Signing Official
SOW	Statement of Work
SPA	Sponsored Programs Accounting (ISU_
SPOC	Single Point of Contact
SRA	Society of Research Administrators (SRA International)
SRO	Sponsored Research Office
SSN	Social Security Number
STEM	Science, Technology, Engineering, and Mathematics
STEP	Board on Science, Technology, and Economic Policy
STP	Science, Technology, and Policy
STTR	Small Business Technology Transfer

T

T&A	Time and Attendance
TAA	Technology Assistance Agreement
TAC	Technical Advisory Committee
TBD	To Be Determined
TCP	Technology Control Plan
TDC	Total Direct Costs
TFFA	Total Federal Funds Awarded
TIN	Tax Identification Number
TTO	Technology Transfer Office

Acronyms Commonly Used in Sponsored Programs Administration

U

UAS	Unmanned Aircraft Systems
UBI	Unrelated Business Income
UBIT	Unrelated Business Income Tax
UCA	Utility Cost Adjustment
UG	Uniform Guidance (2 CFR 200)
USA	United States Army
USAF	United States Air Force
USAID	United States Agency for International Development
USC	United States Code
USCG	United States Coast Guard
USDA	United States Department of Agriculture
USDOE	United States Department of Energy (also DOE)
USDE	United States Department of Education (also DED or ED)
USML	United States Munitions List
USN	United States Navy

V

VA	Department of Veterans Affairs
VAT	Value-Added Tax
VPR	Vice President for Research

W

WAWF	Wide Area Workflow (DOD)
WHO	World Health Organization

Y

YCC	Youth Conservation Corps
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2019-2020 Training Schedule (pre-covid)

Tuesday, February 16, 2021 11:15 AM

<https://www.ospa.iastate.edu/sites/default/files/imported/training/docs/2019-09-19/Sept%202019%20FY%202020%20OSPA%2B%20Training%20Events.xlsx>

Fall 2018 Training Schedule

Wednesday, March 6, 2019 12:56 PM

OVPR Researcher Success Program Schedule with Calendar.([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

RESEARCHER SUCCESS PROGRAM SCHEDULE FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

REGISTRATION FOR ALL EVENTS AVAILABLE ON OUR WEBSITE: www.vpresearch.iastate.edu

Check back often as new events are added throughout the year!

Navigating Your Research with Human Subjects: The IRB Submission Process

Responsible Research Practices

*All sessions will be held in the Memorial Union
Gold Room, 11a.m. - 12:30 p.m.*

Session One: 8/21/2018

Session Two: 10/30/2018

Session Three: 2/05/2019

Session Four: 4/04/2019

[Register online](#)

In this session you will learn tips on developing and submitting protocols to the IRB. A member of the IRB staff will walk through key sections of the non-exempt IRB application and explain what the IRB looks for during the review process. Sign up for one of the several dates we have scheduled throughout the year.

Becoming an Author in The Conversation

Communicating Scholarship to the Public

Open Session One

8/29/2018, 10 - 11:30 a.m.
3155 Marston

Open Session Two

8/29/2018, 1:30 - 3 p.m.
3155 Marston

LAS College Session

8/29/2018, 3:30 - 5 p.m.
3155 Marston

Engineering Session

8/30/2018, 9 - 10:30 a.m.
4100K Marston

CHS Session

8/30/2018, 11 a.m. - 12:30 p.m.
1009 Le Baron

[Register online](#)

Independent and not-for-profit, The Conversation US is part of a global network of newsrooms first launched in Australia in 2011. Its mission is particularly resonant in the U.S., where people universally sense that the country's social fabric is strained and the common ground people share is shrinking. Information always has been essential to democracy – a societal good, like clean water. But many now find it difficult to put their trust in the media. And with little consensus about what to believe, it only becomes harder to reach agreement with fellow citizens regarding what's truthful. The Conversation's editorial process is deliberate and collaborative. Editors pay close attention to the news environment to identify the issues citizens are concerned about.

They reach out to leading scholars across academia and work with them to unlock their knowledge for the broad public.

Iowa State University is a partner institution with The Conversation, and that means our scientists have the opportunity to write articles in their fields that may be read by tens of thousands. Learn about how to become an author yourself by attending one of these sessions.

RESEARCHER SUCCESS PROGRAM SCHEDULE FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

Working with IACUC/IBC Protocols Using A-tune

Responsible Research Practices

September Sessions

9/7/2018, 10 a.m. - 12 p.m.
2310 Kildee

9/12/2018, 2 - 4 p.m.
1485 CVM

9/17/2018, 2 - 4 p.m.
2310 Kildee

9/28/2018, 10 a.m. - 12 p.m.
1485 CVM

[Register online](#)

The Office for Responsible Research, Office of the Attending Veterinarian, and Laboratory Animal Resources are offering software training for researchers who submit IACUC or IBC protocols. Participants will learn how to navigate the new electronic protocol submission system, A-tune. Training topics will include creating and submitting a protocol, and, for animal users of LAR, how to order animals and manage animal records.

Four sessions are scheduled throughout September, with additional sessions to be added throughout the rest of the year.

Working with Human Subjects Protocols in IRB Manager

Responsible Research Practices

All sessions held in Room 222 of the Kingland Building

9/12/2018, 11 a.m. - 12 p.m.

10/16/2018, 10:30 - 11:30 a.m.

11/5/2018, 2 - 3 p.m.

12/6/2018, 1 - 2 p.m.

[Register online](#)

Learn how to navigate the new system dedicated to managing Iowa State's IRB protocols. You'll see what the submission process looks like, learn how to submit IRB protocols for review, and find out how to access your IRB-approved materials.

Four sessions are scheduled throughout the fall semester, with additional opportunities to be added in the spring.

Orientation for New Research Faculty

Special Events

9/14/2018, 8:30 - 11:30 a.m.
Memorial Union Cardinal Room

[Register online](#)

New faculty will have an opportunity to meet and network with their peers and learn about the Office of the Vice President for Research (OVPR) and its role in supporting faculty's research careers. VP for Research Sarah Nusser will lead an open, interactive discussion about internal funding opportunities and other topics of interest. A panel of mid-career faculty will share experiences about their first years at Iowa State and what they learned from that time. And staff from OVPR units as well as our partner units around campus will be on hand to answer questions about various components of the research life cycle at Iowa State and how we can support faculty throughout the process.

RESEARCHER SUCCESS PROGRAM SCHEDULE FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

Sponsored Funding Budgets 101: An Introduction to the Tools (and the Traps!)

Proposal Development

Both sessions held in the
Memorial Union Gold Room
9/24/2018, 10:30 a.m. - 12 p.m.
9/25/2018, 2:30 - 4 p.m.

[Register online](#)

After this session you'll know how to find budget-related items in a funding agency's request for proposal, and where to gather all the information you need to create a sound budget for your proposal. The bulk of our time will be spent working through a real budget scenario so you'll feel confident using Iowa State tools. Finally, we'll answer all of your questions related to transferring what you know about the proposal you're working with into a comprehensive financial picture.

This 101 session will be most helpful for grant coordinators and other research administration staff who are new to their positions, as well as new faculty who will prepare their own proposal budgets.

Welcome Back Event for Faculty in the Arts & Humanities

Special Events

10/04/2018, 5 - 7 p.m.
Beardshear Hall 1st Floor Atrium

[Register online](#)

The Center for Excellence in the Arts and Humanities would like to welcome back our faculty in the arts and humanities! Enjoy a cocktail and refreshments with your colleagues (and meet new ones). Hear from faculty who were awarded funding from CEAH and how they used that funding to further their research and scholarship goals. Meet the center director, Carlton Basmajian, as well as other university leaders from around campus.

Post-Award Actions 101

Award Administration

Session One
10/09/2018, 3 - 4:30 p.m.
Memorial Union Gold Room
Session Two
10/10/2018, 9 - 10:30 a.m.
Memorial Union Gold Room

[Register online](#)

Learn the basics about post-award actions and the most frequently asked questions. We'll talk about how to request a PI change, who can submit a no-cost extension request, who really needs to sign a revised Goldsheet, and other useful information about budgeting and managing award changes. Our goal is to help you learn how to save time and navigate these processes quickly and efficiently.

RESEARCHER SUCCESS PROGRAM SCHEDULE FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

Human Research Basics Series

Responsible Research Practices

This four-part series looks more closely at different components of human subjects protection and the IRB submission process. Each session will give you insight into key ethical considerations and common questions about IRB review. You'll get information and tips that will help you structure your research plan in order to assure the well-being of human subjects and navigate the submission process more efficiently.

You are encouraged to attend one or all of the sessions in either semester, depending on your schedule and needs. All sessions are held in the Memorial Union Gold Room from 11:00 a.m. to 1:00 p.m. unless otherwise noted. You are encouraged to bring your lunch; beverages will be provided.

[Register online](#)

Fall Series:

Part 1: 10/8/2018

Part 2: 10/26/2018

Part 3: 11/5/2018

Part 4: 12/6/2018 (Oak Room)

Spring Series:

Part 1: 1/14/2019

Part 2: 2/11/2019

Part 3: 3/4/2019

Part 4: 4/2/2019

Part 1: Does this project need IRB oversight?

In this session you'll learn how to determine whether you need IRB oversight for your project. We'll also explain the different levels of review and what they mean for you.

Part 2: Protecting human subjects

In this session we'll discuss the risks involved in human subjects research and how you as the researcher can minimize risk. You'll also learn about participant privacy and confidentiality and get guidance on how to protect your participants' information.

Part 3: Informed consent

In this session you'll learn about the cornerstone of ethical human subjects research -- informed consent. The session covers key information to share with potential participants and various options for obtaining informed consent. You'll find out what's required of you as the researcher and get some helpful guidance on designing and administering informed consent processes.

Part 4: Best practices for a successful submission

This session will give you a summary of best practices for submitting a protocol, and some tips for ensuring a smooth review process.

The Story Collider: Fields of Opportunity

Communicating Scholarship to the Public

Last year at Iowa State Research Day, we piloted a session based on the popular podcast series The Story Collider. We heard from both audience members and storytellers how much they enjoyed the session, and how connected they felt to be a part of it. This year, we're bringing the real deal. On October 16, the Office of the Vice President for Research is hosting an evening of food, drink, fun, and storytelling at the iconic M-shop.

The Story Collider gives scientists a platform from which to share how science has shaped their lives. Every year, the podcast hosts dozens of live shows all over the country, featuring all kinds of storytellers - researchers, doctors, and engineers of course, but also patients, poets, comedians, and more. Some of their stories are heartbreaking, others are hilarious. They're all true and all very personal.

10/16/2018, 8 - 10 p.m.
The Memorial Union M-Shop

[Register online](#)

Check out video clips from previous shows [on their website](#) and take a look at the [preview of Iowa State's storytellers](#). Then register to see the live show right here at Iowa State!

RESEARCHER SUCCESS PROGRAM SCHEDULE FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

Reading and Interpreting a Request for Proposal

Proposal Development

Session One
10/22/2018, 3 - 4:30 p.m.
Memorial Union Gold Room
Session Two
10/23/2018, 8:30 - 10 a.m.
Memorial Union Oak Room

[Register online](#)

Join us for one of the sessions to learn the fundamentals of reading and interpreting agency guidelines and specific calls for proposals. We will discuss details that are commonly found in sponsor guidelines, and you'll head back to your office armed with some tips and tricks to avoid mistakes and better prepare your proposal.

Funding Opportunities Available through CEAH and How to Write a Successful Application

Proposal Development

10/30/2018, 12 - 1 p.m.
Memorial Union Oak Room

[Register online](#)

Faculty in the arts and humanities are invited to bring their lunches to the Oak Room and learn about the unique internal funding opportunities available to them to further their research and scholarly goals. Hear from members of the faculty review team discuss what makes a successful application and how they evaluate submissions. You'll get an overview of the funding available to you and concrete advice on how to take advantage of these opportunities. Beverages will be provided!

Using Campus Resources to Find Funding Opportunities

Understanding Research Sponsors

11/1/2018, 2 - 3:30 p.m.
Memorial Union Oak Room

[Register online](#)

Iowa State provides excellent resources to help faculty and research support staff with their searches for research funding. In this hands-on session you'll learn how to strategically use those resources to identify and connect with funding opportunities. Afterward you'll be able to save yourself valuable time and ensure you won't miss an opportunity by setting up saved searches and shared opportunities, and signing up receive funding alerts from various sources.

Securing Your Export-controlled or Controlled Unclassified Research Data and Interests

Responsible Research Practices

Session One
11/01/2018, 1 - 2 p.m.
Applied Sciences Complex II
Room 257
Session Two
11/14/2018, 10 - 11 a.m.
1226 Howe Hall

[Register online](#)

This session will teach you about physical & IT security measures for export control plans, and introduces you to the concept of Controlled Unclassified Information (CUI). You'll learn how to implement security measures for your research data and interests, and gain a better understanding of why these security measures are necessary.

RESEARCHER SUCCESS PROGRAM SCHEDULE FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

Writing Winning Grant Proposals

Proposal Development

11/07/2018, 8 a.m. - 5 p.m.
Memorial Union Sun Room

[Register online](#)

This day-long workshop comprehensively addresses both practical and conceptual aspects that are important to writing competitive grant proposals. Emphasis is given to doing the “extra” things that can make the difference between success and failure.

All participants receive an extensive handout, as well as an agency-specific copy of The Grant Application Writer’s Workbook. The cost of this workshop is \$80, which goes to cover the workbook. Attendees must have authorization of their department chairs or other authorizing personnel before registering for this event.

Working in USDA’s ezFedGrants System

Award Administration

Session One
11/13/2018, 2 - 3:30 p.m.
Memorial Union Gold Room
Session Two
11/14/2018, 9 - 10:30 a.m.
Memorial Union Gold Room

[Register online](#)

In this session you’ll get detailed instructions on how to navigate the USDA ezFedGrants system, which is currently used by APHIS, Foreign Agricultural Service, and will soon be used by NRCS and other USDA agencies. You’ll learn how to obtain system access, prepare and submit applications, and manage progress reporting, and you’ll leave with some practical tools and guidance that will help you work with the system.

Submitting a Proposal with a Subrecipient

Proposal Development

Session One
12/03/2018, 10 - 11:30 a.m.
Memorial Union Gold Room
Session Two
12/04/2018, 2 - 3:30 p.m.
Memorial Union Gold Room

[Register online](#)

In this session you’ll learn practical ways to work with subrecipients (i.e. subcontractors) and collaborators during the proposal preparation and submission process. We’ll talk about effective communication strategies and how to manage timelines so that the process is as smooth and successful as possible.

RESEARCHER SUCCESS PROGRAM SCHEDULE

FALL 2018

IOWA STATE UNIVERSITY
Office of the Vice President For Research

REGISTRATION FOR ALL EVENTS AVAILABLE ON OUR WEBSITE: www.vpresearch.iastate.edu

Check back often as new events are added throughout the year!

SEPTEMBER

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
<small>August 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	<small>October 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31					1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
			IRB Manager A-tune		Orientation for New Faculty	
16	17	18	19	20	21	22
	A-tune					
23	24	25	26	27	28	29
	Sponsored Funding Budgets 101	Sponsored Funding Budgets 101			A-tune	
30						

OCTOBER

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1	2	3	4	5	6
				CEAH Reception		
7	8	9	10	11	12	13
	Human Research Basics Part 1	Post Award Actions 101	Post Award Actions 101			
14	15	16	17	18	19	20
		The Story Collider Show IRB Manager				
21	22	23	24	25	26	27
	Reading a Request for Proposal	Reading a Request for Proposal			Human Research Basics Part 2	
28	29	30	31			
		Navigating IRB Submission			<small>September 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30	<small>November 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30

RESEARCHER SUCCESS PROGRAM SCHEDULE

IOWA STATE UNIVERSITY

Office of the Vice President For Research

FALL 2018

NOVEMBER

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
<small>October 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	<small>November 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30			1 Finding Funding	2 Export Controls/ Controlled Unclassified Research	3 Export Controls/ Controlled Unclassified Research
4	5 IRB Manager Human Research Basics Part 3	6	7 Writing Winning Grant Proposals	8	9	10
11	12	13 Working in USDAs ezFedGrants System	14 Working in USDAs ezFedGrants System	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29 Thanksgiving Day	30	

DECEMBER

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
<small>November 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30	<small>December 2018</small> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31					1
2	3 Submitting a Proposal with a Subrecipient	4 Submitting a Proposal with a Subrecipient	5	6 IRB Manager Human Research Basics Part 4	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31 New Year's Eve	Christmas Day				

Uniform Guidance

Thursday, May 10, 2018 4:26 PM

Uniform Guidance (UG) – Updated Frequently Asked Questions (FAQ):([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

**Grant Coordinator Meeting
September 14, 2017**

Uniform Guidance (UG) – Updated Frequently Asked Questions (FAQ) – July 2017

The Council on Financial Assistance Reform (COFAR) issued 24 new FAQs and revised 4 FAQs in July of 2017. This FAQ document is intended to provide additional context and guidance for understanding policies in the “Uniform Guidance,” at 2 CFR 200.

Most of the new information in the updated FAQs pertain to central administration (OSPA, OIPTT and SPA) activities. Noteworthy to all of campus is the revision to FAQ 200.110-6, which extends the grace period for compliance with the UG procurement requirements for another year. ISU will be required to comply fully with the UG procurement requirements in FY19.

.110-6 Effective Dates and Grace Period for Procurement **

Will the Federal government provide a grace period after the effective date for non-Federal entities to comply with the procurement standards in the Uniform Guidance?

Yes, in accordance with the Federal Notice published May 17, 2017 (82 FR 22609), a grace period is allowed for three full fiscal years after the effective date of the Uniform Guidance. In general non-Federal entities must comply with the terms and conditions of their Federal award, which will specify whether the Uniform Guidance applies. However, in light of the new procurement standards, for procurement policies and procedures, for the non-Federal entity's first full fiscal year that begins on or after December 26, 2014, the non-Federal entity must document whether it is in compliance with the old or new standard, and must meet the documented standard. For example, the third full fiscal year for a non-Federal entity with a June 30th year end would be the year ending June 30, 2018. The Single Audit Compliance Supplement will instruct auditors to review procurement policies and procedures based on the documented standard. For future fiscal years, all non-Federal entities will be required to comply fully with the uniform guidance.

RTC - Research Terms & Conditions

Monday, May 14, 2018 9:52 AM

RTCs Implementation Slides:([.pdf](#)) -
May 18, 2017 Grant Coordinator Meeting Handouts

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Implementation of Research Terms and Conditions 2017

Kristy Stallmann- OSPA

Troy Nichols- SPA

Research Terms and Conditions

- ▶ Purpose was to develop a revised set of Research Terms and Conditions (RTCs) to implement the Uniform Guidance
 - ▶ The original RTCs were intended to be a model implementation of OMB Circular A-110
- ▶ Applies to research and research-related grants made by participating federal agencies to institutions of higher education and non-profits
 - ▶ This April 3, 2017 implementation includes: NSF/DOE/NIH
 - ▶ Future implementations will include USDA-NIFA (June), DOC/NIST/NOAA (October), Homeland Security (October), DOT-FAA (October), NASA (October), and EPA (December)

Research Terms and Conditions, continued...

- ▶ Incorporates the entire Uniform Guidance (UG) by reference, clarifying or supplementing select provisions where appropriate and consistent with government-wide research policy
- ▶ Incorporates by reference the OMB UG Frequently Asked Questions (FAQs) in effect at the time the award is made
 - ▶ FAQs meant to provide additional context, background and clarification
- ▶ Applies to an award when included as part of the award or when incorporated in the award by reference
 - ▶ Some agencies applying RTCs to only new awards, some agencies applying RTCs to new awards and funding increments
 - ▶ NSF - RTCs do not apply to Cooperative Agreements and Fellowship Awards to individuals

Research Terms and Conditions Appendix A
Prior Approval Matrix
April 26, 2017

	Reference	RTC Overlay	NSF	DOE	NIH
Prior Written Approval (prior approval)	200.435F				
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	200.407(a)				
Change in principal investigator (PI), project leader, project partner, or scope of effort	200.301(b)(5)	Required	Required	Required	Required
Cost sharing or matching	200.407(b)				
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching	200.305(c)	Waived	Waived	Waived	Waived
Use of current fair market value to determine the value of non-Federal entity donations of services and supplies for the purposes of cost sharing or matching	200.305(b)(2)	Waived	Waived	Waived	Waived
Costs of the fair market value of equipment or other capital assets and fair rental charges for land when the Federal award supports activities that require use of equipment, facilities or land	200.305(b)(2)	Required	Required	Required	Required
Program Income	200.407(c)				
Use of program income during the period of performance (additive method)	200.307(a)(2)	Waived	Waived	Waived	Waived
Revision of budget and program plans	200.407(d)				
Change in the scope or the objective of the project or program	200.308(c)(1)(i)	Required	Required	Required	Required
Change in FWD specified in the application or Federal award	200.308(c)(1)(ii)	Required	Required	Required	Required
Overengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved PI/PO	200.308(c)(1)(iii)	Required	Required	Required	Required
Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E -- Cost Principles	200.308(c)(1)(iv)	Required	Waived	Required	Waived
Transfer of funds budgeted for participant support costs to other categories of expense	200.308(c)(1)(v)	Required	Required	Required	Required
Subawarding, transferring or contracting out any work under a Federal award. This provision does not apply to the acquisition of supplies, material, equipment or general purpose services.	200.308(c)(1)(vi)	Required	Required	Required	Required
Changes in the approved cost-sharing or matching provided by the non-Federal entity.	200.308(c)(1)(vii)	Required	Required	Required	Required
Need for additional Federal funding to complete the project	200.308(c)(1)(viii)	Required	Required	Required	Required
Incurred project costs 90 calendar days before the Federal awarding agency makes the award	200.308(c)(1)(ix)	Waived	Waived	Waived	Waived
Incurred project costs more than 90 calendar days pre-award	200.308(c)(1)	Required	Required	Required	Required
Institute a one-time extension of the period of performance by up to 12 months	200.308(c)(2)	Waived	Waived	Waived	Waived
Subsequent no-cost extension or extension of more than 12 months	200.308(c)(2)	Required	Required	Required	Required
Carry-forward of unexpended balances to subsequent funding periods	200.308(c)(3)	Waived	Waived	Waived	Waived
Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa	200.308(c)(4)	Waived	Waived	Waived	Waived
Rebudgeting among direct cost categories for Federal awards in which the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the approved budget	200.308(c)	Waived	Waived	Waived	Waived
Transfer of funds between construction and non-construction activities	200.308(c)(5)	Required	Required	Required	Required
Real Property	200.407(e)				
Acquire real property acquired with Federal funds	200.311(b)	Required	Required	Required	Required
Transfer of title to the Federal awarding agency or to a third party	200.311(b)(3)	Required	Required	Required	Required
Special arrangements and alterations costs incurred specifically for a Federal award	200.402(a)	Required	Required	Required	Required
Equipment	200.407(f)				
Acquire equipment acquired with Federal funds	200.311(c)(1)	Required	Required	Required	Required
Fixed amount subawards	200.407(g)				
Subawards based on fixed amounts up to the simplified acquisition threshold, provided the subawards meet the requirements for fixed amount awards in 200.201	200.332	Required	Required	Required	Required
Direct Costs	200.407(h)				
Direct charge the salaries of administrative and clerical staff if all conditions in 200.413 are met, excluding 200.413(c)(3)	200.413(c)	Waived	Required	Waived	Waived

Prior Approval Matrix

Research Terms and Conditions Appendix A Prior Approval Matrix March 14, 2017					
	Reference	RTC Overlay	NSF	DOE	NH
Compensation – personal services, paragraph (h)	200.407(h)				
Directly charge payments of incidental activities for which supplemental compensation is allowable under written institutional policy (at a rate not to exceed institutional base salary)	200.430(h)(1)(b)	Waived	Waived	Waived	Waived
Faculty salary in excess of institutional base salary (DS)	200.430(h)(2)	Required	Required	Required	Required
With the faculty consulting on a Federal award that exceed a faculty member's base salary.	200.430(h)(3)	Waived	Waived	Waived	Waived
Compensation – fringe benefits	200.407(i)				
Severance payments to foreign nationals employed by the non-Federal entity outside the US that exceed the amounts customary in the US.	200.431(i)(4)	Required	Required	Required	Required
Severance payments to foreign nationals employed by the non-Federal entity outside the US due to termination of the foreign national as a result of the closing of, or curtailment of activities by, the non-Federal entity in that country.	200.431(i)(5)	Required	Required	Required	Required
Entertainment costs	200.407(j)				
Inclusion of costs of entertainment, including amusement, diversion, and social activities and any associated costs that have a programmatic purpose.	200.438	Required	Required	Required	Required
Equipment and other capital expenditures	200.407(k)				
Direct charge capital expenditures for general purpose equipment.	200.439(k)(1)	Waived	Waived	Waived	Waived ¹¹
Direct charge capital expenditures for buildings and land use.	200.439(k)(1)	Required	Required	Required	Required
Direct charge capital expenditures for special purpose equipment over \$5,000.	200.439(k)(2)	Waived	Waived	Waived	Waived ¹¹
Capital expenditures for improvements to land or buildings which materially increase their value or useful life.	200.439(k)(3)	Required	Required	Required	Required
Exchange rates	200.407(m)				
Exchange rate fluctuations that result in the need for additional Federal funding, or a reduction in the scope of the project.	200.440(m)	Required	Required	Required	Required
Fines, penalties, damages and other settlements	200.407(n)				
Costs resulting from non-Federal entity violations of, or failure to comply with, Federal, State, local or foreign laws and regulations.	200.441	Required	Required	Required	Required
Fund raising and development management costs	200.407(o)				
Costs of organized fund raising for the purposes of meeting the Federal program objectives.	200.442(o)	Required	Required	Required	Required
Goods or services for personal use	200.407(p)				
Costs of housing (e.g. depreciation, maintenance, utilities, furnishings, rent), housing allowances and personal living expenses.	200.443(p)	Required	Required	Required	Required
Insurance and indemnification	200.407(q)				
Costs of insurance or of contributions to any reserve covering the risk of loss of, or damage to, Federal Government property.	200.444(q)(2)	Required	Required	Required	Required
Memberships, subscriptions, and professional activity costs, paragraph (c)	200.407(r)				
Costs of membership in any civic or community organization.	200.444(r)	Required	Required	Required	Required
Organization costs	200.407(s)				
Costs such as incorporation fees, brokers' fees, fees to promoters, organizers or management consultants, attorneys, accountants, or investment counselor, whether or not employees of the non-Federal entity in connection with establishment or reorganization.	200.445	Required	Required	Required	Required
Participant support costs	200.407(t)				
Transfer of funds into the participant support cost category.	200.456	Waived	Waived ¹²	Waived	Required ¹³
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(c)(1)(a)	Required	Required	Required	Waived ¹⁴

Prior
Approval
Matrix

Research Terms and Conditions Appendix A Prior Approval Matrix March 14, 2017					
	Reference	RTC Overlay	NSF	DOE	NH
Pre-award costs	200.407(u)				
Inclusion of allowable pre-award costs.	200.458	Waived	Waived	Waived	Waived
Incur project costs 60 calendar days before the Federal awarding agency makes the award.	200.308(d)(1)	Waived	Waived	Required	Waived
Incur project costs more than 60 calendar days pre-award.	200.308(d)(1)	Required	Required	Required	Required
Rearrangement and reconversion costs	200.407(v)				
Direct charge special arrangements and alterations costs incurred specifically for a Federal award.	200.402(v)	Required	Required ¹⁵	Required	Waived ¹⁶
Selling and marketing costs	200.407(w)				
Costs of selling and marketing any products or services of the non-Federal entity (unless allowed under 42CFR 421 Advertising and public relations).	200.467	Required	Required	Required	Required
Taxes (including Value Added Tax)	200.407(x)				
Use of foreign tax reimbursement for approved activities under the Federal award.	200.470(x)	Required	Required	Required	Required
Travel costs	200.407(y)				
Inclusion of travel costs for officials covered by 200.444 General costs of government.	200.474(y)	Required	Required	Required	Required
Travel costs for dependents for travel of duration of six months or more.	200.474(y)(2)	Required	Required	Required	Required
* Any of the authorities may be over-riden by a special term or condition of award.					
¹¹ Except where specified otherwise in this matrix, the terms and conditions of award, or the applicable program solicitation or award notice.					
¹² This action requires the prior written approval of the cognizant NSF Program Officer.					
¹³ Rearrangement and reconversion costs under \$25,000 may be approved by grantees.					
¹⁴ Unless funds are being moved into the "Other" category of participant support.					
¹⁵ Waived, funds added to the amount available for the project.					
¹⁶ Required for the PI and any other individuals specifically named in the Notice of Award.					
¹⁷ Waived, but costs not specifically covered in Subpart F are subject to the NIH Grants Policy Statement (NIHGPS).					
¹⁸ Waived, unless change in scope. For the purposes of Kirschstein-National Research Service Award (NRSA) programs, this term does not apply. NIH will continue to use the terms trainees, trainee-related expenses, and trainee travel in accordance with NSF Regulations. Participant support costs are only allowable when identified in specific Funding Opportunity Announcements (FOAs).					
¹⁹ Waived unless change in scope and except when subcontract is foreign.					
²⁰ Waived except when Notice of Award indicates prior approval is required.					
²¹ Waived unless change in scope.					
²² Waived for alterations and renovations costing up to \$500,000, unless change in scope or rebudgeting into ASR exceeds 25% of budget period total.					
²³ See Rearrangement and Reconversion Costs within NIH Grants Policy Statement Chapter 7.9.1.					
²⁴ Required, participant support costs are only allowable when identified in specific Funding Opportunity Announcements (FOAs).					
²⁵ This also is required for any co-PI/Co-PI on the project.					

Prior
Approval
Matrix

Highlights from the RTCs (NSF/DOE/NIH)

May be overridden by individual award terms and conditions

- ▶ Cost Sharing or Matching Funds may include unrecovered IDC without agency approval
- ▶ Program income is always additive
- ▶ Agency must approve any changes in statement of work (SOW)
- ▶ Disengagement of PI for more than three months or a 25% reduction in time devoted to the project- TAKE ACTION
 - ▶ NIH, NSF now require taking action, rather than passive nature of former guidance
- ▶ Transfer of funds out of Participant Support Costs (PSC) always requires sponsor approval

Highlights, continued...

(NSF/DOE/NIH)

- ▶ 90 days preaward spending for NSF/NIH does not require sponsor approval
- ▶ Up to 12 months one-time no-cost extension (NCE) does not need sponsor approval unless required by other circumstances
 - ▶ e.g., Request for additional funds, Changes in SOW
 - ▶ Requests need to be at OSPA at least 30 days before end date
- ▶ Carryforward does not require sponsor approval unless stated in the award

Highlights, continued...

(NSF/DOE/NIH)

- ▶ Approval for direct charging of administrative/clerical salaries not required by DOE/NIH, but must meet all conditions of 2 CFR 200.413(c)(3) and ISU Sponsored Programs Costing Policy
- ▶ Intra-institutional consulting performed in addition to faculty member's regular responsibilities does not require approval for additional compensation in excess of base salary, but must follow ISU approval process
- ▶ Faculty salary in excess of institutional base salary (IBS) requires sponsor approval

Highlights, continued...

(NSF/DOE/NIH)

- ▶ Direct charging of capital expenditures for buildings and land requires sponsor approval
- ▶ Direct charging of equipment does not require sponsor approval
 - ▶ Rebudget request must be submitted to OSPA for equipment purchases not included in approved budget that cumulatively exceed \$25k, per ISU guidelines
- ▶ Costs of entertainment where there is a programmatic purpose must have prior sponsor approval
- ▶ Exchange rate fluctuations resulting in the need for additional funding or reduces the scope of work must have sponsor approval

RTCs Wrap-up

- ▶ RTCs Overlay Document - only lists sections of UG that are impacted by RTCs
- ▶ Three RTCs Overlay companion documents
 - ▶ Appendix A - Prior Approval Matrix
 - ▶ Will continue to expand as other federal agencies implement the RTCs
 - ▶ Appendix B - Subaward Requirements
 - ▶ Appendix C - National Policy Matrix Requirements
- ▶ Federal RTC Work Group was told they could not deviate from the intent of the UG (e.g. approval needed for fixed price subawards)

RTCs Wrap-up

- ▶ Approval for deviations from the RTCs or Agency-Specific Requirements must be requested from the awarding agency official
- ▶ Any individual award terms and conditions take precedence over the UG RTCs
- ▶ Federal regulations and provisions- Any or all of these govern each award
 - ▶ UG
 - ▶ RTCs
 - ▶ Agency-Specific Requirements
 - ▶ Award Terms and Conditions
 - ▶ Proposal/FOA Restrictions
- ▶ May 23 Webinar- 1 pm- 206 Durham

Webinar Series

Thursday, May 10, 2018 10:03 AM

UIDP Webinar Series

Thursday, May 10, 2018 10:03 AM

UIDP Webinar Series: Researcher's Guidebook:([.docx](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

Grant Coordinators please disseminate this invite to your researchers.
Industry researchers, University researchers, R&D directors, Intellectual Property Managers, Attorneys, and Contract negotiators are invited to learn about successful Industry and University collaborations and hear from both sides.

JOIN US FOR A FREE UIDP Researcher's Guidebook WEBINAR SERIES to get an IN-DEPTH UNDERSTANDING and UNPARELLELED INSIGHTS on how to successfully navigate expectations when Industry and University researchers collaborate.

You can attend one or more sessions, but please RSVP at least one week in advance, with the session number(s) you wish to attend.

Send your RSVP to pduncan@iastate.edu. The webinars will be held at 1805 Collaboration Place, Ames, except on Wednesday, February 21, when it will be in Building 6, Room 6115, Research Park.

Sessions are held at 12:00 to 1:15 pm.

Session 2: Managing Expectations and Creating Long Term Relationships

Wednesday, February 21, 2018 | 12:00 - 1:15 p.m. CST

Location: Room 6115, Building 6, Research Park, North Loop

- Six key questions to prepare for industry engagement
- Working with experienced and first-time industry sponsors
- Key points to consider when discussing a specific project

Session 3: Establishing Contacts with Industry and Research Institutions and Dealing with Confidential/Proprietary Information

Wednesday, March 7, 2018 | 12:00 - 1:15 p.m. CST

Location: 1200A/B Training Rooms, 1st Floor, Economic Development Core Facility, 1805 Collaboration Place

- How to connect with the right person within the industry
 - Utilizing university resources
 - Maximizing internal networks
 - Participating in professional networks
- Personal strategies to employ when networking

Session 4: Preparing Proposals and Budgeting

Wednesday, March 21, 2018 | 12:00 - 1:15 p.m. CST

Location: 1200A/B Training Rooms, 1st Floor, Economic Development Core Facility, 1805 Collaboration Place

- Identifying and approaching funding sources
- Elements to include in a proposal
- Creating a statement of work and deliverables
- Guidelines for budget setting
- Preparing for industry reviews

Session 5: Addressing Compliance, Contracting and Consulting, and Outside Activities

Wednesday, April 4, 2018 | 12:00 - 1:15 p.m. CST

Location: 1200A/B Training Rooms, 1st Floor, Economic Development Core Facility, 1805 Collaboration Place

- Working with national compliance standards
- Export control laws
- Setting publication guidelines, especially as they relate to confidential and proprietary information
- Consulting and outside activities

Session 6: Managing Intellectual Property (IP) Issues

Wednesday, April 25, 2018 | 12:00 - 1:15 p.m. CST

Location: 1200A/B Training Rooms, 1st Floor, Economic Development Core Facility, 1805 Collaboration Place

- Identifying and protecting background intellectual property
- Setting parameters around foreground intellectual property
 - Assignment and ownership
 - Protection and rights
- Negotiating an exclusive or non-exclusive license

Session 7: Benefiting from University-Industry Collaborations with Government Engagement

Wednesday, May 2, 2018 | 12:00 - 1:15 p.m. CST

Location: Room 2102, Executive Boardroom, 2nd Floor, Economic Development Core Facility, 1805 Collaboration Place

- Companies partnering with universities to leverage federal funds for corporate investments
- Increasing emphasis of government agencies to show relevance to their R&D portfolios
- Differences among state and federal programs

Workday

Wednesday, March 6, 2019 12:37 PM

Set-up of New Centers

Tuesday, March 1, 2022 4:25 PM

Set-up of New Centers

Institutional Research Department Numbers, GoldSheet Lead Units, KC Unit Numbers and Workday Cost Centers will not be set up until the new center has received BOR approval. Additionally, the Controller's Department will not set up Director Incentive Accounts until the new center has received BOR approval. An overall guidance document is under development by the Controller's Department to document organization and reorganization changes at ISU.

Advanced Accounts / Worktags

Tuesday, March 1, 2022 4:24 PM

Advanced Accounts/ Worktags

An updated Advanced Grant Worktag Request Form has been recently posted to the OSPA Forms website with a new highlighted warning note. There have been a few instances this summer where an advanced worktag was set up with an incomplete sponsor name (e.g. NIH was used where NIH-NINDS should have been used). The new note states, "If the sponsor name, sponsor type (e.g. federal, non-federal), or activity type (e.g. research, public service) is different after review of the award, a new Worktag may need to be established and all expenditures moved to the new Worktag." We are bringing this up so that you are aware of this potential issue and can scrutinize the Sponsor name listed on the Advanced Grant Worktag Request Form before it is submitted to OSPA/OIPTT.

Effort Certification and Grants Reporting

Wednesday, March 6, 2019 12:37 PM

- Effort Certification in Workday. ([.pdf](#))

From <<https://www.ospa.iastate.edu/training/grant-coordinator-meeting-information/archive>>

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**Effort Certification and
Grants Reporting in Workday**

Nov 15, 2018



Where Your Workday Begins

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Effort Certification Overview

- Population:
 - Federal/Federal Flow-Thru
 - Federal/Federal Flow-Thru Cost Share
- Two future state effort certification business processes:
 - Effort certification for salaried employees
 - Effort certification for hourly employees
- SPA will kick off effort certification run in alignment with applicable certification periods

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Where Your Workday Begins

Effort Certification: Current vs. Future

Current	{	<ul style="list-style-type: none"> • Use of KFS and paper EASE forms • EASE forms are printed, distributed, signed, and returned • Corrections are written on EASE forms, returned to SPA to be reprocessed • All employees are required to certify at least once annually, regardless of funding sources
Future	{	<ul style="list-style-type: none"> • Initiated through the Effort Certification business process in Workday • Approvals routed directly in the system, eliminating any paper forms • A smaller subset of the population will be required to certify effort • System tracking of effort reports will automate processes for monitoring and follow up

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Where Your Workday Begins



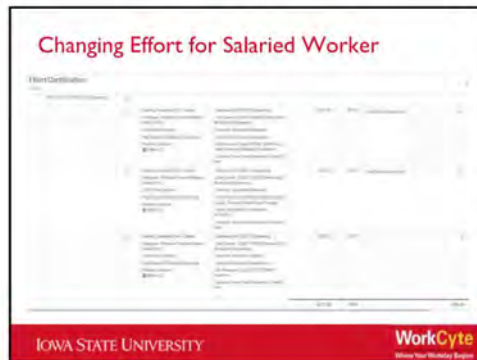




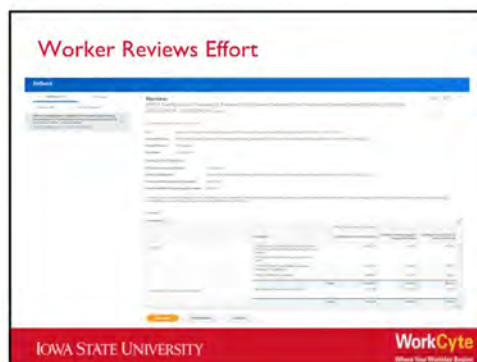












Retroactive Payroll Accounting Adjustment from Effort Certification Change



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Retroactive Effort Adjustment after Effort Certification has been completed

- If Effort needs to be changed after Effort Certification process has completed:
 1. Effort Certification Coordinator contacts SPA Manager
 2. SPA Manager reruns Effort Certification for specific person
 3. Effort Certification Coordinator changes effort
 4. Worker re-approves
 5. Retroactive Payroll Accounting Adjustment is processed
- Normally involves moving payroll off a Grant

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GRANTS MANAGEMENT REPORTING

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Grants Management Reporting Overview

- Approach:
 - Evaluating the needs of the various stakeholders
- Grants Dashboards:
 - PIs, Grant Coordinators, SPA Accountants
 - Provides short cut to personalized information
- Other reports in process to support Effort Certification and Grants
- Reports: Portfolio of Awards, Awards Expiring in 90 days, SPA Financial Reports

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WorkCyte
Share Your Workday Report

Grants Management Reporting: Current vs. Future

- | | | |
|---------|---|---|
| Current | { | <ul style="list-style-type: none"> • eData provided reports • Information updated after nightly posting run • Separate system to learn • Not customizable without help from report writers |
| Future | { | <ul style="list-style-type: none"> • Workday provided reports • Uses Workday security model for report viewers • Real-time • Able to drill into transactional details • Can combine charts, graphs, tables, and key performance indicators (KPIs) • Can join reports with transactions for better decision-making |

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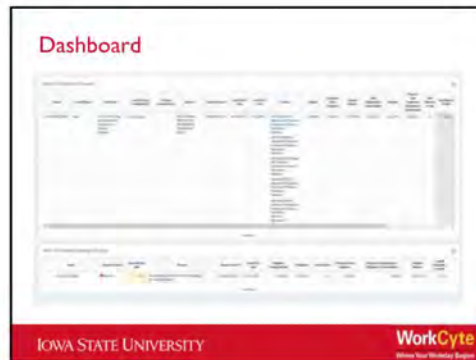
WorkCyte
Share Your Workday Report

Dashboard



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WorkCyte
Share Your Workday Report







SPA Financial Report

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WorkCyte
Where Your Workday Begins

Grants Terminology Cydewalk (Partial)

Right now we call it...	In Workday we call it...
Account Number	Grant/Gift/Program/Project
Class Codes/Object Code	Spend categories/revenue categories/ledger accounts
Electronic Personnel Action	Costing allocation
Labor Cost Transfer	Payroll accounting adjustment
Sponsored Programs Account	Grant
Sponsored Programs Account Number	Grant Worktag
Award Status	Award Lifecycle Status/ Award Line Lifecycle Status
Cost Transfer	Accounting Adjustment
Organization Code	Cost Center

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WorkCyte
Where Your Workday Begins

Want More WorkCyte Program Information?

- WorkCyte Website:
 - Full Grants Cydewalk will be posted in the coming weeks!
 - Up-to-date information on the project
 - Training updates
 - And so much more!


<https://www.workcyte.iastate.edu/>

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WorkCyte
Where Your Workday Begins

Submit Your Questions!

- Targeted 48-hour answer turnaround time for questions asked through the WorkCyte website [here](#)
- Ongoing tracking of questions by Change Management team

Ask a Question

First and Last Name *

(Please use your real name)

Email Address *

Send questions only. Do not use for announcements.

Verify Your Email Address *

Department *

Topic *

Subject Area *

☐ Strategic
☐ eHR
☐ Payroll
☐ General Compensation
☐ Other

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Questions?

Workcyte_change@iastate.edu



Where Your Workday Begins

WorkCyte Change Management Team

Workday | Workday Learning | Workday HCM




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WorkCyte
Where Your Workday Begins

WorkCyte Change Management

Wednesday, March 6, 2019 2:01 PM

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WorkCyte Change Management

February 21, 2019



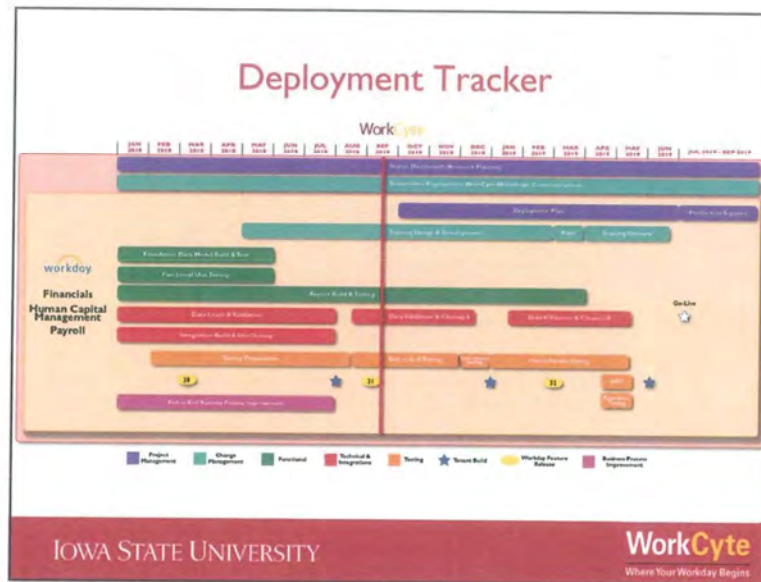
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Agenda

- Deployment Tracker (2 min)
- Training Activities Roadmap (2 min)
- Grants Workshop (5 min)
- Learn@ISU Training Enrollment (5 min)
- Grants Cydewalk (5 min)
- New and Helpful Workday Grants Reports (10 min)
- Cleanup Campaign (5 min)
- What's Coming Next? (2 min)
- Open Q&A

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Grants WorkCyte Workshop

How do I get more Workday Grants info?

- WorkCyte Workshops serve as an introduction of terminology and business process features within Workday
 - Workshops include a presentation as well as system demonstrations by ISU subject matter experts
- WorkCyte Workshops are designed to be high level and do not replace instructional training!
- Two Grants Workshops scheduled:
 - April 2, 2019
 - April 17, 2019
- Register for workshops via Learn@ISU

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Learn@ISU Training Enrollment

How do I enroll in training?

- All training courses will be posted to the LMS, Learn@ISU for enrollment
- Courses will note targeted audiences



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WorkCyte
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Grants Cydewalk is Now Live!

New terms with Workday Grants Management

- The Grants Cydewalk is live on the WorkCyte Website under the "Embrace the Change" tab!
- A crosswalk of current to future state terms
- Printed cards available

Right now we call it		In Workday, we call it	
Academic Department	Grant	Academic Unit	Grant
Account Number	Program	Grant	Program
Advanced Account	Project	Advanced Award with Grant	Project
Award Child/Children		Award Line(s)	

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Workday Grants Management Reports

Report	Purpose
Grants Management Dashboard	Worklet that will give an overview of all awards and expiring awards.
SPA Financial Report	This report will show the detail for an award, this is similar information to the SPA Financial Report within eData.

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Other Workday Updates

Workday Grants Management Updates

- Clean-up Campaign
- RMM ICR Distributions
- Award Lifecycle Updates
- Handling of Membership/Field Trial Invoicing

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Cleanup Campaign

What can we do to prepare for Workday?

- Review payroll
- Review expense transactions
- Ensure any summer salary entered for June is done prior to payroll cut off
- Lead unit changes
- All transactions in action lists resolved
- Outstanding Effort Certification Forms returned
- SPA closing expired awards, subawards, POs, etc.

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RMM ICR Distributions: Current State

What's changing with Workday?

- Kuali Coeus allows for two decimal places on both the PI incentive and the RRC Distribution

FRA STATE UNIVERSITY		RDM ICR Distribution	
Fdy Amount = \$100			
PI Inclusion = 13%			
Person ID	Investigator	Percent Award	Investigator Location
			100%
		1	100%
		2	100%
		3	100%
		4	100%
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WorkCyte
Where Your Workday Begins

RMM ICR Distributions: Future State

What's changing with Workday?

- Workday limits the entries to whole numbers
- Conversion approach for Workday:
 - Percentages are truncated
 - Excess added to:
 - Lead PI for Incentive Distributions
 - Lead Unit for RRC Distributions

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RMM ICR Distributions: Future State

RMM ICR Distribution

Category: PI Expenses - 137%

Category	Percentage
Personnel	10.00%
Travel	10.00%
Supplies	10.00%
Equipment	10.00%
Materials	10.00%
Other	10.00%
Grand Total	100.00%

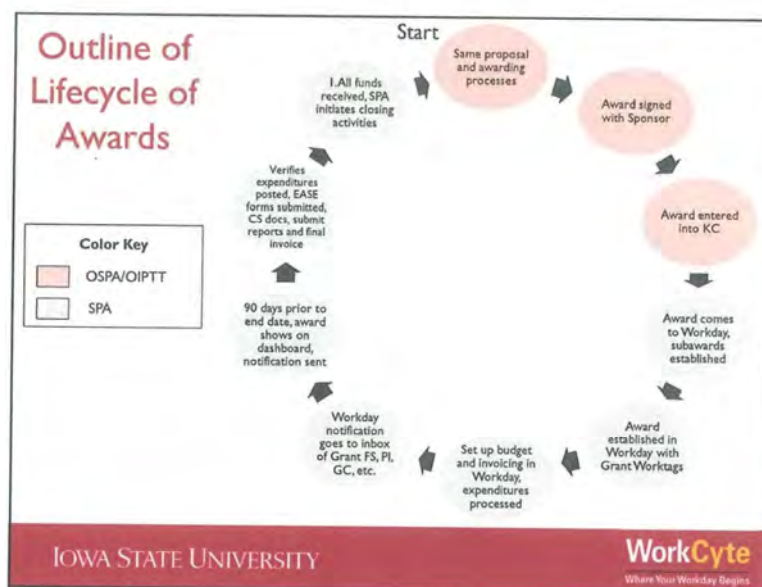
Category: Grand Administration - 137%

Category: Research F&A - 137%

Category: Grand Total - 137%

- Things to know about this process:
 - Full and Allowable indicator in KC drives this process
 - Will only come into Workday if Full and Allowable
 - Allocation information located within the Award Credits tab of the Workday Award

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What's Coming Next?

What can I expect at future meetings?

- **April GCN Meeting**
 - Key cutover dates and activities
 - Post-training user labs and support resources
 - Status check on registering for training
 - Demo of Grants Module in Workday
 - Demo of additional reports

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Questions?

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