WUSM RA Forum
January 2008

Grants & Contracts
NIH UPDATE
NIH Reduces Temporary “Error Correction Window” for Electronic Grant Applications from Five Business Days to Two

This change will mean that electronic applications will be considered “on-time” if all of the following criteria are met:

• All required registrations must be complete prior to the initial submission.

• Initial successful submission to Grants.gov must have a timestamp on/before 5:00 p.m. local time of the applicant organization on the receipt date.

• Applicants must correct errors and/or warnings within the two business days following the receipt date (referred to as the “error correction window”).

• All application corrections must be in response to a system-identified error/warning (application submissions with additional changes may be refused).

• If final submission is sent after the receipt date, a cover letter attachment must be included identifying the system-identified errors/warnings that have been corrected.

The two business days provided to view the assembled application image in eRA Commons will remain unchanged.

For more information see NOT-OD-08-018
We continue to update the Grants.gov site to reflect the transition from PureEdge to Adobe. You may want to take a few minutes to view our new Grant application tutorial for Adobe. To view it, go to: http://www.grants.gov/applicants/apply_for_grants.jsp and view under Step 2.

Please note we have PureEdge and Adobe tutorials.

If you have any questions or comments please let us know.

Regards,
Grants.gov PMO
Dated 12/11/07
G&C Update
Staff Update
New Email Addresses for G&C

G&C has migrated to Outlook Exchange and our email address have changed.

Our email addresses now end with:
@wusm.wustl.edu

We are no longer using:
@msnotes.wustl.edu

Please update your address books accordingly.
G&C Recommends Using the Electronic Routing and Submission Process Whenever Possible.

Why?

• It is the way of the future and today!

• Documents can be transported, processed and submitted faster.

• It eliminates the need to travel away from your computer to pick up your documents.
In An Effort to Promote Routing Correspondence Electronically to G&C and the Agencies, We Are Publishing the Following Documents:

- Processing Letters Electronically though G&C
- eSNAP Instructions
- JIT via the eRA Commons Instructions
- FIS eRA Commons Submission Procedure
Processing Letters electronically through Grants & Contracts (G&C)

1) The Department Administrator sends a draft letter to his/her G&C Analyst. The letter can be e-mailed or faxed.

2) G&C reviews the letter. The Department Administrator should feel free to contact G&C after 48 hours if a status has not been given yet regarding the letter.

3) G&C e-mails or calls the Department Administrator once the letter is fully reviewed:
   a. If the letter does not need any changes, the Department Administrator can proceed to 4).
   b. If the letter needs changes, the Department Administrator will e-mail or fax his/her G&C Analyst corrected draft letter(s) until the letter no longer requires changes.

4) The Department Administrator e-mails the FINAL letter to his/her G&C Analyst in PDF Format with the PI's e-signature included.

5) G&C provides John's e-signature on the letter and e-mails the signed letter back to the Department Administrator.

6) The Department Administrator e-mails the agency with the letter and copies his/her G&C Analyst.

This can be found at www.grantsandcontracts.wustl.edu
Under-> Forms and Letters
eRA Commons: eSNAP Procedures
For PI or Designee:
Before Beginning:

- The Progress Report needs to be saved as an Adobe Acrobat file (PDF – the file name MUST include .pdf – ensure the file name does not contain spaces or special characters).
- If applicable, enter the appropriate publications in the Personal Profile section to allow quick completion of this section of the eSNAP.
  - Note: G&C does not require this information as part of your hard copy.
- If new personnel are applicable and engaged in human subjects activities, ensure you have the human subjects training on hand as this information will be required on the "Research Subject" module of eSNAP.
  - New key personnel should be identified in the PDS Doc submitted to G&C.
- Ensure the Personnel Profile is complete.
- TO RE-ITERATE - PRIOR TO SUBMISSION: a G&C approved PDS Doc is required by G&C.

Instructions:
1) Log into eRA Commons: https://commons.era.nih.gov/commons/
2) Click eSNAP located in the top menu. Choose the appropriate grant number assigned to the progress report being submitted.
3) Click Initiate located at the bottom of the screen.
4) Email or fax the signed PC form and applicable approvals (e.g. IRB and IACUC) to your Grant Analyst when the eSNAP is ready for G&C to review (Note: Science and Inclusion Tables do not need to be uploaded at the time G&C reviews eSNAP). G&C will print the eSNAP from Commons.
5) Click Edit Business located in the top menu. Verify the address information is correct. PI address should be the department address.

Both the Administrative and Signing Officials should be John Michnowicz - similar to the PHS 398 or 2590 (hard copy).

1 Engaged: An institution or individual becomes "engaged" in human subjects research when the institution's employees or agents, or the individual (s) intervene or interact with living individuals for research purposes, or (s) obtain individually identifiable private information for research purposes (45 CFR 46.102(a)(1)).

2 https://irs.nih.gov/sites.html
Institutional Information is completed by G&C and not editable. If erroneous information is entered, the eSNAP will be returned for corrections and will cause a delay in submission to NIH.

Once this section is completed and saved, click on Designate as Complete.

6) Click Performance Sites located in the top menu. The default is the institutional profile.
   - If the default is an error, click on Edit and change information as needed. Once the information is corrected, click on Save & New.
   - Additional sites may be added by filling in the appropriate sections provided and completing the information pertaining to the additional sites where the research is to be completed (to include VA and foreign sites), then click on Save & New.
   - In order the delete WV as default, click on Delete – which is located to the right of the address. Click Delete again to verify, and add the appropriate information for the correct performance sites, then click on Save & New.

Click on Designate as Complete when all information is saved and complete.

7) Click Key Personnel located in the top menu. The PI is automatically indicated in the bottom section of this screen. Make any necessary additions in the field provided in yellow, and then click on Save & New. (Please note: Key Personnel MUST have effort – eSNAP will not allow personnel to be entered with 0 calendar months.)

Again, click on Designate as Complete when all information is saved and complete.

8) If applicable, click Research Subjects located in the top menu. Enter the necessary information.

Again, click on Designate as Complete when all information is completed and saved.

9) Click SNAP Questions & Checklist in the top menu. Answer questions.

If program income is applicable, click the hyperlink to add this additional information. Click Save & New once information is entered.

Again, click on Designate as Complete when all information is saved and complete.

10) Please note that the Science may be uploaded at anytime during the eSNAP procedure.

To Upload the Science – click on Upload Science located in the top menu.

Click on Import located next to Progress Report. The Upload File Screen will then appear. Click on Browse to search for the necessary file (again, this file must be saved as a PDF file).
Choose your file. This file name will display in the text box. Click Upload File.

Please Note:
This can be found at www.grantsandcontracts.wustl.edu
Under-> Application Process
JUST IN TIME (JIT)

This can be found at www.grantsandcontracts.wustl.edu Under-> Application Process
FINAL INVENTION STATEMENT (FIS)

This can be found at www.grantsandcontracts.wustl.edu
Under-> Forms and Letters
These Documents And Many Others Can Be Found At:

http://grantsandcontracts.wustl.edu
PDS Implementations

- Off Campus Personnel Summary
- List Primary Contact 1st in Ggov Personnel
- Refresh in Budget – Security issue
- Professional Name
- Training BUOB not being included in non training grants
- NIH Award Agency Edits
- Consortium F&A ‘$’ display on Budget Category page

*Note: Items listed above were implemented Thursday, Jan 3, 2008.*
One of Grants & Contracts’ responsibilities is to correctly set-up profiles (i.e., accounts for expenditure) in order to facilitate the objective(s) of all research projects. This responsibility is shared with the departments as outlined in Washington University’s Research Roles and Responsibilities document:

http://roles.wustl.edu/

Therefore, Grants & Contracts is asking that the Department Administrators assist Grants and Contracts in verifying the accuracy of any update/maintenance made to a fund profile, as well as, any allocations (including cost sharing accounts). Should any discrepancies occur, or if a request has not been fulfilled satisfactorily, the department can notify Grants & Contracts via e-mail as soon as possible.

No response will indicate that Grants and Contracts has fulfilled the request correctly and accurately.

If there are any further questions and/or concerns regarding these procedures, please do not hesitate to directly contact John Michnowicz, Director, Grants and Contracts.
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Top Ten Things A Principal Investigator Should Know About Submitting A Grant/Contract Proposal from Washington University

1. Washington University is always the awardee. Therefore the recipient of an award is Washington University and not the individual Principal Investigator (PI).

2. The PI should first contact and work with his/her department research administrator to submit a proposal. The Grants and Contracts (G&C) Office provides service to the PI via the department administrator in reviewing and processing a proposal to ensure compliance with and adherence to University, School of Medicine, and Sponsor guidelines.

3. All proposals must be accompanied by Washington University’s Proposal Certification (PC) form. The PC form must be completed in its entirety and contain the PI’s signature along with signature of the Department Chair or Division Chair.

4. Per School of Medicine policy and as required by all federal and most non-federal sponsors, proposal applications require an Institutional signature. As Institutional signatory, G&C needs sufficient time to review the proposal to ensure adherence with sponsor guidelines and compliance, both internal (WU) and external (Federal, State, City, etc.) entities.
5.) Proposals submitted without G&C review risk non-compliance with Sponsor, University, and School of Medicine guidelines, which can result in rejection of the proposal, delay in receiving an award, loss or reduction of direct costs, and/or delay of fund set-up.

6.) Eligibility:
   a.) In order to be PI on a research or career award:
      i. The School of Medicine requires that an individual be at least .5 FTE with Washington University and hold a faculty position (i.e., Instructor or higher).
      ii. Visiting faculty, adjunct faculty, lecturers, and emeriti are not eligible to be PI. Exceptions require the Dean’s approval
   b.) Individual fellowships should be held by postdoctoral research scholars, and/or individuals in training (i.e., non-employee) who receive a stipend by the University.
   c.) Sponsor guidelines regarding PI eligibility should always be followed, in conjunction with University and School of Medicine requirements.
   d.) Any exceptions to the above will need approval from the Department Chair and/or Dean.

7.) Conflict of Interest:
   a.) For proposals submitted to NIH (National Institutes of Health), NSF (National Science Foundation), and AHA (American Heart Association); due to these Sponsors’ specific policies, the PI plus all personnel the PI has designated as “key personnel” must have a current Conflict of Interest (COI) disclosure form on file prior to obtaining Institutional signature. (NOTE: COI expires 12 months after its submission)
   b.) For other proposals: COI disclosure is not mandatory at time of submission for the PI and those the PI has designated as “key”, but will need to occur by the time a fund is set up for the award
8.) Effort requirements:
   1) In all research and career related proposals, the PI must devote measurable effort, whether directly charged or voluntarily cost shared.
   2) In a NIH proposal, the PI and all personnel the PI has designated as “key personnel” must devote measurable effort, per NIH GPS definition*.

9.) Indirect cost rate:
   1) For all federal sponsored proposals as well as, all state and local government sponsored proposals; Washington University’s federally negotiated rate must be applied to the project budget, unless a differing rate is documented in a particular Request for Application (RFA)/Funding Opportunity Announcement (FOA).
   2) For other proposals (e.g., corporations, voluntary health agencies, foundations, etc), official policy regarding indirect cost rate must be applied to project budgets. Official policy normally will be referenced in the Sponsor’s formal proposal/award guidelines. Personal correspondence (emails/phone calls) from a Sponsor will not be accepted by WUSM as official policy. If there is no official policy, then WUSM’s default rates must be applied. Any exceptions are to be submitted to G&C for review by the Dean.

* NIH definition of key personnel: The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for key personnel.
10.) Response Time:
   a.) Any item submitted to G&C should allow for a response time (i.e., response from G&C) of at least two (2) full WUSM working days.
   b.) G&C’s overall intentions/objectives are to meet our customers' deadlines. However, sufficient time is needed for proper review and to obtain an understanding of the issue(s) in order to provide an Institutional signature.
G&C Website
New Items
Processing Letters Electronically Through G&C

Go to http://grantsandcontracts.wustl.edu
G&C Website
Updated Items
Updated eSNAP, FIS, JIT Instructions
Go to http://grantsandcontracts.wustl.edu
Questions