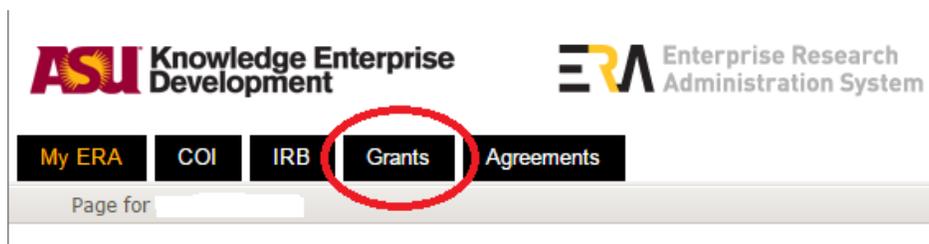
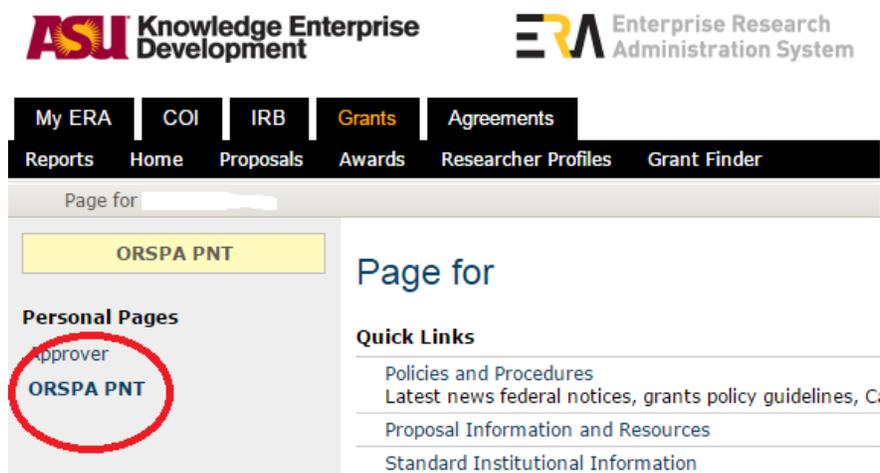


## Industry Proposal

1. Log on to ERA. Click 'Grants' tab at top left of screen.



2. Click 'ORSPA PNT' on left of screen.



3. Following GCO assignment, proposal will appear in the assigned GCO's ERA Proposals 'My Inbox'.
4. At any point during the development of a proposal, the assigned GCO has permission to review proposal element(s) and request changes.

## Review

1. GCO will review proposal element(s) that have been finalized and will be submitted to Sponsor.
  - a. GCO will reference PNT Checklist points:
    - i. Budget Forms
      1. Check that project amount(s) along with start and end dates are consistent within the application between all pages.
      2. Sponsor budget limitations (F&A, direct costs, etc.) are met.
    - ii. Budget Justification

1. Costs appear to be allowable and allocable with the relevant cost principles and FOA, if applicable.
2. Match budget to budget justification to ensure ALL items are included accurately in both documents in sufficient, sponsor required detail.
3. Correct ERE and tuition rates stated in budget justification.

### iii. SB/SOW

1. Check that the finalized statement of work is consistent with the provided full funding announcement, if applicable.

### iv. Terms and Conditions

1. If there are Terms and Conditions attached to the proposal which must be signed, an Agreements task will need to be created at this point within ERA Agreements to track this in conjunction with the established ERA Grants site – skip to Following Submission step for Create a Task instructions.
2. GCO will review T&C's and make redline changes including comments, if applicable, highlighting why changes are being requested.
  - a. If substantial revisions are required or there are non-standard terms which require business decision(s), GCO will clarify said terms and upload approval(s) in Agreements task in Negotiation Information under the following fields:
    - i. 6.0 Non-standard Negotiated Terms
    - ii. 7.0 Business Decision(s) made to accept non-standard terms?
    - iii. 8.0 Negotiation Justification file documenting all Non-Standard Negotiation and Business Decisions

### v. ASUF Specific

1. RAHelp makes the decision whether or not ASU or ASUF is the grantee.
  2. All proposals with ASUF as the grantee and ASU admin. WITH F&A in the budget **must include this statement verbatim** in the budget justification: "A percentage of the funds will be paid to the ASU Foundation in consideration for their services in support of this project."
2. Following review of the proposal element(s), GCO will run the 'PNT Review Update or Complete' activity under My Current Actions on the left of the screen.



- a. This activity will capture the following fields of the Review Checklist:
  - i. Funding announcement reviewed
  - ii. Proposal reviewed against PNT Checklist
    1. Select 'No review', 'Partial Review', or 'Complete review'
  - iii. Review Complete
    1. Select 'Yes' or 'No'
- b. Click 'OK' at bottom of screen.

**Note:** This activity can be run at any point during the review to assist the GCO. Only mark Review Complete after the final review, as this moves the proposal to the next state.

## **Submission**

1. Once PNT Review Update or Complete activity is completed, status will change to PNT Ready to Submit.
2. For submission, GCO will verify if PI/RA are submitting via portal. If not, GCO will follow these steps:
  - a. If applicable, GCO will draft appropriate Sponsored Research Agreement (located [here](#)):
    - i. Cost Reimbursable
      1. Industry Cost Reimbursable – Over 150k
      2. Industry Cost Reimbursable – Under 150k
    - ii. Fixed Price
      1. Industry Fixed Price – Over 150k
      2. Industry Fixed Price – Under 150k

- b. GCO will create New Email using the subject line as "Arizona State University proposal no. FP####; PI Last Name" with the following standard cover letter specific language in the body:

"Enclosed for consideration is a proposal entitled, "Insert Proposal Title." The University's Principal Investigator is Insert Full PI Name, of the Insert Departmental or School Affiliation for PI. The project period of performance is Insert Dates for a requested amount of \$Total Project Costs. This amount reflects the cost to perform the work as detailed in the proposal and does not include any rights to intellectual property or materials created or owned by ASU. If such rights are desired, Sponsor will need to provide additional consideration consistent with university policies and practices.

Any award resulting from this proposal should reflect the recipient as "Arizona Board of Regents for and on behalf of Arizona State University." Please reference the ASU proposal number, as appropriate, on any future communications. For questions regarding technical matters, please contact [PI Name] at [PI Email Address] or [PI Phone Number]. For questions relating to contract or other administrative concerns, please email [industryagreements@asu.edu](mailto:industryagreements@asu.edu) or call [GCO Phone Number].

As an instrumentality and public institution of the State of Arizona, ASU is subject to the requirements of the Arizona State Constitution, Arizona Revised Statutes, and other State and University rules, regulations, and policies. As such, the terms and conditions of a contract or agreement resulting from this proposal shall be subject to negotiation and mutual agreement of the Parties. For your records, ASU's tax identification number is 86-01-96696 and the W-9 status is: Other/Government.

Your consideration of this proposal is appreciated. ***Please confirm receipt of this proposal submission.***

Thank you for your consideration.

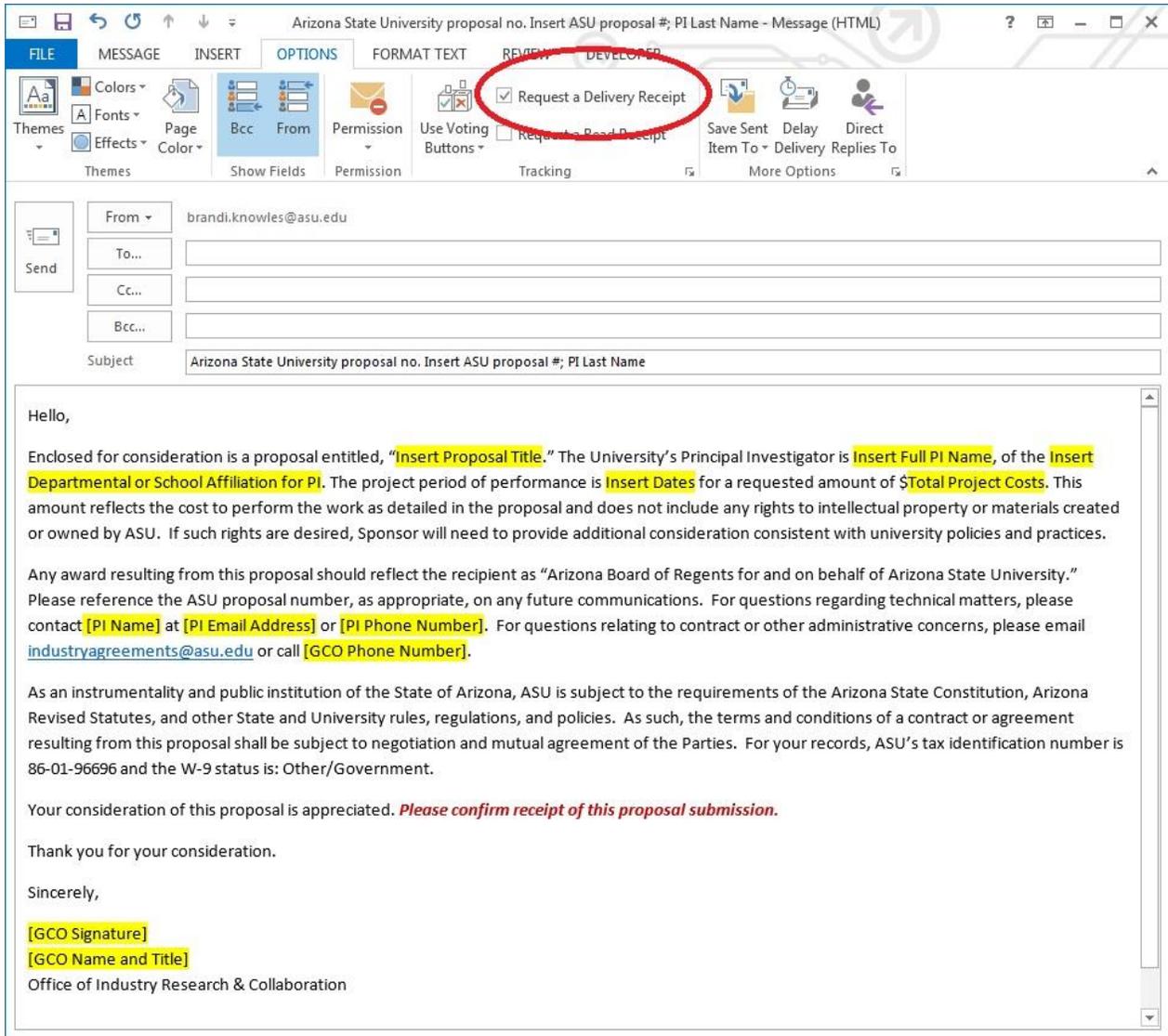
Sincerely,

[GCO Signature]

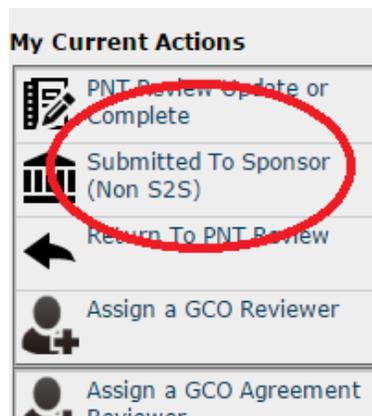
[GCO Name and Title]

Office of Industry Research & Collaboration"

- c. GCO will attach any documents required (SB, SOW, Budget, Budget Justification, etc.) along with appropriately drafted SRA, if applicable.
- d. Ensure that Request a Delivery Receipt is checked under the 'Options' tab within the email.



3. Once submission is complete, the GCO will run the 'Submitted To Sponsor (Non S2S)' activity under My Current Actions on the left of the screen.

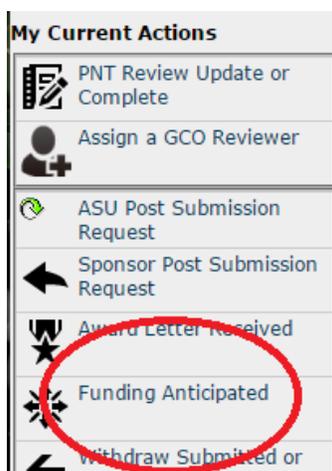


- a. GCO will upload a copy of the transmitted email along with email delivery receipt(s).
4. Once Submitted to Sponsor (Non S2S) activity is completed, status will change to Submitted Pending Sponsor Acceptance.

## **Following Submission**

Only after an Agreement is received, or Sponsor returns requested changes to ASU's standard SRA, will the GCO will create an Agreements task within ERA Agreements linking the task with the ERA Grants site.

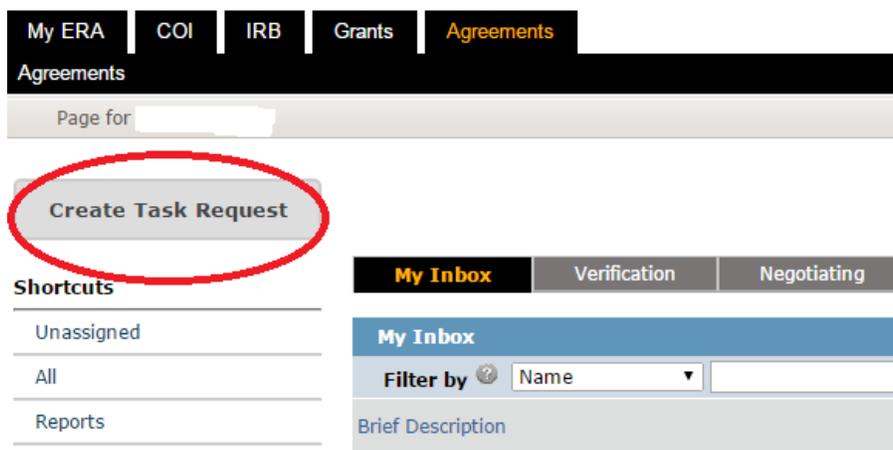
1. GCO will run the 'Funding Anticipated' activity under My Current Actions on the left of the screen in ERA Grants.



- a. GCO will upload Draft Agreement received or ASU's standard SRA under 'Attach relevant documentation:'
- b. Click 'OK' at bottom of screen.
2. Click 'Agreements' tab at top left of screen.



3. Search to confirm there is not already a task—if task has already been created, continue to Agreement Review.
4. Click 'Create Task Request'.



- a. GCO inputs field 1.0 Insert Funding Proposal Reference Number if known/applicable; this will auto-fill fields 2.0, 4.0, 6.0 (except Sponsor Point of Contact), and 8.0.
    - i. Requester will then choose Agreement type under field 5.0 (Sponsored Project Award) and fill-in Sponsor Point of Contact in 6.0.
    - ii. Under 10.0 Attach any Sponsor provided emails/documents.
5. Click 'Continue' at bottom right of screen.
  6. You will be taken to a Task Confirmation page. Once task is submitted, it will be in an 'Unassigned' state. GCO will assign themselves as owner.

## **Agreement Review**

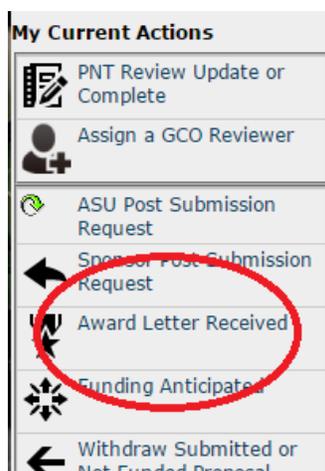
1. If sponsor requests changes to our standard NDA template, GCO reviews redline and continues to return to sponsor and negotiate on behalf of ASU all while updating the 2.0 Brief Task Status and 3.0 Internal Review/Negotiation Comments fields with any relevant comments and pertinent information.
2. If sponsor has sent their own agreement, GCO reviews agreement and makes redline changes including comments, if applicable, highlighting why changes are being requested.
3. If during negotiations internal parties (i.e. AMT, ORIA, etc.) have been contacted, the GCO will update Negotiation Information field 12.0 ASU groups contacted during negotiations and/or support requested to reflect all internal parties that have been contacted.
4. If substantial revisions are required or there are non-standard terms which require business decision(s), GCO will clarify said terms and upload approval(s) in

Negotiation Information under the following fields:

- a. 6.0 Non-standard Negotiated Terms
  - b. 7.0 Business Decision(s) made to accept non-standard terms?
  - c. 8.0 Negotiation Justification file documenting all Non-Standard Negotiation and Business Decisions
5. If negotiations reach an impasse, the GCO will advise Assistant or Associate Director (AD) and the AD will determine if a negotiation should be terminated. See [Circumstances for Terminating Negotiations Job Aid](#) for further guidance.
  6. Once negotiations are finalized, verify all changes have been accepted in final version.

## **Signature Process, Distribution, & Initial Invoice**

1. Once the partially executed agreement has been returned and signed by an ASU Authorized Official, GCO saves fully executed SRA as "FP####\_PILastname\_Sponsorname\_SRA\_Fully" in .pdf format. Determine if sponsor needs a hard copy of agreement or if electronic is acceptable. If hard copy is requested, update under Negotiation Information field 4.0 Mailing/Distribution Instructions to include the appropriate address/shipping instructions.
  - a. If GCO is returning a partial SRA to sponsor for signature, fields 2.0 Brief Task Status and 3.0 Internal Review/Negotiation Comments under Negotiation Information should be updated accordingly to show this.
7. Once the SRA is fully executed, GCO will run the 'Award Letter Received' activity under My Current Actions on the left of the screen in ERA Grants.



- a. This activity will capture the following fields:
  - i. Choose the appropriate routing option:
    1. Select 'AMT' or 'PNT & OIRC'
  - ii. Notice of Award

1. Attach fully executed SRA
  - b. Click 'OK' at bottom of screen.
2. GCO will draft Industry Initial Invoice (located [here](#)) inserting all relevant information.
3. GCO will send email with attached fully executed agreement and Initial Invoice to PI/RA/any other respective parties, [cashmanagement@asu.edu](mailto:cashmanagement@asu.edu) and [contracts@exchange.asu.edu](mailto:contracts@exchange.asu.edu).
4. GCO will send email to [notifications@asu.edu](mailto:notifications@asu.edu) with a copy of Initial Invoice and fully executed SRA indicating that account is ready for set-up and Cash Management was cc'd in on transmittal of Initial Invoice to Sponsor.
5. GCO will then complete the following fields in ERA:
  - a. Under General Information
    - i. 5.0 Proposal Budget Amounts versus Sponsor Awarded Amounts:-- input Total Sponsor Awarded Value: \$XX,XXX
    - ii. Click 'Continue' at bottom right of screen.

## General Information

1.0 GCO Agreement Reviewer Assigned: RA Contact:  
Assignment Notes:

2.0 Rush Request: ?  
 Yes  No [Clear](#)

3.0 Specific Requirements: ?  
 Yes  No [Clear](#)

4.0 Master Agreement if known/applicable:  
 [Select...](#)

5.0 Proposal Budget Amounts versus Sponsor Awarded Amounts:  
Total Proposal Budget: \$971,900.00 Total Sponsor Awarded Value: \$971,900.00  
Total Proposal Cost Share:

- b. Under Finalize Task Request
  - i. 1.0 Attach Executed/Awarded document(s) – upload fully executed agreement, distribution email, and Initial Invoice
  - ii. 2.0 Start Date, End Date, Fully Executed Date
  - iii. 3.0 Sponsor/Outside Party Reference No: (if applicable)
  - iv. 4.0 ASU Reference No: (FP####)
  - v. 5.0 Payment Type:
    1. Choose Fixed Price Industry or Cost Reimbursable Industry from drop-down menu

- vi. 6.0 Initial Invoice was sent out:, choose 'Yes' or 'No' and input Initial Invoice Amount:
  - vii. 7.0 Agreement Summary Notes for AMT:, indicate any notes AMT may need to know for account set-up
  - viii. Click 'Continue' at bottom right of screen.
6. On Finalize Instructions page, click 'Save' at bottom or top of screen, then 'Exit' at bottom or top of screen.
7. On Task Summary page, click 'Finalize Agreement' under My Current Actions.



- a. If there are any incomplete fields, Error/Warning Messages will pop-up here. GCO will have option to 'Jump To' appropriate page to fix error. *\*If ERA Grants status is not changed to 'Award Letter Received', GCO will not be able to Finalize ERA Agreements task.*
- b. Status will change to Executed/Awarded.