December 2015
Research Administration Working Group

WELCOME
Open Mike

• Fringe Rates
  – FY17 proposed
  – Budget v. Charging

• Distribution of Indirects
  – PI award letter out & accounts funded
  – Departments - this month
  – Deans - first week in January

• Tuition – guidance will be forthcoming
Agenda

• SPS Staffing Updates
• Effort Reporting Update
• NIH – Updates and Upcoming Changes
• Reminder: Fall 2015 GATV Submission
SPS Staffing Updates

• Faculty Services:
  – Proposal Support: Nancy Labonne
  – Post-Award Support: Linda Juber

• Sponsored Program Services
  – Grant Specialist Subaward Support: Brenda Lowther
Fall 2014 Effort Report Update

• Paper reports being entered into the ERC system to use the Validation functionality
  – Validation – these are noted as “IN PROGRESS: ERC REVIEW (V_)”

<table>
<thead>
<tr>
<th>Not Entered Yet</th>
<th>With SPS for Changes</th>
<th>With Dept Admins</th>
<th>With PI</th>
<th>Returned</th>
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<tbody>
<tr>
<td>25%</td>
<td>1%</td>
<td>3%</td>
<td>1%</td>
<td>70% 17% In Validation 53% Approved</td>
</tr>
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</table>

• Any reports that appear in your worklist will need to be addressed
  – Not returned, incomplete or question on comments
  – New report generated due to cost transfer
Spring 2015 Effort Report Update

• Rough Statistics as of 12/15:

<table>
<thead>
<tr>
<th></th>
<th>With SPS for Changes</th>
<th>With Department Administrator</th>
<th>With PI</th>
<th>Submitted to SPS</th>
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<tr>
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<td>0.5%</td>
<td>76%</td>
<td>17%</td>
<td>6.5%</td>
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<td>1% In Validation</td>
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<tr>
<td></td>
<td></td>
<td>4% Final Review</td>
<td></td>
<td>6% Approved</td>
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</table>

• **Reminder**: Reports should be routed to PI/Faculty by 12/24
Frequently Asked Questions - PIs

• The actual effort in the report is not totaling 100% due to rounding
  – Make it equal 100%-round up/down on a grant or “All Other Sources”

• How to Certify with Multiple PIs
  – Use “Default to Calculated Effort” and make changes from there
  – Total must equal 100% to move to next PI
  – Guide to follow, located in the Help Section
Frequently Asked Questions - DAs

• Comments
  – Not required but OK to include
  – All comments are flagged for review

• Reviewing Reports for Multiple Departments
  – Consultation happens outside of ERC
    • Cannot route to other Dept Admins
  – Main department takes the lead; do not change departments unless all the work was with the other department
Frequently Asked Questions - DAs

• PI is no longer at UConn
  – Department Head can search for the report then “Claim Report” and certify

• Numbers do not look correct
  – Paid effort/salary transactions
    • This may be due to a Cost Transfer not being treated as intended or processed yet
    • Return the Effort Report SPS with an explanation
  – Commitments/Cost Share
    • Submit a Commitment Change Form
    • Return the Effort Report to SPS with an explanation
ERC Commitment Change Form:
When to Use

• Use to adjust/add/remove a paid or cost shared commitment in the ERC system
• Not needed when pay was charged incorrectly
  – For example: coded to wrong account, typo, change in distribution, etc.
  – Only need to submit Cost Transfer/Corrected PA
• Only need both Cost Transfer & Commitment Change Form when
  – salary was charged incorrectly
    **AND**
  – ERC system shows an inaccurate commitment
ERC Commitment Change Form: Key Points

- There are quick links to the Commitment Change Form (CCF) from an Effort Report, but the CCF is not tied to the Effort Report
  - Still need to “Submit” the Effort Report
    - Choose “Return to SPS” if the CCF affects the current effort report. Note in the Comments box that there is a pending CCF.
  - The dates and projects on the Effort Report are not visible to SPS on the CCF – unless you provide that info
ERC Commitment Change Form: Key Points (continued)

• Either use the “Add Project” button on the right to clearly identify the project(s), account(s) and commitment details

  OR

• Include all the necessary information in the Comment box
  • Project (InfoEd # or grant account #)
  • Account # covering salary (if cost share, 2 or 4 ledger)
  • Timeframe of commitment (start date and end date)
  • Academic, Calendar or Summer appointment
  • Paid/Salaried or Cost Shared commitment
  • Percent Effort
Feedback on ERC system

• Very positive so far!
• Based on feedback, we’re looking into some possible enhancements
  – Viewing additional statuses summarized by School/Dept
  – Possible ad-hoc routing (for additional department review)
• Please email us with any ideas you have!
New NIH GPS: Significant Changes

Implements the following Provisions:

Chapter 2 – The NIH as a Grant Making Organization


• Remind applicants, non-compliance can have serious consequences. NIH may withdraw any application identified during the receipt, referral and review process that is not compliant with the instructions in the SF424 (R&R) Application Guide, the Funding Opportunity Announcement, and relevant NIH Guide Notices.

• Some examples include but are not limited to:
  – Applications containing one or more biosketches that do not conform to the required format may be withdrawn (NOT-OD-15-032).
  – Applications that do not conform to the page limit requirements because inappropriate materials have been included in other parts of the application may be withdrawn (NOT-OD-11-080).
  – Applications submitted as new but containing elements of a resubmission or renewal application are noncompliant with the resubmission policy and may be withdrawn (NOT-OD-15-059).
  – Applications submitted after 5 PM local (applicant organization) time on the application due date may be withdrawn (NOT-OD-15-039).
New NIH GPS: Significant Changes

Implements the following Provisions:

Chapter 2 – The NIH as a Grant Making Organization (continued)

Reminder: NOT-OD-15-083 NIH Grant Applications and the NIH Genomic Data Sharing Policy

- NIH Genomic Data Sharing: Requires that applications proposing to generate large-scale human and/or non-human genomic data are expected to include a genomic data sharing plan.

- Requires that applicants who wish to use controlled-access human genomic data from NIH-designated data repositories briefly address their plans for requesting access to the data in the application, and state their intention to abide by the NIH Genomic Data User Code of Conduct.
New NIH GPS: Significant Changes

Implements the following Provisions:

Chapter 4 – Public Policy Requirements, Objectives and Other Appropriation Mandates

Clarifies: FDA requirement for ClinicalTrials.gov

- Text added to clarify results reporting is still required after the period of performance has ended.

New Policy Implementation:

- NIH funded research using newborn dried blood spots collected on or after March 18, 2015, will be considered to be non-exempt human subjects research, and therefore, must follow the HHS protection of human subjects regulations at 45 CFR part 46. - See more at: NOT-OD-15-127.
New NIH GPS: Significant Changes

Implements the following Provisions:

Chapter 4 – Public Policy Requirements, Objectives and Other Appropriation Mandates (continued)

Change of Guidance to Regulatory Requirement

- Sec. 4.1.14 Human Fetal Tissue Research - Sections 498A and 498B contain additional requirements for research on the transplantation of human fetal tissue for therapeutic purposes conducted or supported by NIH.
New NIH GPS: Significant Changes

Implements the following Provisions:

Chapter 8 – Administrative Requirements

**New:** NIH will allow recipients to reduce effort during a NCE without prior approval.

**Change in Scope:** Expands the description of changes from the approved involvement of human subjects requiring prior NIH approval. See [NOT-OD-15-128](#) and [NOT-OD-15-129](#).

**Genomic Data Sharing (GDS) Policy:** Allows investigators to request permission to transfer controlled-access genomic and associated phenotypic data obtained from NIH-designated data repositories that are under the auspices of the NIH GDS Policy to public or private cloud systems for data storage and analysis. See [NOT-OD-15-086](#).
New NIH GPS: Significant Changes

Implements the following Provisions:

Chapter 8 – Administrative Requirements (continued)

**Requirement:** NIH requires all invention disclosures, related reports and documents to be submitted electronically via Interagency Edison (iEdison). See more at: [NOT-OD-15-080](#).

Summary of Significant Changes

NIH Grants Policy Statement
NIH & AHRQ Changes to Policies, Instructions and Forms for 2016 Grant Applications

Notice: NOT-OD-16-004

Two phases:

• **Phase 1:** Implements a subset of the policy changes using existing (FORMS-C) forms and updated instructions and will impact due dates on or after January 25, 2016.

• **Phase 2:** Completes the implementation with the introduction of new (FORMS-D) forms and instructions and will impact due dates on or after May 25, 2016.
### NIH & AHRQ Changes to Policies, Instructions and Forms for 2016 Grant Applications

#### Phase 1

| Rigor and Transparency* | We are changing application requirements and review language to enhance reproducibility of research findings through increased scientific rigor and transparency. These changes will take effect for most research grant applications (including small business and complex research grant applications), but will not impact institutional training and individual fellowship applications until Phase II. Changes include:  
| | • Updates to application guide instructions for preparing your research strategy attachment  
| | • Use of a new "Authentication of Key Biological and/or Chemical Resources" attachment (uploaded in Other Attachments section of R&R Other Project Information form)  
| | • Additional rigor and transparency questions reviewers will be asked to consider when reviewing applications  
| | See NOT-OD-16-011 and NOT-OD-16-012. |

| Vertebrate Animals* | We are removing redundancy with Institutional Animal Care and Use Committee review while meeting the requirements of the Public Health Service Policy on Humane Care and Use of Laboratory Animals. Changes include:  
| | • Updated guidance on criteria to be addressed (description of procedures; justifications; minimization of pain and distress; and euthanasia)  
| | • A description of veterinary care is no longer required  
| | • Justification for the number of animals has been eliminated  
| | • A description and justification of the method of euthanasia is required only if the method is not consistent with AVMA Guidelines for the Euthanasia of Animals  
| | See NOT-OD-16-006.  
| | Note: This change does not apply to AHRQ applications. |
## NIH & AHRQ Changes to Policies, Instructions and Forms for 2016 Grant Applications

### Phase 1

| Definition of Child* | We are redefining the age of a child for the purposes of NIH's inclusion policy to individuals under 18 years old instead of under 21 years old.  
| See [NOT-OD-16-010](#).  
| **Note:** This change does not apply to AHRQ applications. |
| Research Training | We are updating requirements and instructions for several attachments on the PHS 398 Research Training Program Plan form to reflect recent policy guidance and reduce applicant burden.  
| Changes include:  
| • "Recruitment and Retention Plan to Enhance Diversity" - applicants will be asked to focus on recruitment  
| • "Human Subjects" - applicants must describe how the institution will ensure that trainees only participate in exempt human subjects research or non-exempt human subjects research that has IRB approval; no longer necessary to provide a list of potential grants trainees may work on and associated IRB information  
| • "Vertebrate Animals" - applicants must describe how the institution will ensure that trainees only participate in vertebrate animal research that has IACUC approval; no longer necessary to provide a list of potential grants trainees may work on and associated IACUC information  
| • "Progress Report" - requirement to report on publications that arose from work conducted by the trainee while supported by the training grant will be moved to the Just-in-Time process |
## Graduate Tuition – Reminder

- Begin preparing your GATV information now.

<table>
<thead>
<tr>
<th>Semester</th>
<th>Internal Billing Description</th>
<th>Department &amp; FO Approval Deadline</th>
<th>Disbursement Cycle</th>
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</thead>
<tbody>
<tr>
<td>Fall 2015</td>
<td>Fall 2015 Tuition</td>
<td>1/29/2016</td>
<td>February 2016</td>
</tr>
</tbody>
</table>

- Where will funds be transferred?

  Funds will be transferred to the Lead Investigator’s IDC (4 Ledger) account following the fall ‘15 and spring ‘16 semester.
Graduate Tuition – Distribution to Lead Investigator

• How will the Disbursement be Performed?
  – Departments must submit the internal billing form that charges the tuition for each Graduate Assistant to the eligible sponsored award(s).
  – Each internal billing must be submitted with the corresponding description by the deadline as identified above.
  – Add OVPR-SPS as an Ad-Hoc approver to the KFS workflow routing so that it does not delay the processing of the tuition posting.
  – Departments are encouraged to proactively initiate the document early during the semester; then, place on-hold and finalize at the end of the semester in order to capture all tuition charges and process by the deadline.
  – Late submissions of a prior semester’s charge must be submitted separately with the proper description that identifies the semester for which the charge is being incurred.
**Graduate Tuition – Distribution to Lead Investigator**

- **Who do I contact if I have questions?**

<table>
<thead>
<tr>
<th>Item</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Questions regarding the submission or review of the Graduate Assistant Tuition</td>
<td>SPS Team Lead in Sponsored Program Services:</td>
</tr>
<tr>
<td></td>
<td>• Matthew Cahill – <a href="mailto:matthew.cahill@uconn.edu">matthew.cahill@uconn.edu</a></td>
</tr>
<tr>
<td></td>
<td>• Jen Johnson - <a href="mailto:jennifer.johnson@uconn.edu">jennifer.johnson@uconn.edu</a></td>
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<tr>
<td></td>
<td>• Deb Keefe - <a href="mailto:deborah.keefe@uconn.edu">deborah.keefe@uconn.edu</a></td>
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<tr>
<td></td>
<td>• Daniela Parciasepe - <a href="mailto:daniela.parciasep@uconn.edu">daniela.parciasep@uconn.edu</a></td>
</tr>
<tr>
<td>Questions that pertain to the disbursement process, notification, or funded amounts</td>
<td>OVPR Financial Services :</td>
</tr>
<tr>
<td></td>
<td>• Joanna Desjardin - <a href="mailto:Joanna.desjardin@uconn.edu">Joanna.desjardin@uconn.edu</a></td>
</tr>
</tbody>
</table>
Graduate Tuition

Fall GATV Tuition Calculator is now available!

http://research.uconn.edu/sps-awards/financial-management/
Adjourn

• Questions?