March 2015
Research Administration
Working Group

WELCOME
AGENDA

Please join us in discussion on the following topics:

- Introductions - Staffing update
- NIH/AHRQ Biosketch Training
- Effort Reporting Update
- Unused Airline Tickets
- GATV Reminder
- Uniform Guidance (UG) Moment
  - Federally Negotiated Rate Agreements for Outgoing Subawards
  - NIH Interim Grant Conditions
- NSF PAPPG Presentation on Significant Changes and Updates
NIH/AHRQ New Biosketch Format

- **NOT-OD-15-032** was issued by NIH and AHRQ on December 5, 2014 (supersedes NOT-OD-024)
- Impacts both the general and fellowship biosketch forms
  - Page limit increased to 5 pages
  - Section C (Selected Peer-Reviewed Publications) replaced with Contributions to Science
- New Biosketch format is required for all applications with due dates on or after **May 25, 2015**
- **SciENcv** is available to assist in biosketch development

**Training will be offered on March 25th at 2:00pm in the Konover Auditorium**
Effort Reporting Update

• Summer reports have been issued
  – 8/21 PPE Issue for Grads and some Faculty
• March 31 deadline will be extended – for all adjustments for 9 & 10 month employees paid on sponsored awards over 12 months
• Four training sessions have been provided to the community
Unused Airline Tickets

- Travel Audit identified that there were unused airline tickets on Sponsored awards
- Sanditz created a report, sent monthly to SPS, for unused tickets that remain on Sponsored Awards
- SPS started sending communications in March requesting information on the credits’ status

**Reminder:** Any use of the credit that does not benefit the sponsored award that was charged must be transferred off the award
GATV Reminder

• Graduate Tuition is to be allocated to sponsored awards, typically following each semester

• Please remember Fall 2014 Graduate Tuition Charge allocations should already be done

• Grants that end before the end of the semester: tuition needs to be posted immediately following the end date of the award in order for SPS to include on the Final Financial Report

• If you are in need of a calculator (not posted on the website) contact Marilyn Moir at Marilyn.moir@uconn.edu
UG Moment

- Federally Negotiated Rate Agreements for Outgoing Subawards (if they have one)
  - Required at proposal time
- Subrecipient Checklist and Consortium Statement will be updated
UG Moment

- NIH Interim General Grant Conditions
  NIH issued Guide Notice NOT-OD-15-065 on February 5, 2015 informing grantees of the interim general conditions of NIH grant awards aligned with HHS regulations implementing OMB’s Uniform Guidance at 45 CFR Part 75

- F.A.Q’s were issued around the same time at: http://grants.nih.gov/grants/policy/faq_grants_uniformguidance.htm#4447
Examples of FAQ’s include:

• Guidance on which regulation applies based on when the NoA is received.
• Does the NOA look different now?
  ▪ Yes, it includes new, revised and renamed data fields.
• When are final grant closeout reports due?
  ▪ Final grant reports are generally due within 90 days of the project period end date.
  ▪ However, NIH is providing a 30 day extension.
  ▪ All final grant reports must be submitted within 120 calendar days from the end of the performance period.
  ▪ NIH will not consider further requests for extensions of final grant reports beyond 120 calendar days from the end of the performance period.
  ▪ SPS will continue to require all paperwork to be submitted within 90 days.
• Presentation Video: "NIH Implementation of Uniform Guidance" (https://www.youtube.com/watch?v=dZGndlxOWIg&feature=youtu.be)
Questions?
Overview

• Effective December 26, 2014

• Incorporates of 2 CFR § 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance)

• Impacts both the *Grant Proposal Guide* and the *Award and Administration Guide*
Grant Proposal Guide
Grant Proposal Guide

Special Exceptions to the Deadline Date Policy

• Natural or Anthropogenic Disaster
  – Request to submit late should be granted in advance of the deadline when possible
  – Request should be sent to the cognizant Program Officer
  – Decisions will be made on a case by case basis
  – Generally, NSF permits extension of deadline by five business days
Grant Proposal Guide

Special Exceptions to the Deadline Date Policy, continued

• Closure of NSF
  – Due to inclement weather or other reason
  – Deadline(s) occurring during the closure will be extended to the following business day after the closure ends
Grant Proposal Guide

Non Compliant Proposals

• Proposals will not be accepted or will be returned without review for the following reasons:
  – Inappropriate for funding by NSF
  – Submitted with insufficient lead-time before the activity is scheduled to begin
  – Proposer was not invited to submit after submission of a preliminary proposal
  – Is a duplicate of, or substantially similar to, a proposal already under consideration
Grant Proposal Guide
Non Compliant Proposals, continued

- Proposals will not be accepted or will be returned without review for the following reasons:
  - Is not responsive to the NSF funding opportunity
  - Does not meet an announced proposal deadline date
  - Was previously reviewed and declined and has not been substantially revised
  - Duplicates another proposal already awarded
Grant Proposal Guide

Non Compliant Proposals, continued

• Proposals will not be accepted or will be returned without review for the following reasons:
  
  – Does not meet NSF proposal preparation requirements, such as page limitations, formatting instructions, and electronic submission, as specified in the Grant Proposal Guide or program solicitation
  
  – Does not contain each of the required sections of the proposal
Grant Proposal Guide

New Funding Mechanism

• Ideas Lab
  – Support the development and implementation of creative and innovative project ideas that have the potential to transform research paradigms and/or solve intractable problems
  – May run independently or in parallel with the issuance of an NSF funding opportunity on the same topic
  – Typically high-risk/high-impact for new and unproven ideas, approaches and/or technologies
  – Involves a four stage process to fund the proposal
Grant Proposal Guide

Letters of Intent (LOI)

• If required by the program solicitation and not submitted by the LOI deadline, the full proposal will not be accepted or will be returned without review.
Grant Proposal Guide

Required Proposal Sections

• If the required sections are not included, the proposal will be returned without review.
• Proposals may deviate if required by the program solicitation or for specific types of proposals (RAPID, EAGER, etc.)
Grant Proposal Guide

Required Proposal Sections, continued

- Required Sections
  - Cover Sheet
  - Project Summary
  - Table of Contents
  - Project Description
  - References Cited
  - Biographical Sketch(es)
  - Budget & Justification
  - Current & Pending
  - Facilities, Equipment & Other Resources

- Special Information and Supplementary Documentation
  - Data Management Plan
  - Postdoctoral Mentoring Plan (if applicable)
Grant Proposal Guide

Project Description

• **Broader Impacts**
  – Must be included as a separate section labeled “Broader Impacts of the Proposed Work”

• **Results from Prior NSF**
  – Must include a complete bibliographic citation for each publication for all publications resulting in the award in either this section or in the References Cited
Grant Proposal Guide

Biographical Sketch(es)

- **Professional Preparation**
  - Location of undergraduate, graduate and postdoctoral institution(s) must now be provided

- **Collaborators & Co-Editors, Graduate Advisors & Postdoctoral Sponsors and Thesis Advisor and Postgraduate – Scholar Sponsor**
  - The total number must be identified

- **Other Non-Senior Personnel**
  - Must clearly identify that the biosketch is for “Other Personnel”
Grant Proposal Guide

Budget and Budget Justification

• **Senior Personnel Salaries and Wages**
  - Proposal must adhere to NSF salary compensation limit
    • No more than two months of their regular salary in any one year
    • Includes compensation from all NSF-funded grants
    • Compensation in excess of two months must be disclosed in the budget, justification in the budget justification and specifically approved by NSF in the award notice budget
Grant Proposal Guide
Budget and Budget Justification, continued

• Senior Personnel Salaries and Wages, continued
  – However, effort can be increased or decreased\(^1\) after an award is made, even if it results in overall salary support in excess of two months in any year

\(^1\)Reductions in effort of 25% or more for the PI/PD or co-PI/co-PD require prior NSF approval
Grant Proposal Guide

Budget and Budget Justification, continued

• **Administrative and Clerical Salaries**
  – Allowable if all of the following conditions are met:
    • Integral to a project or activity
    • Individuals involved can be specifically identified with the project/activity
    • Costs are explicitly included in the approved budget or have prior written approval from NSF
    • Costs are not also recovered as indirect costs
Grant Proposal Guide

Budget and Budget Justification, continued

• Travel
  – All travel must be specified, itemized and justified by destination and cost
  – Attendance at meetings or conferences must be necessary to accomplish proposal objectives, or disseminate its results
  – Temporary dependent care costs above and beyond regular dependent care directly related to conference travel may be allowable
Grant Proposal Guide

Budget and Budget Justification, continued

• Participant Support Costs
  – Stipends, subsistence and travel allowances and registration fees for participants or trainees (but not employees) in connection with conferences or training projects are allowable
  – Other cost categories must be justified in the budget justification and will be closely scrutinized
• **Materials and Supplies**
  – Computing devices are allowable if they are essential and allocable, but not solely dedicated to the performance of the award

• **Subawards**
  – If the subrecipient does not have a U.S. federally negotiated indirect cost rate(s), the institution may use a de minimus indirect cost recovery of 10% of modified total direct costs
  – Budget justification is limited to no more than three pages
• Letters of Collaboration (formally Commitment)
  – Should be limited to stating the intent to collaborate and should not contain endorsements or evaluation of the proposed project
  – Letters of support should not be submitted
  – Proposals that contain letters which do not adhere to these instructions will be returned without review
Grant Proposal Guide

Special Guidelines

• Proposals for Equipment
  – References Cited section is no longer required
  – Facilities, Equipment and Other Resources section should include a brief description of other support services available

• Proposals to Conferences
  – NSF funds are not to be spent on meals and coffee breaks for intramural meetings or any of its components including but not limited to, laboratories, departments and centers
  – Facilities, Equipment and Other Resources section is now required
Award and Administration Guide
Award and Administration Guide

Requests for NSF Approval

• Prior NSF approval is now required for the following if not included and approved in the proposal:
  – Salaries of administrative or clerical staff
  – Travel costs for dependents
  – Additional categories of participant support costs other than those already described in the Uniform Guidance:
    • Stipends
    • Subsistence allowances
    – Adding a subaward
  • Travel allowances
  • Registration fees
Award and Administration Guide

Requests for NSF Approval, continued

• Prior to rebudgeting funds to support a postdoctoral research, a mentoring plan must be sent to the cognizant program officer (if the original proposal did not include one)
• NSF notification is no longer required for the following:
  – Short-term absence of the PI/PD or co-PI/co-PD
Program Income

- Registration fees collected under NSF-support conferences are now considered program income
Award and Administration Guide

Fee Payments

- Payment of fees (profit) are allowable only if expressly authorized by the terms and conditions of the NSF award
Supplemental Funding

• In unusual circumstances, small amounts of supplemental funding and up to six months of additional support may be requested to assure adequate completion of the original scope of work
  – If supplemental funding is requested to support a postdoctoral researcher and the original proposal did not include a mentoring plan, then the supplemental funding request must include the requisite mentoring plan
• All types of supplemental funding that include a postdoctoral researcher require a mentoring plan if not included in the original proposal
Award and Administration Guide

Reporting

• **Mandatory Cost Sharing**
  – Must be reported on an annual and final basis

• **Financial Grant Closeout**
  – NSF will financially closeout the grant on the first day of each month for all awards with expirations of 90 or more days
  – All obligations must be liquidated within 90 calendar days of the award end date