

# RESEARCH ADMINISTRATION UPDATES AND ITEMS OF INTEREST

OFFICE OF THE VICE PRESIDENT FOR RESEARCH / OFFICE OF SPONSORED PROJECTS

This newsletter is produced by the Office of Sponsored Projects to provide agency updates, sponsor policy and procedural information, and guidance and training in all aspects of sponsored project administration for Researchers and Research Administrators.

Please visit http://www.research.brown.edu/rschadmin/OSP Newsletter.php for archives.

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# **OSP / OVPR UPDATES**

# Amendments to the Five Day Proposal Submission Rule

Effective January 2012, the Office of the Vice President for Research (OVPR) has amended the **Five Day Rule** to accommodate *Pre-Proposals, White Papers,* and *Letter of Intent* submissions.

Following are the amendments effective immediately:

- Three (3) Day Rule (due to OSP/BMRA 3 full business days in advance of the sponsor's receipt date) applies to:
  - o Pre-Proposals Requiring INSTITUTIONAL Official Signature
    - 1-2 page narrative with minimal other components (e.g. Biosketch,
       COI List) and total costs estimates or no budget required
    - Coeus record required; submission by OSP/BMRA to the Sponsor
- Five (5) Day Rule is waived for the following categories:
  - Pre-Proposals and Letters of Intent <u>NOT</u> Requiring INSTITUTIONAL Official Signature
    - 1-2 page narrative with minimal other components (e.g. Biosketch, COI List) and no detailed budget – only total cost estimates
    - No Coeus record, PI submits directly to the sponsor
  - White Papers
    - No OSP/BMRA review is required, PI submits directly to the sponsor

# Information Session on NSF Integrative Graduate Education and Research Traineeship (IGERT)

The Office of the Vice President for Research is hosting a Brown Bag Lunch Information Session on NSF Integrative Graduate Education and Research Traineeship (IGERT) Program.

The Information Session is scheduled for:

Thursday, February 9, 2012 12:00 pm – 1:00 pm Horace Mann – Room 103

To RSVP please e-mail: Research Opps@brown.edu

# **AGENCY UPDATES**

# HHS UPDATES

# Executive Level II Salary Cap

The <u>2012 Consolidated Appropriations Act</u> included a significant change to the treatment of salary limitations in awards from <u>ALL</u> Agencies within the US Department of Health and Human Services (HHS). Specifically, the below described Executive Level II Salary Cap (\$179,700) now applies to <u>ALL</u> US Department of Health and Human Services Agencies.

# NIH UPDATES

# > Salary Limitation on Grants, Cooperative Agreements, and Contracts

NOT-OD-12-035

NIH has published guidance on implementation of the revised Salary Cap for FY 2012, reducing the cap to Executive Level II, \$179,700 for FY 2012.

Below is a high level summary:

- The Implementation of the lower salary cap is effective with FY 2012 awards where the initial Issue Date of the award is on/after 12/23/2011. For FY2012 awards issued on/before December 22, 2011 (competing and non-competing), the effective salary limitation remains at Executive Level 1 (\$199,700).
- NIH <u>competing grant</u> awards with an initial Issue Date **on/before December 22, 2011**, may continue to apply the Executive Level I salary levels for the FY2012 award period no adjustments are required. However, future years for these awards will be adjusted to reflect Executive Level II.
- For <u>non-competing grants</u> with initial Issue Dates **on/before 12/22/2011**, the applicable salary limitation is Executive Level I; for non-competing grants with an initial Issue Date **on/after 12/23/2011**, the applicable salary limitation is Executive Level II.
- Any grants awarded in previous fiscal years (e.g., FY 2011, FY 2010, etc.) are not impacted by the FY 2012 salary limitation. Carrying over previous years' funds to support salaries will remain at the salary limitation levels in effect at the time those awards were issued.
- The salary limitation provision **DOES** apply to subawards/subcontracts for substantive work under an NIH grant or contract. It does **NOT** apply to Consultants.
- If a grant was issued **on/after December 23, 2011** and it is a **non-competing award**, then grantees may rebudget the funds awarded in excess of the new salary limit. However, if the grant is a **competing award**, the NIH IC will revise the award when an adjustment for the lower salary limit is needed.

The Office of Sponsored Projects has revised the <u>NIH Salary Cap Worksheet</u> to incorporate the new salary cap. The revised worksheet can be downloaded from the <u>OSP Policies and Procedures Website</u> and must be utilized when preparing new proposals to NIH and other HHS Agencies.

# Ruth L. Kirschstein NRSA Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2012

NOT-OD-12-033

**New stipend levels** have been issued for <u>FY 2012</u> Kirschstein-NRSA awards for Undergraduate, Predoctoral and Postdoctoral trainees and fellows. (The Tuition and Fees, Training Related Expenses for trainees and the Institutional Allowance for individual fellows remain <u>unchanged.)</u>

Effective with all Kirschstein-NRSA awards made on or after October 1, 2011, the following stipend levels apply:

Career Level	Stipend for FY 2012
Freshmen/Sophomores	\$ 8,304
Juniors/Seniors	\$11,628

Career Levels	Years of Experience	Stipend for FY 2012			
Predoctoral	ALL	\$22,032			
	0	\$39,264			
	1	\$41,364			
	2	\$44,340			
	3	\$46,092			
Postdoctoral	4	\$47,820			
	5	\$49,884			
	6	\$51,582			
	7 or more	\$54,180			

The stipend changes are effective only for Kirschstein-NRSA awards made with FY 2012 funds. Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2011 are not permitted.

# > NIH Fiscal Policy for Grant Awards – FY 2012

#### NOT-OD-12-036

NIH received a \$30.7 billion budget level for FY 2012. The following NIH Fiscal Policies are instituted for FY 2012:

#### Non-Competing Awards (research and non-research grants)

- Non-competing awards will be issued without cost of living/inflationary adjustments.
- Inflationary increases for future year commitments will be discontinued for all competing and non-competing research grants awards issued in FY 2012.
- Adjustments for special needs (equipment and added personnel) will continue to be accommodated.
- FY 2012 awards that have already been issued will be revised to adjust the award level and future year commitments in accordance with these principles.

#### Ruth L. Kirschstein National Research Service Awards (NRSA)

The NIH implemented a 2 percent increase at all stipend levels (see NOT-OD-12-033).

# **New Investigators**

• The NIH will continue to support new investigators on R01 equivalent awards at success rates equivalent to that of established investigators submitting new (Type1) R01 equivalent applications.

#### **Salary Limits**

- ♦ The Salary Cap for FY 2012 has been reduced to Executive Level II, \$179,700.
- NIH Plans to Transfer All Programs, Awards, and Applications Associated with the National Center for Research Resources to Other NIH Institutes

# NOT-OD-12-026

Since the <u>National Center for Research Resources (NCRR)</u> was abolished by Public Law 112-74 on December 23, 2011, all existing awards and pending applications are being transferred to other Institutes and Centers (ICs) within NIH. An initial listing of NCRR programs being transferred to other ICs can be found at <a href="http://www.ncrr.nih.gov/">http://www.ncrr.nih.gov/</a>.

PDs/PIs and institutional officials will receive multiple e-mails from NIH explaining where their NCRR applications and awards will be administered and will identify the appropriate NIH contact person for addressing questions. (Some of these communications will be system-generated e-mails sent as changes are made in the eRA Commons regarding the transfer.)

These transfers <u>will not</u> change any of the terms and conditions of the current awards or the level of funding anticipated for future non-competing awards (pending the availability of funds). However, PDs/PIs and institutions should be aware of the following changes:

#### • Submitted Applications Currently Awaiting Peer Review:

These applications will be reviewed by the currently assigned Scientific Review Group (SRG) and then transferred to the Advisory Council of the new administering IC for second-level review. All funding decisions and potential awards will be made by the new administering IC.

#### Applications Submitted in January 2012 and Beyond:

No applications submitted with receipt dates of January 1, 2012 and beyond (this includes new, renewal, resubmission, and revision) will be assigned to NCRR. The Division of Receipt and Referral (DRR) in the Center for Scientific Review (CSR) will make primary and secondary application assignments to the appropriate NIH IC based on the science proposed. Applicants are encouraged to make suggestions for these assignments in their application cover letter but the final decision will be made by DRR.

#### Applications that have Completed the Two-Level Peer Review Process:

These applications will be transferred to the new administering IC for consideration of funding and potential award. There will be no additional review required.

#### • Current Awards with future Non-Competing Years:

Awardees should submit progress reports as required under their current award. The new non-competing Notice of Award (NOA) will be a "Type 8" issued by the new administering IC reflecting this change as well as a new institute code and grant number (e.g., 8-R01-GM987654-02). (Please note that non-competing continuation awards with budget periods ending in January/February 2012 may be delayed approximately 4-6 weeks as NIH implements the transition.)

#### • Current Awards with NO future Non-Competing Years:

These grants will not receive a new NOA because no new funding is anticipated. Awardees will receive contact information for NIH staff responsible for managing the continued operation and eventual closeout of these awards.

#### Future Resubmission and Renewal Applications to Previous NCRR Applications and Awards:

For activity codes and FOAs that allow Renewal (Type 2) applications to previously-funded NCRR awards, the application will be assigned to another appropriate NIH IC based on the science proposed.

Resubmission and renewal applications should include the IC and serial number of the most recent award/application on the SF424 (R&R) Cover Page.

# > NIH Creates the National Center for Advancing Translational Sciences

#### NOT-OD-12-027

The NIH has established the National Center for Advancing Translational Sciences (NCATS) in an effort to re-engineer the process of translating scientific discoveries into new drugs, diagnostics, and devices. NCATS will strive to identify and overcome hurdles that slow the development of effective treatments and cures.

NIH is beginning the transfer of awards and pending applications moving to NCATS. Affected institutions and Project Directors/Principal Investigators will receive a series of e-mails over the next few months with information about the status of each award/application.

A listing of programs to be administered by NCATS will be available at <a href="http://www.nih.gov/about/director/ncats/index.htm">http://www.nih.gov/about/director/ncats/index.htm</a>.

# > Budget Limitations on AHRQ Large Research, Demonstration, and Conference Grant Applications for Standing AHRQ Funding Opportunity Announcements (FOAs)

#### NOT-HS-12-004

AHRQ has implemented the following budget limits for all competing large research and conference grant applications, including new, renewal, resubmission, and revision applications, unless otherwise indicated in a specific FOA:

• Large Research Grant Applications (R01, R18) – Budget Limit of \$250,000 total (direct and indirect) costs per year effective with grant application receipt dates after February 5, 2012 (March 5, 2012 for R01 resubmissions)

- Exceptions: Health Information Technology FOAs including: PA-11-198 and PA-11-199. For these two health IT focused FOAs, the total budget limit will remain as indicated in the opportunity.
- Large or Recurring Conference Grant Applications (R13) Budget Limit of \$50,000 total (direct and indirect) costs per year effective with grant application receipt dates after February 22, 2012
- Small Research and Conference Grant Applications (R03 & R13) Budget Limits remain unchanged.
- > New Policy on Post-Submission Information on Sponsor's Research Funding for Ruth L. Kirschstein National Service Awards (NRSA) and Other Fellowship Applications

NOT-OD-12-022

The following new Policy is effective with applications submitted for **December 8, 2011, and thereafter**:

Because the Sponsor(s)' funding is a major factor in the review of a Fellowship application, this information will be allowed as **post-submission material** to update the Sponsor(s)' funding information in the originally submitted application.

- Applicants must follow all instructions and due dates in <u>NOT-OD-10-091</u> when submitting additional material.
- Information on the Sponsor(s)' funding information must not exceed 1 page, and is limited to:
  - o the project title,
  - o funding source (e,g. NIH grant number),
  - o a brief description of specific aims, and
  - o relevance to the fellowship application under review.
- The additional material is due no later than 30 days prior to the meeting of the review committee.
- Changed Locus of Review for NIDA's Career Development (K) Award Applications

NOT-DA-12-005

NIDA is in the process of transitioning the review of all of its Career Development award applications (with the exception of K12 and K99/R00 applications) to the **Center for Scientific Review (CSR)**. The order of transition to CSR review is as follows:

- 1. New applications submitted for the **February 12, 2012** receipt dates (May 7, 2012 for new AIDS applications)
- Resubmitted (A1) Career Development award applications for the March 12, 2012 and July 12, 2012 receipt dates (for resubmitted AIDS applications, the receipt dates are May 7, 2012 and September 7, 2012) will still be reviewed by NIDA's Training and Career Development (NIDA-K) Review Committee. For subsequent review and award cycles, however, resubmitted applications will be reviewed at CSR.

Beginning with applications submitted for the **October 12, 2012** receipt date and thereafter, this transition will have been completed and **all** Career Development award applications (except K12 and K99/R00 applications), whether new or resubmissions, will be reviewed at CSR.

Below is a table summarizing the transition to CSR Review:

# LOCUS OF REVIEW (STUDY SECTION)

	Cycle III Receipt Dates for 2011	Cycle I Receipt Dates for 2012	Cycle II Receipt Dates for 2012	Cycle III Receipt Dates for 2012
New Applications	NIDA-K	CSR	CSR	CSR
Resubmitted Applications	NIDA-K	NIDA-K	NIDA-K	CSR

# NSF UPDATES

# National Science Board (NSB) Releases Report on NSF's Merit Review Criteria Press Release 12-006

The NSB report, National Science Foundation's Merit Review Criteria: Review and Revisions, is the culmination of a thorough review by the NSB Task Force on Merit Review to determine if the merit review criteria used by the National Science Foundation (NSF) to evaluate all proposals remain appropriate. NSF reviews two criteria, intellectual merit and broader impacts, for every proposal the agency receives.

In the report, the <u>NSB did not recommend changing the two criteria</u>, but it did recommend that NSF better define the two criteria for the benefit of the science community, particularly "Broader Impacts".

NSF plans to develop a detailed implementation plan that will lead to the inclusion of the revised criteria in the next version of NSF's Proposal and Award Policies and Procedures Guide and the Proposal & Award Manual.

To view the full report please visit: http://www.nsf.gov/nsb/publications/2011/meritreviewcriteria.pdf

# AFOSR UPDATES

# > Air Force Office of Scientific Research (AFOSR) – Revised No-Cost Extension Guidelines

In an attempt to discourage No-Cost Extensions (NCE), effective immediately, the AFOSR now requires that <u>all</u> requests for <u>No-Cost Extension</u> of grants beyond the designated expiration date go through the approval of the AFOSR Director and be subject to a strict review. AFOSR Officials state that approvals of NCEs are unlikely. This is due in part to the fact that all unspent funds sitting at the university accounts are becoming a potential target for congressional budget scrutiny and an excuse for reshuffling of the budget within the same agency.

If you have any questions, please contact your project's Program Manager and include Office of Sponsored Projects on your correspondence.



# Agency Tip — Resubmitting Application to NIH

Make sure the application forms have not changed version since your initial submission. NIH has issued new Parent Announcements for R01, R03, and R21 application packages in July 2011. The old Parent Announcements expired on January 8, 2012. If you are submitting to one of these Parent Announcements for the February deadline, be sure you are using from version ADOBE-FORMS-B2.

If you are copying the original proposal in Coeus to create your Resubmission application, make sure that you connect to the opportunity with the correct version of the forms!

# Office of Sponsored Projects Word Search

N	٧	В	٧	Z	K	A	G	E	N	С	Y	L	D	N
Е	R	С	R	Е	S	E	A	R	С	Н	P	R	A	0
G	٧	0	Y	F	٧	С	0	N	Т	R	A	С	T	С
0	С	S	D	J	N	Y	R	٧	0	W	I	Q	T	0
Т	0	Т	R	Н	K	X	P	P	A	N	С	I	С	s
I	S	S	A	٧	Q	U	0	Т	٧	0	М	P	В	т
A	Т	Н	W	С	٧	S	S	0	E	I	D	R	U	E
Т	Т	A	A	Q	A	0	I	U	L	R	F	E	D	Х
I	R	R	В	L	P	С	S	Т	A	K	Х	A	G	Т
0	A	I	U	I	E	L	E	W	S	С	С	W	E	E
N	N	N	S	I	I	G	A	E	D	K	N	A	Т	N
s	S	G	٧	Т	D	U	Х	Н	С	Т	G	R	М	s
М	F	E	E	U	G	R	A	N	Т	М	W	D	٧	I
Н	E	N	В	U	P	A	С	Y	R	A	L	A	S	0
Х	R	I	R	Х	R	0	S	N	0	P	S	U	В	N

# **Directions:**

# Find and circle the words listed below

Words can appear:

- Straight across
- Backward straight across
- Up and Down
- Down and Up
- Diagonally

Check your work with the answers found on page 10

AGENCY
AWARD
BUDGET
BUDGET LIMIT
COEUS LITE
CONTRACT

COST SHARING
COST TRANSFER
GRANT
INVOICE
NEGOTIATIONS
NO COST EXTENSION
POST AWARD

PRE AWARD
PROPOSAL
RESEARCH
SALARY CAP
SPONSOR
SUBAWARD

# **COEUS UPDATES**

#### **COEUS NEWS**

# **Coeus User Group Meeting**

The meeting is intended to allow Coeus Users to network, share best practices, learn new business process changes, and address Coeus issues.

If you have ideas for topics to discuss please email Kat Szulc

Next Meeting:

March 21<sup>st</sup>, 2012 – Location TBD 10:00am – 11:30am

\*\*\*Update\*\*\*

# PI E-Mail Addresses for NSF Proposal Submission

As we have previously announced, the e-mail address for PIs in Coeus must match the e-mail address on file in their FastLane account.

\*If a proposal is submitted that has a different e-mail address than what is found in their FastLane account, a new record will be created in FastLane for the Investigator and they will end up with two ID records within FastLane.

OSP will repeat the comparison run of the e-mail addresses for the PIs between Coeus and their FastLane account. A spreadsheet that compares your faculty's email addresses will be forwarded to the Department Managers in February.

\* If there is a discrepancy in the faculty's e-mail address between Coeus and NSF FastLane; the faculty member should change their NSF FastLane e-mail address to match their standard Brown e-mail address.

\*\*\*Reminder\*\*\*

# Coeus Help E-mail should be used for all inquiries

Please contact <u>Coeus Help@brown.edu</u> for all inquiries, including requests to add sponsors, organizations, update rolodex entries, and general questions.

This will ensure that your inquiry is routed to the appropriate person and answered in a timely manner.

# COEUS TIP OF THE MONTH



The Office of Sponsored Projects has updated the Coeus Revised Budget Procedure to accommodate the following scenarios (summary of the procedures for each scenario is included):

# Scenario 1: Revised Budget for ALL Budget Periods of the Proposal

(Current procedure in place applies)

- 1. Copy the original Development Proposal
  - Copy the Budget (all years or the first year only depending on the amount of changes required)
- 2. In the New Development Proposal in the **Proposal Tab:** 
  - a. Modify the Start and End Date if necessary
  - b. Set the Proposal Type to "Resubmission"
  - c. Complete the **Original Proposal** field with the Institute Proposal No. of the Original submission
- 3. In the Yes/No Questions Section:
  - Question 0B19 Is this submission a Revised Budget? must be answered "YES"
- 4. Revise all the years of the Budget as requested

#### Scenario 2: Revised Budget for FIRST Budget Period ONLY of the Proposal

- 1. Copy the original Development Proposal
  - a. Copy the Budget (All Budget Years)
- 2. In the New Development Proposal in the **Proposal Tab:** 
  - a. Modify the Start and End Date if necessary
  - b. Set the Proposal Type to "Resubmission"
  - c. Complete the Original Proposal field with the Institute Proposal No. of the Original submission
- 3. In the Yes/No Questions Section:
  - Question 0B19 Is this submission a Revised Budget? must be answered "YES"
- 4. Revise **YEAR 1** of the Budget Only
  - a. If the institutional rates have changed since the original proposal, apply the new rates to the whole budget
  - b. Leave the remaining years' costs as originally proposed

# <u>Scenario 3: Revised Budget for Subsequent Budget Periods of the Proposal (e.g. Year 3 of an award)</u>

- 1. Copy the most recent Development Proposal record (may be the original proposal or a revised budget previously submitted)
  - a. Copy the Budget (All Budget Years)
- 2. In the New Development Proposal in the <u>Proposal Tab:</u>
  - a. Set the Proposal Type to "Resubmission"
  - b. Complete the **Original Proposal** field with the Institute Proposal No. of the Original submission
- 3. In the Yes/No Questions Section:
  - a. Question 0B19 Is this submission a Revised Budget? must be answered "YES"
- 4. Revise THE REQUESTED YEAR of the Budget Only
  - a. Leave the remaining years' costs as originally proposed or previously revised

#### **TRAINING**

#### **OSP TRAINING SPOTLIGHT**

## \*\*\*New Classes\*\*\*

#### Allocation of Costs

This workshop will explain what is meant by Allocation of Costs and why it is necessary to properly document allocation methodologies. Various methods of allocating costs will be presented and guidelines will be offered for preparing allocation methodologies. Examples of appropriate methodologies will be shared and the lessons learned will be applied to case studies. Participants are asked to bring their own examples of allocation issues to the class for discussion.

#### **Register for Allocation of Costs**

#### **Cost Transfers**

This workshop will provide an in-depth review of the University's Cost Transfer Policy and related procedures for processing cost transfers. Specific attention will be paid to federal regulations, the cost transfer form and other appropriate supporting documentation, along with best practices for mitigating cost transfers. Participants will leave the workshop well suited to process necessary cost transfers in a manner that complies with all University and sponsor rules and regulations.

# **Register for Cost Transfers**

#### **OSP Training Modules for Spring Semester**

OSP classes for the spring semester are now scheduled and can be viewed at:

http://training.brown.edu/index.php?campaign=68.

The frequency of classes that have had a low attendance rate over the fall semester has been decreased to once a month, every other month or quarterly depending on demand over the past semester.

Please see the updated list of Sponsored Projects Training Classes for class descriptions and frequency:

#### **ABOUT OSP TRAINING**

The Office of Sponsored Projects is pleased to offer numerous training opportunities for faculty and staff that range from how to use Coeus to guidelines on pre or post award management:

# All Sponsored Projects Training Sessions:

http://training.brown.edu/index.php?campaign=68

## **Coeus Training**

Learn how to use the University's sponsored projects management system, Coeus. Classes include creating proposals, budgets, submitting Grants.gov proposals, and viewing proposal and award records. http://training.brown.edu/index.php?campaign=71

#### **Post Award Training**

Learn best practices in Post Award management. Sessions covering travel, commitments, administrative costs, and other areas of post award administration are offered.

http://training.brown.edu/index.php?campaign=72

# **Pre Award Training**

Learn best practices in Pre Award management. Sessions covering preparation of proposals, budgets, negotiation of terms and conditions of awards, issuance of subcontracts and other areas of pre-award administration are offered or planned for this year.

http://training.brown.edu/index.php?campaign=126

#### **GRANT CONFERENCES/NCURA EDUCATIONAL PROGRAMS**

• NCURA Region I – RADG Managing International Projects

March 13, 2012

Boston, Massachusetts

For more information, please visit:

http://www.ncuraregion1.org/radgmeeting0312.html

## **SPONSORED PROJECTS REPORTING**

# **Reporting Update**

# > New Report Available – Report of Open Awards

The report:

- Lists Awards that are currently "Active" or in some form of "Closeout".
- Can be refined via prompts on Department, Award Status, PI and/or Sponsor.
- Great for determining what awards are currently "Active" or "in Closeout", or determining what Sponsors are actively funding a department.

#### Scheduling Capabilities

The ability to schedule a report to run automatically is being added to several reports. As of today, the following reports can be scheduled:

- Monthly Proposal Activity Report
- Monthly Award Activity Report
- Report of Open Awards

#### Additional Columns Available

The below fields were added to the Custom Proposal Activity Report at the request of several users. As columns are optional, users can choose whether or not to display these columns on the report:

- Proposal Development Number
- Brown ID

Reporting User Group	Requesting an Ad Hoc Sponsored Projects Report				
	All Sponsored Projects report requests should be sent to:				
Next Reporting User Group Meeting	OSP Reporting@brown.edu				
March 2012	In addition, a new form has been created to be used to request ad hoc reports:				
Details to follow.	http://research.brown.edu/pdf/OSP Report Request Form 12 10.doc				

