Office of Sponsored Research Services (OSRS)

RA Forum
October 2013
Government Shutdown
DHHS

• 52% of HHS employees will be on furlough; 48% retained.
• Variable HHS agency and office impact.
• Grant-making and employee-intensive agencies vast majority of furloughs.
• Agencies with direct service component will have most staff retained.
DHHS Furlough Percentages

- NIH - 73% (13,698)
- CDC – 68% (8,754)
- HRSA – 58% (1,127)
- FDA – 45% (6,620)
- AHRQ – 92% (292)
- CMS – 65% (3,881)
- ACF – 84% (1,109)
- ACL – 83% (124)
DHHS

• NIH - Although work on current awards may continue, NIH will not take any actions on grant applications or awards.
• ACF – new discretionary grants will not be made.
• AHRQ – unable to fund new grants and contracts related to health services research initiatives, including research on improving patient safety and health-care associated infections. Data collection and mods to the household survey of the Medical Expenditure Panel Survey will be stopped.
• SAMHSA – unable to monitor grants or contracts, including activities requiring on-site supervision.
• Sally Rockey: “[I]f there is a lapse in funding, HHS’ NIH staff will not be available to provide routine administrative support services. HHS will, however, maintain the Payment Management System in an operational status to continue processing grant drawdown requests. Given that you have received your award prior to the gap in funding, you may be able to continue drawing funds from prior awards during an appropriations lapse. If you received your notice of grant award with restrictive terms and conditions, or if your drawdown request triggers one of the Payment Management System edit checks and/or the drawdown limit controls, you will not be able to drawdown funds.” Dr. Rockey also reported that grants.gov may accept new applications to NIH but that they will be stored and not processed.”
NSF

• There are approximately 2,000 employees prior to shutdown implementation.
• No more than 30 federal FTEs will be retained to protect life and property and for other excepted activities.
• Shutdown activities will require a half day.
• Individuals may continue work on all current awards “to the extent that doing so will not require federal staff intervention and that funds are available.” “No payments will be made during the funding hiatus.”
NASA

• 97% of employees will be on furlough
Department of Education

• Students would continue to have access to Pell Grants and federal loans, and most customer service centers would remain open. Education Department websites would remain available, as would student loan servicer sites.

• The department plans to furlough employees who support campus-based aid programs such as Federal Work-Study and Supplemental Educational Opportunity Grants.

• The department would also not award new grants to institutions since as much as 90 percent of its workforce will be told to stay at home.
OSRS and SPA

• Business as usual. Continue to submit applications, but do not expect responses from agencies.
• Continue to process what we can with the federal agencies, but do not expect responses.
• Cash flow issues expected.
• Agencies are implementing differently. DOD has stated it will not issue revised deadlines.
OSRS Recommendation

• Prepare your grant applications and have them ready to be submitted just as if you were going to submit for the original deadline.

• Regarding whether or not to actually submit, please follow the guidance of the agency.
NIH

- NIH has stated, “For the duration of the funding lapse, applicants are strongly encouraged not to submit paper or electronic grant applications to NIH during the period of the lapse. Adjustments to application submission dates that occur during the funding lapse will be announced once operations resume.”
DOD

• DOD has stated, “All of our original deadlines are firm. Open applications should be submitted as if there were no shut down, ” and Receipt of pre-applications to eReceipt and full applications to Grants.gov is expected to continue during the Government shutdown. Actions related to existing funded grant will likely experience delay.”
Agency Plans and Updates

• OMB list of contingency plans:

  http://www.whitehouse.gov/omb/contingency-plans

• OSRS working with REI to create an FAQ webpage
OSRS Teams:

• Pre-award and award set-up (Grants)
• Negotiation (Contracts)
GMS Assessment Project
Refined GMS Organization

Grants Management System
Project Organization

Sponsors
Barbara Felner, VC for Finance
Evan Kharasch, VC for Research

Executive Committee
Grants Management System Oversight (GMSO)
Denise M, Denise H,
Christa J, Teri M, Joe G, Bill H

Project Management Team
Christa / Joe / Bill

Assessment and Working Groups
OSRS / SPA / IS&T / Dept Administrators

Proposal & Budget
And Award Management

Billing & Reporting

Stakeholders
Central Admin
Schools
Departments
Divisions
Faculty
Others

Affiliates
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Larry Kuykendahl

Danforth Campus
Siomari Colon
Natalie Goodwin-Franke
Sharon Matlock
Glenn Reitz
Rich Hauermann
Christine Montieth

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Cherie Moore
Cindy Smith

AVCR/OSRS
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Teri Medley
Sonia Moore
Melanie Roewe
Connie Motoki

SPA
Joe Girdhart
Liz Colletta
Krys Gross
Iris Peper

IS&T
Denise Hinshbeck
Mark Craig
Bill Hunn
Craig Schaefer
Analytics and Reporting Structure

Sponsors
Barbara Feiner, VC for Finance
Evan Kurasch, VC for Research

Executive Committee
Grants Management System Oversight (GMSO)
Denise M. Denise H. Joe Gindhart, Christa Johnson, Craig Schaefer

Project Management Team
Craig Schaefer, Tim Redmond, Bill Hunn

Working Group
OSRS / SPA / IS&T / SCHOOLS

Analytics & Reporting
Barry Goldstein

Stakeholders
Central Admin
Schools
Divisions
Faculty
Others

Consultants

Schools and Departments Business Mgrs., Department and Division Admins

OSRS Staff
SPA Staff
IS&T Staff
Problem Statement

• Why do we need to look at a new GMS?
  – Current home-grown systems require significant resources to maintain, update and modify to meet new regulations
  – Changing Federal requirements often require rapid response and significant programming changes
  – WU electronic submission system is cumbersome and only captures a portion of the projects submitted
  – Schools and departments need to capture data locally that is not included in current system causing inefficiencies, inconsistencies and delays in assimilating data for analytics and reporting.
Problem Statement

• Stakeholders request for data are difficult to complete

• Increased demand for information that is not currently captured in GMS for analytics and reporting including:
  – Proposals, Award characteristics, Economic Impact, Leadership assessments of research enterprise successes
Objective

• Assess existing grants administration systems and processes to better understand current and future research support needs.

• Specifically, this initiative will:
  — Assess the requirements of and recommend a strategic direction for a Grants Management System (GMS)
  — Improve Research Information Analytics and Reporting.
Progress to Date

- Completed process map for central research administration functions.
- Refined requirements and use cases required for vendor demos.
- Assessed vendor products & services to manage research enterprise.
- Conducted some site visits at peer institutions.
- Embarked on process mapping at department level.
Move to @4240
Research Administration Services & Office of Technology Management

We are Moving!
OTM and RAS

- Tentatively moving December 17 and 18
- OTM - Office of Technology Management
- RAS – Research Administration Services
  - AVCRA - Denise McCartney, Associate Vice Chancellor for Research Administration
  - RECO – Research Ethics Compliance Office
  - HR-QA - Human Research Quality Assurance
  - REI – Research Education and Information
  - OSRS – Office of Sponsored Research Services
    - Grants
    - Contracts
    - SASS
Located at Duncan and Boyle
OTM and RAS

• OTM and RAS will be communicating with Departments regarding:
  • Contact information
  • Touchdown Space
SASS Update
Upcoming
NIH Public Access Policy Workshops

Wednesday October 2, 2013
Thursday December 5, 2013
12:00-1:00

FLTC Holden Auditorium

Please register at
https://becker.wustl.edu/classes-consulting/classes/nih-public-access-policy
Public Access Policies are Expanding

In a policy memorandum dated 22 February 2013, the Executive Office of the President/Office of Science and Technology Policy (OSTP) has directed all Federal agencies with more than $100M in R&D expenditures to develop similar public access policies for scholarly publications resulting from federally funded research.
NIH Public Access Assistance

Questions about PMC, NCBI, status of publications?
  Cathy Sarli, sarlic@wustl.edu
  Ruth Lewis, rlewis@wustl.edu

Questions about compliance related to your award?
  Laura Langton, langton@wustl.edu

To schedule a customized workshop, contact
  Laura Langton or Cathy Sarli
Research Contract Team Update
OSRS Grants Update
SF424 Forms C – Notable Changes in PDS

1) Where is the new field “Previous Grants.gov Tracking ID”? → Behind the scenes!

2) Where is the Form “PHS 398 Checklist”? → The questions are now in the Form “PHS 398 Cover Page Supplement”

3) 2 new Forms under “Optional Components” – allow the collection as discrete data rather than PDF attachments:
   a. Planned Report
   b. PHS 398 Cumulative Inclusion Report
Note: For sub-award budgets, be sure to extract the applications sub-award budget form, complete it and then attach it to the sub-award budget section of the application package. If you use a page that was not part of the original application package, it will error out at Grants.gov.
Updated “What to Submit to OSRS Grant Team” and Mechanisms (398 vs. 424 vs. ASSIST, etc.)

COMPETING APPLICATIONS

1. What application form do I use for my NIH application?
   a.) Single-project applications → SF 424 (R&R)
   b.) Multi-project applications → From PHS 398 to ASSIST


<table>
<thead>
<tr>
<th>Due Date on or after 9/25/13</th>
<th>P01, P20, P2C, P50, U19, U2C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Due Date on or after 1/25/14</td>
<td>G12, P30, P40, P41, P42, P51, P60, R28, S06, U10, U41, U42, U45, U56, UC7</td>
</tr>
<tr>
<td>Due Date on or after 5/25/14</td>
<td>U54, UM1</td>
</tr>
</tbody>
</table>

NOTE: R24 and U24 are transitioning to single-project Grants.gov downloadable forms model.

2. What can I submit S2S?
   a.) ALL modular single-project applications
   b.) Detailed single-project applications with NO outgoing subcontracts, excluding Training grants and Individual Fellowships

   a.) Hard Copy Applications
   b.) Electronic Applications
Updated “What to Submit to OSRS Grant Team” and Mechanisms (398 vs. 424 vs. ASSIST, etc.) (cont.)

NON-COMPETING APPLICATIONS

1. What application form do I use for my NIH application?
   a.) Awards subject to SNAP and Individual Fellowship awards → RPPR
   b.) Others… → Paper PHS 2590
Grants.gov Application Packages Using Adobe

- DO NOT USE ANYTHING other than Adobe Reader to complete the application.
- ANYTHING other than Adobe Reader will most likely cause a rejection.
- Each Grants.Gov Application Package is like a mini, standalone, software application that contains many custom coded routines, handle attachments, forward population, validation, etc.
- If anything other than Adobe Reader is used Grants.gov cannot support it if rejections occur.
- Adobe Reader is still FREE.
- You may use products other than Adobe to generate the PDF ATTACHMENTS that get attached to the Adobe Application Package.
Grants.gov Application Packages Using Adobe

- Per Grants.gov at [http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html](http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html) some available PDF generators are:
  - PDFcreator – [http://docupub.com](http://docupub.com)
  - Zeon Corp. – [http://www.pdfwizard.com](http://www.pdfwizard.com)
Grad and Undergrad eRA NOT-OD-13-097

- Over the next year the NIH will start requiring an eRA Commons ID for all individuals in graduate and undergraduate student roles who participate in NIH-funded projects for at least one person month or more.

- That information will appear on NIH progress reports, including those submitted on paper using the DHHS Public Health Service Grant Continuation Progress Report (PHS2590, rev. 8/2012), and electronically using the Research Performance Progress Report RPPR, rev. 08/2012).

- The NIH PHS 2590 and RPPR forms will be modified to prompt for this information beginning on October 18, 2013.

- Beginning on October 18, 2013 a warning will be generated when an RPPR is submitted that lists individuals in a graduate or undergraduate student role who have not established an eRA Commons ID.
Grad and Undergrad eRA NOT-OD-13-097

- Also beginning on that October 18, 2013, graduate students and postdocs who complete their eRA Commons Profile will be required to answer certain demographic questions related to their date of birth, gender, race, ethnicity, disabilities, US citizenship status and country of citizenship; and where applicable, they will need to indicate their highest educational degree and the institution where it was earned, in order to complete the data collection.

- Then beginning in October 2014, RPPRs lacking the eRA Commons ID for Graduate and Undergraduate Students will receive an error and the RPPR will not be accepted by the NIH without this information.

ASSIST August 2013 Webinar

http://grants.nih.gov/grants/webinar_docs/webinar_20130813.htm
RPPR Pilot

• NIH announced a pilot for all FDP institutions for early access and the option to adopt the NIH Phase II RPPR used for progress reports not issued under the Streamlined Noncompeting Award Process (i.e., non-SNAP progress reports).
• The pilot period of the RPPR for non-SNAP progress reports is for submissions due between November 1 and February 1. Institutions may opt to use the RPPR for some or all non-SNAP progress reports.
• Non-SNAP progress reports not submitted using the RPPR should continue to be submitted on paper using the PHS 2590.
• An RPPR training webinar will be provided by NIH staff for FDP institutions on Tuesday, October 22 from 1:30-3:00 EST. To register, go to https://www3.gotomeeting.com/register/351474342
• The webinar will be archived on the NIH RPPR webpage, along with additional training materials and other resources.
• After viewing the webinar OSRS may begin seeking volunteers to help pilot.
Prior Approvals Letter Matrix

Actions that require prior approval from NIH and NSF (not intended to be all-inclusive):

- Preaward costs (more than 90 days)
- Need for additional funding
- 2nd no-cost-extension
- Absence or Change of PI
- Significant effort reduction for Key Personnel*
- Change in scope

*For NSF, must advise the appropriate official at the grantee organization, who shall initiate action appropriate to the situation under the guidelines that follow.

Bank Account and Wiring Instructions Info

- **Never** register WU for a bank.com or paypal.com account.

- **Do not** register WU for a payment/money transfer site. Please contact OSRS if you receive a request to do so.

- Checks for SPA accounts should be mailed to: Sponsored Projects Accounting, Washington University, CB 1034, 700 Rosedale Ave, St. Louis, MO 63112-1408

- Only give out bank and wiring information if absolutely necessary. Usually through a formal request and should be routed through OSRS for approval.

- Some bank information can be found in an FAQ on the OSRS-Grant web site: [http://research.wustl.edu/Offices_Committees/OSRS/Documents/Wiring_Instructions.pdf](http://research.wustl.edu/Offices_Committees/OSRS/Documents/Wiring_Instructions.pdf)

- For additional information or questions please contact OSRS.
Facilities and Administrative Costs (AKA F&A, Indirect Costs, Overhead) – School of Medicine Only

Industry Rates – School of Medicine

<table>
<thead>
<tr>
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TDC = Total Direct Cost Base

- The above rates apply regardless of guidelines or award terms.
- Any deviation requires the Dean’s approval. Effective 3/9/10 as announced at May 2010 RA Forums.
Facilities and Administrative Costs (AKA F&A, Indirect Costs, Overhead) – School of Medicine Only

Default Foundation, Voluntary Health and Other Non-Profit Rates

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TDC = Total Direct Cost Base

- OSRS can accept published rates from non-profit funding sources for direct pay awards.
  - Published = via guidelines, web site or award terms and conditions.
  - An email or letter from the agency to WUSTL is not considered a policy.
- Default rates to be used if policy is unclear or absent.
- Items (e.g. equipment, subawards) should not be excluded from the base unless it is clearly required in the published policy.

(cont.)
Facilities and Administrative Costs (AKA F&A, Indirect Costs, Overhead) – School of Medicine Only

Default Foundation, Voluntary Health and Other Non-Profit Rates

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TDC = Total Direct Cost Base

(cont.)

- Off campus rate should not be used unless it is clearly required in the published policy.
- Unclear awards resulting from budgets/proposals requested with deviations from the published rates or WUSM default rates **must** be approved by the Dean prior to account profile set-up.
Questions?