WUSM RA Forum
November 2006

Grants & Contracts
NIH Updates
Non-Competing Grant Awards Under the Current Continuing Resolution

Notice Number: NOT-OD-07-004

Key Dates
Release Date: October 6, 2006

Issued by
National Institutes of Health (NIH), (http://www.nih.gov)

The Department of Health and Human Services (HHS) continues to operate on a continuing resolution (CR) that currently extends through November 17, 2006. The CR applies the terms of the FY 2006 appropriations for the period covered by the CR. Until the final FY 2007 appropriation is enacted, NIH will issue non-competing research grant awards at a level below that indicated on the most recent Notice of Award (generally up to 80% of the previously committed level). This is consistent with our practice during the FY 2006 Continuing Resolution (CR). NIH will consider upward adjustments to these levels after the final appropriation is enacted, but expects institutions to monitor their expenditures carefully during this period.

Inquiries
Questions regarding adjustments applied to individual grant awards may be directed to the Grants Management Specialist identified on the Notice of Award.

Weekly TOC for this Announcement
NIH Continuing Resolution (cont.)

- **SNAP – Modular**

  ~**Grants Budgeting Document**
  Lump sum, or detailed direct cost budget - per the Notice of Grant Award (NGA) recommended amount (total costs), with appropriate F&A rate(s)

  ~**Award Stage**
  Funds will be budgeted according to the Notice of Grant Award (NGA)
Non-SNAP - Non-Modular

Grants Budgeting Document
Full, categorical, detailed budget - Per the NGA recommended amount (total costs), with appropriate F&A rate(s)

Award Stage
Funds will be budgeted according to the Notice of Grant Award (NGA)
NIH Continuing Resolution (cont.)

• **SNAP - Non-Modular**

  ~*Grants Budgeting Document*
  Lump sum, or detailed direct cost budget - per the NGA recommended amount (total costs), with appropriate F&A rate(s)

  ~*Award Stage*
  G&C will apply the budgetary cut to either BU 34 or 35 depending on which has the most money
G&C Updates
Exception Letters

- **Principal Investigator (PI) Eligibility** – the School of Medicine requires that the PI be at least a half-time[1], salaried employee of Washington University and have a faculty appointment of Professor, Associate Professor, Assistant Professor or Instructor in order to submit research proposals to external funding agencies.

- [1] Effective 11/1/02 per approval by the Academic Affairs Committee on 9/18/02 and by the Executive Faculty on 10/2/02
Exception Letters (cont.)

Exception

~Cases may arise where a department head thinks it appropriate that someone other than faculty or trainees submit a proposal.

~Note: Exception Request Letters should be addressed to the Dean and submitted to G&C for review.

~Department Chairperson should certify that he or she will take ultimate responsibility for the funding and will provide space and administrative support for the project.
“New” → **All** exception letters will need Dean’s approval.

**Why?**

- **Consistency!** Ultimately the Dean makes the decision for exceptions.
New

Grant Agreements – please obtain PI’s signature for all grant agreements.
~ The PI’s signature, will attest that the PI has read and has agreed to the terms and conditions of the award.

No F&A Policy or Unclear F&A Policy:
Option 1: PI/Dept. applies WUSM’s current negotiated rate
~ GB doc. should reflect WUSM’s current negotiated rate
~ Hard Copy should be submitted with the applicable F&A rate
~ Award will be budgeted with applicable F&A rate.
Option 2: PI/Dept. submits F&A letter to reduce or waive F&A

~ Budget can go out with reduced F&A rate or no F&A rate (as decided by PI)
~ GB doc. → Should reflect reduced F&A rate or 0%. An over-ride to the F&A is needed.
~ GB doc. → Dept should enter comment, “Dept. agrees to submit overhead reduction or waiver request to Dean. If the Dean does not approve the waiver, the dept. agrees to cover costs (i.e., cost sharing) to cover applicable F&A OR; dept. agrees that Direct Costs will be cut to cover associated F&A
~ Hard Copy → Should reflect reduced F&A rate or 0%
~ Note: Setup of award could be delayed IF F&A issue has not been resolved.

Reminder: F&A reduction or waivers should be sent to G&C first. G&C will then forward the waiver to the Dean.
New (cont.)

Prior Approval Request Forms:

A-21 Costs → Dept. Head signature is no longer required
Program Project Grants and Center Grants – all P Series - *new, renewal, resubmission, revision*
Due: January 25 (old date Feb. 1)

Institutional Ruth L. Kirschstein National Research Service Awards - T Series (Training)** - *new, renewal, resubmission, revision*
Due: January 25 (old date Jan. 10)

Research Grants - R01 - *new*
Due: February 5 (old date Feb. 1)

Research Career Development – all K series - *new*
Due: Feb 12 (old date Feb. 1)
Change in Standing Receipt Dates for NIH/AHRQ/NIOSH
Beginning in January 2007 (cont.)

Research Grants - R03, R21, R33, R21/R33, R34, R36 - *new*
Due: February 16 (old date Feb. 1)

Research Grants - R01 - *renewal, resubmission, revision*
Due: March 5 (old date March 1)

Research Career Development – all K series - *renewal, resubmission, revision*
Due: March 12 (old date March 1)

Research Grants - R03, R21, R33, R21/R33, R34, R36 - *renewal, resubmission, revision*
Due: March 16 (old date March 1)
Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR) Grants - R43, R44, R41 and R42 - new, renewal, resubmission, revision*
Due: April 5 (old date April 1)

Individual Ruth L. Kirschstein National Research Service Awards (Standard) – all F series Fellowships. - new, renewal, resubmission*
Due: April 8 (old date April 5)

Conference Grants and Conference Cooperative Agreements - R13, U13 - new, renewal, resubmission, revision*
Due: April 12 (old date April 15)
AIDS and AIDS-Related Grants - ALL of the mechanisms cited above - **new, renewal, resubmission, revision**
Due: May 1 (no change)

For more information visit the following URL:
G&C “Language Disclaimer” Letters

If G&C has issues, concerns or questions regarding the award terms for an application, G&C will provide a “disclaimer” letter stating that Washington University reserves the right to negotiate the terms and conditions of the award prior to acceptance of the award.

This letter should be submitted to the agency. If an agency does not allow additional correspondence be sent with an application the letter should be retained with the department’s copy of the application. The letter then serves as notification to the PI and department that G&C may need to negotiate the terms prior to award set-up.
NIH Loan Repayment Programs

• All applications for 2007 awards must be submitted online by 7:00 p.m. CST, December 1, 2006.
• These programs require electronic submission. Although submission to Grants & Contracts (G&C) is not required, the applicant will be asked to list the name and e-mail address of the official signing for the applicant organization. John Michnowicz and G&C@msnotes.wustl.edu should be listed. It is imperative that you list G&C@msnotes.wustl.edu. Listing a different email address may add delays, or prohibit the processing of the LRP application.
• For more information Regarding the WUSM internal process, please see the Research News Bulletin sent on 10/17/06.

For detailed information from NIH please visit the following URL: http://www.lrp.nih.gov
Reminder

Please put the applicable FOA/PA/RFA/PAR number on the RFA Number field on the General Information A tab in the PDS doc (formerly GB Doc)

Why?

- This tells G&C what instructions are applicable for the PDS doc
- It is a reportable field and is often used in running reports regarding the types of submissions
**Reminder**

When completing Allocation Request Forms please be sure that the appropriate department and division numbers are being used.

*Why?*

- G&C sets up allocations based on the information documented on the Allocation Request Form. When the incorrect department/division number is used it creates more work for everyone.
Reminder

Complete the Consortium F&A field in the Consortium Costs category of your PDS doc.

Why?

• It formats the Direct Cost Summary tab of the PDS doc so that NIH Face Pages and budget pages (both modular and detailed budget) can be completed easily without having to manually remove the consortium’s F&A from the direct costs totals.

Questions?

Please contact your G&C Grant Analyst.
Reminder

Please read the comments in your account profiles.

Why?

• G&C enters information that we feel is pertinent to YOU!
Reminder

All correspondence for Research Office negotiated projects needs to be submitted to the Research Office for review and signature, not G&C.
NIH Policy on Late Submission of Grant Applications

NIH expects that grant applications will be submitted on time. Standing dates are listed at: http://grants.nih.gov/grants/funding/submissionschedule.htm.

- For applications that are required to use paper format these are submission or postmark dates; applications are on time if they are sent on these dates.
- For applications that are required to use electronic submission this requires successful submission to Grants.gov by 5 p.m. local time on the date indicated.
- For both paper and electronic submissions, when these dates fall on a weekend or holiday, they are extended to the next business day. However, Requests for Applications (RFAs) and Program Announcements with Special Referral Considerations (PARs) with special receipt dates always must be received (by Grants.gov for electronic applications and the Center for Scientific Review for paper applications) on the dates designated in the announcement to be on time. This is clearly noted in the website above and in the text of each RFA/PAR.
Permission for a late submission is not granted in advance. In rare cases, late applications will be accepted but only when accompanied by a cover letter that details compelling reasons for the delay. While the reasons are sometimes personal in nature, an objective evaluation of their merit requires that some details be provided. Specific information about the timing and nature of the cause of the delay is necessary so that a decision can be made. Only the explanatory letter is needed; no other documentation is expected.
NIH Policy on Late Submission of Grant Applications (cont.)

NIH will consider accepting late applications based on the acceptability of the explanation and the processing time required for two different kinds of submission dates:

- **Regular Standing Submission Dates:** Applications must be received at the NIH within two weeks of the standing submission date.

- **Expedited Standing Submission Dates:** Applications must be received at the NIH within one week of the standing submission date.

For more information regarding this policy please visit the following URL: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-086.html
Notice of New NIH Policy for Funding of Tuition, Fees, and Health Insurance on Ruth L. Kirschstein National Research Service Awards

When is this new policy effective?

- Federal FY 2007 (10/1/2006) for new and competing continuations (renewals)

- Federal FY 2007 (10/1/2006) for the non-competing continuation years of grants that received competing awards in Federal FY 2006 (10/1/2005)

Note: Awards that were competitively awarded prior to Federal FY2006 are not affected by this notice. Please review your NGAs carefully!
Institutional Training Grants

**Tuition/Fees**
- **Predoc:** 60% up to $16,000, 60% up to $21,000 for a dual degree
- **Postdoc:** 60% up to $4,500, 60% up to $16,000 for additional degree

**Training Related Expenses**
- **Predoc:** $4,200 (includes health insurance)
- **Postdoc:** $7,850 (includes health insurance)

**Facilities & Administrative Costs**
- **Predoc and Postdoc:** 8% (excludes, tuition/fees, equipment)
Notice of New NIH Policy for Funding of Tuition, Fees, and Health Insurance on Ruth L. Kirschstein National Research Service Awards (cont.)

Individual Fellowships

**Tuition/Fees**
- **Predoc:** 60% up to $16,000, 60% up to $21,000 for a dual degree
- **Postdoc:** 60% up to $4,500, 60% up to $16,000 for additional degree

**Institutional Allowance**
- **Predoc:** $4,200 (includes health insurance)
- **Postdoc:** $7,850 (includes health insurance)

For more information regarding this policy please visit the following URL: [http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-093.html](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-093.html)
Reminder

Make sure the PI initials the COI Disclosure Statement

WASHINGTON UNIVERSITY, SCHOOL OF MEDICINE (WUSM)
PROPOSAL CERTIFICATION (PC) FORM
PAGE 3 OF 3 FOR GB DOC #

| IMPORTANT |

CONFLICT OF INTEREST DISCLOSURE
I have made all financial disclosures as required by WU policy on financial Conflicts of Interest, and as Principal Investigator, I have made every effort to ensure that all persons responsible for the design, conduct, or reporting of the research on this project have submitted the required disclosures; and prior to the expenditure of award funds will have reached an agreement with WU which provides for conditions or restrictions necessary to manage, reduce, or eliminate any conflicts of interest under WU policy. Form location: http://medcoi.wustl.edu  Principal Investigator, please initial:

As Principal Investigator for this project, I certify that the information submitted within this application is true, complete and accurate to the best of my knowledge. I understand that any false, fictitious, or fraudulent statements or claims on this form or in the application may subject me to criminal, civil, or administrative penalties. If this proposal is funded, I agree to accept responsibility for the scientific conduct of the project, to conduct the project in accordance with the terms and conditions of the sponsoring agency and the policies of the University, and to provide all required progress reports to the sponsor in a timely manner.

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G&C Website Updated Items
Washington University Accreditations
Go to “http://grantsandcontracts.wustl.edu”
Click on “Statistics Tab”

NIH Ranking
Go to “http://grantsandcontracts.wustl.edu”
Click on “Statistics Tab”
Questions
eSubmission Update
Proposal Development System (PDS) Process Guidelines for System-to-System (S2S) Application Submission of R01's

(NIH's submission date is February 5, 5:00 pm local time.)

PDS Doc (formerly GB doc) approved by dept. in advance of the Sponsor's submission date and time
- Cover Page Supplement
- Other Project Info.
- RR SF 424
- Budget
- Key Personnel
- Performance Sites
- Compliance
- Checklist

Remaining components to complete packet need to be attached to the PDS doc in advance of the Sponsor’s submission date and time
- Research Plan
- BioSketch
- Appendix
- All Other Applicable Attachments

PUSH SUBMIT BUTTON

Admin components to Pre-Award Office in advance of the Sponsor’s submission date and time
- PC Form including the applicable signatures
- Animal & Human Approvals (if applicable)
- Budget Justification(s)
- Facilities
- Equipment
- Other Support (if applicable)
- Cover Letter (if applicable)
- Federal Consortium Letter (Modular Application ONLY)

Transmission must be ERROR-FREE and occur by or prior to Sponsor’s submission date and time (February 5, 5:00 pm EST)

Transmission ERROR FREE

Continue to work on Research Plan during this time

Once a PDS doc is generated the Research Plan can be attached to the PDS doc anytime

* Pre-Award Office = Grants & Contracts Office or Research Office