AGENDA

• Biosafety Cabinet Certifications
• Year End Reminders
• Proposal Submission Policy Timeline
• Proposal Submission Policy Reminders
• Fringe Benefit Rates
• NIH Biographical Sketch and Other Support
• Training Reminders
BioSafety Cabinet Certification:

• When:
  • Annually
  • Whenever the cabinet is moved

UCH has a contract through MHEC (Massachusetts Higher Education Consortium)

• We are endeavoring to develop a master list of cabinets to facilitate facility compliance
• We want to assist the departments in making sure they get the best service and price, without disrupting the department’s system.
• We will be in contact with B&V behind the scenes checking each quote to make sure they’re honoring the agreement and not overcharging
• We will assist the departments with any testing issues that may arise.
BioSafety Cabinet Certification:

Request a Quote from Ayse (Aysha) Hascelik at B&Vcertco, mentioning contract MC12-D26


- Prices are between $125-$150 per cabinet depending on brand
- Place the PO in HuskyBuy using the company name of MarCor (aka Cantell)
- They will bundle the hood inspections on their end as 5 or more hoods at a time to save us the new $500 travel fee and schedule the appointment with the lab contact.

Ayse (Aysha ) Hascelik
Customer Service Account Specialist.
Office-781-343-0090
Ayse.Hasceik@Cantel.com
Overview:

UConn Health is required to submit to the State of Connecticut a report of fiscal activity shortly after the end of the fiscal year. To meet this year’s reporting deadline, all FY21 payroll changes affecting fiscal funds starting with 1, 2, Cost Share (C) and Unfunded Research (U) must be processed by June 18, 2021.

How does this affect the research community?

After June 18, 2021, no further changes can be made to fiscal funds starting with 1, 2, Cost Share (C) and Unfunded Research (U).

What should the research community do to prepare in advance of the reporting deadline?

Principal investigators and department administrators should meet as soon as possible to review their FY21 Quarter 4 effort reports to ensure all effort allocations are correct and to discuss any unplanned changes. *Common questions encountered during an effort report review are available below. **FY21 Quarter 4 effort reports are available in the AMS System.
What is the schedule to submit an LDCA if effort allocations need to be changed?

All LDCAs must be submitted by the end of the day on Tuesday the week of payroll. The last date to submit an LDCA before the reporting deadline is **Tuesday, June 15**. Please note: An LDCA must be approved by Sponsored Program Services, Deans, Principal Investigators, and the Accounting Department before it can be processed. It is good practice to submit an LDCA before the Tuesday deadline to ensure there is enough time for the LDCA to go through the approval process and be entered into the system the week of payroll.

LDCA submission schedule before the reporting deadline:
- **Tuesday, June 1**
- **Tuesday, June 15**
*Common questions about changing effort allocations after June 18, 2021*

**Question:** Can changes be made to effort allocations on a grant after June 18, 2021?

**Answer:** Changes can be made to effort allocations on a grant after June 18, 2021 as long as the offset is made to non-fiscal funds beginning with a 3, 4, 5, or 6. LDCAs requesting changes to fiscal funds starting with 1, 2, Cost Share (C) and Unfunded Research (U) will be rejected.

**Question:** Can effort allocations be decreased on a grant after June 18, 2021?

**Answer:** Effort allocations can be decreased on a grant after June 18, 2021 as long as the offset does not increase a fiscal fund starting with 1, 2, Cost Share (C) and Unfunded Research (U). LDCAs requesting changes to fiscal funds starting with 1, 2, Cost Share (C) and Unfunded Research (U) will be rejected.

If the corresponding increase does not properly belong on a different grant, the department will need to allocate the offset to a DCAA fund, residual fund, or Ledger 3 fund. Please contact your Dean’s office director or finance and administration manager with questions regarding fund offsets (Donna McKenty / John Brigada).
*Common questions about changing effort allocations after June 18, 2021*

**Question:** Can effort allocations be increased on a grant after June 18, 2021?

**Answer:** Effort allocations can be increased on a grant after June 18, 2021 as long as the offset does not decrease a fiscal fund starting with 1, 2, Cost Share (C) and Unfunded Research (U). LDCAs requesting changes to fiscal funds starting with 1, 2, Cost Share (C) and Unfunded Research (U) will be rejected.

Non-fiscal funds beginning with a 3, 4, 5, or 6 can offset the decrease in effort.

If a department does not have any non-fiscal funds beginning with a 3, 4, 5, or 6, the effort on a grant might not be able to be increased.
OTHER KEY DATES:

June 10 – FY 2022 will be open in Banner

June 21 – Last day that travel will be posted to FY 2021

June 21 – Last day that transfer vouchers can be posted to fiscal funds
  ➢ Transfers of sponsored project costs to and from fiscal funds
  ➢ Includes the transfer of cost-share funds to an endowed chair or other ledger 3 or 4 fund

June 22 – FY 2022 budgets will be loaded in Banner
**How to access effort reports in AMS:**

In AMS, click on “SSRS Reports” on the bottom left.

Click on “Effort_Preview_ByDept_R2” and select your org #.

This report allows you to view all effort on any grants within your department through the most recent payroll paid.

   Note: Grants outside your department won’t be listed.

If an employee is listed on the report that is not part of your department and the effort needs to be adjusted, please contact their department and let them know the employee’s effort needs to be corrected. The department that administers the grant has the obligation to notify the other departments they’re working with (Note: the main department is the only department that gets reminders that a grant is ending).

**Other helpful reports in AMS:**

- Pay_Distribution_ByEmployee_R1
- Pay_Distribution_ByFund_R11
New External Proposal Dashboard

Available at:
- [https://ovpr.uconn.edu/services/sps/proposals/proposal-dashboard/](https://ovpr.uconn.edu/services/sps/proposals/proposal-dashboard/) (Storrs)
- [https://ovpr.uchc.edu/services/sps/proposals/proposal-dashboard/](https://ovpr.uchc.edu/services/sps/proposals/proposal-dashboard/) (UConn Health)

Log in using UConn Single Sign-On

<table>
<thead>
<tr>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Missing Administrative Components</td>
<td>Proposal package is received without complete information required for SPS review. The proposal package will be returned to the PI/Department with a list of needed items to be added and resent to SPS.</td>
</tr>
<tr>
<td>Stand By</td>
<td>Proposal is placed in the SPS queue behind all other proposals that SPS has already received and will be reviewed only if time permits based on existing workloads and proposals received before the current one.</td>
</tr>
<tr>
<td>Pending Review</td>
<td>Proposal is awaiting review by SPS Grants Specialist</td>
</tr>
<tr>
<td>Under Review</td>
<td>An SPS Grants Specialist is reviewing the proposal.</td>
</tr>
</tbody>
</table>
New External Proposal Dashboard

- Allows faculty & departments to check their proposal status (by Proposal # or PI NetID)
- Includes the following types of proposals:
  - New/Revised/Transfer Proposals
  - Continuations
  - Supplements
  - Progress Reports/RPPRs
- We’ve made a couple of adjustments in response to feedback:
  - Pending Review status now displays the SPS Specialist/Reviewer
  - Bug fixes to the status logic
# Proposal Volume So Far

*All Requests Received On or After 5/5/2021 with Deadlines On or After 5/12/21*

<table>
<thead>
<tr>
<th>Campus/Request Type</th>
<th>No Pass Needed #</th>
<th>No Pass Needed %</th>
<th>Pass: PI #</th>
<th>Pass: PI %</th>
<th>Pass: Short Turn-Around #</th>
<th>Pass: Short Turn-Around %</th>
<th>No Pass Used (Late) #</th>
<th>No Pass Used (Late) %</th>
<th>Total #</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Storrs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New Proposals, Continuations, &amp; Supplements</td>
<td>83</td>
<td>81%</td>
<td>3</td>
<td>3%</td>
<td>2</td>
<td>2%</td>
<td>14</td>
<td>14%</td>
<td>101</td>
</tr>
<tr>
<td>Progress Reports</td>
<td>55</td>
<td>74%</td>
<td>3</td>
<td>4%</td>
<td>2</td>
<td>3%</td>
<td>14</td>
<td>19%</td>
<td>74</td>
</tr>
<tr>
<td>Post-Submission Requests</td>
<td>15</td>
<td>100%</td>
<td>3</td>
<td>4%</td>
<td>2</td>
<td>3%</td>
<td>14</td>
<td>19%</td>
<td>15</td>
</tr>
<tr>
<td><strong>UCH</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New Proposals, Continuations, &amp; Supplements</td>
<td>40</td>
<td>93%</td>
<td>3</td>
<td>7%</td>
<td>43</td>
<td>43</td>
<td>3</td>
<td>7%</td>
<td>43</td>
</tr>
<tr>
<td>Grand Total</td>
<td>123</td>
<td>85%</td>
<td>3</td>
<td>2%</td>
<td>2</td>
<td>1%</td>
<td>17</td>
<td>12%</td>
<td>145</td>
</tr>
</tbody>
</table>
52%
Of 88 submissions, 46 were submitted the day prior to the deadline or earlier

15
Average daily submissions across both campuses

Proposal Volume So Far

SOM 26%
CLAS 24%
Other Storrs (incl. IMS & InCHIP) 22%
CAHNRE 7%
Engineering 14%
EDU 2%
PHM 1%
SOC 1%
SODM 3%

ovpr.uconn.edu | ovpr.uchc.edu
Proposal Submission Policy Reminders

• Proposals should not be missing any administrative items when submitted to SPS.

• All final administrative issues should be addressed by close of business the second day before the submission due date. No new administrative components should be sent with the final science documents.

• For incoming subawards, the department administrator should work with the lead agency to establish the due date. Sponsor due date should not be used.

• If the application includes a cover/signature page requiring an institutional signature, include the document with the administrative components when routing.
Proposal Submission Policy

Common Issue
• Approximately 80% of proposal documents we received since the new policy began on 5/5/21 are considered incomplete
  • This causes extra back and forth for both SPS and department

Positive Notes
• Department administrators and faculty
  • Have awareness of the process
  • Are willing to work with us
  • Try to send us the missing documents as soon as they can
• Process is new, and we are all learning
Proposal Submission Policy

Root cause of most issues
• Gap in communication regarding which documents need to be included in order to be considered “complete”

Solutions
• A checklist has been posted on our website showing documents required for routing and recommended naming convention
• Guidance also posted on our site to show which documents are considered administrative components vs scientific components

Reminders
• Reference the PI and proposal number when sending follow-ups
• Send all missing documents in one email
• Use the recommended naming convention when sending proposal documents
Proposal Submission Policy

DOCUMENTS NEEDED FOR APPLICATION TO BE ACCEPTED AS “ON TIME AND COMPLETE”:

- IPR Form – REMINDER: DUE DATE must be entered
- Proposal Budget Template
- Budget Justification Narrative
- Abstract/Scope of Work
- Funding Opportunity/Guidelines
- Documents Requiring Institutional Signature
- Preview of Application Displaying All Administrative Components

When Applicable:
- Cost Share Request Form
- Request to Serve as PI
- Subrecipient Documents
- NIH Multiple PI Certification Form
Proposal Submission Policy

FORMAT:

Budget: Excel – Proposal Budget Template Form
All other: pdf

FILE NAMES:

<table>
<thead>
<tr>
<th>Document</th>
<th>File Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Budget Template</td>
<td>Budget</td>
</tr>
<tr>
<td>Budget Justification Narrative</td>
<td>Justification</td>
</tr>
<tr>
<td>Abstract/SOW</td>
<td>Abstract (SOW as applicable)</td>
</tr>
<tr>
<td>Application Guidelines</td>
<td>Guidelines</td>
</tr>
<tr>
<td>Documents Requiring Institutional Signature</td>
<td>Signature Required</td>
</tr>
<tr>
<td>Preview of Application Displaying All Administrative Components</td>
<td>Application</td>
</tr>
<tr>
<td>Cost Share Request Form</td>
<td>Cost Share</td>
</tr>
<tr>
<td>Request to Serve as PI</td>
<td>PI Request</td>
</tr>
<tr>
<td>Subrecipient Documents</td>
<td>Institution Name Sub Docs</td>
</tr>
</tbody>
</table>
Proposal Submission Policy

5 Day Deadline Policy – Components

**Administrative Components:** latest date is 5 days prior to submission due date

- If ASSIST or WORKSPACE: SF424 Cover Page, primary site, senior key profile section
- Budget
- Budget Justification
- Subrecipient form (if applicable)
- Letters/docs requiring OVPR signature
- Consortium paperwork (if applicable)
- Facilities
- Multiple PI plan (if applicable)
- Biographical Sketches
- Other Support

**Scientific Components:** latest due date is noon day prior to submission due date

- Abstract
- Project Narrative
- References
- Introduction (if applicable)
- Specific Aims
- Research Strategy
- Vertebrate Animal / Human Subjects (if applicable)
Hello Sponsored Program Services,

I have attached some documents related to a new NIH NIDCR R03 (PAR-21-084) proposal I will submit, due June 16th. It is assigned application identifier 1004089 in NIH ASSIST.

Please let me know if there is anything else that would be helpful at this stage. There are no sub-awards or cost-sharing.

Thank you!
Our fringe benefit rate proposal for FY 2022 has been submitted to DHHS.

<table>
<thead>
<tr>
<th></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>Actual Rate – FY21</td>
<td>40.9%</td>
<td>59.9%</td>
<td>79.0%</td>
<td>22.0%</td>
<td>15.0%</td>
</tr>
<tr>
<td>Proposed Rate – FY22</td>
<td>41.7%</td>
<td>62.1%</td>
<td>79.0%</td>
<td>22.0%</td>
<td>16.0%</td>
</tr>
</tbody>
</table>

(Note that the classified rate is currently capped at 79.0%)
The highlighted rates shown previously are the anticipated rates for fiscal year 2022.

Due to the fact that most applications include budgets for future periods, as many as five years in advance, Sponsored Program Services recommends that the Rates for Proposal Budgeting (indicated below) be used for most grant proposal submissions.

Exceptions to this are proposals to State and other agencies where the majority of the project will take place during fiscal year 2022 (07/01/2021-06/30/2022). For those proposals the FY22 proposed rates shown previously should be used.

### Rates for Proposal Budgeting

<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</td>
<td>44.0%</td>
<td>64.0%</td>
<td>79.0%</td>
<td>22.0%</td>
<td>16.0%</td>
</tr>
</tbody>
</table>
**NOT-OD-21-073**, Upcoming Changes to the Biographical Sketch and Other Support Format Page

- In accordance with **NOT-OD-21-073**, NIH has updated its application forms and instructions to support the need for applicants and recipients to provide full transparency and disclosure of all research activities, foreign and domestic.
- **Effective with due dates on or after May 25, 2021**

<table>
<thead>
<tr>
<th>Format Page</th>
<th>Changes</th>
</tr>
</thead>
</table>
| Biographical Sketch Format Page   | Section B ‘Positions and Honors’ has been renamed ‘Positions, Scientific Appointments, and Honors’.
For the non-Fellowship Biosketch, Section D. has been removed.
For the Fellowship Biosketch, Section D has been updated to remove ‘Research Support.’
As applicable, all applicants may include details on ongoing and completed research projects from the past three years that they want to draw attention to within the personal statement, Section A. |
| Other Support Format Page         | The format page has been re-organized to separate funded projects from in-kind contributions.                                                                                                           |

**Signature block added** for Program Director/Principal Investigator or Other Senior/Key Personnel to certify the accuracy of the information submitted.
Each PD/PI or senior/key personnel must electronically sign their respective Other Support form as a PDF prior to submission.
• NIH Biosketch Instructions: [https://grants.nih.gov/grants/forms/biosketch.htm](https://grants.nih.gov/grants/forms/biosketch.htm)
• Section A – include ongoing and completed research projects from the past three years that you want to bring attention to (previously known as research support and listed in Section D).
• Section B renamed to “Positions, Scientific Appointments, and Honors”. List in reverse chronological order (current listed first) for each sub-section.
• Section C – no changes published.
• Section D removed for non-fellowships and will be labeled “Scholastic Performance” for fellowships.
NIH BIOGRAPHICAL SKETCH AND OTHER SUPPORT

• **NIH Other Support Instructions:** [https://grants.nih.gov/grants/forms/othersupport.htm](https://grants.nih.gov/grants/forms/othersupport.htm)
• Active, Pending AND Completed (within past 3 years) in sections labeled in that order.
• If applicable, add a section for In-Kind Contributions before the Overlap section.
• Optional to include eRA Commons ID with the Senior/Key Person’s name.
• Include:
  • Research funding from foreign and domestic sources
  • Consulting Agreements (if research related)
  • In-kind contributions from outside entities (space, equipment, personnel, etc)
• Do NOT include:
  • Training grants
  • Start-up funds or institutional resources (e.g. core facilities and shared equipment)
  • Gifts
• Dates: current competitive cycle only (not the start date of the -01 award if a renewal award is active)
• Amount: TOTAL costs for full competitive cycle of the award
• Attach contracts in English for all foreign appointments.
• Must include Key Person’s electronic signature.
General Information

- New NCURA Video Available
  - Audits: What’s Hot
- Federal Costing Principles courses every month
- Subawards courses every month (alternating schedule)
  - Introduction is what you need to know to successfully submit and monitor subawards and their invoices
  - Intermediate is a deep dive into the regulations governing subawards

Sign up for all courses on the Saba website.
All SPA meetings will be held at 2:00 pm and will be online until further notice.

- June 16, 2021

Summer schedule will be online and emailed once set