RESEARCH ADMINISTRATION UPDATES AND ITEMS OF INTEREST

JUNE 2012

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.brown.edu/research/newsletters for archives.

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OSP / OVPR UPDATES

> **WorkDay (WD) Update - Assigning Costing Allocations:**

Due to limitations with how WD handles costing allocations, a new Salary Costing Allocation Template was implemented. The template provides the following:

- The ability to calculate percentages to be entered in WD when assigning costing
- A mechanism for internal controls
- An adequate supporting document for audit purposes

The Template, along with detailed instructions, is located on the OSP Website – Costing Allocation Template – June 2012

About the *Salary Costing Allocation Template*:

- Mandatory for all costing allocations on sponsored awards / accounts.
- Template must be emailed to your Post Award Accountant prior to payroll deadlines.
    - If not received by OSP, OSP reserves the right to remove any salaries allocated to sponsored awards and transfer those salaries to departmental account.

Deadlines for Assign Costing Allocations:

- Payroll Deadlines On Payroll Website Apply
    - Limitation – Workday will allow allocation changes after deadline
    - Allocation changes after payroll deadline WILL NOT be recognized
    - Example: July 2012 Monthly Payroll Deadline is July 24, 2012. Any costing allocation changes made after July 24th will not be recognized

Any questions related to the template or assigning costing in WD, please contact your post award account.

➢ National Research Council Publishes Report on the Future of Research Universities

The National Research Council, the operating arm of the National Academy of Sciences and National Academy of Engineering recently published a report indicating that "American research universities are essential for U.S. prosperity and security, but the institutions are in danger of serious decline unless the federal government, states, and industry take action to ensure adequate, stable funding in the next decade."

The report, requested by Congress, recommends 10 strategic actions the nation should take over the next 10 years to maintain top-quality U.S. Research institutions. To read a summary or full version of the report, click: **Research Universities and the Future of America: Ten Breakthrough Actions Vital to Our Nation's Prosperity and Security** or view the **Webcast**.

AGENCY UPDATES

NIH UPDATES

➢ The Division of Receipt and Referral will use eRA Commons to Communicate with Applicants and Applicant Organizations
NOT-OD-12-108

Effective **May 25, 2012**, communications from the Division of Receipt and Referral (DRR) will be accessible to applicants and applicant organizations in a new "Correspondence" section of the eRA Commons details status screen for the application. Instead of receiving a letter in the mail, Applicants will be notified by email to check their Commons account.

DRR will notify an applicant when:
1) additional information is required before her/his application can be assigned to a scientific review group (SRG) and NIH Institute or Center (IC) for funding consideration;
2) an applicant's request for an IC assignment cannot be honored; or
3) it has been determined that the application does not comply with NIH policy.

Grantee organizations, PIs and Individual Fellows are encouraged to periodically check their email address for accuracy.

➢ Research Performance Progress Report (RPPR) now available to Brown's NIH PIs

RPPR is the new Federal-wide uniform format for interim reports. The RPPR is completed electronically through the NIH eRA Commons and will replace the PHS 2590, eSNAP, PHS 416-9 NRSA Fellowship reports. Early access is now available to Brown through our Federal Demonstration Partnership (FDP) membership. The RPPR option will appear in eCommons under the eSNAP tab for applicable research project grants, career development awards, training grants and fellowships.

PIs must initiate the report using eRA Commons. Either an RPPR **or** an eSNAP may be submitted. Please be aware that if a user initiates an RPPR, the only way to restart and submit an eSNAP (and vice versa) is to contact the eRA Help Desk at Commons Support at 1-866-504-9552 or **commons@od.nih.gov**. It may take eRA up to 2 business days to reset the progress report so the user can initiate a progress report in a different format.

Mandated use of the RPPR is expected in early 2013. For specific details and instructions please refer to the following resources:

http://grants.nih.gov/grants/rppr/
http://grants.nih.gov/grants/rppr/rppr_vs_esnap.htm
http://grants.nih.gov/grants/rppr/rppr_pilot_institutions.htm#resources

> ### NIH Piloting a New Process for Additional Review of Research Applications from Investigators with More than $1.5 Million Total Annual NIH Support

NOT-OD-12-110

According to NIH's Deputy Director for Extramural Research, NIH is currently piloting a special review process "for applications from investigators that have received NIH Funds of $1.5 million or more in total costs", with a tentative plan to implement the policy in Fiscal Year 2013.

Applications that will be given special review include:

- New and renewal applications from investigators who *currently receive* more than $1.5M in total costs for research project grants (RPG).
  This means the total of all active RPG awards at the time the application goes to council. In other words, if you are in the second year of a 5-year R01 that was awarded for $1.5M, the $300K awarded this year will count toward the total costs, plus the current year awarded for any other active RPGs.

Applications excluded from special review include:

- Applications received in response to a request for applications
- P01s and other multi-component RPGs, unless all the investigators exceed the threshold
- Multi-PI applications, unless all the investigators exceed the threshold

The Notice stresses the following:
It is important to note that the Special Council Review does not represent a cap on total NIH funding for any one investigator. NIH recognizes that some of the most productive investigators are leading significant research teams and programs that may require over $1.5 million/year of NIH awards to be sustained. NIH also recognizes that some types of research, for example large complex clinical trials, may commonly trigger this review but may also be recommended for funding.

> ### NIDA and NIAAA are Terminating the Senior Scientist Research Award (K05) Program

NOT-DA-12-016

The National Institute on Drug Abuse (NIDA) and the National Institute on Alcohol Abuse and Alcoholism (NIAAA) intend to terminate the Senior Scientist Research Award (K05) program, PA-12-148.

The last date for which NIDA and NIAAA will accept **new**, never before reviewed (type 1, A0) **non-AIDS** K05 applications will be **June 12, 2012.** For new, never before reviewed (type 1, A0) **AIDS** applications last date will be **September 7, 2012**.

The last dates for which NIDA and NIAAA will accept **renewal** (type 2) or **resubmission** (type 1 or type 2, A1) applications will be **November 12, 2012** (**non-AIDS** K05) and **January 7, 2013** (for **AIDS** applications).

NIDA and NIAAA will not accept any K05 applications beyond the November 2012/ January 2013 receipt dates.

PA-12-148 will expire on January 8, 2013.

> ### NHLBI Will No longer Participate in the Parent NIH Independent Scientist Award (K02) Funding Opportunity Announcement

NOT-HL-12-144

Beginning with **new** applications received **after June 12, 2012** and **resubmission** applications received **after March 12 2013 and thereafter**, the National Heart, Lung, and Blood Institute (NHLBI) will no longer participate in funding opportunity announcements for the Parent K02 Independent Scientist Award.

NSF UPDATES	➢ **NSF Concerns Regarding Compliance with Proposal and Award Components**

The National Science Foundation has shared concerns regarding compliance with the following award administration requirements. Please be certain that these items are not overlooked for your research project:

PI Sabbaticals
If the PI/PD or co-PI/co-PD will be absent from the project for short periods of up to three months, he/she shall notify appropriate officials of the grantee organization. The grantee shall then notify the NSF Program Officer of arrangements for conduct of the project during the PI/PD's or co-PI/co-PD's temporary absence. (AAG Ch 2)

Project Outcomes Report (POR)
Within 90 days following expiration of the grant, a project outcomes report for the general public must be submitted electronically via Research.gov. This report serves as a brief (200 - 800 words) summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted in the Research Spending and Results section of the Research.gov website **exactly as it is submitted.** (AAG Ch 2) It can be edited by the PI for up to 30 days after submission.

Broader Impacts in the POR
The report should describe the project outcomes or findings that address the intellectual merit and broader impacts of the work as defined in the NSF merit review criteria. See http://www.nsf.gov/pubs/policydocs/porfaqs.jsp
NSF will automatically include all publications from FastLane.

➢ **NSF Grants Conference Hosted By George Mason University October 22-23, 2012**

Location:
Holiday Inn Rosslyn at Key Bridge
1900 N Fort Myer Drive
Arlington, VA 22209

The first National Science Foundation Grants Conference of fiscal year 2013 will be held in Arlington, Virginia, and hosted by George Mason University on **October 22-23, 2012**.

Key representatives from the National Science Foundation (NSF), as well as - faculty, researchers, and grant administrators - representing colleges and universities from around the U.S. will participate.

This two-day conference is recommended, especially for new faculty, researchers, educators, and administrators who want to gain key insight into a wide range of current issues at NSF including the state of current funding; new and current policies and procedures; and pertinent administrative issues. NSF program officers representing each NSF directorate will be on hand to provide up-to-date information about specific funding opportunities and answer questions.

Highlights include:

- New programs and initiatives;
- Future directions and strategies for national science policy;
- Proposal preparation;
- NSF's merit review process;
- Cross-disciplinary and special interest programs;
- Conflict of interest policies;
- Breakout sessions by discipline.

To register for the conference, click on the Register button.

AFOSR UPDATES	➤ **AFOSR confirms decision to allow spending in advance of an award's start date**
	OSP has received a memo from the Director of AFOSR confirming the decision to allow spending in advance of an award's start date. From the Director's memo: "Once a proposal has been selected for award, AFOSR will certify the availability of funds. The PI and business office (OSP) will receive an email from AFOSR's Contracting Office stating the PI is authorized to incur pre-award costs 90 days prior to the negotiated start date. The PI will not receive notice of selection for award unless AFOSR has already certified availability of funding, but please be aware that federal regulations require all pre-award costs to be incurred at the recipient's risk. In other words, AFOSR would not be obligated to reimburse costs if for any reason the recipient does not receive an award or if the award is less than anticipated and inadequate to cover such costs." OSP has updated the UPAS (University Prior Approval System) form to reflect this action.

COEUS UPDATES

COEUS NEWS	COEUS TIP OF THE MONTH

New Questionnaires will replace YNQ 0B17

A New Questionnaire has been created for NIH / PHS & NSF proposals to capture other individuals involved in this project considered "Investigators" for conflict of interest purposes (any person who is responsible for the design, conduct, or reporting of research). These questionnaires will replace Yes No Question 0B17.

- **Questionnaire Training for Administrators & Faculty**
  - July 18th Coeus User Group Meeting.
  - Coming soon: Web-ex Trainings will be offered.
  - Screencast training will be posted on OSP's Website.

Update to Investigator Certification Questions

- Question 1 - "Disclosures" is replaced by "Reporting form"
- Question 2 & 3 - There are now 2 questions that pertain to significant financial interest:
  - **NEW** ***Do you have a significant financial interest related to your professional expertise or institutional responsibilities?***
  - **Do you have a significant financial interest related to this research project?**

Coeus User Group Meeting

Agenda: completing the new questionnaire, best practices when creating and copying a proposal hierarchy, reviewing Grants.gov forms, process for deleting "Rejected" Proposals

Next Meeting:
July 18th – Petteruti Lounge
10:00am – 11:30am

FISCAL RATE UPDATES in COEUS

With the new fiscal year, it is important to make sure your proposal is set up with the correct rates and base salary effective dates, especially when you copy an older proposal or use a Department Template proposal.

Items to update or review:

Fringe Benefit and F&A Rates on copied proposals or proposals with Date modifications -
Be sure to Sync the Proposal Rates on proposals to ensure you are using the FY13+ Fringe Benefit and F&A rates.
For instructions on how to Sync the rate - See page 103 of the Coeus Premium Proposal Development Guide or page 94 of the Coeus Lite Proposal Development Guide.

EFFECTIVE DATE of **BASE SALARY** -
When budgeting personnel, be sure to check the Budget Persons window to make sure you are using the correct Effective Date for the salary entered.
For instructions on how to update effective date - See page 109 of the Coeus Premium Proposal Development Guide or page 84 of the Coeus Lite Proposal Development Guide.

UPDATE DEPARTMENT TEMPLATES -
If your department uses a Template to create proposals, be sure to update the Budget Persons window as noted above with the individual's new salary and effective date information.

POST-AWARD UPDATES

AWARD MANAGEMENT

Fundamentals of Cost Transfers

It is critical that all sponsored project accounts be reviewed on a regular basis in order to ensure that expenditures are accurate and appropriate. Diligent review of FRS ledger reports and timely communication between principal investigators and department administrators should prevent the need for cost transfers. When errors are discovered, however, they must be corrected as quickly as possible.

Transfers processed within 90 days of month end closing after the original transaction posts to the ledger system must include written justification and all relevant back-up documentation. Cost transfers completed more than 90 days beyond the end of the month in which the transaction appeared are considered exceptions and require substantial and reasonable justification regarding the lateness of the transfer.

All expenses that are transferred must meet the same federal guidelines for direct charging of expenditures –they must be:
- ✓ allowable
- ✓ reasonable
- ✓ allocable, and
- ✓ consistently treated as a direct cost.

For more information on the appropriateness of a cost transfer, see Brown's cost transfer policy.

Required documentation when submitting cost transfer request(s):
1) Single or Multiple Interdepartmental Invoice (II) template
2) Copy of web ledger(s) or labor report(s) showing the charge being transferred
3) Copy of invoice or other backup that documents the nature of the item/services being transferred, when applicable
4) All cost transfer requests must include a complete and clear explanation. The justification must address questions 1 & 2 on the Cost Transfer Explanation and Justification Form explaining:
   - o why the expense (s) was originally charged to the account now being credited and
   - o why the expense (s) is being transferred to the proposed account. Specifically, attention should be paid to tying the expense being transferred to the scope of work on the second account.

   For all transfer requests after 90 days, additional justification is required and questions 3 & 4 of the cost transfer justification form should be completed:
   - o 3-why the cost transfer is being processed 90 days after the month end closing
   - o 4-If applicable, what corrective action has been taken to correct systemic problem(s).
5) If reallocating salary from a certified period, re-certification of effort is required along with an explanation of department effort certification process.

Please contact your Post Award Accountant for guidance.

Cost transfers are considered "the exception, rather than the rule," and must be kept to a minimum.

REMINDERS

UPCOMING ARRA DEADLINES

July 3rd
- All ARRA Payroll Distribution Data for June 2012 should be entered into ARRA reporting Tool by ARRA Administrators.

TRAINING

OSP TRAINING SPOTLIGHT

Upcoming Pre-Award Training

NIH Assorted Training – Ruth L. Kirschstein NRSA Individual Fellowships

In anticipation of the **August 8, 2012** deadline for NIH Fellowship Applications, the Office of Sponsored Projects is offering the Fellowship Training.

This workshop will offer an in-depth overview of the National Institutes of Health (NIH) Ruth L. Kirschstein National Research Service Awards (NRSA) Individual Fellowship Funding Opportunities. It will define and review the various NIH Fellowship Application requirements as well as provide hands on experience entering the proposals in Coeus. Participants will become familiar with the key components of a fellowship application (e.g. eligibility, content, forms, budget requirements, etc.) and with Coeus-Fellowship specific requirements.

This training is intended for individuals with Coeus proposal preparation experience; however those without experience are welcome to attend as well. Participants are encouraged to start their proposal in Coeus prior to the training session, and bring it to class to complete and have their questions answered.

Available sessions:

Thursday, July 19th 10:00 am – 12:00 pm

Thursday, July 26th 10:00 am – 12:00 pm

To register for the Ruth L. Kirschstein NRSA Individual Fellowship class, please visit Brown LearningPoint and log in using your Brown User Name and Password. Search under the *Sponsored Research Related Training*.

ABOUT OSP TRAINING

The Office of Sponsored Projects is pleased to offer numerous training opportunities for faculty and staff. Topics Include:

- **Coeus Training**
  - *Learn how to use the University's sponsored projects management system.*
- **Pre-Award Training**
  - *Learn best practices in Pre-Award management. Sessions ranging preparation of proposals and budgets to negotiations of award terms & conditions.*
- **Post-Award Training**
  - *Learn best practices in Post-Award management. Sessions ranging from travel on sponsored projects to allocation of costs.*

Sponsored Projects Training Sessions are now on LearningPoint, Brown's new Professional Development System.
~ To register for classes, please navigate to www.brown.edu/learningpoint and log in using your Brown User Name and Password.
~ The training classes can be found by clicking on the "*Sponsored Research Related Training*" from your homepage.

GRANT CONFERENCES/NCURA EDUCATIONAL PROGRAMS

- **NCURA - Pre-Award Administration Conference**
  July 18 – 20, 2012
  Vancouver, Canada
  For more information and to register please visit:
  http://www.ncura.edu/content/educational_programs/sites/pra6/

SUBAWARD UPDATES

USE OF SUBRECIPIENT AGREEMENTS AT BROWN

New section to Newsletter:
Last month, many readers may have noticed a new section in this newsletter titled "Subaward Updates." As subaward issuance and compliance becomes increasingly detailed and intricate, the Office of Sponsored Projects will use this opportunity to simplify communication and administration between departments, OSP and the subrecipient. Each month, this section will continue to provide short, to-the-point narratives. At first, it will review the required information universal to all subawards. Later, more detailed articles pertaining to new regulation, compliance and common problems will be given.

What The Department Must Provide For All Proposals With Subawards:
No matter the sponsor or subrecipient, every subaward proposed has the following required components:
Specific to the proposal, the subrecipient must provide a

- Letter of Intent to Collaborate (LOI) signed by an Authorized Institutional Official
- Budget including a budget justification
- Scope of Work specific to the subrecipient.

Additional components, depending on the proposal instructions, may be required, e.g. Biosketches and Current/Pending support for the Subaward PI.

Any questions regarding subaward policies and procedures or items of interest to include in this series please email the Subaward Team at subawards@brown.edu.

SPONSORED PROJECTS REPORTING

➢ **Cognos Service Disruption Email - *'CIS Service Alert: Cognos Sponsored Projects and Financial Records Data Refresh Issue'*:**

- Do not run any Sponsored Projects reports in Cognos. The data is not valid and/or up to date.
- The data will be refreshed overnight.
- Reporting will be available the next morning, unless notified otherwise.
- If you have an urgent reporting need, please contact OSP_Reporting@brown.edu.

➢ **Standard Award, Proposal & Expense Report**

- The latest enhancement to this report allows you to refine the Expenditure portion of the report by account number.
- Using the newly supplied prompt, the report can be refined to include only 5 Ledger accounts, only 6 ledger accounts (classified as Research), both 5 & 6 ledger accounts, or a specific account number.

➢ **Reporting User Group Meeting: July 26, 2012 - 1pm**

- Date: July 26, 2012 – 1pm
- Location: Smith Buonanno Hall Note that the July Reporting User Group meeting will be held at Smith Buonanno Hall instead of our usual BOB Conference room.
- Sponsored Projects Report Requests:
  - All report requests should be sent to OSP_Reporting@brown.edu
  - Please complete the OSP Report Request Form for all ad hoc reports