

# Northeastern University TIER Support for Proposal Development:

## Office of Research Development

### What can a TIER 2/3 fund and why is the program available?

TIER funds can greatly improve the proposal process and competitiveness for Large, Complex, and Impactful opportunities but only if researchers can commit to the time and effort it takes to lead such an effort. Starting early is always better but the process only works if researchers commit to and deliver on agreed upon timelines.

TIER 2 and 3 funds have been used to support a variety of activities:

- Proposal development support: Editing, extra eyes on proposals, draft reviews through an external firm (\$15-40k)
- Graphic Design support: A professional to take your ideas to the next level to maximize the value of space committed to graphic figures. Especially complex figures that bring together an entire proposal (\$1-5k)
- Red Team Reviews: Empaneling of a group of external experts to review proposals for both quality of writing and scientific merit(\$4-10k)

TIER 3 funds more intensive use of the above resources for longer periods of time and:

- Team convening-bringing teams physically together to meet and organize (\$20k)
- Workshops-both to improve teams and build name recognition within communities (\$10-30k)
- Honoraria to fund external mentors to help develop competitive projects
- On Site review panels that can interact with the team over several days (\$10-20k)
- Competitive landscape analysis by external firm

### TIER 2 Guidelines (in effect as of March 9, 2021): Awards up to \$50,000

This program funds proposal development activities for:

- Large (>\$1m/year),
- Complex (>5PIs, multi-institution),
- High visibility (award will bring outsized recognition to faculty and Northeastern) proposals

### You must have a goal and a plan:

- Funding opportunity identified
- An outline of how the funds will be used, the timeline, and who will be participating (your college contact can assist with this)

### TIER 2 Application Guidelines:

- To allow equity among applicants, the total TIER 2 proposal budget will now be capped at **\$50,000**. We expect to fund most proposals in the range of \$15,000-\$35,000.
- Applications will undergo a formal peer review process, and as such, submissions must be received no less than **3 months in advance of the sponsor's deadline**. Limited submissions, or other programs with extenuating circumstances surrounding submission, will be dealt with on a case-by-case basis.
- Any unspent funds will be returned to the division of research and colleges, typically as a credit against future TIER 1 expenses. Award funds need to be used within 3 years of award, during this time funds will remain available so long as there is active work towards a resubmission or similar submission.

- **TIER 2 applicants must include the following sections in their proposal submission:**
  - Why the funding opportunity is appropriate
  - The interdisciplinary team members, their affiliation and role
  - The specific resources needed to develop a competitive submission
  - A line item budget with justification—budget items must be allowable per the TIER 2 guidelines above
  - A timeline for the use of the funds—include here any teaming phases, red team review process and deadlines, etc.

***Please visit the [TIER 2 site](#) for the TIER 2 application. All TIER 2 applications must be completed in coordination with your college TIER 2/TIER 3 contact (listed on the website). Completed applications should be submitted to Kim Holloway at [k.holloway@northeastern.edu](mailto:k.holloway@northeastern.edu) with a cc to [resdev@northeastern.edu](mailto:resdev@northeastern.edu)***

**TIER 3 Guidelines:** Awards up to \$150,000

This program funds long term development (>6 months lead time) of teams around a shared vision towards a targeted Large/Complex/High-Visibility opportunity.

**You must have a goal and a plan:-**

- Funding opportunity identified or class of proposals identified. An FOA doesn't have to be out to pursue this avenue as some programs repeat at predictable intervals.
- An outline of how the funds will be used, the timeline, and who will be participating (your college contact can assist with this)

**Applications for TIER 3 funding should present the following:**

- Identify opportunities and assess competition
- Develop plan to establish Northeastern's capacity to lead in the field of study:
  - Define actions to be undertaken: for example, developing relationships with internal and external collaborators, industry contacts, and program officers, developing collaborative research, etc
  - Demonstrate capacity: sponsoring symposia, conferences, joint publications
  - Milestones
  - Deliverables
- Identify a funding strategy including targeted submissions

***Please visit the [TIER 3 site](#) for the TIER 3 application. All TIER 3 applications must be completed in coordination with your college TIER 2/TIER 3 contact (listed on the website). Completed applications should be submitted to Kim Holloway at [k.holloway@northeastern.edu](mailto:k.holloway@northeastern.edu) with a cc to [resdev@northeastern.edu](mailto:resdev@northeastern.edu)***

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**TIER 2 and TIER 3 Award Invoice and Contracts Guidelines:**

Your TIER 2 or TIER 3 award may require setting up purchase orders, contracts, and paying invoices. Below is a general guide for POs and vendor justification forms. You will find specific contacts for your college(s) listed as well. Please note that the college contact information may change. If you are unable to reach the contact listed, please email the TIER 2/TIER 3 contact for your college and copy [resdev@northeastern.edu](mailto:resdev@northeastern.edu)

**Please note:** OGC asks for two weeks to review each contract, which could extend to 10-15 business days. Please assume that all contracts will take 15-20 business days for turnaround in your college. If you are using a new vendor, please expect additional processing time. Turnaround time on Purchase Orders can be up to a couple of weeks.

**Purchase Order (PO)** – When requesting a payment for the following a PO must be used.

- goods/services <\$5k when AMEX is not taken,
- good/services >\$5k
- payment for ALL independent contractors (consultants)

For work less than \$10,000 a contract is not required (a copy of the quotation/invoice is sufficient as back up). For work more than \$10,000 a contract is required (see contract process).

**To set up a Purchase Order, the following is required:**

- [Professional Services Agreement](#) - visit site for PSA PDFs for below \$3k and above \$3k
- Copy invoice/quote/Proposal (for work less than \$10,000)
- For work >\$10,000 – Executed contract and completely filled out Vendor Justification/Price verification form - <http://www.northeastern.edu/purchasing/pdfs/updatedvjf.pdf>
- A W-9 form for new vendors.

**Vendor Justification Form** - You need to provide an answer as to how you choose a vendor for contracts that will be over \$10,000. Vendors should be competitively chosen by:

- Quotes requested
- Formal RFP sent out
- Sole source supplier of service
- Past negotiated rates that are contracted and secure
- Back up for justification form:
- Copy of bid
- Copy of all quotes
- Evidence of Sole source
- [W-9](#) for new vendors and for vendors whose address does not match with the one in the system due to a location change.
- EICC Form for Independent contractors.
- If services are for Videographer or Photographer, irrespective of the amount, the agreement template needs to be signed - [http://www.northeastern.edu/general-counsel/docs/Photographer\\_Videographer\\_Agreement.pdf](http://www.northeastern.edu/general-counsel/docs/Photographer_Videographer_Agreement.pdf)
- Current Certificate of Insurance for all Videographers and Photographers.

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**College Finance/PO/Agreement Guidelines and Contacts:**

**BCHS:**

***TIER 2/TIER 3 Contact: Melinda Boehm, BCBS Director of Research Development***

- College process for creating POs:
  - Please contact your assigned BCORE contact and your department's finance manager, along with Susanne Feret at [s.feret@northeastern.edu](mailto:s.feret@northeastern.edu) and Scott Breiding at [s.breiding@northeastern.edu](mailto:s.breiding@northeastern.edu)
- College process for contracts or agreements with outside vendors:
  - Please contact your assigned BCORE contact and your department's finance manager, along with Susanne Feret at [s.feret@northeastern.edu](mailto:s.feret@northeastern.edu) and Scott Breiding at [s.breiding@northeastern.edu](mailto:s.breiding@northeastern.edu)

## **CAMD:**

### ***TIER 2/TIER 3 Contact: Katherine Calzada, Assistant Dean of Faculty Development***

- College process for creating POs:
  - Please ask your dept admin for help with the requisition for PO#;
  - Dean's Office Dir of Finance & Admin (or her team) approves all Concur, invoices, reqs, etc.
- College process for contracts or agreements with outside vendors:
  - Please ask your dept admin for help with the PSA; CAMD gatekeeper, Nora Rasanen, approves and sends through the gatekeeper process.

## **COE:**

### ***TIER 2/TIER 3 Contact: Mariah Nobrega, COE Assistant Dean of Research and Faculty Development***

- Please contact Mariah Nobrega at [m.nobrega@northeastern.edu](mailto:m.nobrega@northeastern.edu) for all TIER 2 and TIER 3 related vendor and contract needs

## **COS:**

### ***TIER 2/TIER 3 Contact: Erin Cram, COS Associate Dean for Research***

- College process for creating POs:
  - Please start with your department or program operations manager. COS Dean's Office helps in escalation cases.
- College process for contracts or agreements with outside vendors:
  - Please start with your department or program operations manager, who will route the request to a COS Gatekeeper. Please send the required documents: contract, W9, contract submission checklist, and COI if applicable.
  - COS Gatekeepers are Petula Durocher (non grants contracts), Andrew Caldwell (grants contracts), and Sam Inman.

## **CPS:**

### ***TIER 2/TIER 3 Contact: Liz Zulick, CPS Associate Dean for Research***

- College process for creating POs:
  - PO request should be sent to Joanne Tabuteau at [j.tabuteau@northeastern.edu](mailto:j.tabuteau@northeastern.edu) and it will also be signed off by the unit head. Michael Gladstone is the final approval.
- College process for contracts or agreements with outside vendors:
  - Please contact Joanne Tabuteau at [j.tabuteau@northeastern.edu](mailto:j.tabuteau@northeastern.edu) and send the required documents: contract, W9, contract submission checklist, and COI if applicable, for a completeness check. Michael Gladstone is the final approval and then sends it to OGC.

## **CSSH:**

### ***TIER 2/TIER 3 Contact: Alisa Lincoln, CSSH Associate Dean for Research, and Kate Duggan, CSSH Associate Director for Research Development***

- College process for creating POs:
  - Your department financial manager is typically the point of contact for creating POs
- College process for contracts or agreements with outside vendors:
  - The gatekeeper for CSSH is CSSH ADAF Jim Rollins. Department financial managers create the PSA paperwork locally with information gathered from faculty, then the paperwork is submitted to Jim Rollins. Your department financial manager will need the required documents: contract, W9, contract submission checklist, and COI if applicable.

## **DMSB:**

### ***TIER 2/TIER 3 Contact: Olubunmi Faleye, DMSB Associate Dean for Research***

- College process for creating POs:
  - POs are created in the Dean's Office. Please Maria Costa de Sousa at [m.costa\\_desousa@northeastern.edu](mailto:m.costa_desousa@northeastern.edu)
- College process for contracts or agreements with outside vendors:
  - Depending on the nature of the contract, it may originate with the faculty or from the Dean's Office. Maria serves as the gatekeeper for all contracts and interfaces with the OGC. Please send the required documents: contract, W9, contract submission checklist, and COI if applicable.

## **Khoury:**

### ***TIER 2/TIER 3 Contact: Andrea Stith, Khoury Director of Research Development***

- College process for creating POs:
  - Please contact Sully Baez [s.baez@northeastern.edu](mailto:s.baez@northeastern.edu)
- College process for contracts or agreements with outside vendors:
  - Please contact Sully Baez at [s.baez@northeastern.edu](mailto:s.baez@northeastern.edu)

## **NUSL:**

### ***TIER 2/TIER 3 Contact: Kara Swanson, NUSL Associate Dean for Research***

- College process for creating POs:
  - Contact Giovanni Ortiz at [G.ortiz@northeastern.edu](mailto:G.ortiz@northeastern.edu), with a cc to Lauren Bourke at [l.bourke@northeastern.edu](mailto:l.bourke@northeastern.edu)
- College process for contracts or agreements with outside vendors:
  - Contact Giovanni Ortiz at [G.ortiz@northeastern.edu](mailto:G.ortiz@northeastern.edu), with a cc to Lauren Bourke at [l.bourke@northeastern.edu](mailto:l.bourke@northeastern.edu). Please send the required documents: contract, W9, contract submission checklist, and COI if applicable. Internally, SOL need 5 business days to review and we are often not in a position to expedite review. Therefore, *SOL request's 20 business days for all contracts.*

**Roux:**

***TIER 2/TIER 2 Contact: Mike Pollastri, Senior Vice Provost of the Roux Institute and Melanie Tory, Interim Head of Research***

- Institute process for creating POs:
  - Contact Alex Pierce at [al.pierce@northeastern.edu](mailto:al.pierce@northeastern.edu)
- Institute process for contracts or agreements with outside vendors
  - Contact Chris Mallett at [c.mallett@northeastern.edu](mailto:c.mallett@northeastern.edu)