Coffee with ORPA 2022-2023
October 24, 2022

What’s New!

Presented by:
Courtney Kohut, ORPA Shared Services & Training Manager
Paula Looney, ORPA Assistant Director
Sandra Stephenson, ORPA Award Specialist
Maureen Thompson-Siegel, CEFR Associate Director
Agenda

- New Personnel & Changes within ORPA
- Corporate Engagement & Foundation Relations - Introductions
- Graduate Tuition Exclusion on External Awards
- New Guidance Documents
  - Non-Financial Checklist
  - Budget Justification Statements
  - Term Sheet
- Sponsor Updates Regarding NSPM 33 Update
- ERA - Process Highlights
- PI Assurance Process – how has it changed?
- Budgeting with the new Indirect Cost Rate
  - Introduction of the Other Sponsored Activities (OSA) Rate
- FCOI requirement on implementation from DOE
- Open Discussion and Q & A
New Personnel & Changes
Office of Research & Project Administration
Ivy Mong’are
- Grant & Contract Administrator
- **im9987@princeton.edu**
- (609) 258-9845
- 619 Alexander Road, Suite 102

Departments: ORFE, EEB, PNI

Anne Ochiai
- Senior Grant & Contract Administrator
- **ao9521@princeton.edu**
- (609) 258-2813
- Fully Remote

Departments: ECE & PRISM
Shared Services

Shared Services & Training Manager
Grant & Contract Administrator

Courtney Kohut

Grants Manager

Sarah Porter
PROMOTIONS!

ORPA Assistant Director

Francine Taylor

ORPA Subawards Manager

Maria Mendes Hartstein
Who do I contact?

- Changes in department assignments
- Department Contacts on ORPA Website
- Coming soon! Addition of SRA Rep to directory
https://partnerships.princeton.edu/collaborate-research/research-princeton-database
Our Team

Corporate Engagement and Foundation Relations
https://partnerships.princeton.edu/

Dean R. Edelman
609-258-6214
dean.edelman@princeton.edu

Kelly Freidenfelds, Ph.D.
609-258-9641
kellyf@princeton.edu

Michael Hodges
609-258-9944
mh24@princeton.edu

Coleen Burrus
609-258-5954
cburrus@princeton.edu

Benjamin Kim
609-258-9665
bkk4@princeton.edu

Sacha Patera, Ph.D.
609-258-2456
sacha.patera@princeton.edu

Maureen Thompson-Siegel
609-258-3853
mtthompson@princeton.edu
Graduate Student Tuition

Effective August 1, 2022

The Board of Trustees approved the elimination of all tuition and health plan charges for graduate students* on sponsored awards [G0001 & G0002] in response to rising costs for student support and to promote competitive and cost-effective funding applications.

- Link to New Graduate FAQ (may need to click link a second time to access)
- Previous relief only came from awards with full overhead applied
- Termination of tuition rebate to PI’s for 4th and 5th year students charged to grants with full overhead
- Keep in mind, some sponsor applications allow you to budget only certain types of costs – if tuition is one of them, you may just need to request less funding as this cost may not be applied to other expense types. [Check with your sponsor]
- Applicable even if no overhead is being charged to the external funding source budget.

Office of Research and Project Administration
Graduate Student Tuition

- Tuition will be charged to graduate students supported on internal funding sources, at 100% of the current tuition rate.
Tuition Changes

New, incoming awards

- Utilize expanded authority to use tuition for other applicable costs
- No need to re-budget, unless those funds would go for a budget category requiring sponsor prior approval (equipment over a certain threshold, clerical salary, etc.)
- Salary and tuition will no longer be supported on the same chartstring

Sponsor Budget Revision Requests

- Sponsor asks for a reduced/revised budget, prior to funding an application – take opportunity to update budget.

Mandatory Cost-share

- Allowable to cost-share up to 100% of the tuition cost instead of the 50% the grad school would cover previously if charging full indirect costs.
- No approval from the graduate school required

Voluntarily Cost-share

- Cost-share requests continue to require approval through ORPA (See ERA Cost-share guide).
New Guidance Documents

1. Non-Financial Agreements
2. Term Sheet
3. Budget Justification Statements
Non-Financial Agreements

Princeton ERA Non-Financial Agreement Checklist
Departmental Administrators

Non-disclosure Agreements (NDAs)
Classified as “NDA” in ERA. These may also be referred to as Confidential Disclosure Agreements (CDAs), or Confidentiality Agreements (CAs). These agreements are between a minimum of two parties. They outline information to be shared and how it will be restricted and protected from wider use and dissemination.

Data Use Agreements (DUAs)*
Classified as Other or “OTH” in ERA. These agreements are used for transferring data that is not in the public domain or subject to some restrictions. They are used to transfer data to (“incoming”)/from (“outgoing”) Princeton. ORPA generally works on incoming DUAs.

Ask whether Princeton PI is paying for the data. If Yes, see Notes for Data Use Agreements below.
# Non-Financial Agreements

<table>
<thead>
<tr>
<th>Memorandum of Understanding (MOU)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classified as Other or “OTH” in ERA. These agreements acknowledge an ongoing and strategic relationship between institutions that is intended to be long term, and/or to support a funding proposal or existing award.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research Agreement (RA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classified as “RA” in ERA. These agreements include specified terms, conditions and/or milestones that may need to be negotiated.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service Agreements (SA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classified as “SA” in ERA. This type should be selected when contracting with external parties for the use of Princeton facilities.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Facility Use Agreement (FUA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classified as “FUA” in ERA. This should be selected when a researcher from Princeton wishes to use a piece of equipment or a laboratory at another institution or National Lab.</td>
</tr>
</tbody>
</table>
Non-Financial Agreements

These items should be completed and uploaded for all non-financial agreement records in Princeton ERA.

<table>
<thead>
<tr>
<th>DOCUMENTS:</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Draft agreement (MS Word preferred), if provided by the other party.</td>
</tr>
<tr>
<td>□ Scope of Work (SOW) / Project Description with the following characteristics:</td>
</tr>
<tr>
<td>‣ 1-2 paragraphs in length*</td>
</tr>
<tr>
<td>‣ Include layman’s terms</td>
</tr>
<tr>
<td>‣ If the work is not taking place at Princeton, describe the location where the work will be performed (including institution and country)</td>
</tr>
<tr>
<td>□ Upload the completed and signed Princeton ERA Agreements Assurance Form (available on ORPA’s website) for all named senior/key persons, including the compliance questions via ancillary review, if the SOW is not linked to an FP or another Non-Financial Agreement.</td>
</tr>
<tr>
<td>Any communications relevant to the project should be uploaded as additional attachments.</td>
</tr>
<tr>
<td>If applicable, upload protocol approval letters (i.e. IRB or IACUC) or IRB’s determination of Non-Human Subjects Research.</td>
</tr>
<tr>
<td>Other relevant documents, including stand-alone terms and conditions, applications, etc.</td>
</tr>
</tbody>
</table>
Non-Financial Agreements

**ADMINISTRATIVE CONSIDERATIONS:**

If the agreement is related to an FP, link the agreement record to the FP via the Manage Relationships activity. See Princeton ERA: Agreements Guide.

If the research is considered Human Subjects research, note the IRB status in the record.

- An IRB approval letter or IRB determination of non-human subjects research **must** be uploaded prior to final execution of the agreement.

**Notes for Amendment Records:**

There is a no need to attach a new PI Assurance to amendment records, unless the scope of work has changed from the originally approved agreement, or additional personnel have been added.
Non-Financial Agreements

*Notes for Data Use Agreements*

- A detailed **Statement of Work (SOW)** is required to be uploaded to the ERA Agreement record, ensuring all of the below information is included along with a data management plan.
  - What is the data – detailed description.
  - Is this related to an existing award and how? (Agreement record should be linked to FP as noted above under Administrative Considerations)
  - Who are we receiving the data from? Is this a new vendor? Have we received data from them previously?
  - How will data be received? (Disk, download, etc.)
  - Does the vendor place restrictions on the use of the data? (Who/how many may use it, is it confidential (require secure server), how and where it must be stored.
  - Include a copy of any applicable Order Form/Agreement.

**Purchasing** of data is generally handled by the **Office of Procurement** – this will not be routed in ERA Agreements.

- **Contacts:**
  - Jean Durbin, Contracts Manager, Procurement Services jurbin@princeton.edu | (609) 258-2198
  - Julie Pope, Contracts Manager, Procurement Services jip9039@princeton.edu | (609) 258-1535

- Jean or Julie will assist with determining appropriate steps.
- Please provide them with a detailed **Statement of Work (SOW)** outlining the same information above as needed for non-financial data use agreements, in addition to:
  - How much does it cost? Is funding here; if so, provide the chartstring. Are these Federal funds?
  - Clearly identify the Principal Investigator in the communication to Procurement.
  - One time purchase or annual subscription for the PI?
Non-Financial Agreements

Additional tips & tricks:

▷ Do not include PI signatures when uploading the initial draft of an agreement. The agreement document is likely to change prior to full execution, and the PI would be asked to sign again.

▷ Add PI last name and department abbreviation to the title of the agreement in brackets to help ORPA identify the agreement faster. (Shared Services should add [Shared] to the title.)

▷ Notify your assigned GCA after submitting your agreement so the agreement owner is properly assigned, otherwise the agreement remains in ‘unassigned’ status. No automatic notification is sent upon submission.

NOW AVAILABLE ON OUR ERA WEBSITE!
https://orpa.princeton.edu/resources/princetonera
Term Sheet

- A summary of research agreement terms in alignment with Princeton’s mission
- Two-page document developed to explain acceptable terms
- Provided to outside entities to define contract expectations
- Useful when communicating with all parties, including the PI
- Helpful when working with Industry partners
- ORPA will distribute as applicable
Budget Justification Statements

› Document outlining preferred language for inclusion as appropriate in proposal budget justifications
› Creates consistency
› Provides clarity within budget justification details
› Updated as changes occur
   › Check the date on the version being used to ensure the correct one is being referenced

NOW AVAILABLE ON OUR ERA WEBSITE!
https://orpa.princeton.edu/resources/princetoner
NSF Updates

Full transition from FastLane to Research.gov, effective with the new PAPPG guide
- Last day for proposal submissions via FastLane is January 27, 2023
- Last day to submit a proposal file update is September 29, 2023
- Last day to download FastLane submitted proposals is September 29, 2023

SciENcv implementation has been delayed until October 2023
- SciENcv and the NSF fillable format will be continue to be available as an option until then.
- As of January 2023, Certification language, requiring PI signature, will be incorporated into BOTH formats. (more to come from NSF)

Prior to making a funding recommendation, updated C & P support must be submitted
- Proposers being considered for funding will be required, if requested by the NSF Program Officer, to submit updated C & P documents prior to making a funding recommendation.
- If there are no changes from the originally submitted C & P support, the individual would resubmit with a new timestamp.
- Funding recommendations cannot be completed under C & P support has been updated for all senior personnel.
NSF Updates Continued

 Responsible and Ethical Conduct of Research (RECR) training
 Currently, this is only required by students, post-docs, etc. – this will now be required by all senior key personnel (including faculty).
 Effective: July 2023 – there will be a grace period for compliance.
 Research Security requirements will also be added as a training requirement.

 Mandatory Cost Share Requirement Waived for Major Research Instrumentation (MRI)
 Effective with the January 2023 proposal submission for MRI proposals.
Final NIH Policy for Data Management and Sharing effective January 25, 2023

NIH is committed to making NIH-funded research results available. Responsible data management and sharing has many benefits:

- Accelerating the pace of biomedical research
- Enabling validation of research results
- Providing accessibility to high-value datasets

NASA Updates

▷ Executive Order – 13985 “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government
  
  Implement within the NASA Grant & Cooperative Agreement Manual set to release in October 2022, on Financial Assistance Awards
  
  To the extend practicable, obtain at least one quotation in response to a recipient-issued Request for Quotation (RFQ) from a small and/or minority business, women’s business enterprise or labor surplus area firms when the acquisition of goods or services exceeds the simplified acquisition threshold (SAT) as defined in the Federal Acquisition Regulation (FAR) part 2.101, Definitions (currently the SAT is $250,000).

  When this is not obtainable, a written justification indicating why this was not possible must be maintained in the recipient’s records.
ERA Process Highlights

Senior/Key Personnel

- PI’s and Co-PI’s should be identified as Key Personnel in ERA
  - Are you including a biosketch/current & pending (other) support doc? If yes, these are key individuals on a proposal/award
  - If someone identified as key leaves the university, sponsor approval is required as key is defined as integral to a project’s scope.
  - If you see a post-doc or graduate student as key – check with your PI if this accurate.
    - Post-docs are essentially short-term positions in which they are likely leaving during the projects period of performance.
    - Neither graduate students or post-docs have PI status if they are identified as Co-PIs
ERA Process Highlights

Senior/Key Personnel

3.a. Institutional Project Personnel – these are all Princeton personnel on the project and must be identified clearly in the proposal.
   - Do not list individual whose involvement is not yet determined.
   - Selecting the individual as ‘other personnel’ is the only option to make them not key. Key requires an annual COI completion & Assurance.

3.b. Individuals named on a proposal from outside the University.
   - Subaward PI (if Princeton has a sub) – would be key
   - Other collaborators
   - Must include the country of each individual even though no asterisk
ERA Process Highlights

› For any PI and or senior/key – Sponsors routinely require minimal effort commitments regardless of whether salary is budgeted.

› Include effort percentage within your ERA proposal budget to align with the effort commitment included on a current & pending/other support document.

› All key personnel require the completion of a PI assurance in ERA & completion of an annual conflict of interest disclosure (COI).

   › Example: Post-doc was identified as senior/key – and shows up under the ‘Display Team COI Information’ as not having disclosed.

### Senior / Key Personnel and Other Significant Contributors:

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Organization</th>
<th>Last Disclosure Date</th>
<th>Training Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Post Doctoral</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Office of Research and Project Administration
## Certify vs. Ancillary Review

<table>
<thead>
<tr>
<th>CERTIFY</th>
<th>ANCILLARY REVIEW (AR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lead PI uses the ‘Certify’ activity instead of a PI assurance via Ancillary Review in the FP</td>
<td>All individuals identified in the FP as Key will need to complete the PI assurance via ancillary review – NOT the Lead PI.</td>
</tr>
<tr>
<td>Only the Lead PI will see the certify button as an activity in the FP record</td>
<td>Do not add an ancillary review for the Lead PI.</td>
</tr>
<tr>
<td>If you obtained the PDF version of the PI assurance from your Lead PI by mistake, add the PDF copy to the PI assurance you routed to yourself, and then the GCA will ‘Certify’ once routed to specialist.</td>
<td>Reviewers tab will show the AR’s routed (and completed) for everyone BUT the Lead PI.</td>
</tr>
<tr>
<td>Use the ‘send email’ feature to notify the Lead PI to ‘certify’ the FP and include instructions on how to navigate to the compliance questions.</td>
<td>If you are uploading the PDF version of an AR from the non-Lead PI, you should be routing the ancillary review to yourself and uploading the completed PDF here.</td>
</tr>
<tr>
<td>If the FP is not certified prior to routing for department review, the PI will receive an automated email reminder from the system.</td>
<td></td>
</tr>
</tbody>
</table>
ERA Process Highlights

When Princeton is a subaward under another institution or entity, ensure you are identifying both the Direct and the Prime sponsor in ERA under the General Proposal Information section.

Omitting 5.b. will delay award setup and require a Just-in-Time (JIT) change.
When a proposal is funded, our award specialists (Sam & Sandra) must map a budget into PeopleSoft.

Salary lines are mapped based on the category selected in the ERA budget.

Pay attention to the role you select in the ERA budget module – *other* should not be used for internal positions.

See the **ERA Budgets Guide** for full details.

<table>
<thead>
<tr>
<th>Personnel Role</th>
<th>PeopleSoft Budget Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty (PI, Co-PD/PI, Co-I)</td>
<td>SALRF – Regular Faculty</td>
</tr>
<tr>
<td>Grad Students</td>
<td>SALGS – Assistant in Research/Instruction</td>
</tr>
<tr>
<td>Post-Docs, Other Prof.</td>
<td>SALOS – Salary DOF Other Staffs</td>
</tr>
<tr>
<td>Undergrads</td>
<td>WAGESH – Student Hourly</td>
</tr>
<tr>
<td>Secretarial/Clerical or Tech*</td>
<td>SALADM – Salary HR Admin &amp; Tech</td>
</tr>
<tr>
<td>Biweekly Staff*</td>
<td>SALBW – Salary HR Bi-Weekly</td>
</tr>
<tr>
<td>Consultant</td>
<td>Do not use for internal personnel</td>
</tr>
<tr>
<td>Other (Specify)</td>
<td>Does not map!</td>
</tr>
</tbody>
</table>

*If the sponsor allows the cost in your budget*
ERA – Budget Mapping

**General Costs**

- Be mindful of the cost categories you are choosing in your budget.
- Fellowship stipend is not salary – you need to select “Fellowship Stipend” from the general costs.
- Participant Support costs should be the ‘trainee’ costs, and must be added to their own budget in ERA (0% IDC) as sponsors require tracking of these costs independently.
- Fabrications should include material & supply costs – not just equipment.

### General Cost Type Details

<table>
<thead>
<tr>
<th>Cost Type</th>
<th>PeopleSoft Budget Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADP/Computer Services</td>
<td>TECSVC</td>
</tr>
<tr>
<td>Assistantship AI/AR Tuition</td>
<td>AIARTU</td>
</tr>
<tr>
<td>Computer HW &amp; SW w/o OH</td>
<td>COMPONO</td>
</tr>
<tr>
<td>Computer HW &amp; SW w OH</td>
<td>COMPOH</td>
</tr>
<tr>
<td>Consultant Services</td>
<td>PRFSVC</td>
</tr>
<tr>
<td>Publication Costs</td>
<td></td>
</tr>
<tr>
<td>Professional Services</td>
<td></td>
</tr>
<tr>
<td>Employee Benefits</td>
<td>FRINGE</td>
</tr>
<tr>
<td>Equipment</td>
<td>SMEQUP</td>
</tr>
<tr>
<td>Equipment or Facility Rental/User Fees</td>
<td>RENT</td>
</tr>
<tr>
<td>Facilities &amp; Administration</td>
<td>FACADM</td>
</tr>
<tr>
<td>Fellowship Tuition</td>
<td>FELTUI</td>
</tr>
<tr>
<td>Fellowship Stipend</td>
<td>FELSTI</td>
</tr>
<tr>
<td>HR Bi-Weekly Salary</td>
<td>SALBW</td>
</tr>
<tr>
<td>Institutional Allowance</td>
<td>INSTAL</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>SMSUP</td>
</tr>
<tr>
<td>Office/Admin/General Supplies</td>
<td>OAGSUP</td>
</tr>
<tr>
<td>Other</td>
<td>TOTDIR</td>
</tr>
<tr>
<td>Modular Offset</td>
<td></td>
</tr>
<tr>
<td>Real Estate, Construction Svcs</td>
<td>RECSVIC</td>
</tr>
<tr>
<td>Recharge Centers with F&amp;A</td>
<td>RECHOH</td>
</tr>
<tr>
<td>Trainee: Tuition</td>
<td>PARTC</td>
</tr>
<tr>
<td>Trainee: Travel</td>
<td></td>
</tr>
<tr>
<td>Trainee: Subsistence</td>
<td></td>
</tr>
<tr>
<td>Travel: Domestic</td>
<td>DOMTRV</td>
</tr>
<tr>
<td>Travel: Foreign</td>
<td>INTRTV</td>
</tr>
<tr>
<td>Utilities</td>
<td>UTIL</td>
</tr>
</tbody>
</table>
ERA – New Awards

› Award notice is here – is everything correct in your ERA record? If not – a JIT will be sent to you by your GCA to make necessary updates.
  › Is your budget correct in ERA? Now is the time to make adjustments prior to setup if a budget was reduced, or you never made the revision originally to a sponsor.
  › Is your sponsor name correct? Is the prime sponsor correct?
  › Did you upload all your protocols/approvals? Is congruency required and up to date?
  › Is CITI training still active, if applicable? (must be done very 4 years)
Budgeting with new IDC

- As per the rate sheet, 64% is effective as of 7/01/2024 (FY2025)
- Utilize the Blended IDC Tool on the ERA website under Tools.
- ERA will automatically calculate the correct rate – see the ERA Budget Guide for full instructions.
- Some sponsors are requesting revised budgets prior to making a new award – so you may need to make edits at a sponsors request utilizing the new 64% rate.
FCOI requirement for DOE Awards

- Department of Energy (DOE) Interim Conflict of Interest Policy Requirement for Financial Assistance: [Link Here](#)
- Effective June 2022
- Closely tracks the PHS/NIH requirements – including CITI FCOI training
- Updates are currently being made to the Princeton policy and processes
- COGR has prepared a [comparison document](#) between the DOE Interim Policy and the PHS Regulations
- Contract RIA with questions ([coi@princeton.edu](mailto:coi@princeton.edu))