

U.S. FEDERAL FUNDING - Initial Meeting – Researcher and Research Services

Date:

Researcher(s):

RS Contact:

Faculty Contact:

DISCUSSION POINTS

- **Funding Sponsor:** Provide url link to researchoffice@uwo.ca once known. Researcher can contact Sponsor Program Officer (listed on *Funding Opportunity Announcement*) to discuss fit of research with Sponsor mandate.
- **Researcher:** Previous experience with U.S. applications: which Sponsors? As Prime or Subrecipient?
- **eRA Commons registration:** Existing (will need affiliation to UWO), or need account created?
- **US Financial Conflict of Interest:** Western policy description:
http://www.uwo.ca/research/docs/resources/Western_%20US%20FCOI_Policy_Final.pdf
- **Grants.gov** – For NIH, submission can be Adobe Acrobat SF424 (downloadable forms), or through ASSIST (online system)
NOTE: Submission completed only through Research Development & Services (RD&S) by Western's legal signatory. Plan to have **final** application completed (submitted to RD&S at researchoffice@uwo.ca) 5 business days before deadline, with prior review of **draft** completed by RD&S at least two weeks before deadline.
Submission MUST be completed at least 2 business dates before deadline to allow time to correct errors. If errors are not corrected and application resubmitted by RD&S on or before Sponsor deadline, the application will not be accepted by the Sponsor.
Researcher must be available to RD&S at grant submission time to enable correction of any errors of application.
SF424 General Guidelines: <http://grants.nih.gov/grants/how-to-apply-application-guide.htm>
Always use FORMS-D (effective as of May 25, 2016). These guidelines provide detailed, step-by-step guidance on filling out the required forms.
- **Funding Opportunity Announcement (FOA):** Read the FOA fully to understand all terms and requirements of the funding program. Any specifics in the FOA will overrule the general requirements of the SF424 provisions.
Check that your institution is eligible for the funding program. Western is registered with the U.S. systems, including SAM, grants.gov, eRA Commons, NASA, Fastlane, and CDMRP (U.S. Army)
Western registration numbers in US Systems: These can be obtained from Research Services at researchoffice@uwo.ca
- **Prime and Subrecipient Institutions:** U.S. Sponsors deal directly with the Prime (lead) Institution. The Prime Institution is fully responsible to ensure that any and all Subrecipient Institutions fully comply with all regulations of the award. This requires much due diligence well before a grant application submission.
Western as Prime: A Foreign Justification statement will be required.
As Prime Institution, Western must complete a risk assessment on the Subrecipient institution. To expedite this process, it is essential, RD&S is provided with the Research Services contact information for any Subrecipient Institution. This can be sent to RD&S at researchoffice@uwo.ca.

Western as Subrecipient: Each Prime Institution will have their own policies and procedures to complete their risk assessment on Western. To expedite the timing, provide the following detail to the Subrecipient's Research Services office, and with a cc to this contact: Theresa Russelo, Director Research Services: Email: researchoffice@uwo.ca
Both Western RD&S and the Subrecipient Research Office will need the minimum of: Statement of Work, Biosketches, Budget detail (on the *R&R Related Budget* template for NIH).
Western will be required to provide a Letter of Intent, with legal signature, to the Prime Institution at least 5 business days before the submission deadline.

— **Grants Policy Statement (GPS):** <https://grants.nih.gov/policy/nihgps/index.htm>

All individuals managing U.S. federal grant funds must be familiar with the terms and requirements of the GPS.

Allowable Costs: There are very strict rules for eligible costs on a project
https://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch7.htm

— **Facilities & Administrative Costs (F&A):**

NIH: provides 8% indirect costs to foreign institutions

Note: if you have a U.S. Subrecipient, their negotiated F&A rate is included in the Subrecipient budget. Both their direct and indirect costs are then added to Western's budget as a direct cost, and the 8% indirect costs is applied to the Western's direct costs and the Subrecipient's full costs (ie. the total project budget).

Negotiated F&A Rate: Western has a negotiated F&A rate with Department of Health and Human Services (DHHS) (42.4%). RD&S will provide the agreement when this rate applies.

— **Time Considerations:** There will be substantial time investment to complete a U.S. grant application. The *Biosketch* will also take substantial time, if creating your first one.

— **Clinical Trials:** The "responsible party" must register "applicable clinical trials" on the ClinicalTrials.gov Protocol Registration System Information Website: http://grants.nih.gov/ClinicalTrials_fdaaa/

— **Publication Requirements:** Open Access: <http://publicaccess.nih.gov/>

— **IP Requirements:** Bayh Dole Act: <https://grants.nih.gov/grants/bayh-dole.htm>

— **Reporting Requirements:** <https://report.nih.gov/research.aspx>

— **Notice of Award (NOA):** Read very carefully. If restrictions, a new NOA will be sent when restrictions are met. NOA is sent annually for each funding year.

— **Western Support Contacts:** Your Faculty Research Office for detailed assistance with applications.

RD&S at researchoffice@uwo.ca for grant submissions, compliance and regulations, research administration and direct communication with Funding Agency as Institution representative

— Submission Guidebook for Western Applicants:

<http://www.uwo.ca/research/funding/international/US%20Federal%20Funding.html>

— **ROLA proposals** are required for all application submissions – provincial, national, international.

WESTERN INFORMATION

DUNS: 208469452

CAGE: L1962

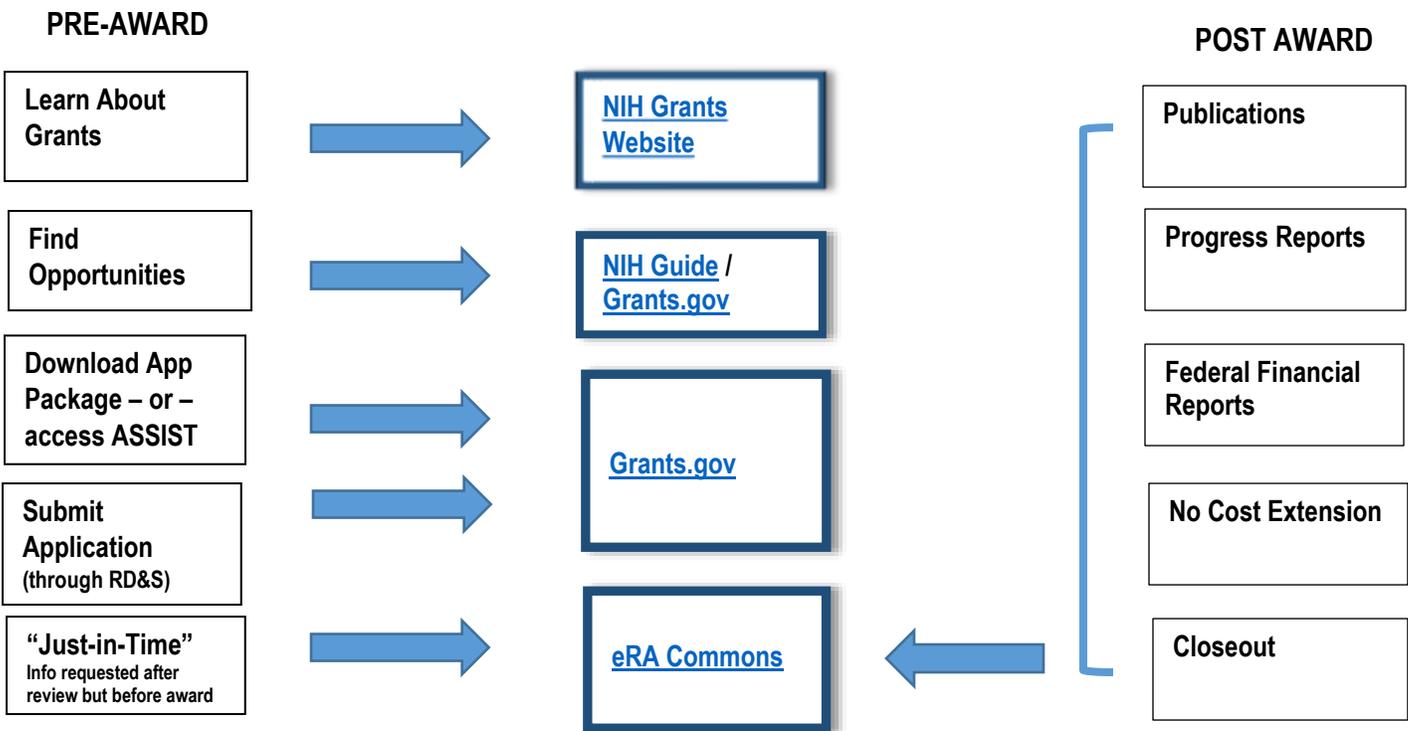
EIN: 98-6001623

U.S. Federal Funding: Key Systems



N.B. Check FOA for submission requirements at LOI/Pre-Application stage, if applicable.

Electronic Interaction Points (NIH)



Grant Application and Review Process (NIH)

