Sponsored Program Administration

September, 2017
AGENDA

OVPR/SPS News and Information
- Budgeting Reminders
- Fringe Benefit Rates
- SPS Website
- FDP
- Internal Proposal Review Form (IPR)

NIH News and Information
- Resubmission of Applications
- NICHD No Longer Participating in Parent R21
- PHS Human Subjects & Clinical Trial Info Form
- NIH Loan Repayment Program
- Certificate of Confidentiality Policy
- Application Submission Reminders

NSF News and Information
- Application Submission Reminders

Grants.gov News and Information
- Workspace

CDMPR News and Information
- Application Submission Reminders
Budgeting Updates

Budgeting Guideline Reminders

• 3% Increase Per Year

• Using NIH Salary Cap Versus Institutional Base Salary

• Budget Caps per NOA Versus Self-Imposed Caps

• NEW: Graduate Assistant Salary $30,500
Fringe Benefit Rates

DHHS approved rates for FY18. Rates are higher than FY17 for faculty and lower for UHP, Graduate Assistants/Non-Resident Aliens and Special Payroll personnel.

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<thead>
<tr>
<th></th>
<th>FACULTY</th>
<th>UHP/MGR</th>
<th>CLASSIFIED</th>
<th>GRAD ASSIST/NRAs</th>
<th>SPECIAL PAYROLL</th>
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<tbody>
<tr>
<td>Actual Rate – FY17</td>
<td>36.3%</td>
<td>65.3%</td>
<td>79.0%</td>
<td>25.6%</td>
<td>17.2%</td>
</tr>
<tr>
<td>Actual Rate – FY18</td>
<td>39.2%</td>
<td>63.3%</td>
<td>79.0%</td>
<td>21.5%</td>
<td>15.0%</td>
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(Note that the classified rate is currently capped at 79.0%)

While the highlighted rates shown above are the actual rates for fiscal year 2018, Sponsored Program Services recommends that the Rates for Budgeting for Grant Applications be used for most grant proposal submissions. Due to the fact that most applications include budgets for future periods, as much as five or six years in advance, we have included an increase to cover anticipated changes and increases in future years. Exceptions to this recommendation are for proposals to State and other agencies where the majority of the project will take place during fiscal year 2018 (07/01/2017-06/30/2018). In those cases, please use the existing FY18 actual rates.
Fringe Benefit Rates – Fiscal Year 2018

Rates for Budgeting for Grant Applications

<table>
<thead>
<tr>
<th>Employee Class</th>
<th>FACULTY</th>
<th>UHP/MGR</th>
<th>CLASSIFIED</th>
<th>GRAD ASSIST/ NRAs</th>
<th>SPECIAL PAYROLL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rates for Budgeting Grant Applications</td>
<td>42.0%</td>
<td>65.0%</td>
<td>79.0%</td>
<td>25.0%</td>
<td>18.0%</td>
</tr>
</tbody>
</table>

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Due to the fact that most applications include budgets for future periods, as much as five or six years in advance, we have included an increase to cover anticipated changes and increases in future years.

Exceptions to this recommendation are for proposals to State and other agencies where the majority of the project will take place during fiscal year 2018 (07/01/2017-06/30/2018). In those cases, please use the existing FY18 actual rates.
Internal Forms and Templates

- IPAS Form. Also, see When to Use an IPAS
- Internal Routing Form. See instructions
- FDP Agreement Request Form
- QUICK FACTS
- Principal Investigator Template
- Cost Share Request Form
- Cooperating Institution Consortium Statement – (Information and Compliance Form for SubRecipients)
- Cooperating Institution Consortium Statement – UConn Health as Sub
- Export Control Compliance Verification Form (Foreign Nationals)
- Representations and Certifications (ORCA) – 09/05/2010
- Certifications and Assurances for Assistance Agreements
OVPR Website

SPA Meeting Agenda and Handouts

EDUCATION AND TRAINING

The Office of the Vice President for Research is responsible for assessing and addressing the training and information needs of UConn staff and faculty involved in sponsored research and compliance activities across UConn’s twelve schools and colleges on all University campuses.

Visit the OVPR Website at UConn-Storrs for training information and support including tutorials, manuals, job aids, videos, and other reference guides.
The FDP Agreement Request Form has been updated to provide clarity for Department Administrators/Principal Investigators:

1. Additional guidance – in the form of questions and a Determination Guide – was included to help answer the Human Subjects Data section for subrecipients that will be involved with Human Subjects.

For Projects involving Human Subjects/Human Subjects Data:
To be completed by, or in consultation with, Principal Investigator (PI)

Will this project, as a whole (including subawards), involve human subjects or the exchange of human subjects data (e.g., patient/subject data)? [If Yes, please answer questions below, and use the Determination Guide: Data Use Agreements for Projects with Subrecipients.]

1. Will the information, whether oral or recorded in any form or medium, be created by a healthcare provider, health plan, public health authority, employer, life insurer, school or university, or health care clearinghouse?  
   □ Yes □ No

2. Will the Human Subjects Data include any of the 18 categories that could be used to identify the individual or the individual’s relatives, employers, or household members?  
   □ Yes □ No

3. Will an IRB-approved HIPAA Authorization form (or Authorization waiver) be collected by a covered entity/business associate?  
   □ Yes □ No

4. Will you be working with a Limited Data Set? [Will the Human Subjects Data include any of the 16 categories of direct identifiers?]  
   □ Yes □ No
2. A listing of “Type of Amendment” was included in the top section to indicate the purpose of the amendment:

Action:  
- New FDP Request/Competitive Renewal
- FDP Amendment – Latest Subaward Agreement #: ____________________________
  Type of Amendment:  
  - Approval of Carryforward
  - Continuation Year _______ Funding
  - No Cost Extension  
  - Reduction in funding
  - Additional/Supplemental funding
  - Other: ____________________________

3. Fields for Subrecipient contact name and email address were added:

InfoEd Log #: ____________________________
Subrecipient: ____________________________  Subrecipient PI: ____________________________
Subrecipient Administrative Contact: ____________________________  Email: ____________________________
Amount Funded This Action: $ ____________________________  Subaward Period of Performance: Start: _______  End: _______
FDP REQUEST FORM

Data Use Agreements (DUA) for Projects with Subrecipients

Determination Guide

Will the human subjects data include any of the following 10 categories that could be used to identify the individual or the individual’s relatives, employers, etc.?

Yes

No

Protected Health Information (PHI)

Will an IRB-approved HIPAA Authorization form (or Authorization waiver) be collected by a severed entity/business associate?

Yes

No

Not PHI

No additional terms/DUA needed

Is it a limited data set? (Will the human subjects data include any of the following data categories?)

Yes

No

Additional terms/DUA needed

*Applies to Research Agreements Only*
# Internal Proposal Review Form (IPR)

## Principal Investigator/Contact PI
- PI: [Name]
- NetID (Street): [NetID]
- Academic Dept. (Street): [Academic Dept.]
- [Managing Dept., Center or Institute (Street): [Managing Dept., Center or Institute]]
- Other Affiliated Center(s): [Center(s)]
- [NetID (Street): [NetID]
- Academic Dept. (Street): [Academic Dept.]
- Other Affiliated Center(s): [Center(s)]

## Multiple PI, Co-Principal Investigator and Other Key and/Or Responsible Personnel

<table>
<thead>
<tr>
<th>Role on Project</th>
<th>% Effort Committed (UConn)</th>
<th>% Effort Committed (OUC)</th>
<th>Responsible</th>
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<tbody>
<tr>
<td>PI/NetID (Street):</td>
<td>Academic Dept. (Street):</td>
<td>Other Affiliated Center(s):</td>
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<td>PI/NetID (Street):</td>
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<td>PI/NetID (Street):</td>
<td>Academic Dept. (Street):</td>
<td>Other Affiliated Center(s):</td>
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</table>

## Sponsor
- Sponsor Name: [Name]
- Notice of Opportunity (attach or provide clear link)
- Sponsor Deadline: [Date]
- Time: [Time]
- Sponsor: [Sponsor]

## Project
- Project Title: [Title]
- [Note: Attach appropriate documentation if not other than the negotiated rate used]
- Direct: [Amount]
- F&A: [Amount]
- Total: [Amount]

## Special Reviews/Approvals/Notifications
- [Human Subjects: Yes/No/Unsure]
- [Animal Subjects: Yes/No/Unsure]
- [Human Stem Cells: Yes/No/Unsure]
- [Human Stem Cells: Yes/No/Unsure]
- [Controlled Substances: Yes/No/Unsure]
- [Subject to Export Control Laws: Yes/No/Unsure]
- [DURC Agents or Toxics: Yes/No/Unsure]

## SPA Information
- SPA Approval: [Date]
- Approval Date: [Date]
- [Full Copy Received: Yes/No]

## Institution Authorization:
- Institutional Authorization: [Date]

[research.uconn.edu]
## Internal Proposal Review Form (IPR)

**SUBRECIPIENT/CONTRACTOR (EXCLUDING INDIVIDUAL CONSULTANTS)**

As required by 2 CFR Part 200.330, UConn is responsible for determining whether a relationship with a third party should be characterized as that of a subrecipient or as an independent contractor (also known as a vendor). Using the Subaward Determination Guidance as a guide, please indicate the entity and the type of relationship the entity will have with UConn below. Please include additional forms as needed.

<table>
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<tr>
<th>Name of Entity</th>
<th>Subrecipient</th>
<th>Contractor</th>
<th>SPS*</th>
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**CERTIFICATIONS AND SIGNATURES**

**Principal Investigator(s) (PI) and Co-Principal Investigator(s) (Co-PI) hereby certify to the following:**

1. The information submitted within this application is true, accurate, complete, and not subject to criminal, civil, or administrative penalties.
2. I am aware that any false, fictitious, or fraudulent statements or claims may result in criminal, civil, or administrative penalties.
3. I agree to accept responsibility for the conduct of the project and to provide the required reports if a grant is awarded as a result of the application.
4. If an award is made, I understand that I am responsible for compliance with award terms and conditions and university policies and procedures, including the technical conduct of the work, submission of technical reports, regulatory compliance, and financial management.
5. I am aware of federal requirements on lobbying. I am in compliance and have disclosed any lobbying activity.

**Department/Division Head, Center Director, and/or Dean hereby certify to the following:**

1. The proposed work is consistent with department, school or center objectives and I endorse the proposal to the sponsor named.
2. There are adequate resources and/or space available in order to conduct the proposed research or a plan has been made to secure adequate resources and/or space if the application is funded.

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**Clear Form**  **Save**  **Print**
# Internal Proposal Review Form (IPR)

## Supplemental Form

**Multiple PI, Co-Principal Investigator and Other Key and/or Responsible Personnel**

Include information for all individuals identified by the PI as key and/or responsible personnel (responsible for the design, conduct, or reporting of research).

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<th>Name</th>
<th>Role on Project</th>
<th>% Effort Committed (%)</th>
<th>% Effort Committed (UCCH)</th>
<th>Responsible</th>
<th>% Effort Committed (%)</th>
<th>% Effort Committed (UCCH)</th>
<th>Responsible</th>
<th>% Effort Committed (%)</th>
<th>% Effort Committed (UCCH)</th>
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<th>% Effort Committed (%)</th>
<th>% Effort Committed (UCCH)</th>
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**Notes:**

- UConn | RESEARCH
- research.uconn.edu
Internal Proposal Review Form (IPR)

COST SHARE FORM

<table>
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<tr>
<th>Pi:</th>
<th></th>
<th>Project Title:</th>
<th>Sponsor:</th>
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Cost Sharing Type(s): [ ] Mandatory  [ ] Voluntary Committed  [ ] Mandatory & Voluntary Committed

Committed cost sharing or matching on sponsored projects reflects the University’s contribution to the total costs to a sponsored project. Cost sharing should be limited to those situations where it is mandated by the sponsor or in certain situations where it is determined that a contribution is necessary to ensure the success of a competitive award or competition. All cost sharing requires the written approval (documented by signature or other written form) from the appropriate individual providing the cost sharing.

<table>
<thead>
<tr>
<th>Unit (academic department, school, center, OVPR, etc)</th>
<th>Category* (equipment, personnel, name, etc)</th>
<th>Effort* (UCH)</th>
<th>Committed Cost Share Amount ($)</th>
<th>Cash Commitment?</th>
<th>KFS/Banner Account Number(s), if known</th>
<th>Name of Department Head, Center Director, Dean, VPR</th>
<th>Signature of Department Head, Center Director, Dean, VPR (can also be provided in email or other written form)</th>
<th>Date</th>
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[ ] Yes  [ ] No

[ ] Yes  [ ] No

[ ] Yes  [ ] No

research.uconn.edu
Resubmissions of NIH Applications

- May I change funding opportunity announcements between submission of a new or renewal (AO) application and the corresponding resubmission (A1) application?

Generally, yes, but there are some specific limitations:

- You cannot submit the resubmission (A1) application to a funding opportunity announcement that does not accept resubmissions.
- You cannot submit the resubmission (A1) application to an RFA if the new or renewal (AO) application was submitted to a PA, PAR, or PAS.
- You cannot submit the resubmission (A1) application to a PA, PAR, or PAS if the new or renewal (AO) application was submitted to an RFA.
- You cannot submit a resubmission (A1) application to an RFA that only accepts resubmissions from specified funding opportunity announcements unless you used one of those specified FOAs to submit the new or renewal (AO) application.

All requirements of the funding opportunity announcement used for the resubmission (A1) application must be followed.
Effective September 8, 2017, NICHD will no longer participate in the Parent NIH Exploratory/Developmental Research Grant (R21) Funding Opportunity Announcement PA-16-161.

NICHD will accept R21 applications for projects under separate NICHD Program Announcements.

For more information see: NOT-HD-17-007
The PHS forms for the human subject and clinical trials application will be changed for the application submission due dates on or after January 25, 2018.

The below link to a YouTube video provides a walk through of the PHS Human Subjects and Clinical Trials Information Form.

Walk-through of the PHS Human Subjects and Clinical Trials Information Form

Additional Information:
4 Questions for Researchers and Institutions Involved in Human Subjects Research
NIH Loan Repayment Program

NIH Loan Repayment application cycle opens on September 1 and closes November 15.

Participants in the LRP receive up to $70,000 of qualified educational debt repayment with a two-year contract.

Interested researchers may contact NIH Connecticut LRP Ambassador: Carla Rash, PHD, University of Connecticut Health Center, for further guidance. Email: rashc@uchc.edu; Phone: x4689.

Additional information:
NIH Loan Repayment Program
Certificates of Confidentiality Policy

NIH has updated their Certificate of Confidentiality (CoC) policy. New Policy, NOT-OD-17-109, effective October 1, 2017.

Enhancements:

- Privacy protections of individuals participating in NIH funded research studies.
- Eliminates the need for NIH funded investigators to apply for a CoC.

NIH funded researchers no longer have to request a CoC, nor will they receive an actual certificate. The CoC will be issued automatically to NIH funded grants. Compliance with the requirements of the law will become a term and condition of the award.

If your research is covered by a CoC, you are required to ensure that any investigator or institution with whom you share a copy of the identifiable sensitive information that is protected by the policy understands that they are also subject to the disclosure restrictions, even if they are not funded by NIH.

For more information:
NOT-OD-17-109
CoC Website
As of February 9, 2017, there are three types of RPPRs: Annual RPPR, Interim RPPR, Final RPPR.

**Annual RPPR:**

- Used to describe a grant’s scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.

Additional Information:

[How to Demonstrate Scientific Progress in Annual Reports](research.uconn.edu)
Interim RPPR:

Effective February 9, 2017, NIH requires that organizations submit an “Interim-RPPR” while their renewal application (Type 2) is under consideration. To reduce administrative burden NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.

• The Interim-RPPR must be submitted via the eRA Commons no later than 120 calendar days from the period of performance end date.

• The Interim-RPPR link for the grant will appear in the Status tab in eRA Commons after the period of performance end date has passed.

• In the event that a renewal application is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.

• If the renewal application is not funded, the Interim-RPPR will be treated by NIH as the institution’s Final-RPPR.
Final RPPR:

- Used as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.

- Recipients are required to report on Project Outcomes. Outcomes should provide a concise summary of the findings of the award written in lay language for the general public. NIH’s future goal is that the project outcomes will be made available in RePORTER.

Additional Information:

NOT-OD-17-037
Sample Project Outcomes Summary
Research Performance Progress Report (RPPR)
NIH Application Compliance Reminders

Biographical Sketch Reminders:

• Contributions to Science: up to five – each contribution can reference up to four peer-reviewed publications.

• You may provide a URL to a full list of your published work. This URL must be to a Federal Government website (a .gov suffix). The URL list of published work is not required.

• NIH recommends using My Bibliography.

For additional information see:
SF424 Application Instructions
NOT-OD-15-032
Reminder: NIH Policy on Application Compliance
Biosketch Format Pages, Instructions and Samples
Hyperlinks and URL Reminders

- Hyperlinks and URLs are only allowed when specifically noted in funding opportunity announcement (FOA) and form field instructions. The use of hyperlinks is typically limited to citing relevant publications in biosketches and publication lists. It is highly unusual for a FOA to allow links in Specific Aims, Research Strategy and other page-limited attachments.

- Hyperlinks and URLs may not be used to provide information necessary to application review.

- Reviewers are not obligated to view linked sites and are cautioned that they should not directly access a website (unless the link to the site was specifically requested in application instructions) as it could compromise their anonymity.

- When allowed, you must hyperlink the actual URL text so it appears on the page rather than hiding the URL behind a specific word or phrase.
Additional Reminders

• Adhere to page limit requirements.

• Applications should contain only the elements required for application.
NSF Application Compliance Reminders

- Each section of the NSF proposal that is uploaded as a file should be individually paginated prior to being uploaded into the electronic system.

- Biographical Sketches are limited to two pages.

- Senior Personnel Salaries and Wages Policy: NSF limits the salary compensation requested in the proposal budget for senior personnel to no more than two months of their regular salary in any one year.

Additional Information:
NSF Policies and Procedures
Legacy PDF Application Package will be phased out in December 31, 2017
## Grants.Gov News and Information

### WORKSPACE

- Register as a User in [Grants.gov](#).
- Contact your SPS Project Officer to assign you the “Manage Workspace Role”.
- Search for the funding opportunity to make sure your grantor agency forms are compatible with Workspace. On the “Package” tab create your “Workspace” - you are now the “Owner” of the Workspace.
- Add “Participants” to your Workspace (including your Project Officer) to help you complete the forms.
- Complete the application forms and “Check Application”.
- Send final application to SPS by clicking “Complete and Notify AOR”.
- Your SPS Project Officer will “Sign and Submit” your application.
How to Apply – General Tips – eBRAP

eBRAP Frequently Asked Questions
DOD Application Reminders

- DOD has specific file names requirements – for all attachments, ensure that the file names or consistent with the guidance listed in the Program Announcement.

- Credential, e.g., agency login: PI’s eBRAP User Name. (NOT your eRA Commons Username)

- Biographical Sketch – 5 page limit.

- Previous/Current/Pending Support – Required upload for DOD applications.
The Next SPA Meeting Is Scheduled for Tuesday, October 17th.