WUSM RA Forum
September 2006

Grants & Contracts
G&C Updates
**FY 2006 Submission Data**

**Washington University School of Medicine**

**PROPOSAL SUBMISSIONS**

### PROPOSAL SUBMISSIONS - HISTORICAL COMPARISON

<table>
<thead>
<tr>
<th>QUARTER ENDED</th>
<th>FY96</th>
<th>FY97</th>
<th>FY98</th>
<th>FY99</th>
<th>FY00</th>
<th>FY01</th>
<th>FY02</th>
<th>FY03</th>
<th>FY04</th>
<th>FY05</th>
<th>FY06</th>
<th>% CHANGE FROM FY05</th>
</tr>
</thead>
<tbody>
<tr>
<td>September</td>
<td>372</td>
<td>356</td>
<td>321</td>
<td>360</td>
<td>311</td>
<td>352</td>
<td>318</td>
<td>396</td>
<td>537</td>
<td>539</td>
<td>524</td>
<td>-2.78%</td>
</tr>
<tr>
<td>December</td>
<td>336</td>
<td>363</td>
<td>327</td>
<td>341</td>
<td>359</td>
<td>347</td>
<td>358</td>
<td>386</td>
<td>488</td>
<td>466</td>
<td>470</td>
<td>1.08%</td>
</tr>
<tr>
<td>March</td>
<td>452</td>
<td>430</td>
<td>479</td>
<td>486</td>
<td>482</td>
<td>472</td>
<td>552</td>
<td>650</td>
<td>749</td>
<td>789</td>
<td>730</td>
<td>-7.48%</td>
</tr>
<tr>
<td>June</td>
<td>370</td>
<td>445</td>
<td>409</td>
<td>450</td>
<td>453</td>
<td>492</td>
<td>497</td>
<td>584</td>
<td>650</td>
<td>762</td>
<td>741</td>
<td>-2.76%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>1529</td>
<td>1584</td>
<td>1536</td>
<td>1637</td>
<td>1605</td>
<td>1683</td>
<td>1725</td>
<td>2015</td>
<td>2424</td>
<td>2555</td>
<td>2465</td>
<td>-3.52%</td>
</tr>
</tbody>
</table>

### FY05 / FY04 COMPARISON

<table>
<thead>
<tr>
<th>PROPOSALS PROCESSED*</th>
<th>FY06</th>
<th>FY05</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number Processed</td>
<td>% of Total</td>
</tr>
<tr>
<td>Government</td>
<td>1569</td>
<td>64%</td>
</tr>
<tr>
<td>Non-government</td>
<td>896</td>
<td>36%</td>
</tr>
<tr>
<td><strong>Total Processed</strong></td>
<td>2465</td>
<td></td>
</tr>
<tr>
<td>Processed Prior to Last 3 Days Before Deadline</td>
<td>1027</td>
<td>42%</td>
</tr>
<tr>
<td>Processed Last Day Before Deadline**</td>
<td>757</td>
<td>31%</td>
</tr>
<tr>
<td>Processed Last 3 Days Before Deadline***</td>
<td>1438</td>
<td>58%</td>
</tr>
</tbody>
</table>

* Proposals submitted to external funding agencies
** Last Day = processed the day the proposal must be submitted to the agency
*** Last 3 Days = processed within 3 days before the agency deadline date (includes Last Day numbers)

- The number of proposal submissions decreased by 3.52% in Fiscal Year 2006
FY06 Award Dollars: $472.6M
FY06 Award Count: 1,616

FY05 Award Dollars: $447.7M
FY05 Award Count: 1,496

Awards Dollars: 5% increase over FY05
Awards Count: 8% increase over FY05
Generic Federal Consortium Agreement Letter

G&C is providing a "Generic Federal Consortium Agreement Letter" that should be used to accompany the budget when WU is a sub on a Grants.gov application.

This form may also be used in lieu of a Face Page and Checklist on subs if the prime institution is not requiring a Face Page and checklist.

Generic Federal Consortium Agreement Letter
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms & Letters Tab”
Click on “Internal Forms & Letters Tab”
STATEMENT OF INTENT TO ESTABLISH A CONSORTIUM AGREEMENT

Date: 8/3/06
Washington University PI: David B. Gray, PhD
University of Missouri PI: James DeJong
Application Title: DBTAC- Great Plains ADA Center
Proposed Project Period: 10/1/06-9/30/11 $1,500,000
Are Animals Applicable to this Proposed Project? □ Yes X No
Are Humans Applicable to this Proposed Project? X Yes □ No

The appropriate programmatic and administrative personnel of each institution involved in this grant application are aware of the pertinent Federal regulations and policies and are prepared to establish written inter-organizational agreements that will ensure compliance with all such policies.

Washington University

John Michnowicz
Director, Grants & Contracts

Legal Entity Name: Washington University

Contact for negotiation and execution of consortium agreement:

Kaaren Downey
Asst. Director, Research Office
Washington University
One Brookings Drive- Box 1054
276 North Stinker Bldg., Ste. 220 (Needed for courier delivery)
St. Louis, MO 63130-4899
Phone: 314-935-8324
Fax: 314-935-5862
wucor@msnotes.wustl.edu
Supplements Need GB Docs

All Competitive Supplement applications/awards must have GB Docs, PC Forms and updated compliance information.

All NIH type-3 Notice of Grant Awards must have GB Docs, PC Forms and updated compliance information.

Why?

It is important for reporting purposes and for accounting of submissions.
Submitting to G&C

When submitting applications to G&C for review and signature, the only original that G&C needs is the signature page. G&C will accept one copy of everything else, including a copy of the Face Page.

G&C will release the original, signed Face Page back to the department.

Note: Regardless of what is submitted to G&C, it is always the department's responsibility to ensure that what is submitted to the agency is accurate and complete and that G&C gets a copy.
The PC Form is available, via Grants Budgeting and on the G&C website

Why?

People asked and we listened.

Note: In the future, it is possible that the PC Form may go back to only being available in Grants Budgeting, when S2S is rolled out.
Reminder
Make sure the PI initials the COI Disclosure Statement

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.

<table>
<thead>
<tr>
<th>Signature of Principal Investigator</th>
<th>Date</th>
</tr>
</thead>
</table>

11. APPROVALS

<table>
<thead>
<tr>
<th>Division</th>
<th>Name</th>
<th>Date</th>
<th>Other</th>
<th>Name</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Department</th>
<th>Name</th>
<th>Date</th>
<th>Dean</th>
<th>Name</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
Reminder to sign up for:

**NIH Extramural Nexus**  [http://grants1.nih.gov/grants/nexus.htm](http://grants1.nih.gov/grants/nexus.htm)


**Research News**  [http://researchnews.wustl.edu/](http://researchnews.wustl.edu/)

**Why?**

Don't wait for someone else to tell you. Get it directly from the source, firsthand!
NIH Funding Opportunities now available in RSS Format!

If you are looking for the very latest funding opportunities published in the "NIH Guide for Grants and Contracts", you can now get them in RSS format as well. Point your news aggregator to http://grants.nih.gov/grants/guide/newsfeed/fundingopps.xml and you will find the very latest RFAs, PAs and Notices to be published each week. This list is "up to the minute", so you know you will always be up to date. This RSS feed contains the same information found at http://grants.nih.gov/grants/guide/WeeklyIndex.cfm.

What is RSS?

RSS is an acronym for Really Simple Syndication and Rich Site Summary. RSS is an XML-based format for content distribution. Webmasters create an RSS file containing headlines and descriptions of specific information. Consumers then use an RSS reader to collect and monitor their favorite feeds in one centralized program or location.

For additional information, please contact OERWebmaster03@od.nih.gov.
F&A Rate Agreement

• Revised date = 6/7/06; provisional as of 7/1/10

• Previously = 7/29/05; provisional as of 7/1/08
  • Extended predetermined F&A Rate out (2) additional years

• The PHS 398 Checklist will need to reflect the new dates.

• A sample Checklist can be found on the G&C website.
### FACILITIES AND ADMINISTRATIVE COSTS (F&A) INDIRECT COSTS

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>DHHS Agreement dated:</td>
<td>06/07/06; provisional as of 07/01/10</td>
<td>No Facilities And Administrative Costs Requested.</td>
</tr>
<tr>
<td>DHHS Agreement being negotiated with</td>
<td></td>
<td>Regional Office.</td>
</tr>
<tr>
<td>No DHHS Agreement, but rate established with</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**CALCULATION** *(The entire grant application, including the Checklist, will be reproduced and provided to peer reviewers as confidential information.)*

<table>
<thead>
<tr>
<th></th>
<th>Amount of base</th>
<th>Rate applied</th>
<th>F&amp;A costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Initial budget period:</td>
<td>$175,000</td>
<td>53/52.5*</td>
<td>$92,313</td>
</tr>
<tr>
<td>b. 02 year</td>
<td>$150,000</td>
<td>52.5/52*</td>
<td>$78,375</td>
</tr>
<tr>
<td>c. 03 year</td>
<td>$150,000</td>
<td>52%</td>
<td>$78,000</td>
</tr>
<tr>
<td>d. 04 year</td>
<td>$175,000</td>
<td>52%</td>
<td>$91,000</td>
</tr>
<tr>
<td>e. 05 year</td>
<td>$175,000</td>
<td>52%</td>
<td>$91,000</td>
</tr>
</tbody>
</table>

**TOTAL F&A Costs:** $430,688

*Check appropriate box(es):*  
- Salary and wages base  
- Modified total direct cost base  
- Off-site, other special rate, or more than one rate involved *(Explain)*  
- Other base *(Explain)*

**Explanation (Attach separate sheet, if necessary):**  
*Year 1: $87,500 @ 53% = $46,375 and $87,500 @ 52.5% = $45,938*  
*Year 2: $75,000 @ 52.5% = $39,375 and $75,000 @ 52% = $39,000*
Important NIH Notice

Revision: Notice of New NIH Policy for Funding of Tuition, Fees and Health Insurance on Ruth L. Kirschstein National Research Service Awards
August 18, 2006 - Notice OD-06-093

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!
Important NIH Notice

NIH Policy on Late Submissions of Grant Applications

August 11, 2006 - Notice OD-06-086

For more information go to;

Dropping Things off at Grants & Contracts

Department personnel should leave items in one of the bins inside the door to suite 114 (labeled “Grants (incoming)” and “Incoming Mail”).

G&C staff will retrieve items, date stamp them and place them in the appropriate person’s box.

This will allow the most efficient handling of your documents.

Putting items in G&C staff member's inboxes, may cause items to be misplaced or be un-date stamped which may cause a delay in processing.
Reminder

Please notify G&C as soon as you are informed of PI's applying for grants in response to an RFA, RFP, or PA.

Why?

RFAs, RFPs, or PAs can be complicated and require a great deal of review by all parties involved in the application process, including G&C.
NIH First Time No Cost Extension
Via eRA Commons

To find this form
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms and Letters Tab”
Click on “External Forms & Letters”
Click on “No Cost Extension Letter Templates”
NIH First Time No Cost Extension

Complete the requested information and email to your Award Analyst for processing.

Date:

Under expanded authorities, this is to advise that Washington University is extending subject award through in order to ensure adequate completion of the originally approved research project.

Grant Number: W.U. Fund Number:

PI Name: (Last, First, MI)

Original End Date:

GMS Name: (Grants Management Specialist) GMS Email:

PO Name: (Program Officer) PO Email:
Sample No Cost Extension Request Letter

To find this form
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms and Letters Tab”
Click on “External Forms & Letters”
Click on “No Cost Extension Letter Templates”
Sample 2nd No Cost Extension Letter
(Use only for second no cost extension for NIH grants)
(Must be typed on Washington University Letterhead)

Date

Name and Address of the Grants Management Specialist
Official found on the Notice of Grant Award

Re: No Cost Extension of Grant (fill in grant number including current year)

Dear (fill in name of Grants Management Specialist):

We would like to request an additional (fill in number of months up to twelve) no cost extension for Dr. (fill in PI’s name). If approved, the new ending date will be (fill in the new date).

Currently our unobligated balance is (insert unobligated balance breaking out the DC & F&A).

(Provide a detailed paragraph on why the 2nd extension is needed. Examples: (1) Needed to finish up any of the specific aim(s) as indicated in the research plan; (2) Delay due to the inability to hire a technical assistant; (3) Unable to complete the project because waiting for a piece of equipment or (4) Renewal pending Note: Renewal pending if used should be used in conjunction with #1, 2 and/or 3 listed above. Renewal pending should not be the sole justification used to support a 2nd NCE.

Should you have any questions, please do not hesitate to call me at (fill in PI phone number or department administrator phone number).

Sincerely,

John Michnowicz
Director
Grants and Contracts

Dr. (fill in PI’s name and title for signature)

Dr. (fill in Department Chairman’s name and title for signature)

Procedures for Processing a No Cost Extension Letter

1. Submit the original and one copy of the letter signed by the PI and department head to G&C.
2. G&C will review, approve and obtain institutional signature then call department for pick-up.
3. NIH must receive the no cost extension letter no later than 10 working days before the end of the project period. Please allow sufficient time (3 days) for internal processing and mailing.
Sample 1st No Cost Extension Letter for Non-NIH

To find this form
Go to "http://grantsandcontracts.wustl.edu"
Click on “Forms and Letters Tab”
Click on “External Forms & Letters”
Click on “No Cost Extension Letter Templates”
Sample No Cost Extension Letter
(Use for Non-Federal grants)
(Must be typed on Washington University Letterhead)

Date

Name and Address of the Agency
Grant Administrator (if known)

Re: No Cost Extension of Grant (fill in grant number including current year)

Dear (fill in name of Grant Administrator):

We would like to request a (fill in number of months, can be up to twelve) no cost extension for Dr. (fill in PI’s name). If approved, the new ending date is (fill in the new date).

(Provide a detailed paragraph on why the no cost extension is required. Examples:
1. Renewal pending 2) There is a delay because unable to hire a technical assistant 3) Unable to complete the project because waiting for a piece of equipment.)

Should you have any questions, please do not hesitate to contact me at (fill in PI’s phone number or department administrator’s phone number).

Sincerely,

Dr. (fill in PI’s name and title for signature)  

John Michnowicz  
Director  
Grants and Contracts

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Procedures for Processing a No Cost Extension Letter

1. Submit the original and one copy of the letter signed by the PI and department head to G&C.
2. G&C will review, approve and obtain institutional signature then call department for pick-up.
3. Most agencies must receive the no cost extension letter no later than 30 working days before the end of the project period. Please allow sufficient time (3 days) for internal processing and mailing.
G&C Website
Updated Items
Generic Federal Consortium Agreement Letter
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms & Letters Tab”
Click on “Internal Forms & Letters Tab”

Revised PC Form
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms & Letters Tab”
Click on “Internal Forms & Letters Tab”

NIH Sample Checklist with Multiple F&A Rates
(Using the new DHHS Rate)
Go to “http://grantsandcontracts.wustl.edu”
Click on “Application Process Tab”
What to Submit to G&C Hardcopy Application
(PI Certification Removed)
Go to “http://grantsandcontracts.wustl.edu”
Click on “Application Process Tab”

What to Submit to G&C When it is a NIH PureEdge or S2S Application
(Removed PI Certification Form and Added Need of Generic Federal Consortium
Agreement Letter for each Subcontract)
Go to “http://grantsandcontracts.wustl.edu”
Click on “Application Process Tab”

Just In Time Procedure
via eRA Commons
Go to “http://grantsandcontracts.wustl.edu”
Click on “Application Process Tab”
The Updated F&A Rate Agreement

Go to “http://grantsandcontracts.wustl.edu”

Click on “FAQ”

Click on “Washington University Related FAQ’s”
Click on “Facilities & Administrative rates”

IRB Instructions

Go to “http://grantsandcontracts.wustl.edu”

Click on “Forms & Letters”
Click on “External Forms & Letters”
Click on “Human Approval: Federal: NIH Form OMB 0990-0263 and Instructions”
To View This Site:
Go to “http://grantsandcontracts.wustl.edu”
Click on “Application Process Tab”
To View This Site:
Go to “http://grantsandcontracts.wustl.edu”
Click on “Application Process Tab”
To View This Site:
Go to “http://grantsandcontracts.wustl.edu”
Click on “Library Tab”
To View This Site:
Go to "http://grantsandcontracts.wustl.edu"
Click on “Compliance Tab”
To View This Site:
Go to “http://grantsandcontracts.wustl.edu”
Click on “Statistics Tab”
Questions
eSubmission Update