TDX vs VERAS Guidelines

TDX	VERAS
- Agreement or Amendment Processing - Budget Transfer - Fee for Services Form - Financial Report (FFR/SF-425)-Off-cycle Request - Gift vs Grant Determination - Initiate Early Closeout of a Grant Code - New Index Under an Existing Grant Code - Non-funded agreement (MOU/Master) - PI or Co-PI Leaving, Retiring, Transfer Request - Process a Just-In-Time (JIT) or Agency Portal Submission - Progress/Technical Report Review and Approval - Proposal – Request a Letter of Institutional Commitment - Request assistance from OSP - Request Current and Pending (Other) Support Data - Request Training from OSP - Request VERAS/Banner role or delegation changes - Status Inquiry to OSP - Subaward or Subaward Amendment Request - Subrecipient Budget Transfer - Submit Current and Pending (Other) Support Data - Submit Revised Budget – Pre-award ONLY - Tiered Proposal Support – Deadline Waiver Request - Waiver Request (APM 45.22, Cost Share, F&A)	- Award Acceptance Notice Form - Early setup - Proposal Forms - Sponsor Prior Approvals

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TDX Submission Types:

Contract Review Unit

Ticket types include outgoing subawards and non-funded agreements.

- **Non-funded agreement (MOU/Master)**
  - To initiate processing of a Memorandum of Understanding (MOU) or Master agreement, complete this service request form and attach the relevant documents to initiate review by OSP Contracts.
  - MOUs and Master agreements are not typically related to a single sponsored project and are non-funded.
  - Note that non-disclosure agreements and material transfer agreements are typically handled by the Office of Technology Transfer and they use TDNext for their service requests.
    - If you need to submit a non-disclosure agreement request, submit a ticket to OTT here: Service - Request Assistance
  - **This service should NOT be used to initiate processing of a grant, sub-agreement, cooperative agreement, contract, etc - use the 'Agreement or Amendment processing' service for these.**

- **Subaward or Subaward Amendment Request**
  - This service request will initiate a new subaward or a modification to an existing award.
  - If a subaward entails multi-year periods, then a modification request is needed for each year, even if there is no change to the initial budget and scope of work.
  - A subaward sends money to another institution in consideration of their collaboration on a research project.
  - All subawards require an agreement to be in place between the two institutions.
  - Only the Office of Sponsored Programs may negotiate and sign a subaward agreement on behalf of the University of Idaho.
  - For the Contract Review Unit (CRU) to complete the agreement with the subrecipient institution, the relevant contract information is needed.
  - This form will require you to submit the following:
    - Scope of Work for the subrecipient
    - Budget for the subrecipient
    - Any special terms and conditions, data management plan, or attachments
    - Contact information for the subrecipient.
  - If this information has been uploaded to VERAS then CRU can access the information there, but you must ensure that the documents are current.

- **Fee-for-Services Form**
  - This service is to be used for projects that are funded for trials or other non-research and non-analytical work that do not fit as a sponsored project type of research, outreach, public service, instruction, and other sponsored activity.

  - The ticket requires certain criteria to be met to be processed as a fee-for-services ticket – you will be prompted to complete those criteria when you enter the ticket details.

- o   If you already have an existing and approved Service Center and have an agreement for a service type under your service center, use this ticket type to initiate review of a new agreement or amendment.

OSP Administrative and Technical

Ticket types include Gift Vs Grant, request current and pending support data, and request training from OSP.

- **Gift vs Grant Determination**
  - o   This process initiates the review of a funding opportunity to allow OSP and the Foundation to determine whether the opportunity is more appropriately processed as a gift or a sponsored project (grant).
  - o   **Please attach the request for proposal, proposal submission guidelines, tentative budget, and a sample award document (from the sponsor) if you have them.**
  - o   This request should be submitted far enough in advance to allow for appropriate review and response, so that if the opportunity is determined to be a sponsored project you can meet the requirement for timely submission of materials in VERAS.
  - o   By submitting this service request the submitter certifies that the information provided herein is accurate and complete to the best of their knowledge.
- **Request Current and Pending (Other) Support Data**
  - o   This service request should be used to request that OSP provide you with data to help complete a current and pending support form.
  - o   There are two reports that OSP can provide for sponsored project data that is required for a current and pending support form.
  - o   A departmental grant administrator (DGA) or PI with Banner navigation training can also access the current support report in Argos.
  - o   Pending support reports are only accessible through OSP via this ticket type request.
  - o   Note that OSP does not have access to provide data on faculty affiliations, memberships, gifts, or non-sponsored activities and funding - that data needs to be gathered from the office with oversight of those areas.
- **Request Training from OSP**
  - o   Request this service to have an OSP member contact you to schedule a one-on-one or group training.
  - o   Please include information on the training topical area and any specific trainer that you would like to meet with in OSP.
  - o   We will try our best to accommodate your request and schedule.
- **Request VERAS/Banner role or delegation changes**
  - o   This request is to update OSP Proposal and Award Contact List and current user's VERAS account by modifying roles (e.g., DGA, Chair/Dean, Labor Redistribution) and access permissions, including college and department associations.
    - ▪   The personnel MUST have an active VERAS account to process this request.

OSP Cost Accounting and Financial

Ticket types include budget transfer requests, financial report (off-cycle) requests, and initiate early closeout of a grant code.

- **Budget Transfer**

- o This service request is to be used to request that OSP-Cost Accounting complete a journal to move funds between indexes within the same grant code OR between budget lines in the same index where an indirect cost allocation is affected.
- o **This service request is NOT to be used for:**
    - Moving funds between grant codes (this is not allowable)
    - Rebudgeting that requires sponsor prior approval.
    - Establishing new indexes.
    - Closing a grant code (zeroing out an index is fine).
- o **If you need the latter three items above, do not submit this service request.**
    - Prior approvals are initiated in VERAS, and establishing new indexes or initiating early close out are both separate ticket types.
- **Subrecipient Budget Transfer**
    - o This service request is for initiating a subrecipient rebudget. It should be used ONLY AFTER CONFIRMING that the subrecipient rebudgeting request does not require sponsor pre-approval.
    - o **This service request is NOT to be used for:**
        - Moving funds between grant codes (this is not allowable)
        - Rebudgeting that requires sponsor prior approval
        - Changes in scope of work
    - o **If you require any of the above actions, do not submit this service request.**
        - Initiate Prior approvals in VERAS.
- **Financial Report (FFR/SF-425)-Off-cycle Request**
    - o This service request is to be used to request that OSP-Financial Unit to provide the requestor with an off-cycle financial report (also called an FFR or SF-425).
    - o **This service request is generally to be used for:**
        - Providing an FFR to a sponsor for a budget update, no cost time extension request, continuation request, or carryforward request.
        - **This service request should not be used to replace a VERAS prior approval - if you need an FFR to include with a prior approval, you can request the FFR via this ticket and submit the prior approval to post award team via VERAS.**
- **Initiate Early Closeout of a Grant Code**
    - o This service request is to be used to request that OSP-Financial unit work with the Department and Principal Investigator (PI) to process a project closeout in advance of the project termination date and scheduled closeout period.
    - o Work and deliverables should be completed at the time this request is initiated, and all final deliverables should have been made or scheduled to made shortly.
    - o Use the description field to enter any questions or concerns to help us respond quickly to your needs in closing out the project.

OSP Post Award

Ticket types include agreement and amendment processing, new index under an existing grant code, PI/Co-PI leaving process, progress and technical report review and approval, and submit a current and pending support update.

- **Agreement or Amendment Processing**
    - o If you received an award or amendment directly from the sponsor and are unsure whether they copied the notice to either postaward@uidaho.edu or osp@uidaho.edu,

> please complete this form and attach the agreement, amendment, or addendum to initiate Post Award team's receipt and processing.
> - o **This ticket type is NOT for out-going subawards** - use the 'subaward or subaward amendment' ticket type for out-going subaward requests.
> - o **Note that to request an early setup or prior approval (no cost extensions, rebudgeting, change of PI, etc. from the sponsor) the process must be initiated in <u>VERAS</u> using an "[Early Setup](#)" or "[Sponsor Prior Approval Request](#)" submission form.**

- **New index under an existing grant code**
  - o This service request will allow you to request setup of a new index or indexes under an existing sponsored project grant code or companion grant code (cost share or program income).
  - o Please provide a budget breakdown for each new index that also indicates what index(es) and category/ies the funds for these new indexes should come from to net zero (e.g. rebudget from one index to another).
  - o Please also provide a suggested index title and complete the 'department/ORGN' field to reflect the unit that you want this additional index setup under.
  - o Use the comments field to add specific details per index.
  - o This service **should not be used for an [early setup](#) request** - if you need an early setup please visit VERAS to submit the early setup request form in VERAS directly.

- **PI or Co-PI Leaving, Retiring, Transfer Request**
  - o This internal form is required to initiate the processes necessary for compliance when a sponsored project PI, Co-PI (or senior key person) is planning to resign, change positions, retire, or transfer projects from the University of Idaho to a new entity.
  - o The form asks for detail on each sponsored project that will be effected by the changes and is to be used to gather approvals from the Chair and Dean, as well as other necessary approvers.
  - o Note that this form does not take the place of any required sponsor prior approval request(s) which are project specific and should be inputted into <u>VERAS</u> as part of the PI Leaving process.

- **Progress/Technical Report Review and Approval**
  - o Complete this service request form and attach the technical report and any supporting/required documents to initiate Post Award team review, approval by the AOR, and submission as applicable.
  - o **Note that DHHS/NIH RPPR review, and approval requests should be included in this ticket/service type, but you do not need to upload the materials (just the routing notice) - we can access the materials in eRACommons as long as they were routed to an OSP approver/SRO.**
  - o **You should allow at least five full business days for OSP review, response, and approvals.**
  - o Select the due date and priority based on the agency deadline for submission.

- **Submit Current and Pending (Other) Support Data**
  - o This service request should be used to provide Current and Pending Support (other support) data and details to OSP to meet an agency request or compliance requirement.
  - o Policy details on reporting for Current and Pending support can be found here: <u>Sponsored Project Compliance: Policy and Procedural Guidance (uidaho.edu)</u> in

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the agency specific sections and 'Other Support' section pf Instructional Resources (uidaho.edu).
- o Notes:
  - Just-in-time and progress report submissions that require Current and Pending Support updates are coordinated through the Just-in-time or Progress/Technical Report ticket types.
  - If you are submitting a proposal (draft proposal) you do not need to complete a service request to submit the current and pending support form for your proposal in VERAS.

OSP Pre-award

Ticket types include submission of Just-in-Time information or Agency Portal Submission, requesting a letter of institutional commitment for a proposal, submit a revised proposal budget, and waiver requests for Cost Share, F&A, and APM 45.22 (PI/Co-PI status/eligibility).

- **Process a Just-In-Time (JIT) or Agency Portal Submission**
  - o Just-in-time is a term used by sponsoring agencies to indicate that they need more information on a submitted proposal.
  - o This is usually at the intent to award stage, but could be a request for clarification or supplementary information to help the sponsor evaluate the proposal further, or a request for a second (or subsequent) submission of materials that were previously approved via VERAS through an agency portal.
  - o The request often includes updated current and pending (other support), biosketches, and protocol information when applicable.
  - o If you received a request from a sponsoring agency to provide **clarification** on a submitted proposal and to submit documents in response to that request, this ticket is the proper way to communicate and coordinate with OSP.
  - o **Note: Some proposal revisions or proposal section revisions** (such as a revised budget, revised scope of work, etc.) **might require a VERAS proposal revision.**
    - **Reach out to Pre-award team with questions please.**
- **Proposal – Request a Letter of Institutional Commitment**
  - o OSP will also assist to facilitate review and completion of any required university upper administration Letters of Commitment (and similar such documents) per the process below.
    - Note: Proposal teams working with the Research and Faculty Development group will also follow the process below.
  - o The above documents are distinguished from the standard letters of commitment, letters of support, letters of intent provided to lead institutions where UI is subaward and to sponsors that request one.
  - o For purposes of the process below, we are discussing any letter of commitment required by the sponsor that signals **institutional commitment** to the program.
  - o Sponsors, particularly Federal sponsors, may require a Letter of Commitment (or similar title) as part of the required proposal submission in the Request for Proposal (RFP) guidelines.

- **For best results, the content of that letter should be prepared by a member of the proposal team as the required signatories will ordinarily not have the time or specific technical knowledge to do justice to the letter and the proposal.**
  - OSP will review the letter for compliance with the proposal guidelines as well as check for voluntary cost share or other problematic commitments. They will also coordinate the review and signature process with the appropriate offices.
  - **Note that the Provost and President's offices request at least 14 business days for review of a requested letter; please plan for this timeframe.**
    1. Proposal team prepares text of the letter and submits a ticket (this service request) via # 2 below.
    2. Provide text of letter to OSP Pre-award Sponsored Programs Administrator (SPA) via **VERAS AT LEAST 16 business days in advance of the submission deadline (or planned submission date)**, as well as a link to the solicitation/request for proposal (if not already in VERAS Section 4)
    3. SPA will review the text and may request revisions.
    4. SPA will coordinate with AOR for final edits prior to 5 below
    5. AOR will provide the approved draft letter to to the correct contact at the the Provost or President's office **AT LEAST TWO FULL WEEKS PRIOR TO THE DEADLINE.**
       a. The request will include a copy of this process with the deadline in RED and steps remaining highlighted for convenience.
    6. The contact will request signature and return the signed letter to AOR who will provide a copy of the letter to the SPA and/proposal team via VERAS.
- **Submit Revised Budget – Pre-award ONLY**
  - Utilize this service request to initiate pre-award sponsored programs administrator (SPA) review of a revised budget for an existing (and approved) VERAS proposal.
  - This service **should not** be used to submit a revised budget for an awarded project - that should be done via a prior approval or budget transfer. Prior approvals are initiated in VERAS.
- **Tiered Proposal Support – Deadline Waiver Request**
  - Complete this form and attach any supporting documents for OSP to respond with a determination on waiver requests for extension of or exception to submission timelines for the tiered proposal support deadlines. Details on the tiers of support or deadlines associated can be found on the website [Tiered Proposal Support](#).
- **Waiver Request (APM 45.22, Cost Share, F&A)**
  - Complete this form and attach the required supporting documents for OSP to respond with a determination on waiver requests for reduced F&A (indirect costs), cost share over the required amount, or to request approval for a PI/co-PI status per the requirements of APM 45.22.

Other Services

Ticket types include request assistance, and status inquiry.

- **Request assistance from OSP**
  - Note that to request an early setup or prior approval (no cost extensions, rebudgeting, change of PI, etc. from the sponsor) the process must be initiated in VERAS using an "Early Setup" or "Sponsor Prior Approval Request" submission form.

- o You should select this service ONLY if your service request does not fit any other category of service. Complete all required fields so that we can assist appropriately.
  - o This service allows you to submit a generic ticket to OSP for assistance. Please select the OSP unit that you are requesting assistance from.
  - o See https://www.uidaho.edu/research/faculty/dga if you need information on the responsibilities of each OSP unit.
- **Status Inquiry to OSP**
  - o This service allows you to request a status update on an in-process item that is assigned to an OSP team member.
  - o You can check the status of any item that OSP Post Award has received directly in VERAS - a list of the statuses and their definitions is contained in the Help menu of VERAS.
  - o If you want to proceed with submitting a ticket here to inquire, please 'request service' and complete all required fields and an OSP member will be assigned to the ticket to provide a status update.
  - o Note that we process items in date-received priority order, and it can take several weeks for us to start processing an item depending on staffing levels and volume.

VERAS Submission Types:

Proposals Forms and proposal revisions.

Sponsor Prior Approvals

- Requests - anything that needs to go to the sponsor for permission which includes:
  - o No Cost Extension (NCE)
  - o Rebudgeting in excess of what is automatically allowed by sponsor or rebudget out of participant support category.
  - o Change or removal of PI, Co-PI, or other senior key personnel.
  - o Change in or addition of new subrecipient not in original proposal.
  - o Carry-forward of program funds to next budget period (if carry-forward restricted by sponsor)
  - o Capital equipment purchase not included in original proposal.
  - o International Travel (where prior approval required by sponsor)
  - o Reduction of effort >25% of planned effort or disengagement from project for 3 months or more.
  - o Change in scope, methodology, or objectives.
  - o Project relinquishment

Early Setup Request Form

- Refer to **Administrative Procedures Manual 45.05** for specific guidelines on requesting early setup of a sponsored project.
- General guidelines:
  - o Written confirmation of intent to fund and anticipated start date should be provided; **agreements indicating the effective state date is "date of last signature" are ineligible for early setups. These are processed as a rush by OSP.**
  - o Initially set up for a 90-day period
  - o VPRED guarantee if direct federal funding and 25% or less of the expected year-one funding amount is being requested.
  - o College guarantee must be provided if other than the above; additionally, OSP will evaluate risk to make a final determination of whether early setup will be allowed.

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- o **Any required compliance protocols (IRB, IACUC, IBC, FCOI) must be approved prior to setup.**
- Budget breakdown must be provided if asking for other than proportional 25% of each proposed spending category or if multiple indexes are requested.
- Additional guidance for determining whether to request an early setup:
  - o Project has started and costs are being incurred (assuming start date has passed or 90-day preaward spending is allowed by sponsor) - Request early setup.
  - o Award has been received and advertising for positions is needed - Probably do not need to request early setup; use a different providing index for posting and switch to award index when payroll is being incurred.
  - o Please note that if an award from the sponsor has already been received an early setup request should not be made simply in order to receive priority processing of your award.

Award Acceptance Notice form routing signoff
- Post Award will start the Award Acceptance Notice submission and send it to the PI for review of the offered award and its associated terms and conditions.
- As PI of the proposal, you will receive an email with the subject line Proposal ready for signoff in VERAS, and the Submission form type will be "Award Acceptance Notice."
- In order to accept, accept with changes, or decline the award you will need answer any questions provided in the comment box, provide any additional requested documents, and complete the Project Submission Routing Signoff.
- Failure to complete the task promptly may result in the award being declined.