

Research Funding Services Brown Bag

March 31, 2014

11:45 am – 12:45 pm

Hiatt Auditorium (S1-608)



Agenda

- Office of Global Health Update
 - Donna Gallagher
- SUMMIT Pre-award Dashboard Demonstration
 - Amy Miarecki & Melissa Gordon
- NIH Update
 - NOT-OD-14-070 Adjustments to May 25-28 Due Dates
 - NOT-OD-14-071 NIH Grants System Upgrade - Downtime Memorial Day Weekend
 - Updated NIH Proposal Information webpage on RFS website
 - VA MOU Requirement for Jointly Appointed Investigators
- RFS Update
 - New Investigator Requirements webpage
 - Cayuse & ASSIST
- Research Administration Training Program Upcoming Courses
- Proposal & Progress Report Statistics

NIH Adjustments to May 25-28 Grant Application Dates

- NOT-OD-14-070 released March 14, 2014 notifies the research community that due to system downtime, due dates that fall on or between May 25-28 will move to May 29, 2014.
- Please refer to the Notice for affected activity codes and funding opportunities.
- Applicants preparing multi-project applications using ASSIST will not have access to their applications during the downtime and should plan according for May deadlines (U54 & UM1).
- Any applications submitted to Grants.gov during the downtime will be held at Grants.gov. Once service is restored, the applications will be processed by NIH and the submission results will be made available in eRA Commons.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-070.html>



NIH Extramural Grant System Upgrade Memorial Day Weekend

- NOT-OD-14-071 released March 14, 2014 notifies the research community that eRA has scheduled extended downtime for the Memorial Day weekend, May 2014, while NIH systems are upgraded. NIH eRA systems will be brought down on Friday, May 23 at 9:00 PM ET and full service is anticipated to be restored by Tuesday, May 27 at 7:00 AM ET.
- During this downtime, all production eRA systems (including eRA Commons, ASSIST, Internet Assisted Review and others) will be unavailable for this major effort to improve the quality of the data in uploaded summary statements, progress reports and reporting systems.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-071.html>



- Fact Sheet
- Forms
- Research Policies & Procedures
- Funding Opportunities
- Electronic Research Administration
- New Investigator Requirements
- **NIH Proposal Information**
- Contracts and Subcontracts
- Post-Award Administration
- Post-Award Fiscal Information
- Grant Transfers
- Brown Bag Dates
- Contact Us



NIH Proposal Information

Office of Extramural Research (OER)	NIH funding home page
Forms and Application Instructions	<ul style="list-style-type: none"> • PHS398 and 2590 forms and application instructions • SF424 Application Instructions, including <ul style="list-style-type: none"> • K (Career) Awards • NRSA Kirschstein Fellowships
Electronic Research Administration	<ul style="list-style-type: none"> • eRA Commons Login Page • ASSIST Login Page • User Guides (RPPR, ASSIST, xTrain) and Process Documentation
Electronic Submission of Grant Proposals	
Schedule of Proposal Receipt Dates and Review & Award Cycles	
Table of Page Limits	
Electronic Application FAQs	
Glossary of NIH Terms	
Extramural Training Opportunities	<ul style="list-style-type: none"> • NRSA Individual Fellowships • NRSA Institutional Training Grants • K (Career) Awards • Stipend Levels • Loan Repayment Program

NIH Grants Policy Statement

Section 17.3 VA-University Affiliations

- Investigators with joint appointments must have a valid MOU to:
 - Ensure that the investigator is not being paid at both UMMS and the VA for the same work.
 - Show how an investigator’s time is spread across UMMS and VA activities.
 - Provide an assurance that research commitments made can be met.
 - Ensure that there are no actual or apparent conflicts of interest.

Joint VA Appointments Tracking Effort

- Universities and the VA record time differently:
 - The VA defines a full workweek as 40 hours or 8/8^{ths}.
 - UMMS time is based upon percent of effort per OMB Circular A-21.
 - In most instances, UMMS will allow a combined (UMMS & VA) workweek of 65 hours.
 - Individuals with a VA appointment of 6/8^{ths} or greater are not allowed to receive a full-time UMMS appointment.

Compensation & Effort Requested for Investigators with Joint Appointments in UMMS NIH Applications

- Compensation and effort requested in grant applications submitted by UMMS is based solely upon the UMMS institutional base salary (IBS)
- IBS is defined as salary paid by UMMS, including UMMHC salary funded by UMMS funding sources
- Compensation received through the VA appointment is not included in the UMMS IBS

VA MOU Procedure

- UMMS investigator has/receives VA appointment.
- Investigator/Department Administrator downloads VA MOU template from the RFS website.
- The MOU is completed by the investigator, endorsed by the UMMS Department Chair and then forwarded to the VA for signature.
- Once the VA signs the MOU, it is returned to RFS for execution.
- RFS reviews, signs and retains the original MOU and provides copies of the fully executed MOU to the department and VA.
- The MOU should be updated every year. A revised MOU should be prepared if significant changes occur during the year.



Research Funding

Research Home | Research Funding | Clinical Research | Compliance | Core Facilities | Clinical/Translational Science | Research Training

- Fact Sheet
- Forms
- Research Policies & Procedures
- Funding Opportunities
- Electronic Research Administration
- **New Investigator Requirements**
- NIH Proposal Information
- Contracts and Subcontracts
- Post-Award Administration
- Post-Award Fiscal Information
- Grant Transfers
- Brown Bag Dates
- Contact Us

New Investigator Requirements

New and/or first-time UMMS employees with intentions to submit sponsored-project applications are required to sign the UMMS Participation Agreement and acknowledge receipt of the institutional conflict of interest and intellectual property policies before being granted Principal Investigator status.

The forms and policies are listed below. Once completed, please forward the original signature page from each agreement to Denise DeGabriele-Lindberg in RFS, room S1-855.

Forms:

Participation Agreement (includes Intellectual Property policy)

Acknowledgement Form (Includes Conflict of Interest policy)

Once these agreements are signed, the next step is to request an eRA Commons ID or to affiliate your existing ID with UMMS. Please use the eRA Commons Account Request Form to initiate this request.



Research Administration Training Program Upcoming Courses - 2014

- NIH “A Closer Look” (Elective)
04/02/14 9:00 – 11:00 Location – University Campus, S2-351
- Effort Management (Elective)
04/10/14 9:00 – 11:00 Location – Lazare Auditorium, S1-607
- Sub-Awards & Research Agreements (Elective)
04/16/14 9:00 – 11:00 Location – University Campus, S2-351
- Intellectual Property (Elective)
04/29/14 9:00 – 11:00 Location – LRB, Michelson Conf. Room

To register go to:

<http://i.umassmed.edu/Inside/registration/Register.aspx?pid=77>



PROPOSAL SUBMISSIONS TO RFS February 2013 – February 2014

	February 2013	March 2013	April 2013	May 2013	June 2013	July 2013	August 2013	September 2013	October 2013	November 2013	December 2013	January 2014	February 2014
Count	111	93	56	82	99	100	70	91	110	86	74	147	93
On Time	40%	32%	32%	56%	48%	44%	34%	54%	42%	37%	47%	44%	43%
Late	55%	59%	59%	39%	47%	48%	57%	42%	53%	58%	49%	51%	53%
After the fact	5%	9%	9%	5%	4%	8%	6%	4%	5%	5%	4%	5%	4%
Withdrawn	0%	0%	0%	0%	1%	0%	3%	0%	0%	0%	0%	0%	0%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	38%	41%	39%	26%	30%	36%	37%	28%	33%	36%	30%	37%	40%

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.



SUBMISSIONS TO RFS

February 2013 to February 2014 Comparison

PROPOSALS	2013	2014	Change
Count	111	93	-18
On Time	40%	43%	+3
Late	55%	53%	-2
After the fact	5%	4%	-1
Withdrawn	0%	0%	-
Total	100%	100%	-
Expedited Request (3 days or less)	38%	40%	+2

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.



PROGRESS REPORT SUBMISSIONS TO RFS

February 2013 – February 2014

	February 2013	March 2013	April 2013	May 2013	June 2013	July 2013	August 2013	September 2013	October 2013	November 2013	December 2013	January 2014	February 2014
Count	45	30	42	59	30	28	8	9	12	35	23	35	41
On Time	49%	50%	45%	44%	44%	32%	38%	67%	42%	43%	30%	46%	42%
Late	40%	40%	41%	49%	53%	57%	12%	33%	25%	40%	44%	25%	36%
After the fact	11%	10%	14%	7%	3%	11%	50%	0%	33%	17%	26%	29%	22%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	24%	17%	31%	22%	33%	46%	12%	22%	17%	29%	35%	14%	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.



SUBMISSIONS TO RFS

February 2013 to February 2014 Comparison

PROGRESS REPORTS	2013	2014	Change
Count	45	41	-5
On Time	49%	42%	-7
Late	40%	36%	-4
After the fact	11%	22%	+11
Total	100%	100%	-
Expedited Request (3 days or less)	24%	22%	-2

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.



17.3 VA-University Affiliations

Investigators with joint appointments at a VAMC (VA hospital) and an affiliated university must have a valid MOU that specifies (at both the university and the VAMC) the title of the investigator's appointment, distribution of compensation, the responsibilities of the proposed investigator, and the percentage of effort available for research at each institution. The MOU must be signed by the appropriate officials of the grantee and the VAMC, and must be updated with each significant change of the investigator's responsibilities or distribution of effort and, without a significant change, not less than annually. The joint VA/university appointment of the investigator constitutes 100 percent of his or her total professional responsibilities. However, NIH will recognize such a joint appointment only when a university and an affiliated VA hospital are the parties involved.

A grant application from a university may request the university's share of an investigator's salary in proportion to the effort devoted to the research project. The institutional base salary as contained in the individual's university appointment determines the base for computing that request.

The signature of the AOR of the submitting university on an application to NIH that includes such an arrangement certifies that

- the individual whose salary is included in the application serves under a joint appointment documented in a formal MOU between the university and the VA, and
- there is no possibility of dual compensation for the same work or of an actual or apparent conflict of interest.

Under the above-described arrangement, there is no involvement of a VA-affiliated non-profit research corporation, which is eligible to apply for and receive NIH grants in its own right as a non-profit organization. The limitations on the payment of Federal salaries apply (see [Allowable and Unallowable Costs](#) in this chapter).

VA Memorandum of Understanding Guidelines for Investigators Conducting Sponsored Research at the University of Massachusetts Medical School

General:

The National Institutes of Health (NIH) requires that investigators with joint University and Department of Veterans Affairs (VA) appointments maintain a formal Memorandum of Understanding (MOU). The MOU outlines the duties and effort to be committed by jointly appointed investigators at both the University and the VA. In addition, the MOU certifies that there is no possibility of dual compensation for the same work, or an actual or apparent conflict of interest regarding such work. The VA uses a 40 hour work week as the basis for calculating available effort for research activities. However, University Investigator appointments are not measured in terms of hours since the number of hours an investigator can work in a full-time appointment may vary significantly from investigator to investigator. Therefore, in accordance with OMB Circular A-21 and 45 CFR Part 74 University Investigator effort is expressed as a percentage distribution of total University activities.

Applicability:

All University investigators who hold a salaried VA appointment must have a completed Memorandum of Understanding (MOU) in place when applying for or participating in an NIH-funded award. University appointments are defined as those paid by the Medical School. The MOU must be updated at least annually either at the time of annual progress report submission or annual effort certification. Effort percentages should be based on a reasonable, justifiable work week, representing the professional responsibilities of the applicable appointments for the investigator. In most instances, a sixty-five (65) hour work week should be used.

A current MOU (endorsed within the previous year) must be submitted to the Office of Research Funding Services at the time of application or progress report submission. If significant changes occur during the interim period (i.e. changes in VA appointment or significant change of 25% or greater in research commitments), a revised MOU must be prepared and submitted at that time.

The Memorandum of Understanding allocates effort between VA and University activities. Because the VA will not authorize overtime hours, the VA appointment is based on a 40 hour work week. For example, a 3/8th VA appointment is equivalent to a 15 hour VA work week. Investigators with a 5/8 or less appointment may have a 100% FTE appointment with the Medical School.

Please consult with the Office of Research Funding Services in instances where the VA appointment is greater than 5/8^{ths}. Individuals with a VA salaried appointment of 6/8^{ths} or greater seeking a University appointment will not be allowed to receive a full-time appointment (1.0 FTE).

NIH Proposal Submissions:

Investigators with VA appointments must disclose their joint appointment in the budget justification of their NIH proposals, indicating the base salary used in the application represents only University salary and that the effort committed is related solely to the investigator's University appointment.

Please note that the NIH does not allow VA effort to be counted toward the fulfillment of effort commitments on career “K” development awards.

In preparing proposals, specifically budget justifications, University investigators who hold VA salaried appointments should include the standard statement (below) to disclose to NIH the basis for the effort percentage and salary request.

Dr. _____ has an appointment with the University of Massachusetts Medical School (UMMS) and the Veterans Administration (VA). This arrangement is defined in a formal UMMS-VA Joint Appointment MOU. The base salary used in this application represents only the salary from UMMS. Dr. _____’s university committed effort on this proposal is ____ calendar months, of which salary has been requested. Dr. _____ receives salaries from both the UMMS and VA ; there is no dual compensation from these two sources for the same work nor is there an actual or apparent conflict of interest regarding such work.

Non-NIH Proposal Submissions

University investigators with VA appointments that intend to participate in non-NIH funded research should consult with the University Office of Research Funding Services.

Resources:

[Memorandum of Understanding \(MOU\) template and instructions for jointly appointed VA and UMMS investigators](#)

[NIH Grants Policy Statement \(Part II, Subpart B: Grants to Federal Institutions and Payments: VA-University Affiliations\)](#)

[NIH Grants Policy Statement \(Part II, Subpart B: Grants to Federal Institutions and Payments: Allowable and Unallowable Costs: Salary or Fringe Benefits\)](#)

JOINT APPOINTMENT MEMORANDUM OF UNDERSTANDING (MOU)

NAME: **John Doe**
DATE: **March 20, 2014**

UMMS APPOINTMENT: Full-Time FTE: 1.0

The following schedule represents the distribution of total responsibilities representing 100% effort for John Doe between the Veteran's Administration (VA) and UMMS. The combined effort percentages are calculated using a 60 hour base.

	VA		UMMS		COMBINED
Institutional Title:	Physician/Scientist		Professor		
Appointment:	5	Eighths	The total UMMS effort below (left column) constitutes the 1.0 base for UMMS grant submissions		
	is equal to				
	25	Hours			
	% OF VA EFFORT	% OF TOTAL EFFORT	% OF UMMS EFFORT	% OF TOTAL EFFORT	% OF TOTAL EFFORT
Research	75%	31%	52%	30%	61%
Other	25%	11%	48%	28%	39%
Total	100%	42%	100%	58%	100%

By signing this MOU, the parties represent that there is no possibility of dual compensation or conflict of interest for work being performed by the named investigator and that there are no outstanding issues that would prevent the investigator from completing his/her assigned responsibilities at the VA or UMMS.

 Research Contact
Bedford Veterans Hospital

 Investigator
 John Doe

 COS Name
 Chief of Staff
Bedford Veterans Hospital

 Chair Name, Department Chair
 University of Massachusetts Medical School

Bedford Veterans Hospital

 Diego Vazquez, Assistant Vice Provost
 Research Funding Services, Office of Research
 University of Massachusetts Medical School

ACRONYMS AND TERMS USED TODAY

RFS BROWN BAG - 03/31/2014

ACRONYM/TERM	DESCRIPTION
A-21	OMB Circular A-21 (Cost Principles for Educational Institutions)
ASSIST (NIH)	Application Submission System & Interface for Submission Tracking
Cayuse 424	Cayuse is a web-based system for submission of applications via grants.gov.
eRA	Electronic Research Administration
Grants.gov	Federal grant application portal. Also provides grant opportunity information.
IBS	Institutional Base Salary
NOT	NIH Notice (e.g., NOT-OD-14-070)
OGH	Office of Global Health (UMMS)
OMB	Office of Management & Budget (Federal Government)
RFS	Research Funding Services
U54	NIH Activity Code – Specialized Center (Cooperative Agreements)
UM1	NIH Activity Code – Multi-Component Research Project Cooperative Agreements
VA MOU	Veterans Administration Memorandum of Understanding