

Research Funding Services Brown Bag

June 29, 2015

11:45 am – 12:45 pm

Hiatt Auditorium (S1-608)



Agenda



- Using ORCID in SciENcv for Biosketch Publications
- Budgeting Escalations in NIH Grant Applications
- NIH Update
 - NOT-OD-15-111: Deadline for Final Reports Required for Grant Closeout
 - NOT-OD-15-106: Applicant Responsibilities in Maintaining the Integrity of NIH Peer Review
 - NOT-OD-15-105: Reminder of Timeline for Administrative Changes to NIH Domestic Awards to Transition to Payment Management System Subaccounts
 - NOT-OD-15-091: Clarifying Publication Reporting Instructions for Research Performance Progress Reports (RPPR) and Renewal Applications
- Uniform Guidance Subrecipient Monitoring Requirements
- Proposal Routing Form Update (long title now prints on form)
- SDFI Form – eSignature Initiative
- Reminder - Updating Proposal Submission Dates Using the SUMMIT Pre-Award Dashboard
- Proposal & Progress Report Statistics



<https://vimeo.com/97150912>

ORCID

HOW

- Create account
 - Fast and free
- Update profile
 - Import works from databases like Scopus
- Use the ID
 - Integrate with SciENcv
 - Submit to Publishers
 - Apply for grants
 - Include on faculty webpage.



WHY

- Complements PubMed/Profiles
 - Is more accurate and vetted
 - Can be modified
- Easy to update
 - Using integrated tools like Scopus
- Becoming more common
 - Funders
 - Publishers

<http://libraryguides.umassmed.edu/orcid>

TO: UMMS Research Community
FROM: Diego Vazquez, Assistant Vice Provost, Research Funding Services
DATE: June 26, 2015
RE: Budgeting Inflationary Increases & Escalating Salaries in NIH Grant Applications

With the release of [NOT-OD-15-050](#) "NIH Fiscal Policy for Grant Awards," NIH has removed the restriction on inflationary increases for future years that was put in place in FY2012 ([NOT-OD-12-036](#)). Removal of this restriction allows UMMS to budget inflationary increases for future year commitments in applications submitted to NIH. NIH's budget guidance recommends up to a 3% escalation factor.

Please note that the removal of this restriction does not apply to salaries in excess of the salary cap. In [NOT-OD-15-049](#) "Notice on Salary Limitation on Grants, Cooperative Agreements, and Contracts," NIH states that awards for applications that request direct salaries of individuals in excess of the applicable rate per year will be adjusted in accordance with the legislative salary limitation. NIH's [budget development guidance](#) (see under the "Understanding the Out Years" section) more explicitly states that adjustments on salaries cannot exceed the salary cap.

We have received requests from department administrators to allow salaries to be escalated beyond the salary cap on the out years of applications, especially in instances where collaborating institutions are doing so. While NIH's guidance clearly states to level fund out year salaries at the cap, RFS will not require budgets applying the escalation to salary capped individuals to be revised as long as the department acknowledges that the escalated amounts could be cut from the budget at the time of award and is willing to accept this risk.

To account for this change, the [Internal Budget Worksheet](#) on the RFS forms website has been revised to allow departments to apply the escalation factor on an individual basis to salary capped and uncapped individuals and to allow for the escalation of non-salary categories.

Please contact me if you have questions about budgeting salary escalations in NIH budgets.

NOT-OD-15-111: Deadline for Final Reports Required for Grant Closeout

- NIH announced in the Interim Grant General Conditions released on February 5, 2015, that projects ending on or after October 1, 2014 must submit a Final Federal Financial Report (FFR), Final Progress Report (FPR), and Final Invention Statement and Certification (FIS) within 120 calendar days of the end of the period of performance.
- NIH will apply this policy change to all projects with a period of performance end date on or after October 1, 2014. For any grants with a project period end date prior to October 1, 2014, the reporting deadline will be 90 days from the project period end date.
- The revised timeline for submission of final reports is not yet reflected in the link for the final FFR for a grant in eRA Commons or in the "grants pending closeout" search by institution in Commons Quick Queries. NIH anticipates that the correct due date for submission will be reflected in eRA systems no later than July 17, 2015.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-111.html>

NOT-OD-15-106: Applicant Responsibilities in Maintaining the Integrity of NIH Peer Review



- In this notice NIH reminds applicants not to contact study section reviewers or send information directly to them. The only acceptable process for such communication is through the Scientific Review Officer (SRO) managing the study section.
- Applicants should not attempt to access information related to the review of that application in secure NIH computer systems.
- An official of an applicant institution, PI or individual named in an application who is contacted by a reviewer for purposes of obtaining or exchanging information outside of the channels described above should contact the SRO who is managing the review of his or her application.
- NIH may defer an application for peer review or withdraw the application if it determines that a fair review is not feasible because of action(s) by an official of an applicant organization, a PI or other investigator named in an application.
- Depending on the specific circumstances, the NIH may take additional steps to ensure the integrity of the peer review process.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-106.html>

NOT-OD-15-105: Reminder of Timeline for Administrative Changes to NIH Domestic Awards to Transition to Payment Management System Subaccounts



- As of October 1, 2015, NIH will use only subaccounts for awarding grant funds. Every grant awarded funding in FY 2016 (whether it be in the first, second, third or fourth quarter of FY 2016) will be in a subaccount.
- The transition of all NIH awards to PMS subaccounts will be complete by September 30, 2016.
- Grantees are advised that there will be no additional implementation delays considered and no exceptions granted to the deadline.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-105.html>

- This Notice clarifies which publications should be included in progress reports and renewal applications for institutional training, career development, and related awards.
- When awardees list a paper in the progress report publication list of an RPPR or a renewal application, they are claiming that the publication directly arises from that award and the awardee is responsible for the public access compliance of the listed publications. This notice clarifies which papers directly arise from institutional training, career development, and related awards to reduce the burden of unnecessary reporting.
- Guidance for Reporting Publications for Institutional Training, Career Development, and Related Awards applies to the following activity codes: T15, T32, TL1, T34, TL4, T35, T90, R25, RL5, R90, RL9, K12, KM1, KL2, D43, D71, DP7, U2R, and U45.
 - Trainee, scholar, and participant publications must be reported in section C.1 of the RPPR if:
 1. the publication was accepted for publication or published during the reporting period; and
 2. the publication resulted from work conducted while the individual was supported by the award (i.e., receiving a stipend or salary from the award).
- Publications resulting from work conducted while not actively supported by the institutional training, career development, or related award should not be reported in section C.1.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-091.html>

Subrecipient Monitoring Requirements – Upcoming Changes

- OMB Uniform Guidance requires federal award prime recipients to monitor subawards to ensure subrecipients meet audit requirements and use funds in accordance with applicable laws, regulations and terms of the award.
- UMMS PI's and departments will need to document their subrecipient monitoring efforts.
- RFS is working with Grant Accounting to finalize monitoring tools to assist departments with their monitoring responsibilities.

- The Proposal Routing Form (PRF) generated in PeopleSoft has been modified to now include the Long Title of the Proposal.

- RFS is working with UMMS IT to develop a web-based SDFI form with email based workflow and electronic signatures.
- Expect beta testing to occur during the summer with potential fall deployment.

Listing Non-Key Faculty and Post-Docs on Proposal Routing Forms (PRF)



- In order to capture an individual’s full involvement in grant projects using the Biographical Sketch Dashboard (BSD) in SUMMIT we have created the “Other” coding category for use in the PRF.
- This category should be used when an individual is not listed as key personnel on the project.
- It will allow for the individual’s information to be captured in the BSD and will facilitate the development and maintenance of the individual’s biosketch.
- The only additional signature required on the PRF when using the Other category is that of the Department Administrator of the individual listed.
- Multi-PI’s & Co-Investigator’s listed on the PRF will still require Chair signature.

| Individual’s Category | PRF Coding | Individual’s Signature Required? | Department Approval |
|----------------------------------|------------|----------------------------------|--|
| Faculty | OTHER | No | Proposal Routing Form (PRF) only requires Department Administrator signature |
| Post-Doctoral Research Associate | OTHER | No | Proposal Routing Form (PRF) only requires Department Administrator signature |

Updating Proposal Submission Dates Using SUMMIT Pre-Award Dashboard



- REMINDER – UMMS administration will be reviewing proposal submission and success rate metrics housed in the SUMMIT pre-award dashboard.
 - For non-Cayuse proposals previously submitted that appear as “In Process” without a Date Submitted, use the RFS Submitted Proposal Form link to update the status.
 - **Please note that this is not an electronic process. The form must be completed and submitted to RFS for updating.**
 - There are currently a significant amount of proposals out there with submit dates that have yet to be submitted to RFS for updating.
- A job aid is available on Financial Services website at:
 - http://inside.umassmed.edu/uploadedFiles/Pre%20Award%20Dashboard_040314.docx

PROPOSAL SUBMISSIONS TO RFS

May 2014 – May 2015



| | May 2014 | June 2014 | July 2014 | August 2014 | September 2014 | October 2014 | November 2014 | December 2014 | January 2015 | February 2015 | March 2015 | April 2015 | May 2015 |
|------------------------------------|-------------|-------------|-------------|-------------|----------------|--------------|---------------|---------------|--------------|---------------|-------------|-------------|-------------|
| Count | 110 | 127 | 104 | 67 | 100 | 115 | 77 | 62 | 119 | 117 | 89 | 72 | 69 |
| On Time | 43% | 50% | 40% | 37% | 48% | 44% | 34% | 50% | 54% | 40% | 47% | 33% | 39% |
| Late | 49% | 46% | 52% | 58% | 47% | 52% | 61% | 48% | 42% | 56% | 46% | 63% | 58% |
| After the fact | 8% | 4% | 8% | 5% | 5% | 3% | 4% | 2% | 4% | 4% | 7% | 4% | 3% |
| Withdrawn | 0% | 0% | 0% | 0% | 0% | 0% | 1% | 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) | 29% | 33% | 36% | 49% | 30% | 30% | 38% | 29% | 28% | 44% | 34% | 34% | 35% |

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 May 2014 to May 2015 Comparison



| PROPOSALS | 2014 | 2015 | Change |
|------------------------------------|-------------|-------------|--------|
| Count | 110 | 69 | -41 |
| On Time | 43% | 39% | -4 |
| Late | 49% | 58% | +9 |
| After the fact | 8% | 3% | -5 |
| Withdrawn | 0% | 0% | - |
| Total | 100% | 100% | |
| Expedited Request (3 days or less) | 29% | 35% | +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.

PROGRESS REPORT SUBMISSIONS TO RFS
May 2014 – May 2015



| | May 2014 | June 2014 | July 2014 | August 2014 | September 2014 | October 2014 | November 2014 | December 2014 | January 2015 | February 2015 | March 2015 | April 2015 | May 2015 |
|------------------------------------|-------------|-------------|-------------|-------------|----------------|--------------|---------------|---------------|--------------|---------------|-------------|-------------|-------------|
| Count | 36 | 39 | 32 | 13 | 15 | 23 | 20 | 26 | 33 | 33 | 50 | 50 | 52 |
| On Time | 58% | 41% | 25% | 39% | 40% | 35% | 25% | 31% | 61% | 46% | 42% | 50% | 46% |
| Late | 36% | 36% | 56% | 15% | 33% | 48% | 50% | 61% | 30% | 39% | 52% | 40% | 37% |
| After the fact | 6% | 23% | 19% | 46% | 27% | 17% | 25% | 8% | 9% | 15% | 6% | 10% | 17% |
| Total | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| Expedited Request (3 days or less) | 31% | 26% | 38% | 8% | 27% | 22% | 45% | 46% | 18% | 27% | 38% | 36% | 19% |

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 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
May 2014 to May 2015 Comparison



| PROGRESS REPORTS | 2014 | 2015 | Change |
|------------------------------------|-------------|-------------|---------------|
| Count | 36 | 52 | +16 |
| On Time | 58% | 46% | -12 |
| Late | 36% | 37% | +1 |
| After the fact | 6% | 17% | +11 |
| Withdrawn | 0% | 0% | - |
| Total | 100% | 100% | - |
| Expedited Request (3 days or less) | 31% | 19% | -12 |

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.

APPENDIX

Vazquez, Diego

From: Vazquez, Diego
Sent: Friday, June 26, 2015 2:52 PM
To: Office of Research Administration; Office of Research Grp; AAG
Subject: Budgeting Inflationary Increases & Escalating Salaries in NIH Grant Applications

MEMORANDUM

TO: UMMS Research Community
FROM: Diego Vazquez, Assistant Vice Provost, Research Funding Services
DATE: June 26, 2015
RE: Budgeting Inflationary Increases & Escalating Salaries in NIH Grant Applications

With the release of [NOT-OD-15-050](#) "NIH Fiscal Policy for Grant Awards," NIH has removed the restriction on inflationary increases for future years that was put in place in FY2012 ([NOT-OD-12-036](#)). Removal of this restriction allows UMMS to budget inflationary increases for future year commitments in applications submitted to NIH. NIH's budget guidance recommends up to a 3% escalation factor.

Please note that the removal of this restriction does not apply to salaries in excess of the salary cap. In [NOT-OD-15-049](#) "Notice on Salary Limitation on Grants, Cooperative Agreements, and Contracts," NIH states that awards for applications that request direct salaries of individuals in excess of the applicable rate per year will be adjusted in accordance with the legislative salary limitation. NIH's [budget development guidance](#) (see under the "Understanding the Out Years" section) more explicitly states that adjustments on salaries cannot exceed the salary cap.

We have received requests from department administrators to allow salaries to be escalated beyond the salary cap on the out years of applications, especially in instances where collaborating institutions are doing so. While NIH's guidance clearly states to level fund out year salaries at the cap, RFS will not require budgets applying the escalation to salary capped individuals to be revised as long as the department acknowledges that the escalated amounts could be cut from the budget at the time of award and is willing to accept this risk.

To account for this change, the [Internal Budget Worksheet](#) on the RFS forms website has been revised to allow departments to apply the escalation factor on an individual basis to salary capped and uncapped individuals and to allow for the escalation of non-salary categories.

Please contact me if you have questions about budgeting salary escalations in NIH budgets.

Deadline for Final Reports Required for Grant Closeout

Notice Number: NOT-OD-15-111

Key Dates

Release Date: June 17, 2015

Related Announcements

[NOT-OD-14-084](#)

Issued by

National Institutes of Health ([NIH](#))

Purpose

The purpose of this Guide Notice is to remind recipients of a recent change to the deadline for the submission of the final reports required for grant closeout and to provide an update on the implementation of this change in eRA systems.

NIH first announced in the [Interim Grant General Conditions](#) released on February 5, 2015, that for projects ending on or after October 1, 2014, recipients must submit a Final Federal Financial Report (FFR), Final Progress Report (FPR), and Final Invention Statement and Certification (FIS) within 120 calendar days of the end of the period of performance. NIH will apply this policy change to all projects with a period of performance end date on or after October 1, 2014. For any grants with a period of performance (project period) end date prior to October 1, 2014, the reporting deadline will be 90 days from the project period end date.

The revised timeline for submission of final reports is not yet reflected in the link for the final FFR for a grant in eRA Commons or in the "grants pending closeout" search by institution in [Commons Quick Queries](#). We anticipate that the correct due date for submission will be reflected in eRA systems no later than July 17, 2015. We regret any inconvenience or confusion that this may have caused.

Inquiries

Please direct all inquiries to:

Division of Grants Policy
Office of Policy for Extramural Research Administration (OPERA)
Office of Extramural Research
National Institutes of Health
Telephone: 301-435-0949
Email: GrantsPolicy@od.nih.gov

[Weekly TOC for this Announcement](#)
[NIH Funding Opportunities and Notices](#)

Applicant Responsibilities in Maintaining the Integrity of NIH Peer Review

Notice Number: NOT-OD-15-106

Key Dates

Release Date: June 18, 2015

Related Announcements

[NOT-OD-14-073](#)

Issued by

National Institutes of Health ([NIH](#))

Purpose

The NIH is fully committed to maintaining public trust in the NIH research enterprise. Attempts to influence the outcome of the peer review process through inappropriate or unethical means result in needless expenditure of government funds and resources, and erode public trust in science. Thus, all participants in the process, including investigators named on an NIH grant application, and officials of institutions applying for NIH support, are expected to respect the integrity of NIH peer review.

This Guide Notice states the NIH position concerning the responsibilities of these participants in maintaining the integrity of the NIH peer review process, as well as potential consequences for any inappropriate or unethical attempt to influence the outcome of the NIH peer review process.

NIH Statement

The NIH understands that professional interactions between applicants and reviewers often continue while an application is undergoing peer review. However, an official of an applicant institution, Program Director/Principal Investigator (PD/PI), or individual named in an application, unless contacted by a government official:

- should not contact reviewers on the study section evaluating his or her application to request or provide information about the review or to otherwise attempt to influence the outcome of the review or the reviewer(s). The only acceptable process for such communication is through the Scientific Review Officer (SRO) who is managing the study section.
- should not send information or data directly to a reviewer on the study section evaluating his or her application. The only acceptable processes for submitting post-submission materials are outlined in [NOT-OD-10-115](#), [NOT-OD-12-141](#), and related notices.
- should not attempt to access information related to the review of that application in secure NIH computer systems.

An official of an applicant institution, PD/PI, or individual named in an application who is contacted by a reviewer for purposes of obtaining or exchanging information outside of the channels described above should contact the SRO who is managing the review of his or her application.

Possible Consequences

Consistent with applicable law, the NIH may defer an application for peer review or withdraw the application if it determines that a fair review is not feasible because of action(s) by an official of an applicant organization, a PD/PI, or other investigator named in an application. Depending on the specific circumstances, the NIH may take additional steps to ensure the integrity of the peer review process, including but not limited to:

- Notifying or requesting information from the applicant institution or the individual's institution.
- Pursuing a referral for government-wide suspension or debarment.
- Notifying the NIH Office of Management Assessment (OMA) with possible referral to the U.S. Department of Health and Human Services Office of Inspector General (OIG).

Inquiries

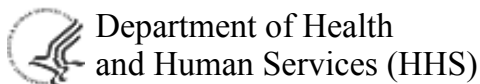
Please direct all inquiries to:

Sally A. Amero, Ph.D.

NIH Review Policy Officer

ReviewPolicyOfficer@mail.nih.gov

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[NIH Funding Opportunities and Notices](#)



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Note: For help accessing PDF, RTF, MS Word, Excel, PowerPoint, Audio or Video files, see [Help Downloading Files](#).

Reminder of Timeline for Administrative Changes to NIH Domestic Awards to Transition to Payment Management System Subaccounts

Notice Number: NOT-OD-15-105

Key Dates

Release Date: May 28, 2015

Related Announcements

[NOT-OD-14-103](#)

[NOT-OD-14-093](#)

[NOT-OD-13-120](#)

[NOT-OD-13-112](#)

[NOT-OD-13-111](#)

[NOT-OD-13-079](#)

[NOT-OD-12-139](#)

Issued by

National Institutes of Health ([NIH](#))

Purpose

This Notice is intended to remind and reiterate the implementation timeline, previously announced in [NOT-OD-14-103](#), for the NIH transition to new U.S. Department of Health and Human Services (HHS) payment policies for domestic, non-competing continuation awards and use of [Payment Management System](#) (PMS) subaccounts.

Implementation Timeline Reminder

As of October 1, 2015, NIH will utilize only subaccounts for awarding grant funds. Every grant that is awarded funding in FY 2016 (whether it be in the first, second, third or fourth quarter of FY 2016) will be in a subaccount. The transition of all NIH awards to PMS subaccounts will be complete by September 30, 2016. Grantees with inadequate systems in place to appropriately manage this transition by October 1, 2015, may be unable to appropriately access PMS accounts and risk losing their ability to draw down funding. Grantees are advised that there will be no additional implementation delays considered and no exceptions granted to the deadline.

Applicable Policies for Non-Competing Continuation Awards

A Subaccount Transitional FFR for all intent and purpose is equated to an annual FFR. Applicable policies for non-competing continuation awards include:

Due Date for Subaccount Transitional FFR: the due date for Subaccount Transitional FFR expenditure reports is no later than 90 days after the end of the calendar quarter in which the budget period ended.

Unliquidated Obligations on the Subaccount Transitional FFR: If there are unliquidated obligations at the end of the first "administratively shortened" competitive segment, these may be reported on the subaccount transitional FFR expenditure data report.

Subaccount Transitional FFR for converted SNAP awards: If the award is under Streamlined Non-competing Award Process (SNAP), the grantee will be required to submit subaccount transitional FFR expenditure data that covers the project period from the original start date through the new project period end date.

Due Date for Progress Reports: There will be no change to the due dates, submission, or review of

progress reports for domestic awards for FY 2016.

Recipients should use the SF-425 as they would for an annual FFR and mark “annual” in box 6.

Additionally, grantees should enter “Subaccount Transitional FFR” in box 12.

Please see below for procedural changes in carryover of funds for non-competing continuation awards issued in FY 2016.

Carryover Funds and Federal Financial Reports for Domestic Non-Competing Continuation Awards during FY 2015 (October 1, 2015 – September 30, 2016)

The requirement to submit the Subaccount Transitional FFR for non-competing continuation awards is to ensure that approved balances will be transferred to the PMS P subaccount and made available to the grantee. This requirement does not change the carryover authority listed in Section III of the NoA. If the award was issued with automatic carryover authority, OFM will automatically authorize the carryover in the PMS P subaccount equal to the amount of unobligated balance reported on the FFR. If the award was issued without carryover authority, OFM will automatically transfer the unobligated balance reported on the FFR to the PMS P subaccount; however, the grantee will still be required to submit a prior approval request to use carryover funds as detailed in the [NIH Grants Policy Statement](#), Section 8.1.1.1. Failure to submit this Subaccount Transitional FFR will affect the availability of those and future funds.

Frequently Asked Questions

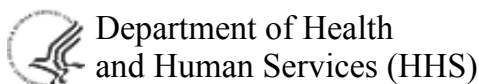
NIH has posted updated answers to frequently asked questions on the transition to PMS subaccounts on the following site: <http://grants.nih.gov/grants/payment/faqs.htm> based on this implementation timeline.

Inquiries

Please direct all inquiries to:

Division of Grants Policy
Office of Policy for Extramural Research Administration
Office of Extramural Research
Telephone: 301-435-0949
Email: GrantsPolicy@od.nih.gov

[Weekly TOC for this Announcement](#)
[NIH Funding Opportunities and Notices](#)



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Clarifying Publication Reporting Instructions for Research Performance Progress Reports (RPPR) and Renewal Applications

Notice Number: NOT-OD-15-091

Key Dates

Release Date: May 25, 2015

Related Announcements

[NOT-OD-12-160](#)

[NOT-OD-09-136](#)

[NOT-OD-08-119](#)

[NOT-OD-15-090](#)

Issued by

National Institutes of Health ([NIH](#))

Purpose

This Notice clarifies which publications should be included in progress reports and renewal applications for institutional training, career development, and related awards.

Background

Since 2008, compliance with the [NIH public access policy](#) has been a statutory requirement and a term and condition of all grants, cooperative agreements and contracts. A fundamental premise of [NIH's public access policy](#) is that awardees are responsible for ensuring that papers directly resulting from their funding award are made accessible to the public on PubMed Central. When awardees list a paper in the progress report publication list of an RPPR or a renewal application, they are claiming that the publication directly arises from that award and the awardee is responsible for the public access compliance of the listed publications. This notice clarifies which papers directly arise from institutional training, career development, and related awards to reduce the burden of unnecessary reporting.

Guidance for Reporting Publications for Institutional Training, Career Development, and Related Awards

This guidance applies to the following activity codes: T15, T32, TL1, T34, TL4, T35, T90, R25, RL5, R90, RL9, K12, KM1, KL2, D43, D71, DP7, U2R, and U45.

- Trainee, scholar, and participant publications must be reported in section C.1 of the RPPR if:
 1. the publication was accepted for publication or published during the reporting period; and
 2. the publication resulted from work conducted while the individual was supported by the award (i.e., receiving a stipend or salary from the award).
- Publications resulting from work conducted while not actively supported by the institutional training, career development, or related award should not be reported in section C.1.

General Reminders

- Awardees are responsible for ensuring publications are deposited into the [NIHMS](#) upon acceptance

for publication.

- Authors can use the Applicability & Submission Method Wizard (<http://publicaccess.nih.gov/determine-applicability.htm>) to learn how to bring their publication into compliance and report it to NIH.
- Investigators, authors and delegates can track public access compliance in My Bibliography (<http://www.ncbi.nlm.nih.gov/myncbi/>). Program Directors/Principal Investigators may wish to track publications they do not author in the collection Other Citations (see the My Bibliography [FAQ](#) for more instructions). [Other Citations](#) is especially helpful for managing institutional training grants and complex awards.
- NIH recommends investigators or their delegates check the public access compliance of all the papers directly arising from their award at least once a quarter.

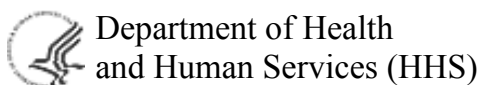
Inquiries

Please direct all inquiries to:

Office of Extramural Research (OER)

Email: PublicAccess@nih.gov

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ACRONYMS AND TERMS USED TODAY
RFS BROWN BAG - 06/29/2015

| ACRONYM/TERM | DESCRIPTION |
|---------------------------|--|
| Biosketch (NIH) | Standardized biographical sketch form used by NIH to capture senior/key personnel and other significant contributors in the proposal. Captures Name, eRA Commons ID, Education/Training, Personal Statement, Positions/Honors, Selected Publications and Research Support |
| Cayuse 424 | Cayuse is a web-based system for submission of applications via grants.gov. |
| eRA Commons | The eRA Commons is NIH's online interface where signing officials, principal investigators, trainees and post-docs at institutions/organizations can access and share administrative information relating to research grants and process prior approval requests. |
| FFR | Federal Financial Report |
| FPR | Final Progress Report |
| FIS | Final Invention Statement & Certification |
| My Bibliography (Pub Med) | My Bibliography is a reference tool that helps save your citations (journal articles, books/chapters, patents, presentations and meetings) directly from PubMed or, if not found there, to manually enter citations using My Bibliography templates. My Bibliography provides a centralized place where citations are easily accessed, exported as a file, and made public to share with others. |
| MyNCBI | Electronic publication resource that NIH has mandated be used to demonstrate compliance with the NIH Public Access Policy. My NCBI publications report resources are available at: http://www.ncbi.nlm.nih.gov/books/NBK53595/ |
| NCBI | The National Center for Biotechnology Information (NCBI) is part of the United States National Library of Medicine (NLM), a branch of the National Institutes of Health. |
| NIH | National Institutes of Health |
| OMB | Office of Management & Budget |
| ORCID | Open Researcher and Contributor ID. ORCID is an open, non-profit, community-based effort to provide a registry of unique researcher identifiers and a transparent method of linking research activities and outputs to these identifiers. |
| PI | Principal Investigator |
| PMS | US Department of Health & Human Services Payment Management System |
| PRF | Proposal Routing Form |
| RFS | Research Funding Services |
| RPPR | Research Performance Progress Report. Progress reports are required annually to document grantee accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year. See http://grants.nih.gov/grants/rppr/ |
| SciENcv | SciENcv is a new feature in My NCBI that helps users create an online professional profile that can be used to generate a biosketch. In SciENcv users can document their education, employment, research activities, publications, honors, research grants, and other professional contributions. |
| Scopus | Scopus is a bibliographic database containing abstracts and citations for academic journal articles. It covers nearly 22,000 titles from over 5,000 publishers, of which 20,000 are peer-reviewed journals in the scientific, technical, medical, and social sciences (including arts and humanities). |
| SDFI | Summary Disclosure of Financial Interests (SDFI) form. Used by UMMS to disclose significant financial interests on a proposal/project basis. |
| SUMMIT | SUMMIT is the UMass Medical School's web based reporting tool. |
| Uniform Guidance | Refers to the new OMB guidance on administrative requirements, cost principles and audit requirements for federal awards (which includes research grant awards) that will come into effect December 26, 2014. This guidance consolidates OMB Circulars A-21, A-87, A-110 and A-122 (which have been placed in 2 C.F.R. Parts 220, 225, 215 and 230); Circulars A-89, A-102 and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up. |