RA Forum
May 2010
OSRS Update
Office of Sponsored Research Services
F&A Updates

- New DHHS Agreement Date: 2/24/10; Prov. as of 7/1/13
- Industry F&A Rates: ANY Deviation requires the Dean’s approvals (eff. 3/9/10)

<table>
<thead>
<tr>
<th></th>
<th>Research</th>
<th>Career</th>
<th>Training</th>
<th>Instruction</th>
<th>OSA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>50 TDC</td>
<td>50 TDC</td>
<td>8 TDC</td>
<td>44 TDC</td>
<td>35 TDC</td>
</tr>
</tbody>
</table>

- Use of Other Sponsored Activities (OSA) F&A Rates
  “Other sponsored activities means programs and projects financed by Federal and non-Federal agencies and organizations which involve the performance of work other than instruction and organized research. Examples of such programs and projects are health service projects, and community service programs.” (Definition from Circular A-21)
** Also pull the latest and greatest OSRS-MS forms from the OSRS-MS website. Recent updates:

- Allocation Request Forms
- WUSM Populated NIH Face Pages
### Allocation Request Federal (MTDC) - OSRS-MS

#### Name of person in the "Transfer From" department who is submitting this request:

#### Name of person in the "Allocate To" department who verified the information:

<table>
<thead>
<tr>
<th>Description</th>
<th>Budget Object Codes</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Salary</td>
<td>11</td>
<td></td>
</tr>
<tr>
<td>Staff Salary</td>
<td>12</td>
<td></td>
</tr>
<tr>
<td>Graduate Assistant Salary</td>
<td>13</td>
<td></td>
</tr>
<tr>
<td>Postdoc Salary</td>
<td>14</td>
<td></td>
</tr>
<tr>
<td>Annuity</td>
<td>21</td>
<td></td>
</tr>
<tr>
<td>Social Security</td>
<td>22</td>
<td></td>
</tr>
<tr>
<td>Other Fringe Allowance</td>
<td>2902</td>
<td></td>
</tr>
<tr>
<td>Stipends</td>
<td>26</td>
<td></td>
</tr>
<tr>
<td>Health Allowance</td>
<td>27</td>
<td></td>
</tr>
<tr>
<td>Supplies</td>
<td>34</td>
<td></td>
</tr>
<tr>
<td>Other Expense</td>
<td>35</td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td>36</td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td>63</td>
<td></td>
</tr>
<tr>
<td>Animal</td>
<td>57</td>
<td></td>
</tr>
<tr>
<td>Modular Directs</td>
<td>8702</td>
<td></td>
</tr>
<tr>
<td>Consultants</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td>InPatient Care</td>
<td>4101</td>
<td></td>
</tr>
<tr>
<td>Outpatient Care</td>
<td>4105</td>
<td></td>
</tr>
</tbody>
</table>

**F&A Rate: 52.00%**

| Total Direct Dollars      | $0                   |
| Total F&A Dollars         | $0                   |
| Total Dollars             | $0                   |

### For OSRS-MS Use Only:

- [ ] Verify funds are available in "Transfer From" account
- [ ] Review guidelines for restrictions on rebudgeting (if applicable)
- [ ] Log in PITS

**Work Flow ID#: ____________**

**Initials: ____________**

**Date: ____________**

---

If funds to be allocated involve the use of humans and/or animals, it is the Principal Investigator’s responsibility to ensure that approved protocols are current.
Profile Reminder

NOTE: OSRS-MS is asking Department Administrators to assist OSRS-MS 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, please notify me (Grant Analyst) via e-mail as soon as possible.

No response will indicate that OSRS-MS has fulfilled the request correctly and accurately.
Questions
NIH Update
NIH Forms

** Always pull the latest and greatest NIH forms directly from the NIH website.

** Be sure you are working with the latest and greatest FOA.
S2S Reminder

As indicated in PA-10-067 (Parent Announcement):

“Note: Since email can be unreliable, it is the responsibility of the applicant to check periodically on their application status in the Commons.”
NIH NOTICES and Release Dates

- NOT-OD-10-070 – March 19, 2010
- NOT-OD-10-072 – March 30, 2010
- NOT-OD-10-073 – March 24, 2010
- NOT-OD-10-080 – April 15, 2010
NIH NOTICE: NOT-OD-10-070

Amended NIH Policy on Submission of Late Grant Application Materials Prior to Initial Peer Review


Authorized Organizational Representative (AOR) Concurrence

- Copying the AOR is NO LONGER accepted
- Communication must include AOR concurrence
  - Your Grant Analyst will obtain AOR concurrence
  - Dept. or OSRS-MS can forward e-mail to NIH

If e-mailed by OSRS-MS, Dept. to indicate names and e-mail addresses for both “TO” and “CC”.
NIH NOTICE: NOT-OD-10-072

NIH Will Require the Electronic Submission of Appointment Forms and Termination Notices via xTrain for Research Training, Fellowship, Education, and Career Awards Beginning January 2011


- Beginning January 1, 2011
- Use of xTrain Commons module required to prepare/submit
  - PHS 2271 Statement of Appointment form
  - PHS 416-7 Termination Notice
Ex.: T32 (both forms); F30/31/32 (Termination notices only)
- Establish eRA Commons account before submitting forms
- Training resources and instructions available at
  http://era.nih.gov/services_for_applicants/other/xTrain.cfm
NIH NOTICE: NOT-OD-10-073

Final Ruth L. Kirschstein National Research Service Award (Kirschstein-NRSA) Policy for Tuition, Fees, and Health Insurance on Training Grants and Fellowships


- Policy implemented by NIH in Fiscal Year 2007
- NIH is now formally adopting the policy
  - Tuition and Fees: continue to request full needs in competing continuations. Formulas will be applied by NIH at award.
  - Health Insurance remains part of training-related expenses for training grants and part of institutional allowance for fellowships.
NIH NOTICE: NOT-OD-10-080

Enhancing Peer Review: Clarification of Resubmission Policy and Determination of New Application Status


- **General Policy:**
  - For due dates before 1/25/09: 2 resubmissions (A1/A2)
  - For due dates 1/25/09 and later: 1 resubmission (A1)

- **Clarification for Continuous Submission option:**
  - Assigned council date up through August 2009: 2 resub.
  - Assigned council date October 2009 and later: 1 resub.
  - Assigned council date can be found in the 1st page of Summary Statement in eRA Commons.
General Policy if eligible to submit an A2:
Last opportunity to submit A2: no later than appropriate due date for Cycle III

<table>
<thead>
<tr>
<th>Mechanism</th>
<th>Last Due Date for A2</th>
</tr>
</thead>
<tbody>
<tr>
<td>P and T Series</td>
<td>September 25, 2010</td>
</tr>
<tr>
<td>R01 and U01</td>
<td>November 5, 2010</td>
</tr>
<tr>
<td>Career</td>
<td>November 12, 2010</td>
</tr>
<tr>
<td>R03 and R21</td>
<td>November 16, 2010</td>
</tr>
<tr>
<td>Fellowship</td>
<td>December 8, 2010</td>
</tr>
</tbody>
</table>
Clarification for Continuous submission option if eligible to submit an A2

<table>
<thead>
<tr>
<th>Mechanism</th>
<th>Last Due Date for A2</th>
</tr>
</thead>
<tbody>
<tr>
<td>R01, R21, R34 Not AIDS-related research</td>
<td>December 16, 2010</td>
</tr>
<tr>
<td>R01, R21, R34 AIDS-related research</td>
<td>February 7, 2011</td>
</tr>
</tbody>
</table>

If not eligible to submit an A2, the A2 application will be administratively withdrawn by the Center for Scientific Review.
### Determination of New Application Status

<table>
<thead>
<tr>
<th>Considered NEW</th>
<th>NOT Considered NEW</th>
</tr>
</thead>
<tbody>
<tr>
<td>Substantially different in content and scope</td>
<td>Rewording of the Title and Specific Aims</td>
</tr>
<tr>
<td>Substantial changes in all sections of the Research Plan</td>
<td>Incorporating minor changes in response to comments of reviewers</td>
</tr>
<tr>
<td>Fundamental changes in the questions being asked and/or the outcomes examined</td>
<td>Request for review by a different review committee</td>
</tr>
<tr>
<td>Significant change in direction and approach for the research project</td>
<td>Request for funding consideration by a different NIH Institute</td>
</tr>
</tbody>
</table>
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/
Questions
NIH ARRA NOTICES and Release Dates

- NOT-OD-10-065 (ARRA) – March 19, 2010
- NOT-OD-10-066 (ARRA) – March 17, 2010
- NOT-OD-10-067 (ARRA) – March 17, 2010

Reporting Matrix will be updated with a table summarizing NIH ARRA Reporting Requirements:
NIH ARRA NOTICE: NOT-OD-10-065

Recovery Act: Update on ARRA Quarterly Reporting Requirements for Non-Competing Continuation Awards and Relinquished Projects; and Guidance to Avoid Common Errors


- Reference Grant # of initial award
- Report Award Issue Date from Initial NOA
- Relinquished award:
  - Indicate “Final Report”
  - Include note in quarterly activity/project description field
NIH ARRA NOTICE: NOT-OD-10-066

Reminders on Annual Reporting Requirements and Notice of Revised Financial Closeout Requirements for ARRA-funded Administrative Supplements and Competitive Revisions


• Report on Revisions/Supplements in the Annual Progress Report of Parent Grant
  - Regardless of the dates of the ARRA Revision/Supplement
  - No separate annual progress report for ARRA Revisions/Supplements
NIH ARRA NOTICE: NOT-OD-10-066 (Cont.)

- Special Reporting Requirements for the Summer Experience Program. Include:
  - Names of individuals supported
  - Type of position
  - Student and/or teacher’s home institution
  - Resume or statement of employment qualifications
  - Summary of the summer research experience for each individual supported (including: how the experience accelerated the tempo of research)

Template available on NIH Recovery Act Web site
http://www.grants.nih.gov/recovery/summer_opps.html#scientific
NIH ARRA NOTICE: NOT-OD-10-066 (Cont.)

- Close-out of multiple Revisions/Supplements to a Parent Award with regular NIH funds
  - NIH Systems are updated to allow separate closeout of a single ARRA Revision/Supplement
  - **POLICY CHANGE:**
    If multiple Revisions/Supplements, only one FSR is due when the last ARRA Revision/Supplement ends (including NCEs)
- Standard closeout procedures for ARRA Revisions/Supplements to a Parent ARRA fund
NIH ARRA NOTICE: NOT-OD-10-067


Additional Documentation Required for 2nd NCEs

“Will not be approved unless grantees can document that no other sources of Federal or non-Federal funds is available (...) and provide compelling evidence that closing the grant after a one-year no-cost extension would cause (...) irreparable harm to the objectives of the research (...).”
Questions
Office of Sponsored Research Services (OSRS)

RA Forum

May 2010
Personnel Changes

• Dr. Arden Bement, NSF Director, leaving NSF as of June 1

• Ms. Marty Rubenstein named Acting Chief Financial Officer & Director, Office of Budget, Finance & Award Management

• Dr. Myron Gutmann named Assistant Director for Social, Behavioral & Economic Sciences (SBE)

• Dr. Edward Seidel named as Acting Assistant Director for MPS

• Dr. Jose Munoz named Acting Director of the Office of Cyberinfrastructure (OCI)
Number of NSF Competitive Proposals and Awards and Funding Rates

FY 2000: 9,663 Awards, 29,150 Competitive Proposals, 33% Funding Rate
FY 2001: 9,649 Awards, 31,441 Competitive Proposals, 31% Funding Rate
FY 2002: 10,230 Awards, 34,811 Competitive Proposals, 29% Funding Rate
FY 2003: 10,721 Awards, 39,745 Competitive Proposals, 27% Funding Rate
FY 2004: 10,255 Awards, 43,469 Competitive Proposals, 24% Funding Rate
FY 2005: 9,757 Awards, 41,598 Competitive Proposals, 23% Funding Rate
FY 2006: 10,318 Awards, 42,050 Competitive Proposals, 25% Funding Rate
FY 2007: 11,354 Awards, 44,106 Competitive Proposals, 26% Funding Rate
FY 2008: 11,024 Awards, 43,907 Competitive Proposals, 25% Funding Rate
FY 2009: 14,641 Awards, 45,228 Competitive Proposals, 32% Funding Rate
Distribution of Average Reviewer Ratings for Awards and Declines, FY 2009

- **No Score**: 1,746 Awards, 500 Declines
- **Poor to Fair**: 1,269 Awards, 3 Declines
- **Fair to Good**: 9,145 Awards, 152 Declines
- **Good to Very Good**: 3,418 Awards, 3,418 Declines
- **Very Good to Excellent**: 5,349 Awards, 5,349 Declines
- **Excellent**: 3,881 Awards, 3,927 Declines
American Recovery and Reinvestment Act of 2009 (ARRA)

“Even beyond energy, from the National Institutes of Health to the National Science Foundation, this recovery act represents the biggest increase in basic research funding in the long history of America’s noble endeavor to better understand our world. Just as President Kennedy sparked an explosion of innovation when he set America’s sights on the moon, I hope this investment will ignite our imagination once more, spurring new discoveries and breakthroughs that will make our economy stronger, our nation more secure, and our planet safer for our children.”

President Barack Obama
February 17, 2009
ARRA: NSF Funding Prioritization

- Recovery Act funds were to be awarded in a timely manner. NSF made 4,712 awards totaling $2.6 B to more than 800 institutions by February 28, 2010.
- All grants were issued as standard grants with durations of up to five years.
- Funding of new PIs and high-risk, high-return research were top priorities.
- Only four ARRA-specific solicitations were released.
- NSF considered proposals declined on or after October 1, 2008, and made 318 awards from this pool.
The America COMPETES Act

NSF Implementation Activities
SEC 7008: Postdoctoral Research Fellows

• “Mentoring - The Director shall require that all grant applications that include funding to support postdoctoral researchers include a description of the mentoring activities that will be provided for such individuals, and shall ensure that this part of the application is evaluated under the Foundation's broader impacts merit review criterion. Mentoring activities may include career counseling, training in preparing grant applications, guidance on ways to improve teaching skills, and training in research ethics.

• Reports - The Director shall require that annual reports and the final report for research grants that include funding to support postdoctoral researchers include a description of the mentoring activities provided to such researchers.”
SEC 7008: Postdoctoral Research Fellows

NSF Implementation:

• Each proposal that contains postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals. The mentoring plan must not exceed one page.

• This one-page limitation also is applied to proposals with subawards, and, separately submitted collaborative proposals.

• The Return without Review section and the Proposal Preparation Checklist emphasize that proposals that do not describe mentoring activities provided to postdoctoral researchers will be returned without review.
SEC 7009: Responsible Conduct of Research

“The Director shall require that each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.”
Washington University Responsible Conduct of Research Implementation

- America COMPETES for RCR Education WU internal compliance report tested on 4/14/10

- Report identified 170 individuals requiring RCR Education, of those only 60 had not completed the PERCSS Core Curriculum (65% success rate)

- Identified some issues in the reporting system and are working to correct them

- Updated Compliance Plan
  - All qualifying individuals, **EXCEPT** undergraduate students paid from the NSF project for less than three (3) consecutive months, are required to meet the continuing education requirement of at least one face-to-face education session each project year.
    - [http://research.wustl.edu/ComplianceAreas/rcr/NSF/Pages/plan.aspx](http://research.wustl.edu/ComplianceAreas/rcr/NSF/Pages/plan.aspx)

- NSF RCR FAQs – last updated March 3, 2010
SEC 7010: Reporting of Research Results

- Section 7010 requires that all final project reports and citations of published research documents resulting from research funded, in whole or in part, by the Foundation, are made available to the public in a timely manner and in electronic form through the Foundation's Website.
SEC 7010: Reporting of Research Results

- The new report will be prepared and submitted via Research.gov. PIs will be required to prepare a summary – specifically for the public – on the nature and outcomes of the award.
- Implemented via revisions to the NSF Agency Specific Requirements to the standard Grant Conditions
- Effective January 4, 2010, new awards and funding increments to existing awards incorporate the new requirement.
Project Outcomes Reporting Tool on Research.gov

- Log into Research.gov with FastLane log in
- See the Project Outcomes Report Dashboard on home page
- See the number and status of required reports:
  - Due
  - Overdue
  - Submitted
  - Not yet due
- Click on link to view, prepare, and submit reports
Prepare Reports

Upload images with report:
- Must acknowledge permission granted to use image
- Maximum of 6 images

Report should:
- Address the intellectual merit and broader impacts of the work as defined in the NSF merit review criteria.
- Be brief: 200-800 words
- Be written for the lay reader by the PI or co-PI

Preview report before submitting, save report and return later to finish, or submit. PIs/co-PIs can edit report for up to 30 days following submission. Updates after 30 days can be made by adding an addendum.
Research.gov

• Supports the needs of institutions and researchers
  – Modernization of FastLane providing next generation grants management
    capabilities to meet the unique needs of the research community
  – Provides a menu of grants management and information services for
    multiple Federal agencies in one place
  – Intuitive, easy-to-use environment to conduct business with the Federal
    Government

• Increases transparency of Federal research spending and outcomes

• Provides the public, scientific community, and Congress with easy
  access to information about:
  – How Federal research funds are being spent
  – What outcomes are being achieved
  – How those outcomes benefit society

• Leverages government-wide standards
Current Research.gov Partners

Research.gov simplifies the research community’s access to information and grant services for multiple federal agencies

- National Science Foundation (Lead Agency)
- National Aeronautics and Space Administration (Partner Agency)
- Department of Defense Research (Partner Agency)
- National Institute of Food and Agriculture (Partner Agency) *Formerly USDA’s Cooperative State Research, Education, and Extension Service*
Section 7013: Cost Sharing

- NSB Cost Sharing Report
  - ACA directed NSB to evaluate decision to eliminate cost sharing
  - This is the second report issued by the NSB which contains a comprehensive set of recommendations to be addressed.
ACA: For More Information


Look for further developments in the Proposal & Award Policies & Procedures Guide (PAPPG) as ACA is implemented.
QUESTIONS?