



Introduction to Sponsors

Fran Stephens
Director, Office of Research Services
fran@ou.edu
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Intro to Sponsors

OBJECTIVES

- Understand some differences and similarities in types of sponsors.
- Identify some of the submission systems used by different sponsors

This session is at a 'Beginner/Basic' level.

Intro to Sponsors Overview

- What is a sponsor? What are common sponsor types?
- How do sponsors tell you about themselves? Doing your homework.
- Sponsor Normal Proposal Information/Requirements
 - Flow of Guidance; Types of Proposals; Request and Decision Terminology; Deadlines Terminology; General and Foreign proposals information
- Portals and Multi-Agency Portals
- Federal Sponsor Funding Information
- Non-Federal Sponsor Information
- Snapshots/Tips on Some Federal Agencies

Intro to Sponsors

What is a sponsor?

A source of funding; It may be direct or flow through.

Most sponsors want to fund activities that meet THEIR purpose. How does a PI tie what they want to accomplish into the sponsor's plans?

What are common sponsor types?

Federal

Non-Federal

Foundation/Non-Profit

For Profit

State/Local

Intro to Sponsors

How do sponsors tell you about themselves, how they work, what they want, and how they want to receive it?

Websites

General and Specific Guidance

List Serves, Bulletin Boards, Newsletters

Training events and conferences

Intro to Sponsors

Doing Your Homework - What is your target sponsor's:

- Website (Do they offer training, list serves, bulletins?)
- Mission
- Objectives
- Organization (creation, structure, leadership appointment)
- Program Officers—how are they appointed/assigned, tenure length, cradle to grave or not
- Fiscal Year & Common Budget requirements (including budget timing, differing budget versions and budget forms [how complicated])

Intro to Sponsors

Doing Your Homework - What is your target sponsor's:

- Solicitation — timing schedule, posting/dissemination, usability
- Special Forms, Certifications, etc. normally required
- Proposal Review Framework – policy/criteria (weighting), timing, process (desktop, interview, etc.), team composition and roles, scoring information, are comments available and do they have to be requested

Intro to Sponsors

Doing Your Homework - What is your target sponsor's:

- Submission process—system used, registrations, system limitations, do they have set deadline times (how strict)
- Requirements for registration to do business with them (and is there more than one level needed, different types of roles/access for PI, AOR, SOR, Financials, etc.) Do they have one or more system they use to manage grants/contracts?
- Award instrument commonly used (Can you see prior awards; learn from past submissions)

Intro to Sponsors

FLOW OF GUIDANCE

- Federal Requirements (Uniform Administration Requirements, Cost Principles, Audit requirements [Uniform Guidance – UG])—Code Federal Requirements = CFR Title 2 Parts 1 – 5999
- Agency Guidelines
 - General and sometimes specific (use both)-----NIH, NSF, NASA and many others usually have at least two; many also have submission and grants management guidelines.
- State Requirements
- Local and Institutional Policy
- Additional Guidance (FAQs, briefings, etc.)

Intro to Sponsors

Types of Proposals

- Letter of Intent/Notice of Intent/Statement of Interest –basic info – team, 1-3 paragraph; conflicts
- Preliminary Proposal, White Paper, Concept Paper, Random Order of Magnitude (ROM), Step 1– basic info; 1-6 pages, conflicts, budget number or estimate possible
- Full Proposal – all proposal contents (common = abstract/summary, description/narrative, resumes, budget, budget justification, facilities, letters, forms, etc.).
- Other Proposals/Special Proposals – supplements (REU, administrative, equipment), renewals (competing & non-competing), fellowships, sponsor specific (example: NSF Rapid, Conference, etc.)

Intro to Sponsors

Proposal Request and Decision Terminology

- Required (must be submitted; usually has a deadline)
- Requested/Recommended (benefit to you or program officer if submitted but will not stop follow-on steps in the submission process)
- Invite or not invite (decision final)
- Encourage or Discouraged (decision advisory)

Into to Sponsors

Deadlines Terminology

- Deadline – No acceptance after date and time given.
 - Know exceptions if any (holidays, sponsor closed, natural/anthropogenic disaster, organization unable to submit) and how to request
 - Does sponsor use set times; unusual deadlines
- Submission Window – end date is same as deadline date
- Target – proposal is accepted after deadline but may miss a review panel
- No deadline (acceptance anytime; rolling deadline) – may miss review
- Collaborative submissions – usually due by local deadline

Intro to Sponsors - General

- Follow **current** guidelines and submission instructions.
- Applicant is usually organization
- If you have conflicting sponsor information or run into difficulties, contact the sponsor and/or reach out for help. (Know the help avenues and hours of operation)
- Watch formatting issues — page length, fonts, margin, required sections, headers, footers, and page numbers

Intro to Sponsors - General

- Be aware of unusual submission times and time zones.
- Know subcontract requirements/forms.
- Department of Defense (DOD) and some other federal agencies such as Central Intelligence Agency (CIA) may require file encryption, zipped files, or fax submission.
- Some solicitations (including those for contracts) have special instructions or exclusions for educational organizations or non-profits.

Intro to Sponsors - General

- File names should be simple (no special characters, spaces, or dashes—some systems won't accept numbers either).
 - Some systems have character restrictions (like file name can only be 50 characters).
 - Be aware if the solicitation requires standard/special file names
- Attachments
 - Large file attachments can prevent submission. Check the submission site (and sometimes solicitation) for file size.
 - All attachments should be in .pdf unless the agency requests otherwise
 - No interactive pdfs loaded (normally)
 - Look at print versions of uploads if possible

Intro to Sponsors – General Federal

- Push for sciENCv
 - Homogenizing – Bio sketch and Current & Pending (Disclosure)
- Office of Management and Budget (OMB) reporting of report delinquency
- Presidential Memorandum on United States Government-Supported Research and Development National Security Policy
 - Issued January 14, 2021
 - Requires funding agencies to establish policies regarding requirements for individual researchers supported by or working on any Federal research grant to be registered with a service that provides a digital persistent identifier for that individual.
 - Open Researcher and Contributor ID (ORCID)

Intro to Sponsors - Foreign

- Obtain guidelines as soon as possible
 - May need Legal, Export Control, Technology/Commercialization, or translation to review
 - Look for unfamiliar language/terms
- Be aware of time zone differences
 - May affect local submission time
 - May affect when counterparts are available to respond to email or calls
- Obtain contact in organization if possible
- Budget may need to be in local country's currency
 - Wise to keep date and how conversion was done/rate (and to mention in budget justification)
 - If there is option to do budget in US dollars that is usually best

Intro to Sponsors - Foreign

- Submission to a foreign sponsor to be done in tandem with a US organization (foreign component paid by foreign country/organization and domestic paid by the US Federal/other agency).
 - This could be either by each of the PI involved submitting to ‘their’ sponsor or by one submitting as the lead.
 - This may affect reporting and expenditure requirements.
- If you are doing a submission with a Foreign component (subcontract, vendor, or consultant).
 - Make sure the sponsor will allow.
 - See if there are special restrictions on personnel, travel, or indirect costs.
 - Determine the best way to handle the agreements and flow of funds as soon as possible.

Intro to Sponsors – Portals & Multi-Agency Portals

- Portals/software to work with sponsors of all types is rapidly changing, and some are not user friendly.
- Many agencies are going to dual authentication and/or Login.gov.
- Some systems work better with one browser than another (and often there is no notice on this).
- Some systems have extensive manual entries needed and most only allow one person to be in it at a time.

Intro to Sponsors – Portals & Multi-Agency Portals

- There are several agencies/websites/software programs that provide information on multiple sponsors (solicitations and/or portals for submission).
 - Grants.gov; SAM.gov
 - Some sponsors have their own website/software program and/or submission portal
 - Fastlane, nSPIRES
- Some use one website for submission and another for financial or post/award management.
 - NIH, DoEd
- Some use a combination of all the above (plus)

Intro to Sponsors – Portals & Multi-Agency Portals

Multi Agencies/Systems of Note

- **SAM.Gov**—push for several years to combine many different systems/websites into one source. FedBizOpps, Code of Federal Assistance Listing (CFDA) is now Assistance Listing, DUNS is now Unique Entity Identifier (UEI), etc. SAM.gov | [Home](#)
- “The [Federal Funding Accountability and Transparency Act](#) of 2006 (FFATA), ensures that the public can access information on all entities and organizations receiving Federal funds. Central to the law was the development of www.USASpending.gov, a publicly available website with searchable information on each Federal grant and contract over **\$25,000**. Moving one step further, reporting on executive compensation and first-tier subawards has been implemented as of October 1, 2010 with the development of the Federal Subaward Reporting System ([FSRS](#)).” – grants.nih.gov

Intro to Sponsors – Portals & Multi-Agency Portals

Multi Agencies/Systems of Note

- **FedConnect (private)** --Some agencies that use it for submission and/or post award are DOE, DHS, HUD, Dept of Interior, EPA, SBA, SSA, and USAID.
- **Automated Standard Application for Payments (ASAP)** Operated by Dept. of Treasury is an electronic payment service that any Federal agency can use to disburse funds to recipient organizations.
- **Invoice Processing Platform (IPP)** multiple users (Interior, Administrative Resource Center, Bureau of Engraving and Printing) post award, management of vendor invoices (ran by the Dept of Treasury at no charge to Federal agencies or their vendors)

Intro to Sponsors – Portals & Multi-Agency Portals

Multi Agencies/Systems of Note (cont.)

- **Wide Area Workflow (WAWF)** —multiple agencies use (mainly DOD related) where vendors can electronically submit invoices for payments
- **GrantSolutions** - pre and post award options; multiple users such as Consumer Product Safety Commission (CPSC), Denali Commission, DHHS, DHS, Dept. of State, Dept. of Transportation, Dept. of Treasury, Dept. of Homeland Security, EPA, CDC, and SSA.
- **iEdison** – Interagency Edison – used for invention and patent reporting; used by multiple agencies

Intro to Sponsors – Multi-Agency Portals: Grants.gov

- **Grants.gov** is the primary funding notice and submission system for many Federal Agencies and is an alternative for others (primarily pre-award).
 - Interactive application/proposal building area called ‘Workspace’
 - System to System (S2S) may link to it
 - Sponsor works with grants.gov to select application ‘parts’; Guidelines may not address mandatory entries (ask for help, use duplicate files)
 - Grants.gov Help is usually responsive and training info online is good

Intro to Sponsors – Multi-Agency Portals: Grants.gov

- Some agencies may still require paper copies, letters, certifications, or electronic copies (cd or emails of files) besides/separate from the grants.gov submission
- Some agencies may use grants.gov forms but not have them submitted via grants.gov (example --US Forestry Service)
- Fed Connect and other sponsor submission systems and email are also being used in tandem with some grants.gov submissions (and may have complicated registration steps so don't wait until the last minute to register) (example – DOE)

Intro to Sponsors – Federal Sponsors Funding Announcements

Funding announcements for Federal Sponsors

- Grants.gov – all federal agencies are supposed to post discretionary funding opportunities in grants.gov.
- SAM.gov - government site that posts all federal procurement opportunities
- FedConnect – lists opportunities and is also used by some agencies for submission and/or post-award actions. It is a commercial entity but does have an area for public opportunities to be searched.

Intro to Sponsors – Federal Sponsors

Funding announcements for Federal Sponsors

- Agency Websites – most agency websites have a tab/link where opportunities are posted; if the agency has multiple divisions each one may post related to their research interests.
 - May also see postings via agency list serves or special invitations via program officers

Intro to Sponsors – Non-Federal Sponsors

- **Foundations/Non-Profits**
 - May provide funding to organizations as Gift or as Sponsored Project. Different organizations have different ways they handle gifts; check your local policies.
 - May announce solicitations on their websites or via listservs or in response to contact from a fundee. May have unusual forms or questions.
 - Depending on your organization, there may be restrictions or approvals needed related to contacting a Foundation or Non-Profit.
 - May use email submission, paper submission, have their own submission system, or be a part of a multi-user portal like ProposalCENTRAL.

Intro to Sponsors – Non-Federal Sponsors

Foundations/Non-Profits

- **Center for Nonprofit Excellence (CNE)** a few solicitations are posted but main focus is training and support for non-profits; this may include training in obtaining and managing grants.
- **Grants Management System (GMS)** primarily post award for non-profit organizations (complicated by fact that GMS acronym is used by more than one organization)
- Many foundation related solicitations, training, and other information can be found using searches on **Foundation Center and Guide Star** but they merged together in 2019 and became **Candid.org**.

Intro to Sponsors – Non-Federal Sponsors

Foundations/Non-Profits and State Agencies

- May not be familiar with or may have different terminology for indirect costs, cost share, authorized official, flow through restrictions, and who they can legally negotiate with. You also need to know you are talking to the right person in the organization.
- Make sure they know about Federal de minimis idc if they don't allow idc- sometimes they will backtrack to allow the 10% and if they are a subcontract on your proposal, they can ask for the 10% if they don't have an established rate.
- They may not have a published rate restriction, or one included in a solicitation. PI are not allowed to negotiate rates. Anything outside of our federally negotiated rate must be authorized through ORS and may involve VPRP and/or Provost coordination.

Intro to Sponsors – Non-Federal Sponsors

State agencies/Local

- May require special forms and bid sheets; May also have unusual questions such as list of board members, date chartered, non-profit status, etc.
- Funds involved could be flowing from federal assistance or from state funds or both.
- Pay special attention to certifications and what you can legally agree to.
- May have special ‘state’ restrictions such as not paying for tuition at another state organization.

Intro to Sponsors – Non-Federal

Sponsors: ACS, ALA, AA, CDC, CFF, etc.

- Several Non-Federal sponsors use **proposalCentral** such as American Cancer Society, American Lung Association, Cystic Fibrosis Foundation, Alzheimer's Association, Simons Fd, some states, etc.
- Requires establishment of log-in with security questions
- When submitting, different agencies use different scenarios such as PI may be able to submit, or they may require an AOR signed form be mailed after PI submits, or they may require an AOR signed form or letter be loaded with the submission.

Intro to Sponsors – Non-Federal Sponsors

- **Some Non-Federal sponsors** limit submissions to members of their organization such as:
 - American Heart Association
 - ReMade Institute
 - American Chemical Society
 - NineSigma
 - Many Other Transaction Authority (OTA) consortium managed proposals/awards
- OU VPRP doesn't pay membership fees, some PI and some departments do; if you are dealing with an Other Transaction Action (OTA) you should ask ORS.

Intro to Sponsors – Non-Federal Sponsors

- **For Profit (Commercial) Sponsors**
 - May advertise a solicitation via their website or other local venues, may approach your organization, or may be approached by a PI.
 - May not be familiar with grant terminology or have research administration support established.
 - May be interested in Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR – requires research institute involvement)
 - Watch for conflict of interest of PI involved with the company.

Intro to Sponsors – Non-Federal Sponsors

- **For Profit (Commercial) Sponsors**
 - May try to restrict idc (which is not allowed unless the funding is flow-through because we are a state entity).
 - They may have an unusual idc rate (and it could be confidential); may have no negotiated rate (direct cost as much as possible, federal de-minimis, rate negotiation, rate established at submission).
 - May want to restrict publications, have confidentiality clauses, non-disclosure agreements, etc. – be careful what you agree to (best to try and lead with your agreement). Expect that an agreement will take time.

Intro to Sponsors

**A Few
Snap Shots/Tips**

Intro to Sponsors – NSF

- Most recent update to NSF Proposal and Award Policies and Procedures Guide (PAPPG) is NSF 22-1 effective 10/4/2022
- When writing a proposal, you will need to use the specific solicitation and general guidance. Unsolicited proposals use PAPPG
- No voluntary cost-share except limited solicitations (may be mentioned in Facilities under Other Resources; don't quantify).
- Mainly rotational program officers.
- Push to sciENCv (and ORCID).

Intro to Sponsors – NSF

- Submission system is in final transition from Fastlane to Research.gov. Fastlane is scheduled to shut down December 31, 2022. grants.gov can also be used for many solicitations but be aware it pushes submission into Research.gov. While both FL and Rgov systems are operational, they are not interchangeable.
- Watch for announcements when you log into the system.
- Help function/training is not very interactive but program officers and help via email/call usually responsive.

Intro to Sponsors – NIH

- Most recent update to General Instructions for NIH and Other PHS Agencies – Forms Series G (G Series) posted Oct 25, 2021 Effective 1/25/2022. Watch notices “NOT-OD-XX-XXX”.
 - Current biosketch form and Other Support form effective 10/2022.
- When writing a proposal, you will need to use the specific solicitation and general guidance. Unsolicited proposals contact PO (Parent solicitations).
- Accepts voluntary cost-share; required in a few limited solicitations.
- Program officers mainly non-rotational.
- Push to sciENcv and ORCID (required by solicitation at moment, projecting 100%).

Intro to Sponsors – NIH

- Submission systems are Grants.gov and ASSIST, post submission is eRA Commons; PMS Payment Management System is financials.
- Senior/Key Person Effort on SF424 R & R Budget Form must be more than zero (also watch salary cap)
- Help is usually very responsive; extensive training and information resources on website.
- PI needs to be registered with NIH Commons (eRACommons)
 - Effective 1/25/2022 all Senior/Key Personnel must have eRACommons id.
 - Everyone's profile needs to match their role; this can cause an error after submission

Intro to Sponsors – NASA

- Most recent update to NASA Proposers Guidebook (Guidebook) Rev 2/4/2022 Effective 2/18/2022 (mainly submission). Grants management in Grant and Cooperative Agreement Manual (GCAM)
- When writing a proposal, you will need to use the specific solicitation and general guidance. Unsolicited proposals use Guidebook for Unsolicited Proposals. Research Opportunities in Space and Earth Sciences (ROSES) is often used; normally issued annually in Feb. Usually used in combination with a specific solicitation.
- Program officers are not rotational.

Intro to Sponsors – NASA

- Submission may be through Grants.gov or NASA's system nSPIRES (recommended)
- Some NASA submissions require 3 budgets with slightly different requirements and names. Budget in forms section, redacted, and Total Budget.
- PI and team members must have nSPIRES account, (organizations must also be registered).
- Pilot program underway for Dual Anonymous Peer Review (DAPR)
- Excellent help and training. Good guide [How To Guide | Science Mission Directorate \(nasa.gov\)](#)

Intro to Sponsors – DOE

- DOE's Office of Science Program Office manages the DOE research portfolio through 6 program offices and 10 labs (such as Oak Ridge, National Laboratory) using the Office of Grants and Contract Support.
- Uses both PAMS (Portfolio Analysis and Management System—is pre and post) and Grants.gov. Common to have concept paper in PAMS and full submission in Grants.gov. Some proposals can be submitted using FedConnect.
- PAMS primarily pre-application, loi, revised budgets, merit review comments. Will truncate at submission time even if submission is in progress. Has shifted to Login.gov.
- Funding opportunity announcements in grants.gov and through program offices [Find Funding | U.S. DOE Office of Science \(SC\) \(osti.gov\)](#)

Intro to Sponsors – DOE

- Watch instructions for specified start dates or fiscal year set up
- Different offices and program offices may ask for different budget formats and some can be very particular about budget numbers being exact (to the dollar). Most common
 - SF 424 Research and Related budget form (3 and 5 year)
 - SF 424a (non construction), SF 424b (construction)
 - DOE Budget Justification form (can also ask for this at submission or award)

Intro to Sponsors – DoED

- Department of Education (DoED) and DoED Institute of Education Sciences (IES)–may use Grants.gov, G5 (their online grants system –primarily post award/financial but also submissions), or other avenues as specified in solicitation.
- Funding announcements in Grants.gov and Federal Register www.federalregister.gov
- Good handout on how the grants system works at DoED (typo is in the address) [Grantmaking at ED \(MS Wrod\)](#)
- Supplemental Data Sheet with additional information on the PI or organization is often required in Grants.gov submission.

Intro to Sponsors – DoED

- General Education Provisions Act (GEPA) or other equal access or EOT survey/file may be required. This may or may not be referenced in guidelines but is usually in the application package.
- Special instructions may be given for how files should be named and how they should be loaded (often many files loaded together in one large file under Narrative); special forms and interactive files may be requested; double spacing may be used in parts of the submission.
- Federal Award Identification Number (FAIN) is often used in all correspondence related to the award.

Intro to Sponsors – DOJ

- The Department of Justice (DOJ) grant making components—the Office of Community Oriented Policing Services (COPS Office), the Office of Justice Programs (OJP), and the Office on Violence Against Women (OVW)—have established this website [JustGrants Resources | U.S. Department of Justice \(usdoj.gov\)](https://www.justgrantsresources.gov) to serve as a resource hub for their grants management system (JustGrants) and payment management system (ASAP), both of which launched on October 15, 2020.
- [JustGrants Resources | U.S. Department of Justice \(usdoj.gov\)](https://www.justgrantsresources.gov)

Intro to Sponsors – NEH and NEA

- **National Endowment for Humanities (NEH) and National Endowment for Arts (NEA)**
 - Submission usually grants.gov; NEA may do initial submission in Grants.gov and then full submission in NEA-GO. Both may also request materials via email.
 - NEA usually matching required on all organizational grants.
 - GEPA or other equal access or EOT survey/file may be required.
 - Special instructions may be given for how files should be named and how they should be loaded.
 - Special Forms may need to be downloaded from other sites and uploaded into the g.g file (such as NEH budget form).

Intro to Sponsors – CDMRP

- Congressionally Directed Medical Research Programs (and at least some US Army Medical Research and Materiel Command) use **eBRAP (electronic Biomedical Research Application Portal)**
- PI and organization must establish account
 - PI usually does NOI/LOI and is given control number
 - PI may do submission and/or organization may do (some do NOI/LOI thru eBRAP and then full submission through grants.gov; others do both through eBRAP. If eBRAP is used the PI can submit the full proposal but a confirmation email and verification must be processed by the AOR.)
- Read solicitation early and closely in case you have multiple systems that have to be used.

Intro to Sponsors

• **Take---Way**

- OU does a lot of work with Foundations and Non-profits– don't be afraid to try for funding or worried that we can't resolve issues with them.
- ORS and the OU Foundation have a good working relationship; you can start with either of us and we'll refer you to the other side if needed.
- If information in solicitations or announcements doesn't restrict idc or tuition recovery, then the default is that it is included in the proposal; restriction is normally only accepted if published or on the organization's website. ORS can help research this and may have historical decisions in effect for some Foundations/Non-profits/State agencies.
- If you need help, contact ris@ou.edu for any questions; or submit an info sheet so a Proposal Development Specialist can be assigned.



QUESTIONS?