Agenda

- Welcome
- Training Update
- Partial Federal Shutdown
- Why Program Types Matter
- Subaward Requisitions in HuskyBuy
- Spotlight on Commodity and Object Codes
- Working with Foreign Entities
- Current and Pending
- Greenphire Update
- Sponsor Updates
Training Update

- Interactive Learning Experiences

Brenda Lowther
On January 30, 2019, the first Interactive Learning Experience, Federal Costing Principles, will be held in Storrs. There is still time to sign up. This 3 hour experience will be completely collaborative with activities that will mimic real-world scenarios.

Upcoming topics include Effort Reporting, Subawards, and Account Monitoring and Management.

As we develop learning modules for the larger UConn/UConn Health certificate program, they will be rolled out as short experiences.

If you have input, topic suggestions, questions, or comments please email brenda.lowther@uchc.edu
• Partial Government Shutdown
• Why Program Types Matter
• Subaward Requisitions
• Spotlight on Object Codes
• Working with Foreign Entities
• Greenphire Update
• OVPR Policy Focus
Partial Federal Shutdown

**Guidance is available on the SPS website**

**Proposals**
- If the electronic submission portal is available, submit by the deadline.
- If the electronic submission portal is not available, ensure the proposal is ready for submission and wait until further guidance is received.
- *To date, all proposal submission portals appear operational*

**Awards**
- Current funded awards may continue.
- Contact SPS prior to charging any major or capital expenses.
- New awards/continuations may not be received.
- Prior approval requests may not be approved.
- Contact SPS with award specific questions.
**Program Type**

**Why does this matter?**
- Data does matter!
- Used in the preparation of the University’s F&A proposal
- Impacts the F&A annual distribution

**How do I know which one to select?**
- The PI should select the appropriate type
- Definitions and examples available [here](#)

**SPS Review**
- Reviewed by both SPS Pre- and Post-Award
- Program type of “Service” should never use the research F&A rate (59.5%-61%) and “Research” should never use the 35% rate
Initiation of the Requisition

• In order to reduce burden on administrators and make the process more efficient, the Subaward Team (Holly!) will now initiate the subaward requisition in HuskyBuy.

• Contact Holly Kasem-Beg or Matt Cahill if you have questions about this process.

subawards@uconn.edu
Spotlight on Commodity & Object Codes

Not all commodity codes route to SPS for approval in HuskyBuy!

<table>
<thead>
<tr>
<th>Commodity Code</th>
<th>Description</th>
<th>Recommended Object Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Agricultural Supplies</td>
<td>6025</td>
<td>Agricultural, Horticultural and Dairy</td>
</tr>
<tr>
<td>85</td>
<td>Chemicals</td>
<td>6795</td>
<td>Lab Chemicals and Hazardous Materials</td>
</tr>
<tr>
<td>105</td>
<td>Compressed Gas</td>
<td>6795</td>
<td>Lab Chemicals and Hazardous Materials</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6811</td>
<td>Other Lab Supplies</td>
</tr>
<tr>
<td>297</td>
<td>Safety Equipment &amp; Supplies</td>
<td>6718</td>
<td>Industrial Safety and Personal Protective Supplies (PPE)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6725</td>
<td>Public Safety Supplies</td>
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<tr>
<td>351</td>
<td>Medical Supplies</td>
<td>6815</td>
<td>Medical Supplies</td>
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<td>405</td>
<td>Pharmaceuticals</td>
<td>6740</td>
<td>Drugs</td>
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<td></td>
<td>6790</td>
<td>Restricted Materials</td>
</tr>
<tr>
<td>900</td>
<td>EH&amp;S Radioactive</td>
<td>6785</td>
<td>Radioactives</td>
</tr>
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</table>
Enhanced SPS Review

- **Visual Compliance**
  - Screening tool to confirm foreign entity is not on a restricted party list
- **End User Certification**
  - Obtained at time of award (Contracts or Subawards Team)
  - Certification by entity that they are not on a restricted party list
- **Escalation to Senior Export Control Officer**
  - All export control concerns including involvement with foreign entities and any confirmation that the entity is on a restricted party list will be escalated to Carol Connolly.
  - Proposal submission or award setup may be delayed during this review period.
MUST include ALL financial resources whether or not funded through the University

Areas of concern from NIH when current and pending support is not accurate:

• Failure to disclose substantial resources from other organizations, including foreign governments which threatens to distort decisions about appropriate use of NIH funds.
• Diversion of intellectual property in grant applications or produced by NIH supported research to other entities, including foreign countries.
• Sharing of confidential information by peer reviewers with others, including in some instances with foreign entities, or otherwise attempting to influence funding decisions.

Reminder: grant applications and progress reports must identify the inclusion of a foreign component.

More to come: Additional guidance on website, update to IPR Form
Greenphire Update

Executive Stakeholder Group
• Leadership from OVPR, Accounting and the Tax Office
• Working on processes and procedures

Next Steps
• Looking for pilot opportunities
• Looking for administrators who would be willing to review draft processes and procedures (contact Laura Kozma/Jen Johnson)
For preparation of NIH applications, please be sure to use the Application Instruction Guidelines directly from the NIH website as these are updated several times a year.

NIH notice about application guidelines; the planned updates include changes to the following areas:

- The rigor of the prior research, formerly Scientific Premise
- Inclusion reporting
- Protections for human subjects

<table>
<thead>
<tr>
<th>Form</th>
<th>Section</th>
<th>Heading</th>
<th>Current language</th>
<th>Revised language</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Plan</td>
<td>Research Strategy</td>
<td>Significance</td>
<td>Describe the scientific premise for the proposed project, including consideration of the strengths and weaknesses of published research or preliminary data crucial to the support of your application.</td>
<td>Describe the strengths and weaknesses in the rigor of the prior research (both published and unpublished) that serves as the key support for the proposed project.</td>
</tr>
<tr>
<td>Research Plan</td>
<td>Research Strategy</td>
<td>Approach</td>
<td>Not Applicable</td>
<td>Describe plans to address weaknesses in the rigor of the prior research that serves as the key support for the proposed project.</td>
</tr>
<tr>
<td>Human Subjects and Clinical Trials Information</td>
<td>Section 2 – Study Population Characteristics</td>
<td>2.4 Inclusion of Women, Minorities, and Children</td>
<td>2. Inclusion of Children [References to the Inclusion of Children in Clinical Research policy]</td>
<td>2. Inclusion Across the Lifespan [References to Inclusion of Children replaced with Inclusion Across the Lifespan]</td>
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</table>
Unless stated otherwise in the Funding Opportunity Announcement, reviewers will be asked to consider the revised review questions summarized in the table below. All active Funding Opportunity Announcements with due dates on or after January 25, 2019 will be updated with the revised language or a link to the revised language by November 25, 2018.

<table>
<thead>
<tr>
<th>Section</th>
<th>Criteria</th>
<th>Current language</th>
<th>Revised language</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scored Review Criteria</td>
<td>Significance</td>
<td>Is there a strong scientific premise for the project?</td>
<td>Is the prior research that serves as the key support for the proposed project rigorous?</td>
</tr>
<tr>
<td>Scored Review Criteria</td>
<td>Approach</td>
<td>Not Applicable</td>
<td>Have the investigators included plans to address weaknesses in the rigor of prior research that serves as the key support for the proposed project?</td>
</tr>
<tr>
<td>Scored Review Criteria</td>
<td>Approach</td>
<td>If the project involves human subjects and/or NIH-defined clinical research, are the plans to address 1) the protection of human subjects from research risks, and 2) the inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion (exclusion) of children, justified in terms of the scientific goals and research strategy proposed?</td>
<td>If the project involves human subjects and/or NIH-defined clinical research, are the plans to address: 1) the protection of human subjects from research risks, and 2) the inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion (exclusion) of individuals of all ages (including children and older adults), justified in terms of the scientific goals and research strategy proposed?</td>
</tr>
<tr>
<td>Additional Review Criteria</td>
<td>Protections for Human Subjects</td>
<td>For research that involves human subjects but does not involve one of the six categories of research that are exempt under 45 CFR Part 46, the committee will...</td>
<td>For research that involves human subjects but does not involve one of the categories of research that are exempt under 45 CFR Part 46, the committee will...</td>
</tr>
<tr>
<td>Additional Review Criteria</td>
<td>Inclusion of Women, Minorities, and Individuals Across the Lifespan</td>
<td>When the proposed project involves human subjects and/or NIH-defined clinical research, the committee will evaluate the proposed plans for the inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion (or exclusion) of children to determine if it is justified in terms of the scientific goals and research strategy proposed.</td>
<td>When the proposed project involves human subjects and/or NIH-defined clinical research, the committee will evaluate the proposed plans for the inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion (or exclusion) of individuals of all ages (including children and older adults) to determine if it is justified in terms of the scientific goals and research strategy proposed.</td>
</tr>
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</table>
NIH Reminder

FY 2019 Ruth L. Kirschstein National Research Service Award (NRSA) Stipends, Tuition/Fees, and Other Budgetary Levels

• Looking for the latest on Kirschstein National Research Service Award (NRSA) stipend levels, tuition/fees, and training related expenses? Check out the recent NIH Guide Notice. Continue reading →

FY 2019 Fiscal Policies for Grant Awards: Funding Levels, Salary Limits, and Stipend Levels

• NIH issued guidance for NIH Fiscal Operations for FY 2019 including the following new policies on funding levels, salary limits, and stipend levels. Continue reading →

Always Check Your FOA for New Related Notices 30 Days Before Submission

• You found a funding opportunity announcement (FOA) that fits your research, you’ve read it carefully, and have been working for months perfecting your application. Don’t forget to return to the FOA within 30 days of the due date to check for any new related notices which could impact your submission. Continue reading →
Effective for all proposals submitted or due, or awards made, on or after January 28, 2019


Significant Changes

• Research.gov Proposals
  • On-screen instructions may vary from PAPPG, on-screen instructions should be followed
• Proper Scholarship and Attribution in Proposals
  • NSF requires strict adherence to these rules including acknowledging authors other than the PI and Co-PIs.
  • NSF will not tolerate research misconduct in proposals, performance of the project or reporting of the research
Significant Changes, continued

- Project Description
  - Must include a description of the work to be performed by the subaward(s) if included.
- Conference Proposals over $50K
  - Must include Collaborators and Other Affiliations document(s)
  - Updated participant support guidance
    - Speakers and trainers are not participants and should not be included in this section.
- Equipment Proposals
  - Must include Collaborators and Other Affiliations document(s)
- Resubmissions
  - NSF programs without deadlines (accept proposals anytime) may have guidelines on when a proposal is ineligible for resubmission
Significant Changes, continued

• Foreign Organizations
  • Proposals that include funding for foreign organizations must indicate this on the cover sheet (in addition to providing a justification in the project description.)

• Synergistic Activities
  • Clarified to state “five distinct examples”
  • Review the biosketch carefully to ensure the limit is not exceeded
For the full text visit: https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_11.jsp#XIA1g

- NSF must be notified of:
  - Any findings/determinations regarding the PI/Co-PI that demonstrates a violation of awardee codes of conduct, policies, regulations or statutes relating to sexual harassment, etc.
  - If the awardee places the PI/Co-PI on administrative leave or imposes administrative action relating to a finding or investigation relating to sexual harassment.
- After notification and review, NSF may:
  - Require substitution or removal of the PI/Co-PI
  - Reduce the award funding amount
  - Suspend or terminate the award
Next Meeting:

February 21, 2019
10:00 a.m.
Student Union Rm 304 A & B
(room subject to change)

Have a question or topic you would like covered at the SPA Meetings?
Email brenda.lowther@uchc.edu
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Location</th>
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<tbody>
<tr>
<td>February 21, 2019</td>
<td>10:00 am - 11:30 am</td>
<td>Student Union 304 A&amp;B</td>
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<tr>
<td>March 21, 2019</td>
<td>10:00 am - 11:30 am</td>
<td>Student Union 104</td>
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<tr>
<td>April 18, 2019</td>
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<td>May 16, 2019</td>
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<td>June 20, 2019</td>
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