Research Funding Services Brown Bag

November 4, 2013
11:45 am – 12:45 pm
Hiatt Auditorium (S1-608)

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Agenda

- NIH Update
    - NIH Rescheduled Grant Application Dates
    - Refreshing Submitted Applications
    - Revised NIH Grants Policy Statement Released (10/13)
    - New Form Set C: Planned Enrollment Report & Appendices Issues in Cayuse
    - NIH ASSIST
- Federal Grants Reform – Consolidation of OMB Circulars
- UMMS Form Updates
    - Summary Disclosure of Financial Interests (SDFI) Form
    - Budget Revision Prior Approval (BRPA) Form
- Research Administration Training Program Upcoming Courses
- Proposal & Progress Report Statistics

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NIH Rescheduled Grant Application Dates per NOT-OD-14-007

Activity Code	Original Due Date	New Due Date
R01s, U01s (New)	October 5	November 12
Ks (New)	October 12	November 12
R03s, R21s, R34s, R36s (New)	October 16	November 18
R15s (All)	October 25	November 18
Funding Opportunity	Original Due Date	New Date
PAR-13-277	October 1	November 14
PAR-13-351	October 23	November 14
RFA-AI-13-043	October 23	November 14
PAR-13-086	October 24	November 14
PAR-13-087	October 24	November 14

November grant application due dates will not change with the exception of the Loan Repayment Program which has been extended from November 15th to December 2nd.

Notice available at:
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-007.html

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Refreshing Submitted Applications Reassigned to May 2014 Council

- NIH is giving applicants whose applications have been reassigned to the May 2014 Advisory Council the option of withdrawing and submitting a refreshed application.
- If your investigator chooses to refresh the application, follow the steps below carefully:
  - Only applicants who are reassigned to May 2014 Advisory Council round, and who are notified by NIH of their eligibility to refresh an application, may submit for the December 11 deadline. Any other applications for this deadline will not be reviewed.
  - All refreshed applications are due by December 11, 2013. No late applications will be accepted for this special receipt date.
  - Withdraw the existing application by November 15.
  - Submit a cover letter with the refreshed application. Indicate that you are refreshing your application for the May 2014 council round, include the previous application number, and provide the previous study section assignment. Applicants are welcome to use the email notification they received from NIH as the cover letter.
  - Make the refreshed application a "new", "resubmission" or "renewal" to match the withdrawn application.

NOT-OD-14-007 available at:
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-007.html

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Refreshing an Application that was Submitted for an October Due Date

- NIH is giving applicants who have already submitted an application for an October due date the opportunity to replace the submission with a "refreshed" application.
- Follow the guidance below if you choose to submit a "refreshed" refreshed application for the rescheduled due dates:
  - If an application has an image in the eRA Commons and is within the two day viewing window RFS will reject the application in the Commons to keep it from further processing, then submit the refreshed application.
  - If there is no option to reject the application in the Commons (meaning the application has moved beyond the viewing window for further processing by NIH), applicants should withdraw the application before submitting a refreshed application.
- Replacing the application submission with a "refreshed" application does not count as a resubmission (A1), meaning that an application submitted for an October due date as a "new" application should be submitted as a "new" application. A "resubmission" should be submitted again as "resubmission". A "renewal" should continue to be a "renewal".

NOT-OD-14-007 available at:
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-007.html

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Revised NIH Grants Policy Statement (NIHGPS) Released October 2013

- This revision supersedes, in its entirety, the NIH Grants Policy Statement (10/2012) as a standard term and condition of award.
- Please note the October 2012 NIHGPS continues to be the standard term and condition for all NIH grants and cooperative agreements with budget periods that began between October 1, 2012 and September 30, 2013.X.
- Updated Administrative Requirements
  - Incorporated language implementing the RPPR and requiring for SNAP and fellowship awards.
  - Expectation for institutions to develop individual development plans for graduate students and postdoctoral researchers.
- Revised NIHGPS available at:
  - http://grants.nih.gov/grants/policy/nihgps_2013/

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New Form Set C: Planned Enrollment Report & Appendices Issues in Cayuse

- Planned Enrollment Report (PER) must be completed before the proposal is routed to RFS.
- Comment field in the PER must be filled or it will generate an error upon validation in Cayuse.
- Any revisions to PER will require rerouting to RFS for approval since it is part of the business section of the proposal.
- Appendices
  - If you delete and replace an existing appendix item, the original may still show in the proposal.
  - This is a known Cayuse error. Call RFS and a member of the Grants Team will transform the existing proposal into a copy which should show the correct appendices.

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NIH ASSIST

- Guidance
  - Before you start in ASSIST, have a shell of your project components mapped out/completed (Projects/Cores/Leads).
  - Complete an internal budget form or an excel spreadsheet for each component.
  - Have your fringe and F&A calculations available for prime and sub sites (ASSIST does not auto calculate rate or base).
  - Follow the specific guidelines/requirements found in the Application Guide and Funding Opportunity Announcement (FOA). Instructions in the FOA supersede those found in the application guide.

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NIH ASSIST

- Submission Tips
  - Submit early. We recommend a minimum of 2 days to take advantage of the application viewing window.
  - ASSIST applications must be submitted by an RFS Authorized Organizational Representative (AOR).
  - Validate for errors and update status of proposal components.
  - Review the assembled application image in ASSIST to review the composite budget before submission.
  - Please note that if a changed/corrected application is submitted after the deadline, your application <u>will be late and will be rejected</u>.
- RFS will be scheduling a mini-brown bag in December regarding use and submission within the ASSIST system.

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Federal Grants Reform
OMB Circular Consolidation

- The Office of Management and Budget (OMB) has proposed reforms to improve the administration of federally awarded grants and other types of federal financial assistance.
- The grant reform initiative proposes to combine the 8 existing OMB circulars (e.g., A-21, A-110, A-133) into one comprehensive and streamlined circular A-81 (also referred to as the Omni-Circular).
- Pre-shutdown, OMB was looking to release the final version in December – stay tuned.

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UMMS Forms Update

- Summary Disclosure of Financial Interests (SDFI)
  - Please ensure UMMS investigators complete the disclosure check yes or no on the form in Section B.
  - Please ensure to select yes or no in Section C (Non-University Investigators). If yes, please select the appropriate non-University Investigator type.

Disclosures & Certifications for UMass Personnel Identified as "Investigators"

B. For the purposes of this disclosure, *Investigator* is defined as any person, *regardless of title or position*, who is responsible for the design, conduct, or reporting of research, or proposed for such funding, which includes subawardees and may include consultants and unpaid collaborators.

By signing below each Investigator (1) certifies that this form provides an accurate report of whether there are any Significant Financial Interests related to their Institutional Responsibilities, and (2) acknowledges responsibility to provide a complete disclosure of all Significant Financial Interests reasonably related to their Institutional Responsibilities prior to award receipt, as those interests change, and on an annual basis during the project award period.

Institutional Responsibilities means an Investigator's professional responsibilities on behalf of the Institution, including activities such as research, teaching, clinical or other professional practice, academic activities, scholarly events, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Do you, your spouse/domestic partner or dependent children have any Significant Financial Interests (SFI) related to the Investigator's Institutional Responsibilities? Please answer below. (Reference definitions on the reverse side of this form).

1. ☐ Yes ☐ No If yes, investigator confirms the disclosure on the UMMS COI System (http://coi.umassmemorial.org/coi/) has been updated and is current.

Disclosing Investigator: _____   Title: _____

Signature   Date

C. ☐ Yes ☐ No *Will Non-University Investigators be responsible with the PI or Co-PI for the design, conduct, or reporting of the activities associated with the project (e.g., subrecipients, consultants, collaborators, others with significant responsibilities)? If yes, UMMS must be assured that the Investigators' home institution(s) have policies that comply with the sponsor's regulations. Such assurance should be provided along with the participant's Letter of Intent/Commitment to the project at the submission stage.*

If yes, please identify non-University Investigator type (check all that apply): ☐ Subrecipients ☐ Consultants ☐ Collaborators ☐ Others w/SFIs

UMMS Forms Update

- Budget Approval Prior Approval (BRPA) Form
  - Please remember to fill in the document contact information in the header section of the form.

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BUDGET REVISION PRIOR APPROVAL (BRPA) FORM

This form is required to request a change to the posted budget in PeopleSoft. Complete this form following the instructions on the **INSTRUCTIONS** page of this workbook. Please remember to include an explanation stating how the proposed revision relates specifically to the research supported by this grant. Attach appropriate supporting documentation as necessary.

Principal Investigator:		Department:	
Sponsor/Agency:		PS Award #:	
Sponsor Award No.:		Project/Grt #	

Document Contact: Phone: Email: Date:

Category	Cumulative Budget	Increase (Decrease)	Revised Cumulative Budget
Regular Employee Comp Total	-	-	-

Research Administration Training Program Upcoming Courses

- Post-Award II
  - 11/6/13   8:30 – 12:30   Location – HR Training Room, South St.
- Training Grants
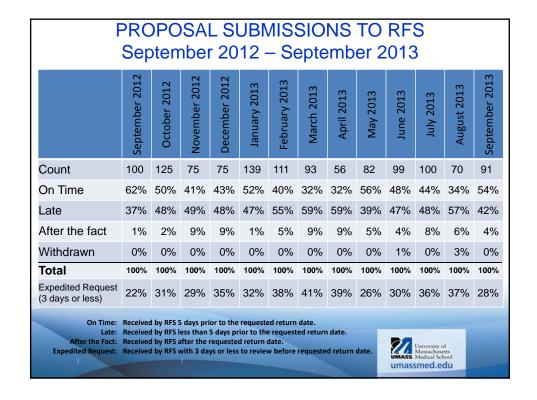 - 11/21/13   9:00 – 11:00   Location – TBD
- Federal Contracts
  - 12/10/13   9:00 – 11:00   Location – TBD

To register go to:
http://i.umassmed.edu/Inside/registration/Register.aspx?pid=77

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PROPOSAL SUBMISSIONS TO RFS
September 2012 – September 2013

	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013	May 2013	June 2013	July 2013	August 2013	September 2013
Count	100	125	75	75	139	111	93	56	82	99	100	70	91
On Time	62%	50%	41%	43%	52%	40%	32%	32%	56%	48%	44%	34%	54%
Late	37%	48%	49%	48%	47%	55%	59%	59%	39%	47%	48%	57%	42%
After the fact	1%	2%	9%	9%	1%	5%	9%	9%	5%	4%	8%	6%	4%
Withdrawn	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%	3%	0%
Total	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**
Expedited Request (3 days or less)	22%	31%	29%	35%	32%	38%	41%	39%	26%	30%	36%	37%	28%

On Time: Received by RFS 5 days prior to the requested return date.
Late: Received by RFS less than 5 days prior to the requested return date.
After the Fact: Received by RFS after the requested return date.
Expedited Request: Received by RFS with 3 days or less to review before requested return date.

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SUBMISSIONS TO RFS
Setpember 2012 to September 2013 Comparison

PROPOSALS	2012	2013	Change
Count	100	91	-9
On Time	62%	54%	-8
Late	37%	42%	+5
After the fact	1%	4%	+3
Withdrawn	0%	0%	0
Total	**100**%	**100%**	-
Expedited Request (3 days or less)	22%	28%	+6

On Time: Received by RFS 5 days prior to the requested return date.
Late: Received by RFS less than 5 days prior to the requested return date.
After the Fact: Received by RFS after the requested return date.
Expedited Request: Received by RFS with 3 days or less to review before requested return date.

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PROGRESS REPORT SUBMISSIONS TO RFS
September 2012 – September 2013

	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013	May 2013	June 2013	July 2013	August 2013	September 2013
Count	11	23	22	20	25	45	30	42	59	30	28	8	9
On Time	37%	26%	27%	55%	40%	49%	50%	45%	44%	44%	32%	38%	67%
Late	27%	43%	41%	25%	48%	40%	40%	41%	49%	53%	57%	12%	33%
After the fact	36%	30%	32%	20%	12%	11%	10%	14%	7%	3%	11%	50%	0%
Total	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**
Expedited Request (3 days or less)	0%	35%	36%	10%	44%	24%	17%	31%	22%	33%	46%	12%	22%

On Time: Received by RFS 5 days prior to the requested return date.
Late: Received by RFS less than 5 days prior to the requested return date.
After the Fact: Received by RFS after the requested return date.
Expedited Request: Received by RFS with 3 days or less to review before requested return date.

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SUBMISSIONS TO RFS
September 2012 to September 2013 Comparison

PROGRESS REPORTS	2012	2013	Change
Count	11	9	-2
On Time	37%	67%	+30
Late	27%	33%	+6
After the fact	36%	0%	-36
Total	**100%**	**100%**	**-**
Expedited Request (3 days or less)	0%	22%	+22

On Time: Received by RFS 5 days prior to the requested return date.
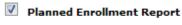Late: Received by RFS less than 5 days prior to the requested return date.
After the Fact: Received by RFS after the requested return date.
Expedited Request: Received by RFS with 3 days or less to review before requested return date.

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SF424 FORMS C-   **Planned Enrollment Report**

Must complete before routed to RFS

✓ **Planned Enrollment Report**
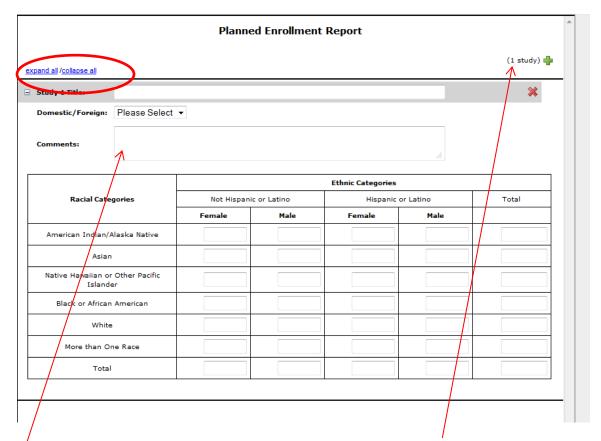   1

Click on green plus sign to open an enrollment table.

SF 424 FORMS C-

Planned Enrollment Report

expand all /collapse all   (0 studies) ✚

One study will be added:

Planned Enrollment Report

expand all /collapse all   (1 study) ✚

☐ Study 1 Title: ✖

Domestic/Foreign: Please Select ▾

Comments:

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/Alaska Native					
Asian					
Native Hawaiian or Other Pacific Islander					
Black or African American					
White					
More than One Race					
Total					

If you go back into the proposal and do not see it, click on expand all. Note, it now shows that there is 1 Study.

In addition, a Comment must be added.

Appendix Materials:

If you delete and replace an existing appendix item, the original may still show in the proposal. This is a known Cayuse error. Call RFS and a member of the Grants Team will copy the existing proposal into a Copy which should show the correct appendices.