RA Forum
February 2011

OSRS Update
Office Of Sponsored Research Services
Key Personnel vs. Other Significant Contributors (OSC)

- Applies to NIH
- ONLY applies to other agencies IF specified in their guidelines.
- If not NIH and not specified in an agency’s guidelines, everyone listed in the Senior Key Personnel section is considered Key.
Key Personnel vs. OSC: how to determine?

Is the person committed to contribute to the scientific development or execution of the project?

- YES
- NO

Is the person committing any specified measurable effort (person months) to the project?

- YES
- NO

Key Person

OSC

The person is neither Key nor OSC

Key Personnel vs. OSC: how to list in PDS?

- Key Person
- OSC

On OSRS’ Website

S2S MODULAR APPLICATIONS
- WU Personnel: list as Key in Personnel OR only in Sr Key Section
- Non-WU Personnel: listed in Senior Key Section ONLY
- Senior Key Detail tab: ggov role as “other, specify” and “Other Significant Contributor”. “OSC” box to be checked.

S2S DETAILED BUDGET APPLICATIONS
- WU and Non-WU Personnel: listed in Senior Key Section ONLY
- Senior Key Detail tab: ggov role as “other, specify” and “Other Significant Contributor”. “OSC” box to be checked.

ADOBE APPLICATIONS
- WU Personnel: can be listed in Personnel but should not be checked as Key (if checked Key, check OSC box & enter OSC as ggov role).
- Non-WU Personnel: Do NOT list in Personnel & should not be listed in Senior Key Section (if listed in Senior Key Section, box OSC should be checked and ggov role should be OSC).
Performance Sites

- “Location(s) of where the work described in the research plan will be conducted” *(NIH GPS revised 10/10)*

- Generally, the Primary Location should be that of the applicant organization.
  
  Example: 660 S. Euclid → On Campus → 52% F&A (Research)

- If Off-campus, enter the Off-campus location
  
  Example: Health Street → Off Campus → 26% F&A (Research)

- Do not forget to list the performance site(s) for subcontract(s) if applicable

Tips & Reminders for Pre-Award

http://grantsandcontracts.wustl.edu/
Application Process → Helpful Tips & Reminders

- Creating your PDS doc:
  - Copy previous year’s PDS doc when creating continuation applications (will pull Original FY/Fund)
  - Do NOT copy a PDS doc with Original FY/Fund if creating a new PDS doc or working with unrelated application
Tips & Reminders for Pre-Award (Cont.)

- Only print and send the PC form once the PDS doc is approved to ensure latest data on PC form

- S2S Availability:
  - Always try to download your FOA within PDS
  - Most R & K applications (Research/Career) can go S2S
  - S2S cannot support Detailed budgets with Subcontracts

- Other Tips & Reminders include:
  - Correcting the $ off issue (S2S)
  - Entering Equipment Groups if applicable (S2S detailed)

PI Transfer Checklist

- Asset Utilization/Equipment Inventory Control Office
- Conflict of Interest Office
- Debarment Office/Representative
- Department/Division Chair
- Department/Division Business Manager (i.e., your own and previous)
- Environmental Health and Safety Office
  - Biological & Chemical Safety
  - Environmental Compliance
  - Occupational Safety
  - Radiation Safety
- Export Control Office
- Grants Office (i.e., your own and previous)
- Human Resources
  - Benefits Office
  - IACUC (i.e., Division of Laboratory Medicine) & IRB (Human Subjects)
  - Intellectual Property(IP) Office
- International Services Office
- Post Award Administration
- Principal Investigator (PI)
- Purchasing Office
- Sponsoring Agency(s)
ARRA Q&A

- **QUESTION:** Grant originally funded with non-ARRA received ARRA funds for Renewal. Are close-out documents (Final Progress Report; Final Invention Statement, and Financial Status Report) needed on non-ARRA segment of the award?

- **ANSWER:** Only FSR is required. The renewal application included a statement on the progress and inventions.
NIH Funding Opportunities – Definitions

http://www.ninds.nih.gov/funding/differences.htm

- **RFA = Request for Applications**
  - Typically one-time solicitations for defined research topic

- **PA = Program Announcements**
  - Used by Institutes to announce interest in particular area
  - Typically ongoing for multiple receipt dates, up to 3 years
  - PAS: specific $ amount set aside by the Institute
  - PAR: reviewed by the Institute, rather than CSR

NIH Funding Opportunities – Definitions (Cont.)

http://www.ninds.nih.gov/funding/differences.htm

- **RFP = Request for Proposals**
  - Government's official solicitation that communicates to prospective offerors what it is the Government needs to buy/acquire
  - Results in a Contract → Involve OSRS-DC ASAP!

- **NOT = Notices**
  - Provide policy or other information relevant to funding
“Something as important as a grant application deserves the time and attention needed to submit it error-free and on-time. Please take advantage of the application guide; it is here to help you.”

Advice from the Office of Policy for Extramural Research Administration (these folks literally write the policy and the application guide)

We are often asked, “Do you really expect us to read the Application Guide – it’s over 250 pages?” To which we always reply with an unapologetic “Yes!” OK, it isn’t a gripping piece of literature. It does, however, hold all the information needed to submit your grant application to NIH.

So, read through the applicable sections at least once and then use it as an on-line resource as you fill out your applications.

Your applications propose to spend large amounts of tax dollars to perform important scientific studies.

“Don’t ‘Overstuff’ Your Applications”

Sage advice from the NIH Division of Receipt and Referral (these folks are usually the first NIH eyes to look at your application after submission – of course, they still see it after you)

With shorter applications and tighter restrictions regarding what can and can’t be included in your application or submitted post submission, it is tempting to find ways to stuff more information into areas of the application that were never intended to collect it.
A few reminders…

- NIH has policy guidelines regarding materials that are acceptable in a grant application appendix. Some opportunities have additional restrictions or don’t allow appendix material at all. Be sure to check your Funding Opportunity Announcement (FOA) instructions. Remember, FOA instructions supersede application guide instructions.

- Your research strategy must be self-contained and can’t link out to Web sites or include embedded files to provide additional information. In fact, such links will be inactivated during processing.

As of 1/1/2011 NIH requires electronic submission of appointment forms and termination notices.

xTrain for Institution Users – February 2011 by NIH, Office of Extramural Research

xTrain Web Page:
Application guide, quick reference sheets, FAQs, training materials can be found at:
http://era.nih.gov/training_career/index.cfm
Be Informed!
Be Up-to-Date!
Be in the Know
Listservs
NIH Extramural Update
http://grants2.nih.gov/grants/nexus.htm

NIH Weekly Guide
http://grants.nih.gov/grants/guide/listserv.htm

RESADM-L
http://www.ncura.edu/data/newsroom/newsletters/pdf/apr96/eid.html

Research News
http://researchnews.wustl.edu/

Upcoming Meetings
NCURA
April 16-20, 2011
Region IV Meeting
Cleveland, Ohio

2011 NIH Regional Seminar on Program Funding
Florida Atlantic University
June 22-24, 2011
Ft. Lauderdale, Florida

2011 NIH Regional Seminar on Program Funding
Arizona State University
April 27-29, 2011
Phoenix, AZ

SRA International
2011 Midwest/Western Joint Meeting
May 14-18th, 2011
Long Beach, California
Joint WU/VA Appointment
Information

Scenario:
• Dr. X has a WU appt. of .30 and a VA appt. of .70
• Dr. X has a WU/VA Total Salary of $200,000
• Dr. X’s WU ONLY Salary is $60,000 = Institutional Salary
• NIH Salary cap is N/A! → based on Institutional Salary
• Dr. X is considered Full Time at WU
Joint WU/VA Appointments (Cont.)

1) Calculate Full Fringes: Appt Type 1 with WU/VA Salary

- Appt Type = 1
- Full WU+VA Salary
- Effort @ WU
- Total Fringes to be requested in the application

2) Change information to WU Only: Appt Type & Salary

- Appt Type = .30
- WU Salary ONLY
- Effort @ WU
- Total Fringes need to be adjusted to match 1st step
Joint WU/VA Appointments (Cont.)

3) Modify Other fringes so Total Fringes = Fringes in 1st step

<table>
<thead>
<tr>
<th>Appt Type</th>
<th>Effort @ WU</th>
<th>WU Salary ONLY</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.30</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Fringes are now adjusted to match 1st step.
Joint WU/VA Appointments (Cont.)

Sources of Guidance Regarding MOUs

- OMB Circular A-21
  - Section J10
    - Section J10.b.(2)(d)
- NIH Grants Policy Statement (NIHGPS)
  - 17.3 VA-University Affiliations
- MOUs must accompany grant application
  - Institutional signature certifies that
    - A formal MOU is documented
    - No possibility of dual compensation
- MOUs
  - Updated MOU required with real significant change
  - Or annually

Intergovernmental Personnel Act (IPA) Agreements

Over the past few years, OSRS-MS has seen (2) variations of IPA agreements:

- **Scenario #1**: WU has received an award and the PI (Joint WU/VA appointment) wants to utilize a VA employee to work on his/her research project; Or
- **Scenario #2**: The VA has received an award and the PI (Joint WU/VA appointment) wants to utilize a WU employee to work on his/her research project.

In both scenarios, the IPA is utilized for personnel only.
IPA Agreements (Cont.)

Scenario #1:
- OSRS-MS will review the IPA agreement, provide feedback on a case-by-case basis and Institutional signature, once all issues, if applicable, are addressed.
- The IPA a by-product of the sponsored award for which WU is the grantee.

Take-aways from Scenario #1:
- Scenario should have been addressed in the proposal or a TBN should have been listed.
- If not addressed in the proposal, justification needs to be incorporated into the IPA agreement, Parts 6 and 7.

If a sponsored award is not the source of funding, OSRS-MS is not the Institutional signatory → See scenario #2.

Scenario #2:
- No WU sponsored award or sponsored research activity on behalf of WU. The VA is the grantee. OSRS-MS has no knowledge of the type of award or the terms and conditions of the award.
- OSRS-MS is not the appropriate Institutional signatory.

Take-aways from Scenario #2:
- No sponsored award for which WU is the grantee, OSRS-MS is not the appropriate Institutional signatory.
- Human Resources, School of Medicine will be the signatory for these IPA's.
RA Forum
February 2011
OSRS Update

Cindy Kiel, JD, CRA
Assistant Vice Chancellor for Research Services
Executive Director, Office of Sponsored Research Services
(314) 935-5889
ckiel@wustl.edu

• FY 2010 Annual Report Available
• Sent via RNews
• http://research.wustl.edu/about/Pages/OVCRAnnualReports.aspx
OSRS Welcomes

- Megan White, JD, Contract Manager
  - E-mail: mmwhite@wustl.edu
  - Phone: 935-3907
- Erica Jones, JD, Contract Intern,
  - E-mail: joneser@wusm.wustl.edu
- Alishka Elliott, Administrative Assistant for Contract Team
  - E-mail: elliotta@wusm.wustl.edu
  - Phone: 935-4987

NSF Data Sharing Plans

- Fastlane Revisions
  - Data Sharing Plan is now a mandatory section
- Proposal Help Toolkit – Guidance Posted with helpful Links under WU Boilerplate menu item.
  - http://proposalhelp.wustl.edu/
- Note: Use of Institutional Boilerplate in Technical Proposal-Caution
  - Please modify any boilerplate for your specific project depending on the data to be created and best practices on sharing and maintaining the data for the technical areas involved.
• Encourage faculty to post comments National Science Board re: NSF Review Criteria – Comments due by March 15th.

• Due to elimination of voluntary cost share commitments (except on specific identified programs), the Equipment and Facilities Form has become more important during review to identify existing institutional resources and support to make the project successful. NSF will be revising the form in the future to allow for more robust support information.

• Subrecipient monitoring – Subrecipients are required to follow the RCR education requirements.

• Administrative and Clerical Costs (HHS calls this “Indirects charged as Directs) audit expanding from initial universities (incl. UCSF and Duke) to 8 additional institutions.

• Recharge Center Costing &Rates (documentation that rates are based on actual costs/expenditures, consistency, policies, develop/adjust rates to break even over time, appropriate equipment charges, etc.)

• Extra Service (Supplemental) Compensation and Effort Reporting

• Classifications of flow-through funding as vendor vs. subrecipient – appropriate and consistent?

• Tuition and Fee charging practices

• Subrecipient Monitoring

• Cost transfers
H1B Visa I-129 form changes
Deemed Exports

- New Form requires certification as to whether foreign national will or will not have access to deemed export items as part of their work.
- New Questionnaire developed as part of the H1B application process to determine if deemed export technologies, materials or equipment might be used by the foreign national.
- Department Administrators might be asked to facilitate questionnaire responses.
- Office of International Student Services in lead office for process
- OSRS will assist in reviewing for deemed export controls
- Consultant might follow-up with additional questions based on initial responses on questionnaire.

Upcoming Professional Meetings

- LINC: February 24 & 25 – St. Louis – Chase Hotel. NIH and NSF program officers – contact Laura Langton langtonl@wusm.wustl.edu for one-on-one visit opportunities: http://www.siue.edu/linc/
- SRA International: http://srainternational.org/sra03/index.cfm
  – Preaward Meeting: March 7-8 – San Antonio Texas
  – Postaward Meeting March 9-10 – San Antonio Texas
  – 2011 Western/Midwest Section Mtg. May 14-18, Long Beach CA
- NCURA: http://www.ncura.edu/content/
  – NCURATV programs
  – FRAC: San Diego, CA March 4-6
  – Region IV meeting Cleveland, Ohio, April 16-20
• QUESTIONS?