Sponsored Programs Administration

November 27, 2018
Agenda

- Welcome
- New Website
- Training Update
- Review of FDP Agreement Request Form
- AMS Updates
- Transfer Vouchers
- Decoding NIH Grant Numbers
- Sponsor Updates
  - NIH and NSF
• New Look
• Cross Campus Info
• Training Info

Brenda Lowther
Interactive Learning Experiences

Brenda Lowther
Interactive Learning Experiences

Beginning in January, 2019, I will be conducting Interactive Learning Experiences on each campus. The first will be Federal Costing Principles.

These short (2 – 3 hour) experiences will be completely collaborative with activities that will mimic real-world scenarios.

Upcoming topics include ‘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
New Form

- Changes to the FDP Agreement Request Form

Brenda Lowther
### Contract #, Not PO #

Make sure this is the correct contact and email.

### Carryforward should match the NOA

If PI fills out this section, check the answers.

### Entire project period

- #2, No = IRB Needed
- #4, No = Data Use Agreement Needed
Send the budget and justification for this budget period only.

Supporting docs must match the BUDGET PERIOD dates on the NOA.

Only one ICF/CS per project
AMS Updates

- Effort Report Review
- FAQs

Ella Sun
AMS Update-Effort Report Review

Department Admins and PIs can access employees’ Pay Distribution Report from the Effort Report Review page by clicking the employee name.
AMS Update-Effort Report Review Continued

New PI Certification Statement has been added to PI’s queue

![Effort Report Review](image-url)
1. Can you add me to the fund setup memo email distribution list?

Unfortunately, we can’t add people to the email distribution list on a case by case basis.

You will receive the email automatically if one of the following criteria is met:

- You submitted pre-award request in AMS
- You are listed as the financial administrator in Banner
- You are listed as Admin1 or Admin2 for your department in HR’s database

So what do I do if I don’t meet the criteria listed above:

- Ask your PI/colleagues/SPS to forward you a copy of the email notification
- Use Search Funding function in AMS

2. My manager is on medical leave, can you add me to the AMS grant ending Action Required email notification?

You will receive the email automatically if one of the following criteria is met:

- You are listed as the financial administrator in Banner
- You are listed as Admin1 or Admin2 for your department in HR’s database

Alternative: use My Funding in AMS to manage your department’s grants
Grant Related Transfer Voucher

All grant related transfer vouchers (funds starting with: 3, 4, 5, 6, C, or U) need SPS and/or RF approval

Where to send TVs?
- Email TVs to researchfinance@uchc.edu
- Mail them to MC5335
- Directly to SPS/RF staff

Reminders
- Attach supporting document with the transfer voucher form
- PI’s signature are required on cost transfers
• Decoding NIH Grant Numbers
Decoding NIH Grant Numbers

<table>
<thead>
<tr>
<th>Application Type</th>
<th>Activity Code</th>
<th>Institute/Center Code</th>
<th>Serial Number (six digits, including leading zeros)</th>
<th>Support Year</th>
<th>Extension (for amended application)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 R01</td>
<td>CA</td>
<td>87654</td>
<td>01-A1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Decoding NIH Grant Numbers

Deciphering NIH Application/Grant Numbers

<table>
<thead>
<tr>
<th>Application Type</th>
<th>Activity Code</th>
<th>Institute Code (IC)</th>
<th>Serial Number</th>
<th>Support Year</th>
<th>Other Suffixes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 = New</td>
<td>R01</td>
<td>CA</td>
<td>654321</td>
<td>01</td>
<td>A1</td>
</tr>
</tbody>
</table>

**Application Types**

1 = New

- Request for support of a project that has not yet been funded.

2 = Renewal

- Request for additional funding for a period subsequent to that provided by a current award.

3 = Revision

- Request for (or the award of) additional funds during a current project period to support new or additional activities that are not identified in the current award. This request reflects an expansion of the scope of the grant-approved activities. Competitive revisions require peer review.

An administrative supplement is a request for (or the award of) additional funds during a current project period to provide for an increase in costs due to unforeseen circumstances. All additional costs must be within the scope of the peer reviewed and approved project.

4 = Extension

- Request for additional years of support beyond the years previously awarded. (Used only for select programs.)

5 = Non-competing Continuation

- Request or award for a subsequent budget period within a previously approved project for which a recipient does not have to compete with other applications.

6 = Change of Organization Status (Successor-in-interest)

- Process whereby the rights to and obligations under an NIH grant are acquired incidental to the transfer of all of the assets of the grantee or the transfer of that part of the grantee involved in the particular segment of the grant. May result from legislative or other legal action, such as a merger or other corporate change.

7 = Change of Grantee or Training Institution

- Transfer of the legal and administrative responsibility for a grant and all activities for the grant to a new organization.

8 = Change of NIH Institute or Center

- Change of awarding NIH institute or center for the noncompeting continuation (Type 5).

9 = Change of NIH Institute or Center

- Change of awarding NIH institute or center for the renewal (Type 2).

**Activity Codes:** [http://grants.nih.gov/grants/funding/funding_program.htm](http://grants.nih.gov/grants/funding/funding_program.htm)

**NIH Funding Institutes**

- **Activity:** [http://grants.nih.gov/grants/funding/funding_program.htm](http://grants.nih.gov/grants/funding/funding_program.htm)
- **Full Name:**
  - R01: John E. Fogarty International Center
  - NCATS: National Center for Advancing Translational Sciences
  - NCCIH: National Center for Complementary and Integrative Health
  - NIC: National Cancer Institute
  - NEI: National Eye Institute
  - NHLBI: National Heart, Lung, and Blood Institute
  - NIA: National Institute on Aging
  - NIAAA: National Institute on Alcohol Abuse and Alcoholism
  - NIAID: National Institute of Allergy and Infectious Diseases
  - NAM: National Institute of Arthritis and Musculoskeletal and Skin Diseases
  - NIBIB: National Institute of Biomedical Imaging and Bioengineering
  - NICHD: Eunice Kennedy Shriver National Institute of Child Health and Human Development
  - NIDA: National Institute on Drug Abuse
  - NIDCD: National Institute on Deafness and Other Communication Disorders
  - NIDCR: National Institute of Dental and Craniofacial Research
  - NIDDK: National Institute of Diabetes and Digestive and Kidney Diseases
  - NIHES: National Institute of Environmental Health Sciences
  - NIGMS: National Institute of General Medical Sciences
  - NIMH: National Institute of Mental Health
  - NIMHD: National Institute on Minority Health and Health Disparities
  - NINDS: National Institute of Neurological Disorders and Stroke
  - NIAA: National Institute of Aging
  - NIDCR: National Institute of Dental and Craniofacial Research
  - NIDDK: National Institute of Diabetes and Digestive and Kidney Diseases
  - NIHES: National Institute of Environmental Health Sciences
  - NIGMS: National Institute of General Medical Sciences
  - NIMH: National Institute of Mental Health
  - NIMHD: National Institute on Minority Health and Health Disparities
  - NINDS: National Institute of Neurological Disorders and Stroke
  - NIAA: National Institute of Aging

**Serial Number:** Six-digit number assigned within an Institute/Center

**Support Year:** Two-digit number indicating segment or budget period of a project.

**Other Suffixes:** "A" and related number identifies the amendment number (e.g., R01 = resubmission); "S" and related number identifies the revision record and follows the grant year or the amendment designation to which additional funds have been awarded.
## Decoding NIH Grant Numbers

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Category</th>
<th>Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>F30</td>
<td>Fellowship Programs</td>
<td>Individual Predoctoral NRSA for M.D./Ph.D. Fellowships</td>
<td>Individual fellowships for predoctoral training which leads to the combined M.D./Ph.D. degrees.</td>
</tr>
<tr>
<td>F31</td>
<td>Fellowship Programs</td>
<td>Predoctoral Individual National Research Service Award</td>
<td>To provide predoctoral individuals with supervised research training in specified health and health-related areas leading toward the research degree (e.g., Ph.D.).</td>
</tr>
<tr>
<td>F32</td>
<td>Fellowship Programs</td>
<td>Postdoctoral Individual National Research Service Award</td>
<td>To provide postdoctoral research training to individuals to broaden their scientific background and extend their potential for research in specified health-related areas.</td>
</tr>
<tr>
<td>K00</td>
<td>Research Career Programs</td>
<td>Post-doctoral Transition Award</td>
<td>To support the second phase of a Pre-Doctoral to Post-Doctoral Transition award program that provides 3-4 years of career support. Note: The K00 Post-doctoral Transition Award is anticipated to only be used in conjunction with the F99 Pre-Doctoral Award.</td>
</tr>
<tr>
<td>K01</td>
<td>Research Career Programs</td>
<td>Research Scientist Development Award - Research &amp; Training</td>
<td>For support of a scientist, committed to research, in need of both advanced research training and additional experience.</td>
</tr>
<tr>
<td>K08</td>
<td>Research Career Programs</td>
<td>Clinical Investigator Award (CIA)</td>
<td>To provide the opportunity for promising medical scientists with demonstrated aptitude to develop into independent investigators, or for faculty members to pursue research aspects of categorical areas applicable to the awarding unit, and aid in filling the academic faculty gap in these shortage areas within health profession's institutions of the country.</td>
</tr>
<tr>
<td>P41</td>
<td>Research Program Projects and Centers</td>
<td>Biotechnology Resource Grants</td>
<td>To support biotechnology resources available to all qualified investigators without regard to the scientific disciplines or disease orientations of their research activities or specifically directed to a categorical program area.</td>
</tr>
<tr>
<td>P50</td>
<td>Research Program Projects and Centers</td>
<td>Specialized Center</td>
<td>To support any part of the full range of research and development from very basic to clinical; may involve ancillary supportive activities such as protracted patient care necessary to the primary research or R&amp;D effort. The spectrum of activities comprises a multidisciplinary attack on a specific disease entity or biomedical problem area. These grants differ from program project grants in that they are usually developed in response to an announcement of the programmatic needs of an Institute or Division and subsequently receive continuous attention from its staff. Centers may also serve as regional or national resources for special research purposes.</td>
</tr>
<tr>
<td>P60</td>
<td>Research Program Projects and Centers</td>
<td>Comprehensive Center</td>
<td>To support a multipurpose unit designed to bring together into a common focus divergent but related facilities within a given community. It may be based in a university or may involve other locally available resources, such as hospitals, computer facilities, regional centers, and primate colonies. It may include specialized centers, program projects and projects as integral components. Regardless of the facilities available to a program, it usually includes the following objectives: to foster biomedical research and development at both the fundamental and clinical levels; to initiate and expand community education, screening, and counseling programs; and to educate medical and allied health professionals concerning the problems of diagnosis and treatment of a specific disease.</td>
</tr>
<tr>
<td>R01</td>
<td>Research Projects</td>
<td>Research Project</td>
<td>To support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing his or her specific interest and competencies.</td>
</tr>
<tr>
<td>R21</td>
<td>Research Projects</td>
<td>Exploratory/Developmental Grants</td>
<td>To encourage the development of new research activities in categorical program areas. (Support generally is restricted in level of support and in time.)</td>
</tr>
<tr>
<td>T32</td>
<td>Training Programs</td>
<td>Institutional National Research Service Award</td>
<td>To enable institutions to make National Research Service Awards to individuals selected by them for predoctoral and postdoctoral research training in specified shortage areas.</td>
</tr>
<tr>
<td>U01</td>
<td>Cooperative Agreements</td>
<td>Research Project--Cooperative Agreements</td>
<td>To support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing his or her specific interest and competencies.</td>
</tr>
</tbody>
</table>
NIH Update

New Application Requirements for Institutional Training Grants: Letter of Institutional Commitment to Harassment and Discrimination Protections

NIH takes the issue of sexual harassment and discrimination very seriously. As such, beginning for applications submitted for due dates on or after January 25, 2019, institutional training grant applications (T15, T32, T34, T35, T36, T37, T90/R90, TL1, TL4) must include a letter that describes the institutional commitment to ensuring that proper policies, procedures, and oversight are in place to prevent discriminatory harassment and other discriminatory practices. This letter should be included with other Letters of Support on the PHS 398 Research Training Program Plan form.

See NOT-OD-19-029 for additional details and instructions for this new requirement.
NIH Reminder

Current and Pending Support Reminder –
Don’t forget about Other Support

• Information on other active and pending support will be requested as part of the Just-in-Time procedures.

• Other support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.

• Training awards, prizes or gifts are not included.

• Other support is requested for all individuals designated in an application as senior/key personnel-those devoting measurable effort to a project.

• Information on Other Support is not specifically requested for Program Directors, training faculty, and other individuals involved in the oversight of training grants since applicable information is collected in other sections of a training grant application. It is also not requested for individuals categorized as Other Significant Contributors.
Scientific program and grants management staff will review this information before award to ensure the following:

- Sufficient levels of effort are committed to the project.
- There is no scientific, budgetary, or commitment overlap.
  - Scientific overlap occurs when (1) substantially the same research is proposed in more than one application or is submitted to two or more funding sources for review and funding consideration or (2) a specific research objective and the research design for accomplishing the objective are the same or closely related in two or more applications or awards, regardless of the funding source.
  - Budgetary overlap occurs when duplicate or equivalent budgetary items (e.g., equipment, salaries) are requested in an application but already are provided by another source.
  - Commitment overlap occurs when an individual's time commitment exceeds 100 percent (i.e., 12 person months), whether or not salary support is requested in the application.
  - Overlap, whether scientific, budgetary, or commitment of an individual's effort greater than 100 percent, is not permitted. Any overlap will be resolved by the IC with the applicant and the PD/PI at the time of award.
- Only funds necessary to the approved project are included in the award.
NIH Funding Opportunities

NIH parent program announcements have been reissued. Effective for submission dates January 5, 2019

- **PA-19-052**, NIH Small Research Grant Program (Parent R03 Clinical Trial Not Allowed)
- **PA-19-053**, NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Not Allowed)
- **PA-19-054**, NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Required)
- **PA-19-055**, Research Project Grant (Parent R01 Clinical Trial Required)
- **PA-19-056**, Research Project Grant (Parent R01 Clinical Trial Not Allowed)

Note: Not all NIH Institutes and Centers (ICs) participate in Parent Announcements. Applicants should carefully note which ICs participate in this announcement
NSF Update

Revised Version of PAPPG effective for all proposals submitted or due on or after January 28, 2019

- Addition of Research.gov as an option for proposal preparation and submission, and proposal file updates;
- Revision of eligibility standards for unaffiliated individuals;
- Specification that conference proposals over $50,000 and all equipment proposals must include the Collaborators and Other Affiliations information in the proposal submission;
- Revision of resubmission guidelines for NSF programs that accept proposals at any time;
- Implementation of NSF’s policy on sexual harassment and other forms of harassment, or sexual assault;

(continued on next slide)
Revised Version of PAPPG effective for all proposals submitted or due on or after January 28, 2019

• Specification that proposers are required to have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, and sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. This policy or code-of-conduct must be disseminated to conference participants prior to attendance at the conference as well as made available at the conference itself;

• Emphasis on the importance of training faculty in the responsible and ethical conduct of research;

• Incorporation of existing patent policy into the PAPPG. This policy was previously implemented by regulation at 45 CFR 650
Next SPA and Questions

Have a question or topic you would like covered at the SPA Meetings?
Email brenda.lowther@uchc.edu

Next Meeting:
January 15, 2018
11:00 a.m.
ARB Large Conference Room
(room subject to change)
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 15, 2019</td>
<td>11:00 am - 12:00 pm</td>
<td>ARB Large Conference Room</td>
</tr>
<tr>
<td>February 19, 2019</td>
<td>11:00 am - 12:00 pm</td>
<td>ARB Large Conference Room</td>
</tr>
<tr>
<td>March 19, 2019</td>
<td>11:00 am - 12:00 pm</td>
<td>ARB Large Conference Room</td>
</tr>
<tr>
<td>April 16, 2019</td>
<td>11:00 am - 12:00 pm</td>
<td>ARB Large Conference Room</td>
</tr>
<tr>
<td>May 14, 2019</td>
<td>11:00 am - 12:00 pm</td>
<td>TBD</td>
</tr>
<tr>
<td>June 18, 2019</td>
<td>11:00 am - 12:00 pm</td>
<td>TBD</td>
</tr>
</tbody>
</table>