



# Sponsored Programs Handbook

A Guide for Principal Investigators  
at McCormack Graduate School of Policy and Global Studies

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## Introduction

### Services

The MGS Grants Administrator provides administrative and technical guidance and support to faculty and staff seeking outside funding for research, public service, and special sponsored institutional projects.

Pre-award services include assisting PIs with finding and applying for external funding, with proposal and budget development, and ensuring compliance with the sponsor's guidelines and with those of UMB.

Post-award activities include liaising with ORSP and PIs regarding award negotiations, budget revisions, and no-cost extensions. In addition, the MGS Grants Administrator can also assist with technical reports, budget forecasting and management, and effort reporting.

The MGS Grants Administrator works closely with the Office of Research and Sponsored Programs (ORSP) and other central administrative units at the University such as the Central Business Unit (CBU), Unified Procurement Services Team (USPT), Human Resources (HR), University Advancement (UA), and Office of Graduate Studies (OGS).

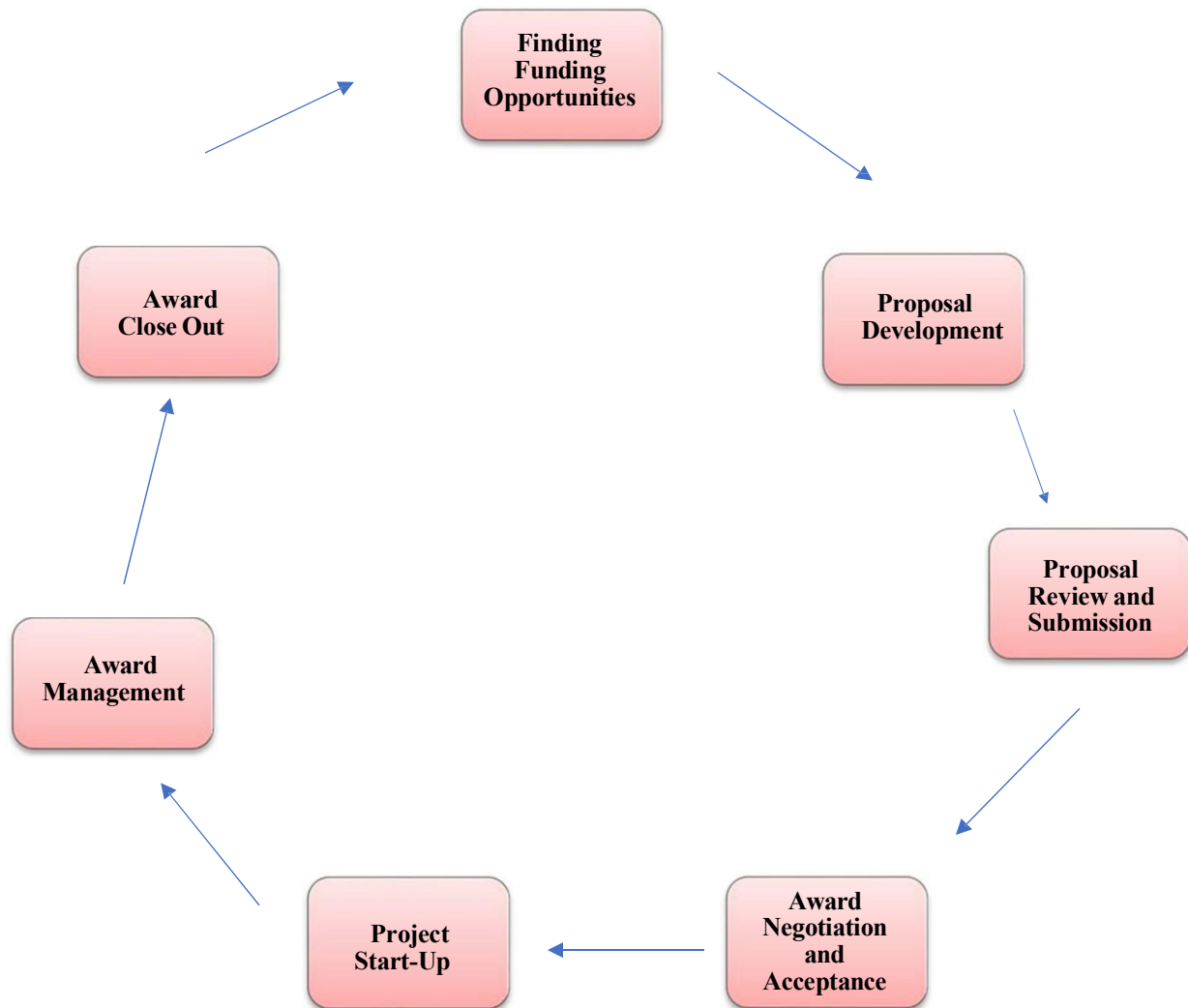
### Purpose

The funding landscape and regulatory environment are ever-changing. As such, this handbook is a living document that will be revised and updated in response to these changes. The handbook serves as a reference tool for MGS faculty and staff.

## Sponsored Program Lifecycle

The diagram below shows the typical lifecycle of a sponsored program from “cradle to grave.”

Each chapter of this handbook refers to a particular stage in this lifecycle.



## Stages of Lifecycle

Stage of Lifecycle	Administrative/Academic Personnel
<b>I. Finding Funding Opportunities:</b> Identify and/or search for appropriate funding opportunities	MGS Grants Administrator, ORSP, Deans, Chairs
<b>II. Proposal Development:</b> Proposal solicitation review; proposal compliance; continuous and final proposal review and feedback; budget development; assistance with completing sponsor's forms; work with various University offices regarding any effort, buyout, cost-sharing, matching requirements, etc. issues	MGS Grants Administrator, ORSP, Deans, Chairs
<b>III. Proposal Review &amp; Submission:</b> Electronic submission to ORSP for proposal review and, if appropriate, electronic submission to sponsor	MGS Grants Administrator, ORSP, Deans, Department Chairs, Provost, Associate Provost/Academic Affairs
<b>IV. Award Negotiation &amp; Acceptance:</b> ORSP negotiates terms and conditions of pending award; acceptance of award on behalf of University by Authorized Official	MGS Grants Administrator, ORSP, Deans, Department Chairs, Research Compliance (IRB/IACUC)
<b>V. Project Start-Up:</b> Process of award set-up; gaining necessary institutional approvals prior to project commencement	MGS Grants Administrator, ORSP, Research Compliance (IRB/IACUC)
<b>VI. Award Management:</b> Day-to-day project/program management; institutional compliance with sponsor requirements; effort reporting; institutional prior approval; contract continuations, modifications, and amendments	MGS Grants Administrator, ORSP, Deans, Department Chairs, Procurement, HR, Research Compliance (IRB/IACUC), Graduate School
<b>VII. Award Close-Out:</b> Closing out of award; patent/invention, final technical, financial property reporting	MGS Grants Administrator, ORSP, Patent/Invention Reporting, Property Management

## Roles and Responsibilities

TASK	ROLE/RESPONSIBILITY										
	PI/Co-PI(s)	MGS Grants Administrator	ORSP Pre-Award	ORSP Post-Award	Research Compliance	Payroll	Procurement	Graduate School	Dean(s)	Dept. Chair(s)	Provost Office/ President
Identify and transmit funding opportunities	X	X	X						X	X	X
Review proposal guidelines	X	X	X								
Proposal preparation/ development, budgets	X	X	X								
Proposal review	X	X	X						X	X	
Proposal modifications	X	X	X								
Routing form completed, signed, & sent to ORSP	X	X							X	X	
Subrecipient forms received and reviewed	X	X	X								
Proposal submitted	X	X	X								
Review for regulatory compliance issues (FCOI, export control, human or animal subjects)	X	X	X	X	X						
Award negotiation and review	X	X	X	X							
Subrecipient risk assessment prior to award set-up			X								
Implement projects/program activities	X										
Process employment hires	X	X				X			X		
Process graduate assistant hires	X	X				X		X	X		
Process expenditures (travel, supplies)	X						X		X		
Enter into subaward/subcontract agreements				X							
Review accounts; regularly monitor, review, and approve expenditures	X	X									
Monitor subcontractors	X										
Initiate award changes that require sponsor approval	X	X	X	X							
Fulfill sponsor periodic program reporting	X	X		X							
Fulfill sponsor periodic fiscal reporting requirements	X	X		X							
Manage time and effort reporting	X	X									
Ensure program compliance	X	X		X	X					X	
Close-out notices and other procedures				X							
Prepare/submit final technical reports	X			X							
Prepare/submit final financial reports				X							
Prepare/submit final property & invention reports	X			X							

# Chapter I: Finding Funding Opportunities

## 1.1 Funding Opportunities

For those looking for opportunities for funding from internal sources or from external sources (including federal, foundation, and industry opportunities), please visit the link below. In addition to providing information about internal and external funding opportunities, this site provides links to funding search tools, as well as sites to register to receive e-mail funding alerts (such as Pivot and Grants.gov).

[Office of Research and Sponsored Programs | Find Funding - University of Massachusetts Boston \(umb.edu\)](#)

In addition, ORSP offers training on finding funding sources. This on-line, interactive course is offered on the last Thursday of the month at 10 am. Please enroll at:

[Browse Courses \(gosignmeup.com\)](#)

### **ORSP-FF: Finding Funding Opportunities**

This session is an introduction to the various sites available to find research funding and identifying key words that will help you in your search.

## 1.2 Internal Funding Opportunities

Eligibility, application procedures, and contact information for each program can be found at the links below.

Internal Funding Opportunities can be found at [Internal Funding Programs - University of Massachusetts Boston \(umb.edu\)](#).

## 1.3 External Funding Opportunities

Information and resources for external funding opportunities can be found at the links below.

[External Funding Sources and Funding Search Tools](#)

[Office of Research and Sponsored Programs | Find Funding - University of Massachusetts Boston \(umb.edu\)](#)

[Federal Funding Opportunities](#)

The grants.gov database is the single access point for over 900 grant programs offered by the 26 federal grant-making agencies.

[Search Grants | GRANTS.GOV](#)



**PIVOT**

Pivot (formerly Community of Science or COS) is a funding opportunity database that pulls from national, international, and local sources. Using key-word matching, Pivot makes suggestions for relevant funding based on the subjects of your past awards, published papers, and stated research interests.

Pivot is also a robust networking tool that allows you to connect with potential research collaborators.

[Pivot-RP | Pivot-RP \(proquest.com\)](#)

# Chapter II: Proposal Development

## 2.1 Proposal Development

A proposal is a document used to apply for sponsored program funds. Most sponsors have specific requirements for proposals. Program announcements for specific programs often include detailed requirements. Although there is no such thing as a standard proposal, there are several common elements that are requested from sponsors. Sponsors may have different requirements but share the same overall objective. These major elements are found at [proposal\\_checklist.pdf \(umb.edu\)](#) and include:

- Sponsor Face Page
- Abstract
- Budget
- Budget Justification Narrative
- Research Plan/Science
- Biosketches/CVs for Key Personnel
- Resources Page
- Letters of Collaboration

If the proposal includes a subrecipient/consortium, it must contain:

- Letter of Intent signed by the institution's authorized signatory
- Scope of Work which describes only the work to be performed by the subcontractor
- Budget
- Budget Justification Narrative
- Biosketches/CVs for Key Personnel
- Resources Page
- A copy of the subcontractor's F&A rate agreement

Every proposal must include these internal forms used by ORSP and by MGS:

- Proposal Routing form
- Financial Conflict of Interest form (PHS or non-PHS)
- Budget Template
- Request for a New Project/Grant form
- Cost-Sharing Request form (if applicable)
- F&A Disclosure and Exemption form (if applicable)
- Course Buyout Request and Summer Salary Request form (if applicable)
- Summer Salary form (if applicable)

These forms are available at either:

[Office of Research and Sponsored Programs | PI Toolkit - University of Massachusetts Boston \(umb.edu\)](#) or at [MGS Internal Shared services \(https://forms.umb.edu/mccormack\)](https://forms.umb.edu/mccormack).

## 2.2 Proposal Preparation

The format or presentation of a proposal will depend on the sponsor's requirements. Most sponsors have policies and procedures for proposal submissions and may require the use of specific application forms or electronic on-line systems. Other sponsors may have less stringent requirements. In any case, PIs should obtain the most recent version of the sponsor's application guidelines and should follow the required proposal format. Guidelines (or RFPs) should be forwarded to the MGS Grants Administrator for review well in advance of the due date of the proposal to facilitate timely proposal development, internal review, and processing.

It is a good idea to start the writing process months in advance of any expected due date. Estimates of the total time devoted to producing a new application may range from two to three months or longer. Revised applications and renewals usually take less time but are still a major effort and the time and effort required to produce them should not be underestimated.

## 2.3 Services Provided by MGS Dean's Office

Completion of a successful proposal involves the cooperation and interaction of numerous UMB staff. It is imperative that the PI notify the MGS Grants Administrator as soon as the PI becomes aware of the opportunity.

The MGS Grants Administrator provides a wide range of administrative services such as:

- Develop reasonable timelines for all input and approvals
- Review sponsor guidelines and identifying any unique requirements for the proposal
- Ensure compliance with both the sponsor's and UMB's guidelines and policies
- Develop the budget
- Follow-up with subcontractors to obtain institutionally approved proposals
- Assist with securing approvals for cost sharing commitments, F&A Waiver requests, course buy-out requests, etc.
- Collaborates with ORSP staff, as appropriate, during the proposal process
- Reviews cost sharing commitments and prepares necessary cost share forms
- Assures appropriate academic signatures are obtained
- Assures the proposal is compliant with all sponsor and university guidelines and provides Institutional approval and submission
- Assists with sponsor requests for re-budgets, Just in Time information, etc.

## 2.4 Proposal Development Timeline

Below is a timeline of the proposal development process. Most proposals take months to prepare; give yourself and others involved ample time to prepare, review, and give feedback to ensure the submission of a high-quality competitive proposal.

## 2.5 Budgets

A budget provides details of projected expenses necessary to complete the proposed scope of work. The budget should reflect the methodology described within the proposal narrative. Reviewers should be able to determine if sufficient funds are being requested to successfully complete the project and that those requests are reasonable given the proposed scope of work.

Each sponsor has its own set of budget requirements. PIs should follow a sponsor's guidelines exactly and provide information in the required format.

Even if a sponsor does not require a formal budget, ORSP will still require an internal budget to review costing plans.

The MGS Grants Administrator is available to assist investigators in developing budgets that are consistent with UMB policy and with the sponsor's guidelines.

## 2.6 Budget Development

The proposal budget should delineate the entire cost of a project and accurately reflect costs that are necessary to complete the work. The budget should reflect the methodology described within the proposal narrative. Reviewers should be able to determine if requested funds are sufficient to successfully complete the project and that those requests are reasonable given the scope of work. Accuracy and detail are essential in this section. PIs are encouraged to follow a sponsor's guidelines exactly and provide information in the required format.

Most sponsors require line item budgeting. The two major budget categories include:

### **Direct Costs:**

Direct costs are those costs that can be directly attributed to accomplishing the work of the proposed project (i.e., salaries, GA assistants, graduate and undergraduate student workers, fringe benefits, equipment, supplies, travel, consultants, subawards, tuition, etc.).

### **F&A Costs ([https://www.umb.edu/editor\\_uploads/images/orsp/FactSheet\\_Feb\\_2022.pdf](https://www.umb.edu/editor_uploads/images/orsp/FactSheet_Feb_2022.pdf)):**

F&A costs are those that UMB incurs to support all research/sponsored program activities on campus (i.e., maintenance of University facilities, utilities, UMB administration, library, sponsored programs, etc.). These costs are also known as facilities & administrative costs, indirect costs, and overhead. When requesting F&A waiver, use this F&A waiver form (<https://forms.umb.edu/upd/mccormack/FA-Waiver-form.pdf>)

### **UMB Facilities and Administrative Cost Rates for federally sponsored programs**

University is working on negotiating new rate agreements with federal governments.

Type	Effective Period		Rate Location	Applicable to
	From	To		
Pred.	7/1/2020	6/30/2023	52.50% On-Campus	Research

Pred.	7/1/2020	6/30/2023	26.00%	Off-Campus	Research
Pred.	7/1/2020	6/30/2023	46.00%	On-Campus	Instruction
Pred.	7/1/2020	6/30/2023	26.00%	Off-Campus	Instruction
Pred.	7/1/2020	6/30/2023	36.40%	On-Campus	Other Sponsored Programs
Pred.	7/1/2020	6/30/2023	26.00%	Off-Campus	Other Sponsored Programs
Prov.	7/1/2023	until amended			Use same rates and conditions as those cited for fiscal year ending June 30/2023.

## 2.7 Budget Justification

Most sponsors require the proposal to include a budget justification narrative. The justification explains why items budgeted are necessary to complete the work being proposed. Usually, this consists of explaining salaries, fringe benefits, travel, consultants, supplies, subcontracts, and F&A costs.

The MGS Grants Administrator is available to assist investigators in developing budget justifications.

# Chapter III: Proposal Review and Submission

## 3.1 Steps to Submit a Proposal

1. Provide all proposal documents (final versions) to the MGS Grants Administrator.
2. The MGS Grants Administrator will route the proposal and all internal documents for internal authorization (PI, Chair, Center, or Institute, and Deans).
3. The MGS Grants Administrator will then submit the complete proposal to ORSP for its review.
4. ORSP will review the entire proposal to ensure compliance with the program guidelines, federal/state regulations, and UMB policies.
5. ORSP will provide feedback regarding required edits and can make suggestions to make your proposal more competitive. Keep in mind that ORSP will be in a much better position to provide you with more thorough feedback and analysis of your proposal if you submit your final proposal well in advance of the deadline.
6. ORSP, the PI, and the MGS Grants Administrator will work together to address any of ORSP's concerns.
7. ORSP will approve the proposal and, depending upon the submission method (electronic or paper), may either submit the proposal or return it to the PI for submission.

Please keep in mind that ORSP's review of proposals consists of much more than a review of the budget. Many sponsors have very specific content and formatting requirements that in some cases, if not followed, may result in a proposal being returned without review.

### **Very Important:**

Required Review and Signatures: **No application may be submitted to any sponsor without the prior review and approval of UMB.** The signature of UMB's authorized official is necessary to indicate University compliance with sponsor and government regulations, acceptance of responsibility for the administration of the sponsored project (including the provision of adequate facilities and services), and for compliance with applicable University policies and procedures. Authorization may also represent pre-acceptance of terms and conditions of an award.

## 3.2 Required Proposal Documents

ORSP prefers to review a complete and final application to provide the best feedback possible.

However, ORSP realizes that this is not always possible. In such cases, the very bare minimum the proposal package must contain for ORSP to review and to approve is:

- Sponsor Face Page
- Abstract
- Budget
- Budget Justification Narrative
- Research Plan/Science
- Proposal Routing form

- Financial Conflict of Interest form (PHS or non-PHS)
- Request for a New Project/Grant form
- Cost-Sharing Request form (if applicable)
- F&A Disclosure and Exemption [form](#) (if applicable)
- Course Buyout Request form (if applicable)
- Summer Salary Request [form](#) (if applicable)

If the proposal includes a subrecipient/consortium, it must contain:

- Letter of Intent signed by the institution's authorized signatory
- Scope of Work which describes only the work to be performed by the subcontractor
- Budget
- Budget Justification Narrative
- Biosketches/CVs for Key Personnel
- Resources Page
- A copy of the subcontractor's F&A rate agreement

# Chapter IV: Award Negotiation and Acceptance

ORSP supports UMB researchers in negotiating federal and non-federal sponsored award agreements, often in consultation with University Counsel. ORSP has the expertise necessary to assist the PI in navigating and understanding the terms and conditions of an award and in responsibly managing the award in compliance with the sponsor's terms and conditions and federal and state regulations when applicable.

## 4.1 Award Negotiation

ORSP will review all terms and conditions of an award before acceptance to ensure that the sponsor's requirements are compatible with UMB's policies and procedures. It is important that the terms are clearly understood and that all concerns are resolved before the award is accepted by the University.

### **Very Important:**

If a sponsor directly contacts a PI regarding the terms of an award under discussion, the PI must refer the sponsor to ORSP. The PI should not accept or negotiate any terms or conditions on behalf of UMB.

Since a sponsored award binds both the sponsor and UMB to certain commitments, it is important that the terms are clearly understood and that all concerns are resolved before the award is accepted by the University.

To effectively manage a sponsored project, it is essential for the PI/PD to carefully review the sponsor's policies, terms, conditions, and other requirements.

After reviewing the sponsor's terms and conditions, ORSP will either request an account number for the award or will begin to negotiate any desired changes to the terms and conditions with the sponsor. Once both the sponsor and UMB agree on the award's terms and conditions, ORSP will request an account number for the award.

## 4.2 Signatory Authority

Many awards require the signature of an authorized institutional official to formally accept the award. ORSP is responsible for obtaining the appropriate institutional signature(s).

### **Very Important:**

PIs should not sign any award document on behalf of UMB as it is an agreement between the sponsor and UMB, not between the sponsor and the PI. PIs should forward any award documents to ORSP for its review, negotiation, and acceptance.



# Chapter V: Project Start Up

## 5.1 Receipt of Award

UMB requires that all sponsored awards be reviewed and accepted by ORSP on behalf of the University.

As a sponsored award binds both the sponsor and UMB to certain commitments, it is important that the terms are clearly understood and that all concerns are resolved before the award is accepted for the University. If a PI is contacted directly by a sponsor regarding the terms of an award under discussion, they should refer the sponsor to ORSP.

## 5.2 Authorized Signatories

Many awards require the signature of an authorized institutional official to formally accept the terms and conditions of the award. ORSP is responsible for obtaining the appropriate institutional signature. PIs are cautioned not to sign agreements for sponsored support, biomaterials, equipment, loans, material transfers, or clinical trials. These agreements bind the University to certain obligations and, as such, can be signed only by those who have delegated signature authority.

### **Very Important:**

**PIs should not sign any award document on behalf of UMB as it is an agreement between the sponsor and UMB, not between the sponsor and the PI.** PIs should forward any award documents to ORSP for its review, negotiation, and acceptance.

## 5.3 Account Set-Up

Once UMB has accepted an award, ORSP creates an account number for the award and e-mails the award account information to the PI and to the MGS Grants Administrator.

## 5.4 Pre-Award Accounts

Under certain conditions, a PI may request an account prior to the actual receipt of the award.

If a sponsor has approved funding but is slow in sending the official award documentation, the PI may submit a Request for An Advance Account form to ORSP via the MGS Dean's Office to initiate project activities and to permit any project-associated expenditures.

Please refer to Chapter VIII, Section 8.9 for instructions on how to request a Pre-Award account.

## 5.5 Human Subjects

University policy requires that all research involving human subjects be reviewed and approved by the UMB Institutional Review Board (IRB) prior to initiation of the research. This requirement applies to all human subjects' research conducted by faculty, staff, and students, on- and off-campus, regardless of the funding support, if any, for the project.

The PI must submit a human subject's protocol to the IRB and the IRB must review and approved the protocol before the PI can begin any research related to human subjects.

Helpful information about the Institutional Review Board and the IRB process is found on the IRB's web page ([https://www.umb.edu/orsp/research\\_committees/irb](https://www.umb.edu/orsp/research_committees/irb)).

**Very Important:**

The PI cannot begin any research without IRB approval.

# Chapter VI: Award Management

## 6.1 Post-Award Changes, Rebudgeting, and Prior Approvals

Frequently, projects change or evolve from how they were first proposed to or funded by a sponsor. Many changes that occur require prior written approval from the sponsor and/or ORSP.

The point at which approval may be requested depends upon the type of award and the sponsor's specific policies governing the award.

Examples of changes that may require prior approval:

- Rebudgeting: During the conduct of the project, the PI may determine that budget changes are necessary. Significant changes to a budget almost always require the sponsor's prior approval. Restrictions on budget revisions, including moving funds from one category to another, may not be allowed. PIs need to be aware of the specific requirements for their awards and request prior approval for budget changes when necessary.
- Human Subjects: Any change from the IRB-approved use of human subjects.
- Absence of the PI or other Key Personnel: Any absence (usually three months or more) or change of effort for Key Personnel may require prior approval.
- Subcontracts: New subcontracts (those not included in the original proposal) may need prior approval.
- No-Cost Extensions: No- Cost Extensions are requests to extend the award's end date without requesting additional funds from the sponsor. Some federal sponsors allow UMB to internally approve an extension; other sponsors require that a request for additional time be submitted for their approval. In either case, the request usually must be processed at least 30-90 days prior to the awarded end date of the project. PIs must continue to devote the same level of effort as in the period preceding the extension, unless prior approval for reduction has been received

## 6.2 Cost Transfers

A cost transfer is the reassignment of an expense to or from a sponsored project after the expense was initially charged to another project. UMB expects that all costs charged to a sponsored project are correctly charged at the outset. However, the PI and the MGS Grants Administrator should regularly review account expenses to identify errors in a timely manner.

PIs are responsible for ensuring that cost transfers to sponsored projects represent corrections to errors and are made within 30 days of the original charge. Cost transfers must be supported by documentation which contain a full explanation of how the error occurred, a correlation of the charge to the project to which the transfer is being made, and a detail of what procedures the PI will put into place to prevent this error from reoccurring.

[https://www.umb.edu/editor\\_uploads/images/orsp/Cost\\_Transfer\\_Less\\_Than\\_90\\_Days.pdf](https://www.umb.edu/editor_uploads/images/orsp/Cost_Transfer_Less_Than_90_Days.pdf)

### **6.3 MGS Grants Administrator**

The MGS Grants Administrator and ORSP work closely together to assist MGS researchers in carrying out their sponsored project's "day-to-day" activities and ensuring compliance with applicable UMB policies and federal, state, and local rules and regulations.

The MGS Grants Administrator is the first point-of-contact for MGS PIs regarding any post-award management issues. As such, PIs must contact the MGA Grants Administrator when post-award changes are required and should not first contact ORSP. The MGS Grants Administrator will act as a liaison between the PI and ORSP.

# Chapter VII: Award Closeout

## 7.1 What is Award Closeout?

The award closeout occurs when an award is ending. It includes what the sponsor requires at the end of the award and the timeline for submission. Typically, this includes the final technical and financial reports but may also include invention reports and/or other documentation. The award's terms and conditions will provide specific details of what will be required at award closeout.

As a sponsored project nears its end date, ORSP and the MGS Grants Administrator will work with the PI to ensure that the award is properly closed out.

## 7.2 Final Technical Report

Sponsors typically require a final technical report. Upon termination of the project, the PI is responsible for submitting the final technical report to the sponsor within the timeframe specified in the award's terms and conditions. Failure to submit this report in a timely manner could jeopardize future funding by the sponsor not only for the PI but also for other UMB researchers funded by the same sponsor.

## 7.2 Final Financial Report

Sponsors typically require a final financial report. ORSP is responsible for submitting the final financial report to the sponsor, usually within 90 days of the award's end date. ORSP will work with the MGS Grants Administrator to ensure that all project-related expenses have been charged to the award's account.

# Chapter VIII: What do you want to do?

## 8.1 Find a Sponsor

- a. Perform your own funding searches:
  - i. General web search
  - ii. [Office of Research and Sponsored Programs | Find Funding - University of Massachusetts Boston \(umb.edu\)](#)
  - iii. [Search Grants | GRANTS.GOV](#)
  - iv. Other sources detailed in Chapter I
- b. For assistance with any of the search engines, contact either Michael Gaughan at ORSP or the MGS Grants Administrator.
- c. For assistance deciding if the sponsor you've chosen is a good fit for your project, contact the MGS Grants Administrator.

## 8.2 Start a Proposal

- a. Once you've decided which sponsor to which to submit your proposal, contact the MGS Grants Administrator **ASAP!**
- b. The MGS Grants Administrator will discuss details of the proposal with you, including the sponsor's required documents, timeline, budget, etc.

## 8.3 Develop a Proposal Budget

- a. Meet with the MGS Grants Administrator to draft the budget.
- b. Have a good idea of what you will need to conduct the project before you meet with the MGS Grants Administrator:
  - i. Personnel: who will you need to work and how much effort will each person need to work on the project?
    - Faculty at UMB
    - Faculty at other institutions
    - UMB graduate students
  - ii. Consultants:
    - Will you need any consultants to work on the project?
    - How many hours will each consultant work and at what hourly rate?
  - iii. Travel:
    - Will you need to travel to collect data, interview subjects, meet in person with collaborators?
    - Will you travel to a conference to give a talk or a poster presentation?
  - iv. Supplies:
    - Will you need any computers or printers (costing less than \$5,000/item)?
    - Will you need data storage?
    - Will you need to purchase cell phones or cell phone plans?
  - v. Other Direct Costs:
    - Will you need funds for publication costs?
    - Do you need to compensate human subjects for interviews or completing surveys? If so, how many subjects and what payment amount per subject?

- vi. Subcontracts:
  - Do you need someone at another institution to perform a programmatically critical part of the project?
- vii. Fringe Benefits: the MGS Grants Administrator will calculate fringe benefits at the appropriate rate(s)
- viii. F&A Costs: the MGS Grants Administrator will calculate F&A costs at the appropriate rate

### 8.3.a Request a Course Buyout

- a. When you meet with the MGS Grants Administrator to discuss the proposal budget, also discuss the potential course buyout.
- b. Complete the **COURSE BUYOUT REQUEST and SUMMER SALARY REQUEST Form**, with the assistance of the MGS Grants Administrator, if necessary.
- c. Electronically send the completed form to the MGS Grants Administrator.
- d. The MGS Grants Administrator will review the form and submit it for the required MGS authorizations.
- e. If your request is approved, you can include the course buyout in the proposal budget.  
[https://www.umb.edu/editor\\_uploads/images/orsp/1\\_UMB\\_Course\\_Buyout\\_Request\\_Form\\_-\\_final\\_V1.0\\_-\\_010622.pdf?cachebuster:72](https://www.umb.edu/editor_uploads/images/orsp/1_UMB_Course_Buyout_Request_Form_-_final_V1.0_-_010622.pdf?cachebuster:72)

### 8.3.b Request an F&A Waiver

If the sponsor has a written policy which states that any award it makes will include an F&A rate different from the UMB federal F&A rates or if the sponsor does not award any F&A costs at all, you need to request an F&A waiver:

- a. When you meet with the MGS Grants Administrator to discuss the proposal budget, also discuss the potential F&A waiver.
- b. Complete the [\*\*F&A DISCLOSURE and EXEMPTION Form\*\*](#), with the assistance of the MGS Grants Administrator, if necessary.
- c. Electronically send the completed form to the MGS Grants Administrator.
- d. The MGS Grants Administrator will review the form and submit it for the required MGS authorizations.
- e. If your request is approved, you can include the sponsor's rate (or a zero rate) in the proposal budget.

### 8.3.c Request Summer Salary

If you want to include summer salary in the proposal, either for yourself or for another UMB faculty, MGS must approve this request at the time of proposal.:

- a. When you meet with the MGS Grants Administrator to discuss the proposal budget, also discuss the summer salary request.
- b. Complete the **COURSE BUYOUT REQUEST and [SUMMER SALARY REQUEST Form](#)**, with the assistance of the MGS Grants Administrator, if necessary.
- c. Electronically send the completed form to the MGS Grants Administrator.
- d. The MGS Grants Administrator will review the form and submit it for the required MGS authorizations.
- e. If your request is approved, you can include the summer salary in the proposal budget.

In addition, at the same time, you must also complete and submit the UMB [PRE-APPROVAL form for Additional Compensation and Bonus Payments Form](#) available at [Instructions for completing the Personnel Action Form \(umb.edu\)](#)

#### **8.4 Post-Award: Change in Effort for Any Key Personnel**

Key Personnel in a project is anyone “who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries or compensation are requested” (NIH definition). Most sponsors require that if any Key Personnel decreases his/her effort by 25% or more, you as PI must request approval from the sponsor [before the decrease begins](#).

Example #1: Prof. Smith has a car accident and needs six months of rehab before she can return to work.

Example #2: Prof. Ryan becomes pregnant and will take three months off after the birth of the baby.

To request approval:

- a. Discuss this change with the MGS Grants Administrator and provide:
  - i. Who will decrease his/her effort
  - ii. What will the new level of effort be
  - iii. Why the Key Personnel will decrease his/her effort
  - iv. As the Key Personnel won't be able to complete all the duties as outlined in the proposal (due to the decrease in effort), describe who will now perform these duties.
  - v. If the change will drastically affect the budget, work with the MGS Grants Administrator to revise the budget.
- b. The MGS Grants Administrator will draft a request for you to submit to the sponsor.
- c. You submit the request to the sponsor.
- d. The sponsor approves or rejects the request.
- e. You adjust the work on the project as necessary.
- f. The MGS Grants Administrator submits the sponsor's decision to UMB ORSP to update its records.

#### **8.5 Post-Award: Change in Key Personnel**

Key Personnel in a project is anyone “who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries or compensation are requested” (NIH definition). Most sponsors require that if any Key Personnel stops work on the project, you as PI must request approval from the sponsor [before the stoppage begins \(if possible\)](#).

Example #1: Prof. Smith has a car accident and dies. You need to replace Prof. Smith with someone with skills and education comparable to Prof. Smith to continue the project as proposed.

Example #2: Prof. Ryan wins the lottery and immediately retires to sail around the world. You need to replace Prof. Ryan with someone with skills and education comparable to Prof. Ryan to continue the project as proposed.



To request approval:

- a. Discuss this change with the MGS Grants Administrator and provide:
  - i. Who will leave the project
  - ii. Who will replace the departing Key Personnel
  - iii. What will the replacement's effort be
  - iv. A CV for the replacement (in the sponsor's required format)
  - v. Details of how the replacement will be brought up to speed regarding the duties of the departing Key Personnel
  - vi. Details of any anticipated delays which might result from this change of personnel
  - vii. How the replacement's skills and education compare with the departing Key Personnel (why did you choose the replacement and how is the replacement qualified to be a replacement)
- b. Work with the MGS Grants Administrator to revise the budget based on the change of Key Personnel.
- c. The MGS Grants Administrator will draft a request for you to submit to the sponsor.
- d. You submit the request to the sponsor.
- e. The sponsor approves or rejects the request.
- f. You adjust the work on the project as necessary.
- g. The MGS Grants Administrator submits the sponsor's decision to UMB ORSP to update its records.

## **8.6 Post-Award: Change the Budget in a Significant Way**

After you begin the project, something might occur which significantly affects the budget (a change of 25% or more in any budget category).

Example: A subcontractor might not perform as anticipated and you need to replace that subcontractor. The new subcontractor is 38% more expensive than the original subcontractor.

Most sponsors require that if any budget category changes by 25% or more, you as PI must request approval from the sponsor **before the change occurs**.

To request approval:

- a. Discuss this change with the MGS Grants Administrator and provide:
  - i. The budget category which will be affected
  - ii. Details of the change (why)
  - iii. How you want to adjust the budget
  - iv. Work with the MGS Grants Administrator to revise the budget.
- b. The MGS Grants Administrator will draft a request for you to submit to the sponsor.
- c. You submit the request to the sponsor.
- d. The sponsor approves or rejects the request.
- e. You adjust the work on the project as necessary.
- f. The MGS Grants Administrator submits the sponsor's decision to UMB ORSP to update its records.

## 8.7 Post-Award: Request a No-Cost Extension

After you begin the project, something might occur which significantly delays the progress of the project and towards the end of the award period you decide that you need additional time to complete the project (but don't need any additional funds).

**Example:** You originally proposed to conduct in-person interviews with people all over Massachusetts, collect data, analyze that data, and produce a report. However, towards the beginning of the project, Covid hit and Massachusetts went into lockdown. You couldn't conduct the interviews and as a result, you didn't have the data to analyze and couldn't produce a report. As such, you know that once the lockdown lifts, you'll be able to complete the interviews and continue with the project as planned. As such, you need to request an extension to the original end date of the award. Depending on the nature of the delay, you might request an additional 30 days to six months.

To request approval:

- a. Discuss this change with the MGS Grants Administrator at least 90 days before the end of the original end date and provide:
  - i. Why the project has been delayed
  - ii. How you plan to continue the project once the delay is resolved
  - iii. The proposed new end date
  - iv. A revised timeline for the project based on the new end date.
- b. The MGS Grants Administrator will draft a request for you to submit to the sponsor.
- c. You submit the request to the sponsor.
- d. The sponsor approves or rejects the request.
- e. You adjust the work on the project as necessary.
- f. The MGS Grants Administrator submits the sponsor's decision to UMB ORSP to update its records.

## 8.8 Post-Award: Hire a UMB Student

To hire a student:

- a. Complete the **MGS Student Hire Form** (<https://forms.umb.edu/mccormack>)
- b. Submit the completed form to the MGS Grants Administrator
- c. The MGS Grants Administrator will review the form for compliance with UMB hiring policies and to ensure the project period and dollar amount of request are appropriate with the award's terms and conditions.
- d. The MGS Grants Administrator will submit the form to OGS for processing.
- e. The MGS Grants Administrator will inform you when OGS has hired the student.
- f. The student can begin working on the project.
- g. The student submits completed time sheets to the MGS Payroll Coordinator every week by the MGS internal deadline. (Due every Thursday by noon to your timekeeper)

Please note:

- You must submit the completed form at least ten business days before the student begins work.
- The student absolutely cannot, under any circumstance, begin work before OGS has hired

the student.

## 8.9 Post-Award: Request a Pre-Award Account (aka Advance Account)

On occasion, there is a delay in UMB setting up an account for an award. In this case, you still need to begin the project in a timely manner and need access to funds to allow you to hire project personnel, pay study subjects, and pay for travel.

In such a situation, you can request that ORSP set up a pre-award account (aka “Advance Account”). With a pre-award account, your department or center will guarantee any funds spent if the award isn’t made.

Example #1: The anticipated award will be for \$200,000. You request \$30,000 to fund the project for the first 90 days of the project while negotiations take place. Your department chair or center director approves the request under the assumption that the sponsor and UMB will successfully negotiate the terms and conditions of the award so that the sponsor will make an award to UMB. UMB ORSP also approves the request and issues an account. You begin work on the project as of September 1.

The sponsor and UMB successfully negotiate the terms and conditions and the sponsor makes an award to UMB.

UMB adds the difference of funds (\$170,000) to the pre-award account and the department or center is no longer responsible for any project-related expenses.

Example #2: The anticipated award will be for \$200,000. You request \$30,000 to fund the project for the first 90 days of the project while negotiations take place. Your department chair or center director approves the request under the assumption that the sponsor and UMB will successfully negotiate the terms and conditions of the award so that the sponsor will make an award to UMB. UMB ORSP also approves the request and issues an account. You begin work on the project as of September 1.

The sponsor and UMB unsuccessfully negotiates the terms and conditions and the sponsor does not make an award to UMB.

During the first 90 days of the project, you spent \$25,000 of the allocated \$30,000.

UMB ORSP will transfer all the expenses made to the pre-award account to the department’s or center’s “guarantee” account.

To request approval:

- a. Discuss your intention to request a pre-award account with the MGS Grants Administrator
- b. With the MGS Grants Administrator, draft a budget for the first three months of the project. The budget should be limited to those costs that are essential to initiate the project and that meet the same criteria as costs incurred after the award arrives. The budget will

be set equal to the amount requested by the PI or 25% of the total expected award amount, whichever is less, with line items accordingly prorated.

- c. Complete the [Request for Advance Account form](#).
- d. Attach written evidence from the sponsor that an award is imminent and that advance spending is permitted
- e. Electronically send the completed form to the MGS Grants Administrator.
- f. The MGS Grants Administrator will review the request package and obtain the necessary MGS authorizations before submitting the request package to ORSP.
- g. ORSP will review the request package and, if appropriate, create an account.
- h. ORSP will provide the account number to the PI and the MGS Grants Administrator.
- i. The PI can start the project and begin any project-related spending.

Please note:

- Your department chair or center director must guarantee the funds allocated to the pre-award account. In other words, if the account is set up with enough funds to support the project for three months, but the award is never made, your department or center will be charged for any funds you spent.
- The dean or unit head assumes the financial risk for payment of expenditures if for any reason the expected award is not established.
- The PI provides assurance that the sponsor intends to authorize the work, that any advance project charges will be allowable and recoverable from the sponsor, and that the award effective date has been established.
- The PI and his or her department will monitor account activity, and expenditures must conform to the budget and the terms and conditions of the anticipated award.
- Costs can only be incurred on the advance account as of the sponsor approved start date of the award.
- The advance account is good for 90 days and will be closed if the award documents are not received from the sponsor or the university decides to not accept the award.
- When the award is made to UMB, ORSP will add the award's funds to the pre-award account and change the account's status from "pre-award" to "active."
- If an award is not made, ORSP will transfer all of the expenses charged to the pre-award account to the department's or center's "guarantee" account.

The MGS Grants Administrator can assist PIs in developing a budget and completing the form.