RA Forum
November 2010
OSRS Update
Office Of Sponsored Research Services
Final Invention Statements (FIS)
NOT-OD-11-012

The PI is no longer required to sign or submit FISs electronically in eRA. Effective immediately, please print the FIS from eRA and have the PI sign it. Submit this to your GA so that we can sign it in eRA.

This is effective immediately as the notice went into effect 10/22/10.

For more information visit:
Certification of Grant Study Correspondence Form

When submitting an application and you have an animal or human approval at the time of submission but the title and/or PI do not match the application, you need to do a Certification of Grant Study Correspondence Form at the time of the application, or go in pending.
## Certification of Grant/Study Correspondence

1. PDS #
2. Principal Investigator:
3. Sponsor/Mentor (if applicable):
4. Dept. Contact Person
5. Grant Title:
6. Sponsoring Agency:

I certify the below protocols correspond to this grant:

<table>
<thead>
<tr>
<th>Principal Investigator(s) of protocol</th>
<th>IRB/IRACUC Title</th>
<th>IRB/IRACUC #</th>
<th>Approval Date</th>
</tr>
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*Attach additional rows/page as necessary.*

**Signature**

Grant's Principal Investigator name  Date

Co-Signature

Protocol's Principal Investigator name  Date

Co-Signature

Protocol's Principal Investigator name  Date
GWAS, dbGaP and/or other Data Repositories
TBN Statement

If the PDS Doc says TBN, then the budget page should also say TBN. In the justification, the person can be named, stating that the PI plans to hire the person.

The following blurb then needs to be added to the PDS comments: "Per the PI, WU Equal Employment policies and procedures will be adhered to when filling this position".
Top 10 Errors In PDS For Your NIH S2S Application

10. Did you verify that the e-mail address for the Authorized Representative is entered in Cover Page 424C? (msosrs@wustl.edu) & (dcosrs@wustl.edu)?

9. If not a New application, did you complete the Federal Identifier field in the correct format (example: CA123456 OR 1R01CA123456-01)

8. Did you complete the “PI Credentials” field (=eRA Commons ID) for all PD/PIs?

7. Did you enter a Ggov role for all personnel listed in the Senior/Key section (this includes Other Significant Contributors)?

6. Did you complete the country code for all personnel listed in the Senior/Key section (this includes Other Significant Contributors)?

5. Did you enter the congressional district in the proper format for all performance sites (example: MO-001)?
Top 10 Errors In PDS For Your NIH S2S Application (cont.)

4. ATTACHMENTS:
   1) Did you include all required attachments?
   2) Are all your attachments in PDF format?
   3) Are there any characters other than letters, numbers, and underscores in your attachment names? Special characters can cause issues at grants.gov.
   4) Did you view your attachments to insure that they attached properly?

3. DETAILED BUDGETS ONLY:
   1) Do all individuals listed in the Personnel category have effort greater than 0?
   2) If you are requesting Equipment, did you enter a Group Item #?

2. MODULAR APPLICATION: did you verify in the Ggov Budget Summary tab that the “DC – consortium F&A” lines are in modular format

1. CAREER APPLICATION: did you complete the “Citizenship (Career)” field?
HRPO Lapse Notices
HRPO Lapse Notices (cont.)

Certification of Expenditures While Obtaining IRB Approval of an Expired IRB Protocol Template and Instructions

1. This letter is required for the Office of Sponsored Research Services – Medical School (OSRS-MS) to continue to allow expenditures of funds when in certain situations (including, but not limited to):
   a. an existing IRB protocol has expired and the PI of the IRB protocol is working with HRPO to resolve outstanding/remaining issues;
   b. Human Subjects research has ended, however, the PI of the IRB protocol has not properly/officially closed out the protocol.

2. Using Departmental letterhead and the format outlined below, this letter must be signed by both, the Principal Investigator of the expired IRB protocol and the PI of the associated grant and submitted to OSRS-MS. If all applicable conditions are met, OSRS-MS will continue to allow the expenditure of funds that are not directly related to any new recruitment efforts and/or research procedures including analysis of identifiable data.

3. Letter must acknowledge while the IRB protocol has expired, funds will not be expended for any new recruitment efforts and/or for all research procedures including analysis of identifiable data until IRB approval is obtained.

4. Fax the letter to OSRS-MS at 362-0315 or scan and e-mail the letter to your OSRS-MS Grant Analyst.

5. Notify your OSRS-MS Grant Analyst when IRB approval is obtained for the IRB protocol identified.

6. Please note, should HRPO closeout the IRB protocol identified below, the associated WU financial account be also be closed. Any related expenditures will need to utilize a non-sponsored account.

   Please contact your OSRS-MS Grant Analyst with any questions.
HRPO Lapse Notices (cont.)

Certification of Expenditures While Obtaining IRB Approval of an Expired IRB Protocol Template and Instructions

(cont)

Page 2 of 2

Template Letter Format (use Department Letterhead):

To: OSRS-MS

From: Principal Investigator Name

Date:

IRB Protocol number:
Grant number:
Sponsoring agency:

I certify under this research project associated with subject grant number, since the IRB protocol has expired, expenditures directly charged to subject grant will NOT be expended for: (1) any activity involving the recruitment of new subjects and/or (2) any research procedures including analysis of identifiable data. Additionally, appropriate notification of such review has been submitted to the sponsoring agency (if required by the sponsoring agency).

(Provide a brief explanation if expenditures are applicable, as to the reason and purpose for these expenditures what as to the reasons why human subject research is not starting at the beginning of the grant, has ended, or has changed. Include details regarding the specific circumstances involving the use of human subjects on this project.)

This letter is necessary because... (Provide a brief explanation as to the reason(s) and/or purpose(s) for expenditures to be directly charged against this grant while the IRB protocol is expired. Examples: (1) human subjects research has concluded [provide date] and humans are no longer used in this study or (2) there are other aspects of the research project that do not involve the recruitment of new subjects and/or research procedures including analysis of identifiable data that need to continue. If so, explain what specific aim(s) of the project will be purged or (3) other.

Signature
Principal Investigator of Grant Date

Signature
Principal Investigator of IRB Protocol Date
NIH Update
NIH to Require All Applications to be submitted in Response to a FOA Published in the NIH Guide to Grants and Contracts
NOT-OD-10-134

Purpose

• Applications intended for due dates of September 25, 2010 and beyond, all applications submitted to the National Institute of Health must be submitted in response to a Funding Opportunity Announcement (FOA) published in the NIH Guide to Grants and Contracts.

• Electronic applications are already submitted in response to a FOA. Thus, this policy will primarily affect some “P” and “U” applications and others still received in paper format. Given this effort to ensure fairness regarding application submissions, the Division of Receipt and Referral at the Center for Scientific Review will no longer accept or assign applications submitted to the NIH without a published FOA in the NIH Guide to Grants and Contracts, beginning with those intended for a due date of September 25, 2010 and beyond.

Applicants are urged to contact their NIH Program Officers if there are questions about this new requirement

For more information visit: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-134.html
Just-In-Time Submissions
NOT-OD-10-120

• Applicants are responsible for promptly notifying NIH of any substantive changes to previously submitted Just-in-Time information up to the time of award.
  • Other Support
  • Scientific overlap
  • Commitment of effort greater than 12 person-months
  • Use or approval of vertebrate animals or human subjects.

• Failure to address JIT items prior to award will require prior approval request per NIHGPS

For more information visit:  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-120.html
New Time Limit For NIH Resubmissions
Effective for resubmissions intended for the January 25, 2011 receipt date and thereafter

NOT-OD-10-140

- The NIH will not accept a Resubmission that is submitted later than thirty-seven months after the date of receipt ("receipt date") of the initial New, Renewal, or Revision application.

- If the initial submission (A0 version) was accepted late, the Resubmission (A1 version) must be received within 37 months of the original due date, not 37 months after the extended receipt date for the initial application.

- With respect to NIH continuous submission policies please see the URL listed below for specifics.

For more information visit:
NIH, AHRQ, CDC Updated Electronic Application Forms.

ADOBE-FORMS-B1 Required for F, K, T and D submissions for applicants targeting due dates on or after January 25, 2011

For more information visit:
NIH, AHRQ, CDC, FDA And NIOSH Require Use Of Updated Electronic Application Forms

ADOBE-FORMS-B1 effective for deadlines after May 7, 2011
• Exceptions K, T, D & F applications

For more information visit:
New Procedures and Instructions For Submitting Annual Progress Reports For Multi-Year Funded (MYF) Awards With An Annual Progress Report Due On Or After December 22, 2010

- eRA software release will implement new functionality that allows the grantee to upload a PDF progress report through the eRA Commons.

- The reporting period for a MYF progress report is the calendar year preceding the anniversary date of the award.
  - For example, if an award is made on 04/01/2010, the MYF progress report is due on or before 04/01/2011, and should report on the activities performed under the award between 04/01/2010 and 03/31/2011.

- Progress reports for MYF awards must be completed by the PD/PI, and then submitted by a Signing Official (SO)

For more information visit:  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-010.html
Revised NIH Grants Policy Statement  (Rev. 10/1/10)  
NOT-OD-11-003  

• This revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2010.

• This revision incorporates:
  • NIH policy changes since the December 2003 version, policy clarifications, public policy changes, terminology changes  
  • New chapters, chapter revisions, reorganization of the document, as well as other document enhancements such as a new chapter numbering schema  
  • Some sections have been rewritten to provide clarity; however, the overall policies in these sections have not changed  

For more information, including a list of significant changes that are implemented with the October 1, 2010 NIHGPS, visit:  
xTrain

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

For more information see June 2010 Extramural Nexus
http://grants.nih.gov/grants/nexus.html
FAQ’s

New eRA Web Site Provides Ready Answers to Common Questions visit:

http://era.nih.gov/index.cfm
NIH Award Verification
NOT-OD-10-137

Purpose:
As NIH’s fiscal year comes to a close on September 30, 2010, NIH encourages institutional officials to verify the accuracy of the FY10 award information reflected in NIH systems to ensure the most complete and accurate information is reflected for your institution in FY10 reports. Any corrections to the data must be received by Monday, October 4, 2010 to be reflected in NIH reports.

Background:
Each year NIH develops reporting files that are used to develop the reports found on the RePORT Website, address inquires from the Department of Health and Human Services, Congress, research community and to meet annual reporting requirements on NIH’s expenditures. The data in these files are “frozen” in mid-November to ensure the reporting files produce consistent reports. It is imperative that corrections to the data occur before these files are frozen to ensure the veracity of NIH’s FY10 reports.
Elimination of Error Correction Window

- NIH has eliminated the error correction window from the application submission process beginning with due dates on or after January 25, 2011. A few key messages:
  - Will not affect the two-business-day application viewing window. Applicants will still be able to view and reject their application and submit a changed/corrected application prior to the submission deadline.
  - Applicants are encouraged to submit early – early submission is the best way to ensure eSubmission success.

- Expectations
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
March 4-6, 2011
Financial Research Administration (FRA) 12 Conference:
Looking Forward Strategically: Balancing Collaboration, Problem-Solving and
Accountability
San Diego, California

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

SRA International
2011 Western/Midwest Joint Meeting
May 14-18th, 2011
Long Beach, California
Questions
Office of Sponsored Research Services (OSRS)

RA Forum
November 2010
OSRS-Danforth Staffing Update

- Nathan Collins, JD, joined OSRS as a Contract Manager. 
  Phone: 935-3907 
  Email: collinsn@wusm.wustl.edu

- Bonnie Dee accepted a position in the George Warren Brown School of Social Work.

Transition Plan

- Larry Pyles will handle Outgoing subagreements.
- Nathan and Connie will jointly handle Incoming agreements.
- Continue to communicate with your normal contact during this transition.
- We anticipate the open position to be filled by December.
- We have been successful to date meeting all hard federal deadlines and we are delivering a higher volume of activity this year.
FFATA Reporting

The Federal Funding Accountability and Transparency Act (FFATA) requires reporting of all federal contracts and subagreements.

• Central Admin will be managing the reporting requirements.

• All subrecipients will be required to have a DUNS # and CCR registration. This is a free process for recipients of federal funds. DUNS number acquisition takes about 15 minutes on the phone and 30 days if online registration. CCR registration requires a DUNS number and takes about 15 minutes to register.

• There are several Data Elements we may contact DAs to obtain:
  • Zip plus 4
  • Short project description of subaward
  • Two (2) questions concerning federal funding and highly compensated officers.
National Science Foundation (NSF)
Revised Grant General Conditions – Effective 10/1/10

**Significant Changes to the NSF Grant Conditions**
- Responsible Conduct of Research (Article 18)
- Reporting Subawards and Executive Compensation (Article 19)
- Central Contractor Registration and Universal Identifier Requirements (Article 20)

**Clarifications & Other Changes to NSF Grant Conditions**
- Cost Sharing and Cost Sharing Records (Article 25)
  - The National Science Board (NSB) Cost Sharing report had 8 specific recommendations to NSF – the following programs will have cost share requirements reinstated:
    - Major Research Instrumentation (MRI)
    - Robert Noyce Scholarship Program
    - Engineering Research Centers
    - Industry/University Cooperative Research Centers
    - EPSCOR
Clarifications & Other Changes to NSF Grant Conditions

- Cost Sharing and Cost Sharing Records (Article 25) – continued
  - Inclusion of Voluntary Committed cost share will be prohibited in both solicited and unsolicited proposals.
  - If cost share is included in the budget, it becomes mandatory upon award.
  - OMB has reiterated its position that it does not require of voluntary uncommitted cost share not included in the budget sections of a proposal.
  - The Facilities, Equipment and Resources section of the proposal should be used in the future to provide a description of all resources necessary and available for the project success. DO NOT include an actual dollar value.
  - There is a continued expectation that grantees will share in faculty salary support but in a voluntary uncommitted way. However, if someone is a PI some level of effort is expected in budget sections of the proposal.
Clarifications & Other Changes to NSF Grant Conditions

- Cost Sharing and Cost Sharing Records (Article 25) – continued
  - If the grantee becomes aware that it may be unable to provide the cost sharing of at least the amount identified in the proposal, the Grants Officer must be notified immediately.
    - Should NSF agree to the organization’s proposed plans, the Grant Officer will modify the award accordingly. If the plan is unacceptable to NSF, the award may be subject to termination.
    - Failure to notify NSF may result in the disallowance of some or all of the cost charged to the award; the subsequent recovery of NSF of some or all of the NSF funds provided under the award; possible termination of the award; and may constitute a violation of the terms of the award as to provide grounds for suspension or debarment.
National Science Foundation (NSF)
Revised Grant Proposal Guide – Effective 1/1/11

Changes to the Grant Proposal Guide (GPG)
- **Cover Page (Chapter II.C, 2a)** – If the project will be performed at a location other than WU, additional geographic information must be provided.
- **Data Management Plan (Chapter II.C.2.j)** – If data management plans are not included in the proposal, FastLane will not allow the proposal to move forward. The Data Management Plan will be reviewed by part of the intellectual merit or broader impacts of the proposal or both.

Clarifications to the NSF GPG
- **Sections of the Proposal (Chapter II.C.2)** – Supplemented to clarify that failure to submit all required sections of the proposal may result in the proposal being returned **without review.**
Clarifications to the NSF GPG - continued

- **Project Summary (Chapter II.C.2.b)** – Updated to encourage the use of separate headings for merit review in the one page Project Summary.
- **Special Information Supplementary Documentation (Chapter II.C.2.j)** – Clarified to show that a mentoring plan is not required for postdoctoral researchers who are listed as Senior Personnel on the budget.
- **Collaborative Proposals (Chapter II.D.4.b)** – Supplemental information added to reinforce that all components of a collaborative proposal must meet any established deadline or risk being returned without review.
- **Proposal File Updates (Chapter III.C)** – Revised budgets must be submitted via the Revised Proposal Budget Module instead of the Proposal File Update Module.
Clarifications to the NSF GPG – continued
• Review Information Provided to PI (Chapter III.F) – PIs are provided copies of their reviews to improve research modules and future submissions and are not intended for any other purpose.
• Renewal Proposals (Chapter V) – Reminder that renewal proposals must be developed as if the applicant is applying for the first time.

Changes to the Award and Administration Guide (AAG)
• Changes in Objectives or Scope (Chapter II.B.1.a) – Clarified to remind that prior NSF approval is required for any changes to the Facilities, Equipment and Other Resources section of the approved proposal that would constitute a change in objective or scope.
AISystem Menu Changes – December 2010 (tentative)
Save the Date

February 24 & 25, 2011
Chase Park Plaza, St. Louis, MO

Keynote Speaker
Roger Beachy
Acting Chief Scientist and Director,
National Institute of Food and Agriculture,
U.S. Department of Agriculture

Representatives from
NIH  BioGenerator  Fulbright
NSF  MoFAST  NIDUS
Saint Louis Science Center  NGRREC
Missouri Botanical Garden  CET
& other regional experts

http://www.siue.edu/linc/

The 2011 Midwest Summit on Leadership in Interdisciplinarity, Networking & Collaboration (LINC) is intended to facilitate faculty research and stimulate broad-based increases in sponsored research, collaborations, and institutional partnerships in the Missouri-Illinois bi-state region. LINC will include: updates on funding trends from federal, state, and private funding agencies; informative sessions on research funding opportunities in science and the humanities; interdisciplinary mechanisms; proposal development; information on policies, practices, and networking opportunities.

Sponsoring Institutions:
Southern Illinois University Edwardsville ➔ St. Louis Community College ➔ Saint Louis University ➔
University of Missouri St. Louis ➔ Washington University in St. Louis ➔ Webster University
QUESTIONS?