



Photo by: Annette DePietri

DECEMBER 2017

# Office of Sponsored Programs Monthly Bulletin

IN THIS ISSUE

## Message from the Director

Welcome to our second edition of the OSP Bulletin! We were so pleased with our readers' valuable, kind feedback on the first issue. Thank you for your response and also for your subscription. We hope that you will continue to enjoy the information outlined in this issue, share it with colleagues within the research community and encourage them to subscribe as well.

In this second edition, besides the general OSP announcements/reminders, trainings/workshops and upcoming sponsor deadlines, we have included important updates for NIH and NSF, an article on what DoD has implemented in order to protect information processed, stored or transiting contractors internal unclassified information systems, as well as a response to a question posed by a reader on how to manage subcontracts at proposal and award stage. Please feel free to forward any questions that arise and we will provide responses.

On behalf of the entire Office of Sponsored Programs, I wish you a very Happy Holiday season and we all look forward to working with you in 2018!

Sincerely,

Alina Azzam-Stroia

Subscribe to the Bulletin on this website:

<https://research.stonybrook.edu/node/10061>.

Please help us make improvements by providing feedback.



[OSP announcements and reminders](#)

[Ask OSP](#)

[Upcoming training and workshops](#)

[Cybersecurity Requirements in Federal](#)

[Contracts - DFARS Compliance](#)

[Sponsor Updates](#)

[NIH](#)

[NIH Changes Its Definition of a Clinical Trial](#)

[New Look, New Features, New Content, Better Experience](#)

[NIH to Publicly Post Project Outcomes](#)

[NSF](#)

[Upcoming sponsor deadlines](#)

## OSP Announcements and Reminders

- Each month, under “Ask OSP”, the Bulletin will include a topic of interest related to grant or award processing, updated procedures or helpful hints on grant or contract award processing and administration. If you are interested in a specific topic, please email us at [osp@stonybrook.edu](mailto:osp@stonybrook.edu).
- Important reminder: please contact your OSP administrator as soon as you identify a grant opportunity for which you want to apply. Advance notice will provide you with detailed attention to your proposal by your OSP administrator and will ensure that sponsor deadlines are met successfully. Our proposal submission policy can be found here: <https://research.stonybrook.edu/sites/default/files/osp-deadline-policy-revision.pdf>.



## Ask OSP

One of our readers requested information regarding the requirements and management of subcontracts on proposals and awards. This article is intended to clarify the process.

A subcontractor is generally defined as a third party contracted to conduct a significant portion of the scope of work or research plan included in the research proposal. Therefore, use of a subcontractor/subgrantee is normally included in the proposal and is approved within the primary agreement between the funding agency and The Research Foundation for The State University of New York. Unanticipated use of a subcontractor/subgrantee after a contract/grant is awarded almost always requires prior sponsor approval.

When a submission includes a subcontract/subaward, the Principal Investigator (PI) from the subrecipient institution must provide at the time of proposal his/her following information:

- itemized budget reviewed and approved by the authorized official of the subrecipient institution which typically includes salaries, fringe benefits, travel, supplies, equipment, other direct costs, indirect costs\* and cost sharing;
- budget justification;
- description of the scope of work which should outline the portion of the project for which the subrecipient institution is responsible and should include all deliverables (i.e. progress reports);
- completed SBU's Subrecipient Commitment Form which is found at the following link: <https://research.stonybrook.edu/forms/sponsored-programs/sponsored-programs/subcontractor-letter-intent-form>. This form must be signed by an authorized official of the subrecipient institution. It indicates compliance with necessary areas and provides institutional concurrence with the submission.

\*Subcontract/subaward budgets should use the indirect cost/F&A rate set by the subrecipient institution and a copy of that rate agreement should be provided.

Note that the value of the budget must equal the amount shown on the Subrecipient Commitment Form and should be agreed upon in advance by the SBU PI and the PI at the subcontracting institution and must be within the limits set forth by the primary agreement.

All documents outlined above should be routed to OSP through COEUS.

If the proposal is awarded, the SBU PI will receive an email from OSP with the new award information and instructions on how to authorize the establishment of a subcontract/subaward through a purchase requisition. Completed requisitions must be emailed to [osp\\_contracts@stonybrook.edu](mailto:osp_contracts@stonybrook.edu) and an OSP Contracts Administrator will initiate the subcontract review and approval process.

Lastly, subcontractor invoices should be sent directly to the Office of Grants Management for approval. It is SBU PI's responsibility to monitor the programmatic activities of the subcontractor, to verify invoices submitted for payment, and to inform OSP if significant changes are contemplated affecting the agreed-upon arrangement.

See below an example of how to complete a purchase requisition for a new or amended subcontract/subaward:

## Requisition Form



<b>Requisition Number</b> <input style="width: 95%;" type="text"/>	<b>Office Use Only</b> Purchase Order No: <input style="width: 95%;" type="text"/>	
	Buyer's Initial & Date: <input style="width: 40%;" type="text"/> Del By: <input style="width: 40%;" type="text"/>	<b>Fiscal Year</b> <input style="width: 40%;" type="text"/>

<b>Supplier/Payee Information</b>			
Name: <input style="width: 95%;" type="text"/> <Subrecipient legal name>	Social Security or Federal ID #: <input style="width: 95%;" type="text"/>	Contract #: <input style="width: 95%;" type="text"/>	Group #: <input style="width: 95%;" type="text"/>
Address: <input style="width: 95%;" type="text"/> <Subrecipient information in this section>		City: <input style="width: 40%;" type="text"/>	State: <input style="width: 40%;" type="text"/>
Supplier Phone: <input style="width: 40%;" type="text"/>	Fax: <input style="width: 40%;" type="text"/>	Email: <input style="width: 95%;" type="text"/>	

<b>Deliver To Information</b>	<b>Payment Information</b>	<b>Department Information</b>
Attention: <input style="width: 95%;" type="text"/> <SBU department contact for OSP>	Payment Terms: <input style="width: 40%;" type="text"/>	Account # / Project Task Award: <input style="width: 40%;" type="text"/>
Department: <input style="width: 95%;" type="text"/>	Confirming: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> SBR <input type="checkbox"/> RF <input type="checkbox"/> State
Building: <input style="width: 95%;" type="text"/>	Freight: <input type="checkbox"/> Due <input type="checkbox"/> Paid	Sponsor: <input style="width: 40%;" type="text"/>
Room #: <input style="width: 95%;" type="text"/>	FCB: <input type="checkbox"/> Dest <input type="checkbox"/> FCA <input type="checkbox"/> Origin	Expenditure/Object/GL: <input style="width: 40%;" type="text"/>
Requisitioner: <input style="width: 40%;" type="text"/>	Suppliers Notes: <input style="width: 95%;" type="text"/>	Organization Name (Department): <input style="width: 40%;" type="text"/>
Need by Date: <input style="width: 40%;" type="text"/>	<input type="checkbox"/> P/C <input type="checkbox"/> F/A Ownership: <input style="width: 40%;" type="text"/>	Zip+4: <input style="width: 40%;" type="text"/>
Office Phone (909) 308-XXXX: <input style="width: 40%;" type="text"/>	Payment Requires Dept Approval: <input type="checkbox"/> Yes <input type="checkbox"/> No	Project Director: <input style="width: 95%;" type="text"/>
Office Fax (909) 308-XXXX: <input style="width: 40%;" type="text"/>		Note: RF Only-Office Supplies Certification: Authorized Signature below also certifies Scientific or Programmatic use for the project charged.

Item Information					
Item #	Expenditure Type, Catalog # & Complete Description (including notes & buyer notes)	Quantity	UOM	Unit Price	Total
	To establish/amend (select one only)				
	a subaward to <Subrecipient Name>				
	in the amount of...(amount should reflect the	1		0.00	0.00
	total cost, DC & IDC, you are authorizing				
	subawardee to spend for this budget period)				
	for the period of MM/DD/YY - MM/DD/YY				
	<Subrecipient> PI -				
Justification / Purpose of Purchase: <input style="width: 95%;" type="text"/>					<b>Grand Total: 0.00</b>
I certify that the purpose of purchase requisition complies with the account restrictions and is consistent with the donor's/sponsor's intent.					
<input style="width: 40%;" type="text"/> <small>Authorized Signature</small> <input style="width: 20%;" type="text"/> <small>Date</small>					
Quotation: <input type="checkbox"/> Written <input type="checkbox"/> Verbal    By: <input style="width: 40%;" type="text"/> Date: <input style="width: 40%;" type="text"/>					
OGM Approval: <input style="width: 95%;" type="text"/>			Term Date: <input style="width: 40%;" type="text"/>		
Notes/Approvals: <input style="width: 95%;" type="text"/>			Radiation Control Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		

Check Distribution:  Mail  Pick up at Bursar

PROC0065 (05/11) www.stonybrook.edu/procurement

The link to blank purchase requisitions can be found here:  
<https://research.stonybrook.edu/sites/research.stonybrook.edu/files/PROC0065.pdf>

## Upcoming Training & Workshops

### *OSP Internal Training and Workshops*

- Please join us in OSP's first Adobe Connect online live presentation on "*Understanding Effort at Proposal Stage*".
  - Summary: Understanding the various type of effort and how to reflect it in proposals
  - Presented By: Annette DePietri (Annette.Depietri@stonybrook.edu)
  - When: 01/10/2018 11:00 AM - 11:30 AM
  - Time Zone: (GMT-05:00) Eastern Time (US and Canada)

To join the meeting, click this link: <https://meeting.sinc.stonybrook.edu/r997b43eqb4/>

Useful tips: If you have never attended an Adobe Connect meeting before, test your connection: [https://meeting.sinc.stonybrook.edu/common/help/en/support/meeting\\_test.htm](https://meeting.sinc.stonybrook.edu/common/help/en/support/meeting_test.htm)

- COEUS training classes are available every 3rd Friday of each month. To reserve your spot, please register on our website at <https://research.stonybrook.edu/coeus#coeus-training>. For any additional questions regarding the training classes, please email Anne DePietri at [annette.depietri@stonybrook.edu](mailto:annette.depietri@stonybrook.edu), or call at extension 2-4702.
- The Office of Grants Management (OGM) offers hands on training of the Research Foundation Report Center to all Principal Investigators and their administrators. This training uses current active Research Foundation sponsored awards/projects to demonstrate how to view encumbrances and expenditures. Please contact Cynthia Traub, 2-4886 or [Cynthia.traub@stonybrook.edu](mailto:Cynthia.traub@stonybrook.edu) to schedule a session.

### *External Conferences, Workshops and Seminars*

- NCURA Traveling Workshops (National Council of University Research Administrators)  
Scottsdale, AZ, February 12-14  
<http://www.ncura.edu/Education/TravelingWorkshops.aspx>
- SRA International (Society of Research Administrators International)  
2018 Winter Intensive Training Programs  
San Francisco, CA, February 26 - 28  
<https://srainternational.org/meeting/theme/srai-intensive-winter-training-programs>
- Financial Research Administration (FRA) Conference  
Orlando, FL, March 5-6, 2018
- Pre-Award Research Administration (PRA) Conference  
Orlando, FL, March 8 -9, 2018|

## Cybersecurity Requirements in Federal Contracts - DFARS Compliance

As outlined in the latest edition of the OVPR Newsletter, the Department of Defense (DoD) recently changed their acquisition requirements regarding the safeguarding of government Controlled Unclassified Information (CUI) residing on or transmitting through a government contractor's internal network. The new requirement requires government contractors to meet a specific National Institute of Standards and Technology (NIST) standard by December 31st, 2017.

Contracts and subcontracts that are required to comply with this NIST standard will include DFARS Clause [252.204-7012](#), Safeguarding Covered Defense Information and Cyber Incident Reporting. This clause requires contractors to implement NIST Special Publication (SP) 800-171 which is a codification of the requirements that any non-federal computer systems must follow in order to store, process, or transmit CUI or provide security protection for such systems. DoD has issued an updated [Frequently Asked Questions](#) (FAQ) regarding the application and requirements of DFARS 252.204.7012.

Moving forward, our office will closely evaluate research projects that receive funding in the form of a contract or subcontract from DoD, a DoD-funded prime contractor or from a non-DoD sponsor subject to NIST 800-171, which contain DFARS 252.204.7012's clause, safeguarding covered defense information and cyber incident reporting.

Investigators that plan to submit proposals in response to DoD's Small Business Innovation Research (SBIR) or Strategic Technology Transfer Research (STTR) programs and who expect that their project may result in storage, processing, or transmission of CUI, must contact their OSP Contracts Administrator in advance of the application.

Applications and/or agreements for *contracts* and *subcontracts* containing DFARS 252.204.7012 clause will require a detailed review by OSP in close collaboration with the Export Control and Privacy Officers. OSP Contracts Administrators will work with researchers to remove the clause where possible, have the research designated as "fundamental research" or have a documented exception where the researcher will not be receiving or generating CUI. As our institution's internal network is not currently compliant with this requirement, we must notify the DoD Chief Information Office, within 30 days of an award, of any NIST SP 800-171 requirement that has not been implemented at time of award.

Note: THIS DOES NOT apply to grants.

## Sponsor Updates

Each month, we will communicate any updates dictated by sponsoring agencies. Our office will be happy to answer any questions you may have regarding the changes.

## NIH Updates

Every month, we will include NIH's Extramural News which outlines their current updates and changes. The link to the December issue is <https://nexus.od.nih.gov/all/>

Some important items to focus upon include: NIH Single IRB Policy Reminder, Resources Available for Preparing Your Application Using ASSIST, Why Project Outcomes Matter in your Interim and Final RPPR, NIH Plans for Issuing Clinical Trial Specific Parent Announcements and Revised NIH Grants Policy Statement.

### NIH Changes Its Definition of a Clinical Trial

NIH has broadened its definition of clinical trial, and it may impact your future applications (new, resubmission, or revision) and awards. NIH's definition of clinical trial now includes some research approaches not traditionally considered clinical trials. For example, many behavioral or bio-behavioral studies that focus on underlying mechanisms of development may now be considered clinical trials. Also, conducting experiments that involve human subjects may be considered a clinical trial. **If you are conducting studies involving human subjects, it is very important that you understand this definition and determine whether it applies to your research.**

NIH has four questions that researchers need to answer to determine whether their study is a clinical trial. These questions may use terminology that has a different meaning than the typical meanings understood by certain research communities. It's important to review the FAQs and case studies provided by the NIH Office of Extramural Research. If the answer is "yes" to each of these four questions, the research will be considered a clinical trial by NIH:

1. Does the study involve human participants?
2. Are the participants prospectively assigned to an intervention?
3. Is the study designed to evaluate the effect of the intervention on the participants?
4. Is the effect being evaluated a health-related biomedical or behavioral outcome?

Here is a link that can help researchers determine if their research is a clinical trial: <https://grants.nih.gov/ct-decision/index.htm>.

Beginning with applications submitted on or after January 25, 2018, if they involve a clinical trial, our institution must:

- Submit the application through a Funding Opportunity Announcement (FOA) that accepts clinical trials.

- Provide additional information in the application, which will be subject to different and distinct review criteria for clinical trials.

If selected for funding, researchers will need to designate individual(s) to serve as the responsible party for the trial and to register and post results in the ClinicalTrials.gov system.

NIH has also issued other policy updates involving Good Clinical Practice training requirements and the use of Single Institutional Review Board (sIRB) approaches for domestic, multi-site human subjects research. Details about all updates/changes are available at <https://grants.nih.gov/policy/clinical-trials.htm>.

Note: These policy updates/changes also apply to individuals conducting research through contracts.

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## New Look, New Features, New Content, Better Experience

The NHLBI is about to launch a new website that promises to make your user experience a lot more satisfying. The website will feature a clean, modern format and a smart, easy way to navigate page to page. Whether you're looking for information about a health topic, a grant or training opportunity, or the latest research on heart, lung, and blood diseases or sleep disorders, you'll be able to find it fast—and, best of all, from whatever device you're using. **Take a sneak peek at what's coming.** <https://www.nhlbi.nih.gov/newsite>

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## NIH to Publicly Post Project Outcomes

The NINDS Division of Translational Research wanted to increase awareness of a NIH policy change that will impact grantees. The NIH has announced that NIH will be publicly posting project outcomes on NIH's Research Portfolio Online Reporting Tool (RePORTER): <https://projectreporter.nih.gov/>. Please review the NIH Guide Notice [NOT-OD-18-103](#) for complete details. This applies to any outcomes submitted on or after October 1, 2017. These outcomes are entered by principal investigators in the Outcomes portion (Section I) of the interim and final Research Performance Progress Reports (RPPRs) for their grants in eRA Commons.

It is important that all PIs when writing the Outcomes portion (Section I) ensure that it is:

- Written for the general public in clear and concise language
- Suitable for dissemination to the general public
- Does not include proprietary, confidential information or trade secrets
- Not more than half a page

To help the research community understand what is an acceptable report, NIH has a specific example posted. [https://grants.nih.gov/grants/rppr/sample\\_project\\_outcomes\\_RPPR.htm](https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm)

## NSF Updates

The newest edition of NSF's Proposal & Award Policy Newsletter can be found here: [https://www.nsf.gov/bfa/dias/policy/newsletter/dec\\_2017.pdf](https://www.nsf.gov/bfa/dias/policy/newsletter/dec_2017.pdf)

Please note an important change in this edition. Besides updates on many topics, NSF has included a new Proposal and Award Policies and Procedures Guide (PAPPG) effective January 29, 2018. NSF offered a PAPPG Update Webinar for the research community on Friday, December 8th, 2017. To view the webinar, slides or guides, please visit this website: <https://nsfgrantsconferences.com/pappg-update-webinar/>

Significant changes include:

- The addition of an eligibility subcategory for international branch campuses of U.S. Institutions of Higher Education;
- The eligibility standards for foreign organizations has been revised;
- The standard Collaborators and Other Affiliations (COA) template which had been in a pilot phase since April has been implemented;
- The Budget Justification page limitation has been increased from three pages to five pages;
- The Project Description must now contain a separate section specifically identified as "Intellectual Merit";
- A restructuring of coverage on grantee notifications and requests for approval from NSF, including referral to the Prior Approval Matrix available on the NSF website.

A link to the new PAPPG can be found here:

[https://www.nsf.gov/pubs/policydocs/pappg18\\_1/sigchanges.jsp](https://www.nsf.gov/pubs/policydocs/pappg18_1/sigchanges.jsp)

Other NSF changes announced in their Newsletter include the announcement of the ability to submit non-collaborative proposals in Research.Gov instead of using Fastlane, beginning April, 2018.

Please read their Newsletter for important information in regards to their Public Access Policy.

NSF also nicely summarizes topics and tips from the NSF Grants Conference held in Phoenix, Arizona November 13-14. A link to the actual sessions is now available for on-demand viewing here: <https://nsfgrantsconferences.com/resource-center/#webcasts>

## Upcoming Sponsor Deadlines

### NSF Standard Deadlines:

A link to NSF due dates can be found here:

[https://www.nsf.gov/funding/pgm\\_list.jsp?org=NSF&ord=date](https://www.nsf.gov/funding/pgm_list.jsp?org=NSF&ord=date)

### NIH Deadlines:

Please find deadlines for Competing Grant and Cooperative Agreement Applications below. Also, refer to the funding opportunity announcements for deadline information as not all applications are due on standard deadlines.

The chart below can also be found on the NIH web site <https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm>

## General Information

- Grant applications and associated documents (e.g., reference letters) are due by 5:00 PM local time of application organization on the specified due date.
- Check the funding opportunity announcement (FOA) for due date information.
- If the FOA says "standard dates apply", refer to the table below using the activity code specified in the title of the FOA.
- Note that renewal/resubmission/revision applications may have different due dates than new applications. Read the table carefully.
- The AIDS and AIDS-related dates apply to all activity codes.

Activity Codes	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
P Series <i>All - new, renewal, resubmission, revisions</i>	<b>Program Project Grants and Center Grants</b>  NOTE: Applicants should check with the relevant Institute or Center (IC), since some do not accept P series applications for all three receipt/review/award cycles.	January 25	May 25	September 25
R18, U18 R25 <i>All - new, renewal, resubmission, revision</i>	<b>Research Demonstration Education Projects</b>	January 25	May 25	September 25
T Series  D Series <i>All - new, renewal, resubmission, revision</i>	<b>Institutional National Research Service Awards</b> <b>Other Training Grants</b>  NOTE: Applicants should check with the relevant Institute or Center (IC), since some do not accept T series applications for all three receipt/review/award cycles. Applicants should refer to the <a href="#">IC Table of Contacts</a> for information for each IC's scientific/research contact for the NRSA T32 program.	January 25	May 25	September 25
C06/UC6 <i>All - new, renewal, resubmission, revision</i>	<b>Construction Grants</b>	January 25	May 25	September 25
G07, G08, G11, G12, G13, G20, R24, S06, S11, S21, S22, SC1, SC2, SC3, UG1, U10, U19, U24, U2C, U41, U42, U45, U54, U56 <i>All - new, renewal, resubmission, revision</i>	<b>Other Activity Codes</b>	January 25	May 25	September 25
R01 <i>new</i>	<b>Research Grants</b>	February 5	June 5	October 5
U01 <i>new</i>	<b>Research Grants - Cooperative Agreements</b>	February 5	June 5	October 5

Activity Codes	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
K series <i>new</i>	Research Career Development	February 12	June 12	October 12
R03, R21, R33, R21/R33, R34, R36, UH2, UH3, UH2/UH3 <i>new</i>	Other Research Grants and Cooperative Agreements	February 16	June 16	October 16
R15 <i>All - new, renewal, resubmission, revision</i>	Academic Research Enhancement Award (AREA)	February 25	June 25	October 25
R01 <i>renewal, resubmission, revision</i>	Research Grants	March 5	July 5	November 5
U01 <i>renewal, resubmission, revision</i>	Research Grants - Cooperative Agreements	March 5	July 5	November 5
K series <i>renewal, resubmission, revision</i>	Research Career Development	March 12	July 12	November 12
R03, R21, R33, R21/R33, R34, R36, UH2, UH3, UH2/UH3 <i>renewal, resubmission, revision</i>	Other Research Grants and Cooperative Agreements	March 16	July 16	November 16
F Series Fellowships (including F31 Diversity - <a href="#">NOT-OD-17-029</a> ) <i>new, renewal, resubmission</i>	<b>Individual National Research Service Awards (Standard)</b>  (see <a href="#">NRSA Training Page</a> )	April 8	August 8	December 8
R13, U13 <i>All - new, renewal, resubmission, revision</i>	Conference Grants and Conference Cooperative Agreements	April 12	August 12	December 12
R41, R42	Small Business Technology Transfer (STTR)*			
R43, R44, U43, U44, <i>All - new, renewal, resubmission, revision, AIDS and AIDS-related</i>	Small Business Innovation Research (SBIR)*	September 5	January 5	April 5
SB1, UB1	Commercialization Readiness Pilot (CRP) Program*			

If you do not see your activity code, check your Funding Opportunity Announcement or the [Activity Code](#) Database.

Activity Codes	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
All Activity Codes Cited Above <i>new, renewal, resubmission, revision</i>	AIDS and AIDS-Related Applications  *Effective. Sept 5, 2015 - N/A for SBIR/STTR Applications using Standard Due Dates	May 7	September 7	January 7

NOTE: See Key Dates section of funding opportunity announcement to determine if AIDS dates apply.

#### Review and Award Cycles

	Cycle I	Cycle II	Cycle III
Application Due Dates	January 25 - May 7	May 25 - September 7	September 25 - January 7
Scientific Merit Review	June - July	October - November	February - March
Advisory Council Round	August or October *	January	May
Earliest Project Start Date	September or December *	April	July

*SBIR/STTR, CRP Only	Cycle I	Cycle II	Cycle III
Application Due Dates	September 5	January 5	April 5
Scientific Merit Review	October - November	February - March	June-July
Advisory Council Round	January	May	August
Earliest Project Start Date	April	July	September or December*

#### NOTES:

The actual date of the Advisory Council may occur in the month before or after the month listed. For example, some ICs may actually hold the January Advisory Council meeting in February or the October Advisory Council meeting in September.

Awarding components may not always be able to honor the requested start date of an application. Before incurring any pre-award obligations or expenditures applicants should be aware of NIH policy governing pre-award costs prior to receiving a Notice of Award. See the NIH [Grants Policy Statement](#).

\* Advisory Council Round for Cycle I applications (Cycle III for SBIR/STTR) may be August or October, and their earliest project start date may be September or December respectively.

For additional funding opportunities, visit the Office of Proposal Development [webpage](#).

**Note:** If you have trouble accessing any of the links in this document, we recommend that you copy and paste those links into your default browser.