

This quick guide highlights the proposal and agreement types that require a TranSum when submitting a proposal or agreement to the Grant and Contract Administration (GCA) office.

Note: Click the Grant and Contract Policies & Procedures link below to access all grant and contract policies, procedures and forms, and the TranSum Instructions link for guidance completing the TranSum:

- [Grant and Contract Policies & Procedures](#)
- [TranSum Instructions](#)

Proposal Types		
Proposal Type	Description	Is a TranSum required?
At Risk Request (ARR)	A request to provide a Principal Investigator (PI) with access to funding by creating an account number for a pending/late sponsored award.	No
Letter of Intent/Pre-Application	A letter, white paper or pre-application to a Sponsor indicating the intent of the applicant organization to submit a proposal in response to a particular funding opportunity announcement. Note: <i>This application requires institutional approval.</i>	Yes
Competing Continuation (a.k.a Renewal)	<i>This term is generally an NIH specific term.</i> A renewal application for the next project period for a funded sponsored award. A progress report is usually required as part of the application. Note: <i>This does not apply to awards that result in a new contract each year. In this instance, the proposal type "New" should be used when a subsequent year of work is similar or related to prior years.</i>	Yes
Cost Sharing Approval Form	A request to have a portion of the project or program cost not borne by the Sponsor. Prior to proposal submission, the source of funding for all mandatory (required by the Sponsor) or voluntary committed (not required by the Sponsor but committed within the proposal by the PI) cost sharing or required in-kind matching must be approved by the appropriate University official (self-supported school dean or cognizant provost) who has authority over the source of funds that will be used to share the cost of performing work under a sponsored research agreement. Evidence of the approval must accompany the proposal when submitted to the Office of Grant and Contract Administration (GCA). Approval for voluntary committed cost sharing in the form	No

	of sharing the cost of salary support (effort) must be secured prior to the preparation of the budget and budget justification. The signature of the department chair on a proposal transmittal sheet for a proposal indicates that he or she also has approved any voluntary commitment to cost share effort. The requirement for receiving a prior approval does not apply to salary over a Sponsor imposed salary rate cap.	
Extension	A request to extend an award with additional funding. Note: <i>This does not apply to contracts (or incoming Subawards) which would be modified by means of an Amendment to the contract.</i>	Yes
Just In Time (JIT)	<i>This term is generally an NIH specific term.</i> A request from the Sponsor for additional information including proof of research compliance after the proposal has been submitted, but before it is funded. This indicates a high probability of funding, and typically includes a request for revised budgets and other supporting information.	No, unless there is a change in Personnel or the budget, then Yes
Limited Submission	A funding opportunity announcement that limits the number of applications that may be submitted to a Sponsor by a grantee organization.	Yes
New (w/Instrument=Type: Grant)	An application not previously submitted to a Sponsor.	Yes
New (w/Instrument=Type: Contract)	A new contract specific to a new project. Note: <i>This proposal type should be used for any project where a new contract is generated for a new year of funding for items such as State of Connecticut, UCONN, VA Services, and SBIRs/STTRs. This proposal type should also be used when a subsequent year of work is similar or related to prior years.</i>	<i>Please see the Agreement Type section below.</i>
No Cost Extension (NCE)	A request to extend a grant without additional funding. Most federal granting agencies permit the University to extend the final year of a grant up to a maximum of 12 months without prior approval Note: <i>This proposal type does not apply to contracts (including incoming Subawards) where an amendment to the contract would be used to modify the timelines.</i>	No

<p>Non-Competing Continuation (NCC)</p>	<p><i>This term is generally an NIH specific term.</i></p> <p>It is considered to be the next year of continued support within a project period for a funded sponsored award. A progress report is usually required by the Sponsor from the Project Director (PD) or Principal Investigator (PI) before an award is made. The amount is based on prior award commitments found in the award document, and is updated per current agency spending plans.</p> <p>Note: <i>This does not apply to awards that result in a new contract each year. In this instance, the proposal type "New" should be used when a subsequent year of work is similar or related to prior years.</i></p>	<p>Yes</p>
<p>Resubmission</p>	<p>A term for a sponsored projects grant application resubmitted to a Sponsor after a PD/PI applicant who did not succeed in getting funded revises it based on feedback from the initial peer review.</p>	<p>Yes</p>
<p>Revised Budget / Award in Process (AIP)</p>	<p>A request from the Sponsor after the proposal has been submitted for revised budgets.</p>	<p>Yes, except if it is a Prior Approval Request. (i.e. Carryover Request, Grantor Approved NCE)</p>
<p>Supplement</p>	<p>A request for additional funding to meet increased costs that are within the scope of an approved application, but that were unforeseen when the new or competing renewal application was submitted. If considering administrative supplement funding, you must consult in advance with your designated Grants Management Officer and Program Official. It is important to submit a request before the grant expires. To be considered for an Administrative Supplement, you must submit a request in writing to the IC (not to the Division of Receipt and Referral, Center for Scientific Review). The request must be signed by the Authorized Business Official and describe the need for additional funding and the categorical costs. In the letter, point out what will NOT be able to be accomplished if such a request is denied. At this time Administrative Supplements may not be submitted through Grants.gov.</p> <p>Note: <i>This does not apply to contracts where an amendment to the contract would be used to modify the document.</i></p>	<p>Yes</p>
<p>Transfer (In Only)</p>	<p>An application or award that is being transferred from another institution to Yale.</p>	<p>Yes</p>

Agreement Types		
Agreement Type	Description	Is a TranSum required?
Affiliated Hospital Agreement	A contractual agreement for services between Yale University and various hospitals.	No
Amendment/Modification	A written modification to the existing agreement in which the applicable terms and conditions are modified, and the document is executed by both the Sponsor and Yale. Examples include changes in PI, budget, timelines, other legal terms and conditions.	No, unless there is a change in Principal Investigator (PI).
Assistance Agreement	An agreement that details funding in support of a particular scope of work. Payment is not based on outcomes, but on completion of the proposed investigation. Note: <i>This is typically a grant agreement.</i>	No, as long as a proposal was submitted prior to the award being received.
Clinical Trial Agreement (CTA)	<i>This may be either Sponsor-Initiated or Investigator-Initiated.</i> An agreement for a biomedical or behavioral research study of human subjects that is designed to answer specific questions about biomedical or behavioral interventions (drugs, treatments, devices, or new ways of using known drugs, treatments, or devices). Clinical Trials are conducted to determine whether new biomedical or behavioral interventions are safe and effective. The protocol may be written by either the Sponsor (standard industry-sponsored Clinical Trial) or by the Investigator (Investigator-Initiated Clinical Trial). All CTAs are subject to approval by the HRPP office.	Yes
Certificate of Confidentiality (CoC) Agreement	An agreement issued by the NIH to protect the privacy of research subjects by protecting investigators and institutions from being compelled to release information that could be used to identify subjects with a research project. CoCs are issued to institutions or universities where the research is conducted. They allow the investigator and others who have access to research records to refuse to disclose identifying information in any civil, criminal, administrative, legislative, or other proceeding, whether at the federal, state, or local level.	No
Confidentiality Disclosure Agreement (CDA)	An agreement that details the conditions under which information will be held confidential, and under what circumstances the information can be shared with other parties.	No

Cooperative Agreement	An agreement that details work to be done by multiple stakeholders, usually including significant Sponsor involvement in the conduct or report of the project.	Yes
Data Use Agreements	An agreement between Yale and another party that details the policies and procedures under which confidential data can be exchanged and used.	No
Externship Agreement	An agreement that details the terms under which a Yale Physician’s Associate Program or Nursing Program student is allowed to work at another facility as part of their training requirements.	No
HIPAA-Business Associate Agreement	An agreement between Yale and another party to ensure that collected information is protected.	No
Intellectual Property (IP) Agreement	An agreement that details the terms under which intellectual properties (i.e., patents, copyrights) can be exchanged or protected.	Yes
Master Agreement	An overarching agreement between Yale and an Industry Sponsor that details all the legal and operational terms and conditions under which the parties agree to conduct all subsequent Research, Service, or Clinical Trial projects. Once the MSA is in place, each individual project or Clinical Trial would require only a study-specific Work Order to be finalized to outline the relevant study information without having to renegotiate all the legal terms each time.	No
Materials Transfer Agreement (MTA)	An agreement that details the terms under which certain materials can be shared between entities without fees.	No
Other Agreements	Agreements other than those identified in this quick guide.	With funds: Yes; without funds: No
Outgoing Agreement	An outgoing contract produced by Yale.	No
Purchase Service Agreement (PSA)	A contractual agreement for Yale to purchase specified services from a vendor or a consultant outside of the institution.	<i>These agreements are handled through Procurement.</i>
Rent-A-Doc (obsolete)	Agreements governing the provision of YSM doctors’ services to other entities.	No
Research Agreement (includes Collaborative Research Agreements)	A contractual agreement whereby a Sponsor provides support (funding/materials) to support a research investigation initiated by Yale that has a defined scope of work, but which does not have a requirement for specific outcomes or deliverables. Note: <i>These can be funded or non-funded.</i>	Yes

<p>Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Agreements</p>	<p>SBIR (Small Business Innovative Research) and STTR (Small Business Technology Transfer) agreements are agreements with an Industry Sponsor who has received a federally funded grant to conduct a specific research activity, and where a proportion of the research will be conducted under a subcontract from that company to Yale. The proportion of effort allocated to Yale for the research as well as the nature of the Intellectual Property terms within the contract help differentiate whether one is an SBIR or STTR, but there are other specific federally mandated requirements for each, and a specific letter of intent must precede the agreement at the time of proposal submission that is different for an SBIR versus an STTR.</p>	<p>Yes</p>
<p>Service Agreement</p>	<p>A contractual agreement whereby payment is made by a Sponsor to Yale for the conduct of a specific scope of work and clearly defined deliverables by personnel at Yale for the benefit of the Sponsor.</p>	<p>Yes</p>
<p>Subrecipient – Incoming Agreement</p>	<p>An agreement that provides support to the University to complete/conduct a scope of work under a prime award to another institution.</p>	<p>Yes, during the proposal or progress report time.</p>
<p>Subrecipient – Outgoing Agreement</p>	<p>An agreement that provides support to another organization to complete/conduct a scope of work under an award to the University. This includes modifications to existing Subrecipients.</p>	<p>No</p>
<p>VA-Intergovernmental Personnel Agreement (IPA)</p>	<p>An agreement in which the Veteran’s Administration (VA) purchases the research services of YSM faculty or staff (or we purchase the research services of a VA employee) under an Intergovernmental Personnel Agreement (“IPA”).</p>	<p>Yes</p>
<p>VA-Service Agreement</p>	<p>An agreement between Yale and the VA for work to be performed by their respective employees.</p>	<p>Yes</p>