



UPPSALA
UNIVERSITET

DECISION

2010-10-26 Log No. UFV 2010/1765

P.O. Box 256
SE-751 05 Uppsala

Visiting Address:
S:t Olofsgatan 10 B

Officer in Charge:
Sofia Wretblad

Telephone:
+46 (0)18-471 7137

Sofia.Wretblad@uadm.uu.se

Telefax:
+46 (0)18-471 19 99

www.uu.se

Prepared by:
University Management's NIH Group

Procedural regulations for applications from Uppsala University to U.S. federal financiers, in particular the National Institutes of Health (NIH), and for managing funding granted

As of 2007 applications for research grants from the NIH must be submitted electronically via the federal application portal Grants.gov.¹ To support researchers in the application process and ensure that the laws and ordinances regulating federal research grants are followed, these procedural regulations are to be followed in applications from Uppsala University for research funding from the NIH and other U.S. federal financiers that use Grants.gov.²

1. *Instructions.* Information and instructions for Uppsala University applications for U.S. federal research funding, in particular NIH funding, are available at the Web site www.uu.se/forskningsfinansiering.
2. *Chair approval.* Researchers intending to apply for U.S. federal research funding via Grants.gov must inform the relevant department chair. Costs according to the SUHF³ accounting model for indirect costs are not eligible for coverage by grants under the regulations of the NIH and other federal financiers, which entails that before the application process starts the department chair must certify that the department is able to accept a grant. A form, Appendix 1, signed by the chair, is to be submitted to the research secretaries.
3. *Consultation.* The applicant must consult with the research secretaries and the Financial Administration Division in the application process. The obligation to consult with research secretaries/Financial Administration Division also applies in cases where the researcher is a co-applicant in an application with another principal. The research secretaries are to be contacted as soon as the researcher has identified a call for applications that he/she intends to respond to, though *no later*

¹ The Web portal Grants.gov (<http://www.grants.gov>) is the reception center for applications for research funding from U.S. federal research financiers.

² A continuously updated list of all financiers and authorities that use Grants.gov can be found on the Web site: <http://www.grants.gov/search/agency.do>.

³ The Association of Swedish Higher Education (*Sveriges universitets- och högskoleförbund* in Swedish).

than 20 workdays prior to the application deadline. Within two workdays the applicant will be contacted by a research secretary and an appointment for the consultation will be agreed upon. The department chair must be present at the consultation or be informed separately. A time plan will be established for completing the application. In this consultation the research secretary will provide information about relevant regulations, and a budget will be set up in consultation with a designated officer from the Financial Administration Division, see further point 5.

4. *Assurance (for the NIH in particular).* Under NIH regulations, the principal applicant must sign a Principal Investigator Assurance (PIA), Appendix 2. The research secretaries are to ensure that a PIA for each application is drawn up, logged,⁴ and centrally archived and that it is signed by the principal applicant and updated if necessary. Corresponding assurances to other U.S. federal financiers are to be dealt with in the same manner.
5. *Review and submission of application.* Applications via Grants.gov may only be submitted by an Authorized Organization Representative (AOR). The AOR for Uppsala University regarding electronic applications to U.S. federal financiers is the university director and, by delegation, a research secretary.⁵ The AOR is responsible for ensuring that applications submitted comply with applicable federal laws and ordinances. Electronic validation by Grants.gov and the recipient authority may take several days. Any errors in the application must be remedied, and a corrected version of the application must be submitted before the application deadline. A complete application must therefore be submitted to the research secretaries *no later than eight workdays* prior to the application deadline. However, the consultation with the research secretaries and Financial Administration Division must have taken place earlier (see point 2).
6. *Costs for compliance with regulations.* The NIH grants non-U.S. organizations an increment of 8 % of direct project costs to cover costs that arise when the university is to fulfill its obligations to the NIH. Such costs must be directly related to activities and measures carried out solely to comply with NIH regulations. Costs for measures undertaken to comply with regulations must be charged to a pan-university project.

⁴ PIAs are logged at UFV 2009/387

⁵ Decision UFV 2007/1098.

7. *Management of granted funding.*

Funding granted for measures to comply with regulations is to be placed in a pan-university project. Funding granted for direct costs is to be paid to the relevant department.

8. *Reporting.* Financial and scientific reporting to the NIH is normally required annually. The Principal Investigator of the project is responsible for scientific reporting. Financial reporting, a Financial Status Report (FSR), must be approved and submitted by the officer at the Financial Administration Division authorized to submit FSRs in eRA Commons.⁶ *No later than 20 workdays prior to the end of the reporting period* the department administrator in charge must contact the Financial Administration Division for a review of the financial report for the period. Financial reports must account for both direct costs and costs for measures to comply with regulations.

These procedural regulations supersede the previous decision of 2008-03-18.

The decision in this matter was made by the undersigned Vice Chancellor in the presence of University Director Ann Fust, following presentation by Research Secretary Sofia Wretblad. Also in attendance were Deputy Vice Chancellor Professor Kerstin Sahlin, Deputy University Director Jan Ivar Mattsson, and Uppsala Student Union President Gabriel Ledung.



Anders Hallberg



Sofia Wretblad

Copies to:
Disciplinary Domain Boards
Board of the Faculty of Educational Sciences
Financial Administration Division
Legal Affairs Division
Department Chairs

⁶ The NIH's electronic system for grant management.