

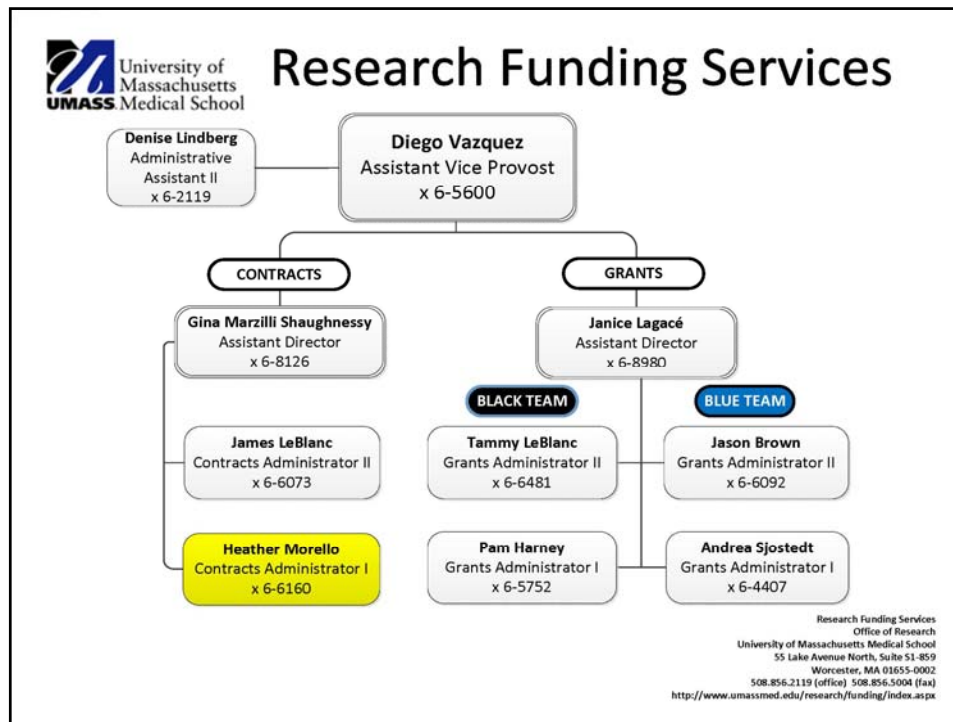
Research Funding Services Brown Bag

August 6, 2013
11:45 am – 12:45 pm
Hiatt Auditorium (S1-608)



Agenda

- Research Funding Services Organizational Update
- NIH Update
 - Continuing Resolution – Award Modifications Update
 - NIH Parent R01 Changed Effective August 2, 2013
 - NIH Notices on Updated Electronic Application Forms
 - NIH ASSIST Webinar - August 13, 2013
 - Reminder – NIH ASSIST 9/25/13 Due Date & Cayuse
 - NIH Progress Report Publication Requirements
 - NIH IACUC Proposal Congruency Reviews
- Upcoming Cayuse Webinars
- FCOI Update
- Research Administration Training Program Upcoming Courses
- Updated Proposal & Progress Report Statistics



Update – NIH Continuing Resolution & Award Modifications

- NIH continues to issue award modifications to reinstate funding previously reduced due to the Continuing Resolution.
- Most budgets are being reinstated for an overall reduction ranging from 3.5% to 6%.
- RFS will only require a revised budget for:
 - Program Projects
 - Multi PI grants
 - Any funding with Subcontracts
- Award notifications will state the following:

SECTION IV – NS Special Terms and Conditions – 5R21NS077294-02 REVISED

This revised award increases the total costs authorized consistent with the NIH fiscal policy for 2013.

NIH Funding Strategy FY 2013 - http://www.ninds.nih.gov/funding/ninds_funding_strategy.htm

Guide Notice: NOT-OD-13-064 - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-064.html>

THE PREVIOUS TERMS AND CONDITIONS STATED BELOW REMAIN IN EFFECT.

NIH Parent R01 Changed

- Effective August 2, 2013 the Parent R01 has changed from:
 - PA-11-260
 - to
 - PA-13-302 <http://grants.nih.gov/grants/guide/pa-files/PA-13-302.html>
- Proposals initiated in Cayuse under the old parent R01 will need to be transformed before they are submitted. If they have already been approved by RFS, have the PI ROUTE the transformed proposal for reapproval.
- Non transformed proposals will create an error upon submission.



NIH to Require Use of Updated Electronic Application Forms for Due Dates on or after September 25, 2013 Notice Number: NOT-OD-13-074

- The purpose of this Notice is to alert applicants that NIH is transitioning to updated electronic application forms packages. The new packages will be identified with a Competition ID of FORMS-C and will include the form changes documented at: http://grants.nih.gov/grants/ElectronicReceipt/files/FORMS-C_Changes.pdf.
- For due dates on or after September 25, 2013, all applicants will be required to use FORMS-C packages, with the exceptions noted below. The requirement includes electronic applications submitted under:
 - The continuous submission policy
 - Administrative supplement requests (Type 3)
 - Change of organization requests (Type 6)
 - Change of grantee/training institution requests (Type 7) submitted September 25, 2013 and beyond.
 Multi-project applications that are transitioning to electronic submission beginning with the September 25, 2013 due dates (see NOT-OD-13-075) will also use FORMS-C packages.
- Exceptions: The programs noted below will move to FORMS-C application packages as follows:
 - Individual Research Career Development Award Programs (Ks), Institutional Training and Career Development Programs (Ts and Ds) and Individual National Research Service Awards (Fs) applicants will be required to use FORMS-C packages for due dates on or after January 25, 2014.
 - Small Business programs (SBIR/STTR) applicants will transition to FORMS-C packages later in 2014, when we can combine these form changes with anticipated form changes relating to the Small Business Authorization Act.



NIH to Require Use of Updated Electronic Application Forms for Due Dates on or after September 25, 2013

Notice Number: NOT-OD-13-074

- **Background**
 - NIH periodically implements updated versions of federal-wide SF424 (R&R) and agency-specific (PHS) grant application forms in order to remain current with the most recent form sets available through Grants.gov and approved by the Office of Management and Budget.
 - Beginning this July, the updated forms will be incorporated into new and existing Funding Opportunity Announcements (FOAs). FOAs published between now and July that have submission due dates on or after September 25, 2013, will be posted without application packages. NIH will make every effort to post the FORMS-C application packages with the FOA at least 60 days in advance of the due date.
- **Instructions**
 - If presented with more than one forms package, applicants should download and use the most recent set of forms to complete their submission. However, applicants submitting to AIDS deadlines should be especially careful in choosing the correct package and be sure to follow guide notice timelines.
 - Return to FOAs posted without a forms package or existing FOAs with ADOBE-FORMS-B1 or B2 packages 45-60 days prior to the deadline to obtain the FORMS-C package.
 - Verify you have the correct application package by checking the Competition ID for FORMS-C. The Competition ID field can be found when downloading the application package from Grants.gov, in the application header information of the downloaded package or in the ASSIST FOA summary information for multi-project applications.
 - Learn more about choosing the correct forms packages at: http://grants.nih.gov/grants/ElectronicReceipt/files/right_forms.pdf.
 - All applicants should carefully read their FOA and the appropriate “C Series” Application Guide for program-specific instructions before completing their application.



PHS 398 Application Forms and Instructions for Application Due Dates on or after September 25, 2013 and Updated Application Guides for Electronic Application Forms

Notice Number: NOT-OD-13-091

- Announces the availability of new application instructions and forms for paper-based PHS 398 applications & the availability of new Application Guide instructions for electronic SF 424 (R&R) applications. The new application instructions and forms must be used for applications intended for due dates **on or after September 25, 2013**.
- These instructions incorporate numerous clarifications, updates and policy announcements that have appeared in the NIH Guide since the 06/2009 revision of the PHS 398 application guide and the 06/2012 revision of the SF424 (R&R) Application Guide for NIH and Other PHS Agencies.
- Changes of note include:
 - Supplemental Grant Application Instructions : Parts II (Supplemental Instructions for Preparing the Protection of Human Subjects Section of the Research Plan and Policies) and III (Policies, Assurances, Definitions, and Other Information) of the instructions are now located in a separate “Supplemental Grant Application Instructions” document. Parts II and III have therefore been removed from the PHS398 Application Instructions and the general Application Guides for Forms-B and Forms-C application packages.
 - Notice of Proprietary Information: Clarification of policy regarding the final determination of whether an application contains proprietary information and that a positive finding of proprietary information does not automatically shield the information from release in response to a Freedom of Information Act (FOIA) request should the application result in an award.
 - Biographical Sketch: “Patent Citations” have been added as part of section C, Selected Peer Reviewed Publications.
 - In the Research Strategy, Section C Approach, if research on Human Embryonic Stem Cells (hESCs) is proposed but an approved cell line from the NIH hESC Registry cannot be identified, applicants must provide a strong justification for why an appropriate cell line cannot be chosen at the time of application.
 - Letters of Support: There are clarifications regarding the content.
 - Appendix: Photographs or color images of gels, micrographs, etc., are no longer accepted as Appendix material. These images must be included in the Research Strategy.



PHS 398 Application Forms and Instructions for Application Due Dates on or after September 25, 2013 and Updated Application Guides for Electronic Application Forms
Notice Number: NOT-OD-13-091 continued...

- **PHS 398 Applicants**
 - All PHS 398 paper application submissions intended for due dates on or after September 25, 2013, must use the 8/2012 version of the PHS 398 instructions and forms (<http://grants.nih.gov/grants/funding/phs398/phs398.html>). The 06/09 version of the form remains available at this time for use in responding to FOAs that have due dates prior to September 25, 2013.
 - In addition to the changes outlined above, in the Research Plan, Inclusion Enrollment Reports have been renamed and modified and are now “Planned Enrollment Report” and “Cumulative Inclusion Enrollment Report”. See NIH Guide Notice NOT-OD-13-092 "Modifications to NIH's Planned and Cumulative Inclusion Enrollment Forms".
- **SF 424 (R&R) Applicants**
 - As announced in Notice NOT-OD-13-074, applications using electronic forms will transition to new forms identified with a Competition ID of FORMS-C. Application instructions for FORMS-C are now available. Applicants **MUST** return to the FUNDING OPPORTUNITY ANNOUNCEMENT (FOA), or the reissued Parent Announcement, to download the new application forms for due dates on or after September 25, 2013.
 - Added a new Chapter 9. Supplemental Instructions to the SF 424 (R&R) for Preparing a Multi-Project Application
 - At this time the general Application Guide for Forms-B and Forms-C have been revised. The anticipated posting dates for the SF424 (R&R) Individual Fellowship Application Guide for NIH and AHRQ and the SF424 (R&R) SBIR/STTR Application Guide for NIH and Other PHS Agencies are Late Fall 2013 and Spring 2014, respectively. As those Application Guides are revised, the above changes, including the use of the separate Supplemental Grant Application Instructions will be applicable.
- **Important Note:** Any application submitted using incorrect application forms (including applications that have an incorrect mix of old and new forms) may be delayed and may not be reviewed.



Using ASSIST to Prepare and Submit Multi-Project Applications to NIH: Webinar - August 13, 2013

Notice Number: NOT-OD-13-095 <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-095.html>

Key Dates

Release Date: August 1, 2013

Webinar Date: August 13, 2013

Related Announcements

[NOT-OD-13-075](#)

Issued by

National Institutes of Health (NIH)

Purpose

NIH will require electronic submission for all P01, P20, P50 and U19 applications intended for due dates on or after September 25, 2013. Additional NIH grant programs will transition to electronic submission per the established [timeline](#). Applicant organizations which use system-to-system solutions will be able to use those services for submitting multi-project applications into Grants.gov if the provider offers that service. All other applicants must use the new ASSIST (Application Submission System & Interface for Submission Tracking) system to prepare and submit their multi-project applications.

NIH will hold a webinar to help potential applicants get acquainted with ASSIST.

Date: Tuesday, August 13, 2013 (live broadcast)

Time: 2:30-4:00 pm EST

[Registration Required!](#)

Webinar Topics

- Registration and accounts
- Finding an opportunity and accessing ASSIST
- Overview of process
- Initiating an application
- Defining your team and providing application access
- Filling out the application and avoiding common errors along the way
- Preparing your application for submission - managing application status, checking for errors, and previewing your application
- Submitting your application to Grants.gov

Reminder - Electronic Submission of Multi-Project Applications (ASSIST) for the September 25th Due Date

- Cayuse will not have a system-to-system solution in place for the 9/25/13 deadline (Grants.gov has not provided Evisions with the form set and mapping instructions).
- Applications submitted in response to FOAs with the following activity codes for the 9/25/13 due date will need to be generated and submitted via ASSIST:
 - P01, P20, P50, R24, U24, U19.
- Since Cayuse is not available, RFS as Authorized Official will have to submit proposals in ASSIST.
- RFS is requesting departments adhere to the program project proposal submission deadline (8 working days prior to sponsor due date) in the UMMS-RFS Proposal Review and Submission Policy to ensure that submissions are complete and loaded in ASSIST before the deadline.



NIH Progress Report Publications

- The NIH Public Access Policy ensures that the public has access to peer-reviewed publications arising from NIH funded research. These publications are to be made freely available in the PubMed Central database in a manner consistent with copyright law.
- Publications reported in progress reports arising from the award must be presented as the PDF publications report generated by My NCBI. This My NCBI report automatically indicates public access policy compliance.
- In recent progress reports, either some publications on the My NCBI report are flagged as non-compliant and/or have listed one or more publications outside of the My NCBI report. As announced in NOT-OD-13-042, awards will be delayed until these issues are resolved.
- To comply with the policy, when emailing the **Program Officer** include a new copy of the My NCBI publication report that includes all the publications directly arising from this grant in the past year when emailing NIH. Every citation in the report should be either complete, in process or exempt (N/A) for the award to be processed. If unable to provide verification, provide a justification for why the specific publication(s) cannot be brought into compliance.
- Compliance with the NIH Public Access Policy is a legal requirement and a term and condition of all NIH awards. Awardees are responsible for ensuring that evidence of compliance is included in all NIH applications, proposals and reports.



NIH IACUC Proposal Congruency Review

- Per NOT-OD-10-027, applicant organizations have the responsibility to ensure that the protocol approved by the IACUC is congruent with the proposed use of animals described in the Research Plan.
- At JIT stage, RFS will email a copy of the grant application to Drs. Varghese & Azuma of the Office of Research who will compare the application and protocol to ensure that the animal procedures described in the grant are covered by an approved IACUC animal study protocol.
 - When the grant is congruent Dr. Azuma or Dr. Varghese will notify the PI and RFS via email so that the JIT can be processed.
 - When the grant is non-congruent Dr. Azuma or Dr. Varghese will notify the PI and RFS via email and will ask the PI to amend the IACUC protocol so it is congruent with the grant application. When the IACUC amendment is approved, the PI and RFS will be notified so that the JIT can be processed.
- It is strongly recommended that PIs receiving a high score on their application submit animal study protocols in advance of JIT requests to ensure there are no slowdowns in the process.



Cayuse Webinars – Scheduled for August

- Getting Started with Cayuse 424 - This 30 minute webinar covering the fundamentals of the Cayuse 424 software, including navigation, retrieving opportunities, and starting a new proposal.
 - Tuesday, August 13th @ 9:30 AM Pacific Time (12:30 PM Eastern Time): <https://www2.gotomeeting.com/register/688524474>
 - Tuesday, August 20th @ 1:00 PM Pacific Time (4:00 PM Eastern Time): <https://www2.gotomeeting.com/register/240320026>
- Detailed Budgeting in Cayuse 424 (Updated) - This webinar will cover the five most Frequently Asked Questions about budgeting in Cayuse 424. New and experienced users alike will find this information useful. The presentation will run approximately 30 minutes and we will be taking questions after the webinar. Please join us for 'Detailed Budgeting in Cayuse 424'.
 - Wednesday, August 14th @ 9:30 AM Pacific Time (12:30 PM Eastern Time): <https://www2.gotomeeting.com/register/794470122>
 - Wednesday, August 21st @ 1:00 PM Pacific Time (4:00 PM Eastern Time): <https://www2.gotomeeting.com/register/126644330>
- Routing in Cayuse 424 (New) - 63% of customers who use Cayuse 424 are currently utilizing the Routing tab in some manner. With the webinar 'Routing in Cayuse 424,' we will be discussing both basic and advanced functionality, as well as walking through the entire process. The presentation will run approximately 30 minutes, and we will be taking questions after the webinar. Whether you've been using routing since your institution's inception of Cayuse 424, or are thinking about giving it a try in the near future, join us for 'Routing in Cayuse 424'.
 - Thursday, August 15th @ 9:30 AM Pacific Time (12:30 PM Eastern Time): <https://www2.gotomeeting.com/register/872493570>
 - Thursday, August 22nd @ 1:00 PM Pacific Time (4:00 PM Eastern Time): <https://www2.gotomeeting.com/register/209358130>
- The webinars include a long distance number, but it is not necessary to dial in if you have speakers connected to your computer. You will be unable to talk with attendees during these presentations, so we encourage you to listen through your computer.



FCOI Update

- 1,756 UMMS faculty/staff have completed the FCOI training
- Institutional FCOI policy applicable to all UMMS sponsored project activity (not just PHS)
- Reminders:
 - A completed SDFI form for all Investigators (FCOI definition) is a mandatory element of review for all proposals submitted to RFS for approval
 - At the award stage, all Investigators identified on the SDFI form must have completed FCOI training before a project can be set up
- NIH Intramural Investigators participating on NIH extramural funded projects are not subject to the FCOI regulation



Research Administration Training Program Upcoming Courses

- **Budgeting for Clinical Research**
9/24/13 9:00 – 11:00 Location – TBD
- **Pre-Award II**
10/8/13 8:30 – 12:30 Location – HR Training Room, South Street
- **Regulatory Compliance**
10/24/13 9:00 – 11:00 Location – TBD
- **Post-Award II**
11/6/13 8:30 – 12:30 Location – HR Training Room, South Street
- **Training Grants**
11/21/13 9:00 – 11:00 Location – TBD


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



PROPOSAL SUBMISSIONS TO RFS July 2012 – July 2013

	July 2012	August 2012	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013	May 2013	June 2013	July 2013
Count	84	62	100	125	75	75	139	111	93	56	82	99	100
On Time	50%	60%	62%	50%	41%	43%	52%	40%	32%	32%	56%	48%	44%
Late	48%	35%	37%	48%	49%	48%	47%	55%	59%	59%	39%	47%	48%
After the fact	2%	5%	1%	2%	9%	9%	1%	5%	9%	9%	5%	4%	8%
Withdrawn	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%	0%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	29%	26%	22%	31%	29%	35%	32%	38%	41%	39%	26%	30%	36%


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 July 2012 to July 2013 Comparison

PROPOSALS	2012	2013	Change
Count	84	100	+16
On Time	50%	44%	-6%
Late	48%	48%	0%
After the fact	2%	8%	+6%
Total	100%	100%	-
Expedited Request (3 days or less)	29%	36%	+7%


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 July 2012 – July 2013

	July 2012	August 2012	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013	May 2013	June 2013	July 2013
Count	26	10	11	23	22	20	25	45	30	42	59	30	28
On Time	23%	30%	37%	26%	27%	55%	40%	49%	50%	45%	44%	44%	32%
Late	62%	50%	27%	43%	41%	25%	48%	40%	40%	41%	49%	53%	57%
After the fact	15%	20%	36%	30%	32%	20%	12%	11%	10%	14%	7%	3%	11%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	31%	30%	0%	35%	36%	10%	44%	24%	17%	31%	22%	33%	46%

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 July 2012 to July 2013 Comparison

PROGRESS REPORTS	2012	2013	Change
Count	26	28	+2
On Time	23%	32%	+9%
Late	62%	57%	-5%
After the fact	15%	11%	-4%
Total	100%	100%	-
Expedited Request (3 days or less)	31%	46%	+15%

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.

