# TUFTS Internal Coordination Form Guidelines

## PART I: PROJECT IDENTIFICATION

### Originating Sponsor

The original funding source/agency (first level)

### Prime Sponsor

When Tufts is subrecipient of funding from another institution (second level)

- For example: NIH awards XYZ University, XYZ University then subcontracts to Tufts. XYZ University is considered the Prime Sponsor.

### Effort %

Kuali Coeus requires effort to be inputted as a percentage (not person months). **Regular Tufts faculty members should not draw more than 95% salary from federal sources during any given month.** Why? If a faculty member were 100% supported by a federal grant in a given month, it would not be permissible to submit a grant proposal, to attend a faculty meeting, to discuss the teaching of a future course with a colleague, or otherwise do anything related to the faculty member's regular employment other than pure research during that month.

### Anticipated Award Type

Grants, Contracts, Cooperative Agreements, etc. are different mechanisms of funding support. It is important to identify what mechanism would be used should an award be issued because each provides a different contractual relationship between sponsor and awardee. It is usually disclosed in the sponsor guidelines. If this is unknown, please select Grant.

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant</td>
<td>A financial assistance mechanism providing money to the University to carry out an approved project or activity normally for the public good. This funding mechanism is used when there is no substantial programmatic involvement during performance.</td>
</tr>
<tr>
<td>Contract</td>
<td>A mechanism for the procurement of goods and services with a mutually binding legal relationship obligating both buyer (sponsor) and seller (recipient).</td>
</tr>
<tr>
<td>Cooperative Agreement</td>
<td>A support mechanism used when there will be substantial scientific or programmatic involvement by the Sponsor.</td>
</tr>
</tbody>
</table>
| Research Service Agreement | A RSA is for work that could be considered work for hire vs research and may be subject to the Internal Revenue Service regulations concerning Unrelated Business Income Tax or Private Business Use. Attributes of a RSA are:  
- Project does not involve basic research and it is unlikely that faculty and/or staff will make a significant intellectual contribution that could lead to an invention or discovery  
- Faculty and/or staff are simply providing a service based on their expertise, e.g., testing, evaluation, interpretation, fabrication, use of specialized equipment  
- Peer-reviewed publication unlikely  
- Presentation at scientific meeting unlikely |
| Subcontract        | An award issued under a Prime Agreement, where the subrecipient conducts a portion of the research under a larger project. |
| Non-Monetary Agreement | Contractual mechanisms that are not subject to the statutes and regulations specifically applicable to procurement or grant programs. Examples include Material Transfer Agreements, Non-Disclosure Agreements, and Teaming Agreements. |
**Proposal Type**
Used to designate the type of proposal

<table>
<thead>
<tr>
<th>New</th>
<th>New Proposals (including Master Agreements)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renewal</td>
<td>Used for competitive renewals</td>
</tr>
<tr>
<td>Resubmission</td>
<td>Used when resubmitting a new proposal</td>
</tr>
<tr>
<td>Resubmission of Renewal</td>
<td>Used when resubmitting a competitive renewal</td>
</tr>
<tr>
<td>Supplement</td>
<td>Used when requesting additional funding; and/or additional scope</td>
</tr>
<tr>
<td>Task Order</td>
<td>Used for a specific task order in a Master Agreement</td>
</tr>
<tr>
<td>Transfer-In</td>
<td>Used for awards that have been transferred into Tufts</td>
</tr>
</tbody>
</table>

**Activity Type**
Used to define the purpose of the award

| Research        | Research and scholarship activities include the rigorous inquiry, experiment or investigation to increase the scholarly understanding of the involved discipline. Research activities are properly classified as Sponsored Research if the research activity is sponsored (funded) by an external organization, i.e. a federal, state, or private organization or agency. |
| Training        | Sponsored award that funds the research training of undergraduates, graduates or postdoctoral scholars. |
| Education       | Teaching activities which support curriculum development as well as teaching/training activities (other than research training). Education includes: Curriculum development projects; General support for the writing of textbooks or reference books, video, or software to be used as instructional materials. |
| Fellowship      | Fellowships are awards of financial support to individual named students or postdoctoral scholars, or to Tufts on behalf of individual named students or postdoctoral scholars. |
| Service         | Service contracts are those external funded agreements where the work performed cannot be considered research. Tufts is providing a service or deliverable. |
| Conference      | Sponsored funding for hosting a scientific conference. |
| Clinical Trial  | A clinical trial is a research study designed to test the safety and/or effectiveness of drugs, devices, treatments, or preventive measures in humans. |
| Other           | Other sponsored activities include programs involving work other than Instruction and Organized Research. Most projects in this category do not directly involve students. Examples of Other Sponsored Activities include: travel grants; support for projects pertaining to library collections, acquisitions, bibliographies, or cataloging; etc. |

**Program Announcement Ref #**
A Program Announcement identifies areas of increased priority and/or emphasis on particular funding mechanisms for a specific area of science. If the project is solicited, enter the corresponding announcement # or program name here (not all programs have a specified announcement #). This field will inform ORA and SPA if the project is solicited vs. unsolicited.

**Sponsor ID #**
In cases where the sponsor award # is already known (for example supplements), enter the related award # *sometimes there is no number to reference, in this case leave blank

**Work Site**
On-Campus / Off-Campus: The University has separate F&A rates for on campus research and off campus research. This field is used by SPA & ORA to track applicable F&A rates on projects.
• If research is being done both on and off campus, determine where the majority of the budget is being spent, then choose the appropriate campus.

**Building Name and Room**
Each year the Finance Division, Cost and Capital Analysis Department, conduct a University wide Space Survey. This means they categorize each space on campus as a classroom, laboratory, office, etc... This information is then used as a tool in our annual F&A cost rate negotiations with the Federal Government.

F&A costs are those real costs incurred in the conduct of the research which cannot be specifically identified with any particular project. These F&A costs include depreciation on buildings and equipment, physical plant operations and maintenance, administration and general expenses, departmental administration, sponsored projects administration, library, and student administration and services.

**Character of Work**
Each year, Sponsored Programs Accounting must submit a Higher Education Research and Development Survey. Defining the character of work for each project is one component of this survey.

<table>
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<tr>
<td><strong>Applied Research</strong></td>
<td>The objective of applied research is to gain knowledge or understanding to meet a specific, recognized need. In industry, applied research includes investigations to discover new scientific knowledge that has specific commercial objectives with respect to products, processes, or services.</td>
</tr>
<tr>
<td><strong>Basic Research</strong></td>
<td>Basic Research is defined as any original investigation for the advancement of scientific knowledge not having a specific commercial objective, the results of which are freely available to the general public. The objective of basic research is to gain more comprehensive knowledge or understanding of the subject under study without specific applications in mind. Although basic research may not have specific applications as its goal, it can be directed to fields of current or potential interest. This focus is often the case when performed by industry or mission-driven federal agencies.</td>
</tr>
<tr>
<td><strong>Development</strong></td>
<td>Development is the systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.</td>
</tr>
</tbody>
</table>

**Research Category**
These categories are important for compiling data related to required federal annual reports. It also allows Tufts to internally recognize popular research areas. Select a defined area closest to the proposed research.

**Keywords**
Using keywords will drive reporting needs for specific classifications of awards. Keywords will also collectively serve as a tool to identify funding opportunity matches to a specific investigator.

**PART II: BUDGET**

**Cost Sharing**
Cost sharing is the portion of the total project costs of a sponsored agreement that represents an official contribution from the university and/or other non-federal sources but not reimbursed by the sponsor. The University must ensure that cost sharing requirements of sponsored agreements are proposed, approved, accounted for, and reported in a manner consistent with the requirements of the sponsor and the University. Cost sharing can be of the following types: **Mandatory, Voluntary committed, Voluntary uncommitted, Matching** and **in-kind**. Mandatory, voluntary committed, matching and in-kind must be identified, administered and accounted for consistently throughout the University. Only voluntary uncommitted cost sharing does not need to be identified, administered and accounted for. The University prefers not to cost share and as such, cost sharing requires the approval of the Dean or Vice Provost for Research or their designates.
PART III: SPECIAL CONSIDERATIONS

Human Subjects
All projects which identify research methods which involve human subjects require IRB review. The IRB (Institutional Review Board) is a panel of Tufts faculty and staff, as well as at least one individual community member; that reviews all human subject research protocols to determine if they are assuring adequate protection of human participants. Research plans that propose the use of living human subjects, tissues or materials from living humans, or data on humans must be reviewed and approved or granted an exemption by the IRB before the research begins. This includes all research at Tufts University regardless of funding source, whether conducted by members of the faculty, students, fellows, administrators or others, across all departments and campuses.

- At the Proposal stage, IRB approval is not required. **If human subjects are mentioned in the proposal narrative, please check the YES box.**
- If the IRB protocol has already been submitted and approved, attach the IRB approval to the Coordination Form.
- **At the time of an award, IRB approval is required before research can begin.**

Animal Use
All projects which identify research methods which involve animal use require IACUC (Institutional Animal Care and Use Committee) review. IACUC reviews research protocols and conducts evaluations of the University's animal care and use, which includes the results of inspections of facilities that are required by law.

- An IACUC congruency letter is required for all proposed animal use, this includes animal use at off-site laboratories and by vendors.
- At the Proposal stage, IACUC approval (congruency letter) is not required. **If animal use is mentioned in the proposal narrative, please check the YES box.**
- If the IACUC protocol has already been submitted and approved, attach the IACUC congruency letter to the Coordination Form.
- **At the time of an award, the IACUC congruency letter is required before research can begin.**

Recombinant DNA
The Institutional Biosafety Committee (IBC) provides review and oversight of nearly all forms of research utilizing recombinant or synthetic nucleic acid molecules. They ensure that recombinant and synthetic nucleic acid research conducted at or sponsored by the institution is in compliance with the NIH Guidelines. All non-exempt recombinant and synthetic nucleic acid molecules require review and approval from the IBC before research can begin. Principal Investigators should submit a completed Biohazardous Registration to the Tufts Environmental Health and Safety office.

- At the Proposal stage, IBC approval is not required. **If Recombinant DNA is mentioned in the proposal narrative, please check the YES box.**
- If the IBC registration has already been submitted and approved, attach the IBC approval to the Coordination Form.
- **At the time of an award, the IBC approval is required before research can begin.**

Controlled Substances
Tufts University requires that all individuals conducting activities with DEA controlled substances be registered with the DEA and comply with state and federal regulations regarding the acquisition, storage, use and disposal of those substances.
Click here for more information: [http://publicsafety.tufts.edu/ehs/controlled-substances/](http://publicsafety.tufts.edu/ehs/controlled-substances/)

Radioactive Materials
The Radiation Safety Committee (RSC) provides independent expert advice to Administration, Directors, Investigators and others specifically working with or in areas containing radioactive materials or radiation producing machines. RSC ensures that the safe handling of radioactive material and use of radiation producing machines is optimized.
Click here for more information: [http://publicsafety.tufts.edu/ehs/radiation-safety/](http://publicsafety.tufts.edu/ehs/radiation-safety/)
Toxic/Hazardous Chemicals
Under the OSHA required Tufts chemical hygiene plan many commonly used chemicals are considered highly toxic and/or reactive and require a registration form be submitted to Tufts Environmental Health & Safety (TEHS) office. Click here for more information: http://publicsafety.tufts.edu/ehs/chemical-sop/

Office of Proposal Development (OPD)
If OPD was involved with the proposal preparation, please check this box.

Corporate Foundations & Relations (CFR)
If the funding source is a foundation or industry sponsor, CFR must be notified, please check this box.

Office for Technology Licensing & Industry Collaboration (Tech Transfer)
If the funding source is an industry sponsor, Tech Transfer must be notified, please check this box.

International Research
If the proposed projects main place of performance is outside of the U.S., please check this box. In the additional space provided, please type the name of the country where the majority of the work is being conducted.

Space, Renovation, Major Operating Expenses
If the proposed project has an identified need for space, renovations, or major operating expenses, please check this box.

PART IV: FINANCIAL CONFLICT OF INTEREST
Regardless of sponsor type (federal or non-federal) the PI and each Co-I must have completed an annual financial conflict of interest disclosure. If there were any changes or other Significant Financial Interests to disclose since completing the annual form, or if an investigator did not submit the annual disclosure form, investigators must submit a new Financial Interest Disclosure Form (FIDF).
The form can be found here: Financial Conflict of Interest Disclosure Form

At the time of the application/proposal submission, Tufts must certify that it has a written and enforced administrative process to identify and manage, reduce, or eliminate conflicting interests with respect to all research projects for which funding is sought from federal and non-federal sponsors. Tufts is required to make information available, upon request, to the NIH and other federal and non-federal sponsors, regarding all Financial Conflicts of Interest identified by Tufts and how those interests have been managed, reduced, or eliminated to protect the research from bias.

More information: http://viceprovost.tufts.edu/research-policies/conflict-of-interest/disclosure/

CITI FCOI online training required for federal sponsors only. FCOI training is mandatory for Investigators before engaging in federally-funded research, every four years thereafter, and immediately under designated circumstances. Training is available for investigators at the Collaborative Institutional Training Initiative (CITI) where they can take the PHS approved mini-course. Click here for instructions on how to register and take the course.

PART V: APPROVALS
➢ Principal Investigator/Program Director is always required to sign the coordination form. For Multi-PI proposals, all PIs from Tufts University must sign.
➢ For fellowship proposals, both the student and the faculty mentor must sign the form.
➢ Co-Investigators are required to sign the form if they are from departments or schools that are different from the PI’s department.
➢ Department Chair’s (or Designate’s) signature is required as follows:
  • Medford: Signature is required from the Department Chair from the PI’s home department, as well as the Department Chair(s) of the multi-PI’s or Co-PI’s department(s).
• Boston/Grafton: Only the Department Chair from the PI’s or lead PI’s home department must sign the form.

➢ Dean, Director or Designate must sign the coordination form for all proposals with cost sharing and/or F&A rate that is reduced from the federally negotiated indirect cost rate. The signature indicates approval of cost sharing or a reduced F&A rate.

• Medford: Signature is required from the Dean, Director or Designate from the PI’s home department, as well as from multi-PI’s or Co-PI’s department(s)/school.

• Boston/Grafton: The Dean, Director or Designate from the PI’s home school and any other school that will host a “scope” account must sign the form.

** For HNRC/Grafton ONLY – The HNRC Administrator (HNRC) or the FHSA Administrator (Grafton) must sign before the form is routed to ORA.

After these signatures are obtained, the form is routed to the Office of Research Administration (ORA) for final review and signature.

In an effort to condense the form, when multiple signatures are required please sign next to each other.

See the explanation provided directly on the coordination form for assurances associated with each signature approval.