Research Administrator’s Forum
School of Medicine
March 2005
Presented by Grants & Contracts
H-1B Visas & Wage Rates  (Exhibit A)

- Increase in the costs of hiring foreign faculty members, researchers, and medical residents
- Changes in immigration-labor laws as of March 8
- Employers to pay foreign workers holding H-1B visas 100% of either the actual or the prevailing wage for their job (currently 95%)
- New $500 antifraud fee for all H-1B visa petitions
- On top of the $1,000 optional “premium processing” fee institutions are increasingly paying to review petitions more quickly
Consortium / Contractual Arrangements (Exhibit B)

- PHS 398 instructions, revised 9/04:
  - “The signature of the authorized organizational official on the Face Page signifies that the applicant and all proposed consortium participants understand and agree to the following statement:
The appropriate programmatic and administrative personnel of each organization involved in this grant application are aware of the NIH consortium policy and are prepared to establish the necessary inter-organizational agreement(s) consistent with that policy.

A separate statement is no longer required.”
Grants Budgeting Document

Reminder:

- PA/RFA and other non-federal guidelines should be forwarded to your Grant Analyst (GA) at the GB Doc stage
What to Submit to G&C (Exhibit C)

- See “Hard Copy Application” document printout for information on:
  - PHS 398 and PHS 2590
  - PHS 416-1 and PHS 416-9
  - Non-NIH Grants
- Submit feedback and any suggestion to G&C@msnotes.wustl.edu
- Once finalized, the form will be on G&C’s website at http://grantsandcontracts.wustl.edu
### What to Submit to G&C

**NIH 398 grants example** *(Exhibit C)*

<table>
<thead>
<tr>
<th>NIH PHS 398</th>
<th>Form page 1 Face page</th>
<th>Form page 2 Abstract</th>
<th>Form page 4 Initial Budget</th>
<th>Form page 5 Entire Budget</th>
<th>Modular Budget format page</th>
<th>Budget Justification</th>
<th>Resources format page</th>
<th>Checklist form page</th>
</tr>
</thead>
<tbody>
<tr>
<td>DETAILED BUDGET</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>ADDITIONAL INSTRUCTIONS FOR PPG</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>MODULAR BUDGET</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>CAREER AWARDS</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>INSTITUTIONAL TRAINING GRANTS</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>
What to Submit to G&C Summary (Exhibit C)

- Original PC Form
- Original Face page or signature page
- Animal / human approval(s) if applicable
- One copy of the application minus bio sketches and research plan
- G&C does NOT need the original application
Submission / Proposals due dates

- If WU is the prime institution, the due date is determined by the funding Agency.
- If WU is the subcontract, the due date is determined by the prime institution – Ex.:
  - NIH is the funding Agency with a due date of March 1
  - SLU is the prime and wants WU’s part by Feb. 25
  - WU’s due date should be February 25 in the GB doc and on the PC form
- Due dates cannot be changed per the PI (Ex.: PI is going out of town)
Meeting reminders

- Faculty Financial Compliance Sessions
  - March 9 – WUSM

- NIH Regional Seminar
  - April 7-8 – Albuquerque, NM

- 2005 SRA Midwest Section /NCURA Region IV Meeting
  - April 30 to May 4 – Chicago City Center

- NIH Regional Seminar
  - June 23-24 – West Lafayette, Indiana
Application Scenario: Situation

- Samples will be sent to another institution’s lab to have certain assays performed
- $15/sample is expected to be paid as a PO

QUESTIONS
- Should the head of the lab at the other institution:
  - Be included in the budget justification?
  - Be listed under Other Significant Contributors?
Application Scenario: Answers

- **BUDGET JUSTIFICATION:**
  - This would be considered a fee for service (lab is doing analysis and returning the results)
  - Will be listed in Other Expenses

- **OTHER SIGNIFICANT CONTRIBUTORS:**
  - The head of the lab should NOT be listed
Other Significant Contributors

PHS 398 instructions, revised 9/04

“Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the project”

“These individuals are typically presented at "zero percent" effort or "as needed" (individuals with measurable effort cannot be listed as Other Significant Contributors)”
Grant Scenario: Situation

- PI submits a renewal grant # 2R01XX0000-06
- PI’s grant # 5R01YY1111-05 has already ended
- Grant # 2R01XX0000-06 is awarded.
- PI fails to submit close-out materials on ended grant # 5R01YY1111-05:
  - Financial Status Report (SPA)
  - Final Invention Statement (PI/DA/G&C)
  - Final Progress Report (PI/DA)
Grant Scenario: Consequences

- Failure to submit close-out materials for Continuation Grant # 5R01YY1111-05 causes the following restriction on Renewal Grant # 2R01XX0000-06:
  - “The award is revised to restrict the funds. No money may be spent on the research activity on this grant until delinquent close-out materials for “5R01YY111-05”are submitted and accepted by the Office of Financial Management and the “name of institute” awarding officials”
NIH Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research

- NOT–OD-05-022
- Effective May 2, 2005
- Policy but “Voluntary”
- Applies to all research grant and career development mechanisms, cooperative agreements, contracts and Institutional/Individual NRSAs
e-Submission: FYI

- Vendors are e-mailing PIs directly
  - Additional time to submit
  - EZ process
  - Service is free of charge
- Reality
  - Application still needs to be submitted by due date
  - Process is still convoluted
  - Service is free of charge.............for now
HSC – IRB
Issues/Concerns/Questions

- Seeking your issues, your concerns, your questions regarding human subjects and/or IRB procedures/processes/policies related to research administration for future RA Forum
SBIR/STTR Issues/Concerns/Questions

- Seeking your issues, your concerns, your questions relating to SBIR/STTR application process and/or award administration.
- G&C has outlined what we believe to be the SBIR/STTR application process
- Seeking to identify a future applicant
Late proposals
Top 10 best excuses... By Dorothy Spurlock

10) The computer broke down
9) I thought the deadline/target date was a suggested date
8) I didn’t know I had to go through your office
7) My colleague’s wife just had a baby and we couldn’t get it done before that
6) My Chair just told me to submit it today
Late proposals (Cont.)
Top 10 best excuses... By Dorothy Spurlock

5) I didn’t know this office existed!
4) My Co-PI is on a beach in Burma and I can’t reach him
3) I do my best writing at the last minute – can’t you work around my schedule?
2) You guys in the Grants Office are so good, I know you can do this
1) Well it really only takes you a minute to sign your name doesn’t it?