RESEARCH ADMINISTRATION UPDATES AND ITEMS OF INTEREST

NOVEMBER 2014

OFFICE OF THE VICE PRESIDENT FOR RESEARCH / OFFICE OF SPONSORED PROJECTS

This newsletter is produced by the Office of Sponsored Projects to provide agency updates, sponsor policy and procedural information, guidance and training in all aspects of sponsored project administration for Researchers and Research Administrators. Please visit http://www.brown.edu/research/newsletters for archives. To subscribe, Faculty/Investigators can go to https://listserv.brown.edu/archives/cgi-bin/wa?SUBED1=OSPNEWSLETTER&A=1

INSIDE THIS ISSUE

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OSP / OVPR UPDATES

➢ *REMINDER* Winter Break Proposal Submission Deadlines

OSP/BMRA will process proposals due in **December and January** according to the University's five-day proposal submission policy with the following exceptions:

- Proposals with **deadlines that fall between December 23rd and January 2nd**, the due date to OSP/BMRA is 5pm on Tuesday, December 16th.
- For proposals **due on January 7th**, all non-science sections are due by Friday, December 19th with final technical/science sections due by 12pm on Monday, January 5th.

It would be greatly appreciated if you would give advance notice to OSP/BMRA if you anticipate responding to deadlines that fall between December 23rd and January 7th. Thank you in advance for your assistance.

➢ Research Development & Grant Writing News and Grant Workshops

November Issue

The November issue is now available online. (Brown users must sign-in to access this subscription.) This newsletter offers strategies on how to compete successfully for research funding and highlights new funding opportunities.

➢ The Bill & Melinda Gates Foundation Grand Challenges

The Bill & Melinda Gates Foundation and its Grand Challenges partners are now accepting applications for the following grant programs:

- Putting Women and Girls at the Center of Development: This challenge focuses on how to effectively reach and empower the most vulnerable women and girls to improve health and development outcomes as well as gender equality.
- Creating and Measuring Integrated Solutions for Healthy Birth, Growth, and Development: The goal of this challenge is to determine what packages of interventions should be delivered to which group of individuals at what point in their life cycle to reduce the burden of fetal growth impairment and preterm birth, stunted postnatal growth, and impaired cognitive development.
- New Interventions for Global Health: This challenge focuses on innovative concepts for vaccines, therapeutics, and diagnostics with the potential to be translated into safe, effective, affordable, and widely utilized interventions to protect against the acquisition progression, or transmission of infectious diseases, or to provide a cure for infectious diseases, in resource-limited settings.

Proposals will be accepted until January 13, 2015. For more information on Grand Challenges visit http://grandchallenges.org/.

➢ Brown University Library: Broadening the Impact of Your Research Through Your Data Management and Sharing Plan

An increasing number of private and publicly funded research sponsors require a data management plan (DMP) and/or sharing plan with submissions of proposals for funding. The Center for Digital Scholarship (CDS) at Brown University Library works with graduate students and faculty to write DMPs that meet the standards set by their research sponsors' data access and sharing policies. The National Science Foundation (NSF), which was the first major federal funder to require a DMP, explains that DMPs are to be "reviewed as an integral part of the proposal, coming under Intellectual Merit or Broader Impacts or both, as appropriate for the scientific community of relevance."

The NSF proposal's data management plan can connect with its Broader Impacts in several ways. Researchers detail in their NSF DMPs when and how they will make their data available for other researchers and/or the public, how they will archive and preserve access to their data after the project ends, and they outline the dissemination strategy for their projects' research products, which can include citing and sharing the projects' data, metadata, and code in their publications and presentations and depositing these items into a data-sharing repository. Making data, metadata, and code, along with the resulting publications, accessible maximizes the potential for replication and reproduction of research results, and therefore they further the impact of the project by making it possible for their data to be discovered, used, repurposed, and cited to aid in new research and discoveries.

Click here to read more about how Brown University Library can help researchers with several factors related to the dissemination and broader impacts of their research data.

FEDERAL UPDATES

➢ COFAR's FAQs on OMB Uniform Guidance

The Chief Financial Officers Council (COFAR) has released a second set of Frequently Asked Questions (FAQs) on the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). The document consists of over two hundred questions and comments received from grantors, grantees, and grant management personnel. The FAQs document is only intended to provide additional context and background for the guidance as Federal and non-Federal entities seek to understand the policy changes. Topics covered by the document include:

- Vendor vs. Contractor Clarification
- Cost Accounting Standards (CAS) and the Uniform Guidance
- Conflict of Interest
- Fixed Amount Awards, Cost-share or Match
- Dual Role of Students and Post-Doctoral Staff
- Pre-Award Costs, etc.

Click here to view the entire document. If you have additional questions or comments you can send them to cofar@omb.eop.gov.

➢ COFAR's Webcast on the Uniform Guidance Implementation

The Chief Financial Officers Council (COFAR) held a Uniform Guidance Implementation webcast on October 2, 2014. Topics covered by the webcast included:

- Session 1: Internal Controls
- Session 2: Procurement Standards
- Session 3: Single Audit Reporting
- Session 4: Administrative Flexibilities and Performance
- Session 5: Indirect Cost Rates for Subrecipients

The link to the recorded COFAR webcast can be found at cfo.gov/COFAR or by clicking here.

AGENCY UPDATES

AHRQ UPDATE

➢ Agency for Healthcare Research Quality (AHRQ) Implements the RPPR and Uniform Report Due Dates

NOT-HS-15-001

AHRQ RPPR Implementation:

Effective January 1, 2015, AHRQ will require all grantees, exclusive of multi-year funded (MYF) awards (awards in which the budget and project periods are the same and are longer than 12 months), to use the RPPR and will no longer accept paper PHS 2590 annual progress reports. Recipients of MYF awards should continue to submit paper PHS 2590 progress reports in accord with the terms of the award, until instructed otherwise. AHRQ use of the RPPR format will not differ significantly from NIH's, and AHRQ grantees are encouraged to utilize resources posted on the NIH RPPR webpage.

AHRQ Progress Report Due Dates:

AHRQ is standardizing all progress report due dates. Effective for progress reports due in FY 2015 (i.e. due between 10/1/14 - 9/30/15) and beyond, all progress reports, including those for MYF grants, are due **3 months before the anniversary of the award**. Historically, progress reports for AHRQ research and career development awards were due either two or four months prior to the budget start date, and progress reports for training grants were due three months prior to the budget start date.

DOE UPDATE

➢ Data Management Plan Requirement

Department of Energy requires a Data Management Plan (DMP) for all Office of Science funding opportunities issued after Oct 1, 2014. The Data Management Plan must address the following requirements:

- Describe whether and how data generated in the course of the proposed research will be shared and preserved
- Provide a plan for making all research data displayed in publications resulting from the proposed research open, machine-readable, and digitally accessible to the public at the time of publication.
- Consult and reference available information about data management resources to be used in the course of the proposed research.
- Must protect confidentiality, personal privacy, Personally Identifiable Information, and U.S. national, homeland, and economic security.

For more information on the requirements, please visit: http://science.energy.gov/funding-opportunities/digital-data-management/

HHS UPDATE	➤ **New Closeout Procedures & Policies for HHS Awards** HHS guidance on closeout of grant awards has prompted changes to improve communications, efficiency and policy compliance throughout the closeout process. New features include: • The ability to identify grants that will be closing soon. A new 'quick query' on the eRA Commons home screen will allow grantees to view grants approaching the project end date. This feature will not require Commons login. • The ability for grantees to submit any additional information sought by NIH through a feature called "Final Report Additional Material" (FRAM). Mirroring the functionality of Progress Report Additional Materials (PRAM) requests, grantees can upload FRAM data multiple times for multiple FRAM requests, but one upload per request. • Expanded notification to grantees throughout the closeout process. Previously, one notice was sent to the grantee after the project end date, reminding them of the reporting requirement, followed by a second notice identifying any overdue final reports. These messages have been revised to emphasize the criticality of completing the closeout process; and a third notice will be added to address any remaining overdue or unacceptable report submissions. For more information, you can watch the eRA Commons tutorial video: Grants Closeout in eRA Commons. **NOTE:** Final progress reports are submitted electronically to HHS via eRA Commons. Evidence of submission of final progress reports must be sent to the Post Award Accountant (e.g. confirmation email from eCommons).
NIH UPDATES	➤ **NIH Operates Under Continuing Resolution** NOT-OD-15-001 The Department of Health and Human Services, including NIH, operates under the Continuing Appropriations Act. This Act continues government operations through December 11, 2014 at 99.9 percent of the FY 2014 enacted level. With that said NIH will issue non-competing research grant awards at a level below that indicated on the most recent Notice of Award *(generally up to 90% of the previously committed level)*. Upward adjustments to awarded levels will be considered after FY 2015 appropriations are enacted, but NIH expects institutions to monitor their expenditures carefully during this period. ➤ **Clarification of 4-Year Limit of Postdoctoral Research Eligibility for K-99 Applicants (PA-14-042)** NOT-OD-15-013 Applicants for PA-14-042 *"NIH Pathway to Independence Award (Parent K99/R00)"* must have no more than 4 years of postdoctoral research experience at the time of the initial or the subsequent resubmission or revision application, and must be in mentored, postdoctoral training positions to be eligible to apply to the K99/R00 program. If an applicant achieves independence (i.e., any faculty or non-mentored research position) before a K99 award is made, neither the K99 award, nor the R00 award, will be issued. **Exceptions to the 4-year eligibility limit:** • Parental leave or other well-justified leave for pressing personal or family situations of less than 12 months duration is not included in the 4-year limit. • Time spent conducting postgraduate clinical training that does not involve research is not considered part of the 4-year eligibility limit. Potential candidates are encouraged to discuss their individual situation with an NIH Institute or Center Scientific Program Contact before applying.

NSF UPDATES	➢ **NSF Invites Proposals for Ebola-Related Fundamental Research** Press Release 14-139 Due to the emergence of the Ebola virus in the US, the National Science Foundation (NSF) is accepting proposals to conduct non-medical, non-clinical care research that can be used immediately to better understand how to model and understand the spread of Ebola, educate about prophylactic behaviors, and encourage the development of products, processes, and learning that can address this global challenge. Researchers are encouraged to submit proposals using the Rapid Response Research (RAPID) funding mechanism. Details on submitting a RAPID proposal can be found at: http://www.nsf.gov/pubs/policydocs/pappguide/nsf14001/gpg_2.jsp#IID1 ➢ **Merit Review Process** NSF receives about 50,000 research proposals every year, but it's able to support only a fraction of the proposed research with its limited resources. The foundation has developed a video which explains how NSF determines which research has the greatest potential and would be the most fruitful investment for taxpayer dollars. The video can be found at http://www.nsf.gov/news/mmg/mmg_disp.jsp?med_id=76467. ➢ **NSF FY 15 Budget Request to Congress** NSF's FY 2015 Budget Request is $7.255 billion, an increase of $83.08 million (1.2 percent) over the FY 2014 Estimate. http://www.nsf.gov/about/budget/fy2015/pdf/01_fy2015.pdf NSF by the Numbers |	|\n|---|---|\n| $7.3 billion	FY 2015 Budget Request |\n| $552 million	Additional funding provided through the Opportunity, Growth, and Security Initiative |\n| 1,922	Colleges, universities, and other institutions receiving NSF funding |\n| 49,000	Proposals evaluated through a competitive merit review process |\n| 10,800	Competitive awards funded |\n| 233,000	Proposal reviews conducted |\n| 299,000	Estimated number of people NSF supported directly (researchers, postdoctoral fellows, trainees, teachers, and students) |\n| 47,800	Students supported by NSF Graduate Research Fellowships since 1952 | Figures other than Budget Request represent FY 2013 actuals. ➢ **Presentation from NSF Grants Conference** The NSF Fall 2014 Grants Conference hosted by George Washington University was held October 6-7, 2014. The two-day conference provided insight and updates on a wide range of NSF related policies, procedures and administrative issues. Highlights included: • NSF Merit Review Process • Award Management • NSF Policy Update • Crosscutting and Special Interest Programs For a full list of presentations and updates from the Fall 2014 NSF Grants Conference, visit NSF's Outreach Activities webpage.
USAID UPDATE	➢ **Fighting Ebola: A Grand Challenge for Development** In response to the Ebola epidemic, the U.S. Agency for International Development (USAID) has launched *"Fighting Ebola: A Grand Challenge for Development"* to develop practical and cost-effective innovations to improve infection treatment and control that can be rapidly deployed. The major goals of the challenge are: • To engage the global community to identify ingenious ideas that deliver practical and cost-effective

innovations in a matter of months, not years.

- To forge public and private partnerships necessary to test and scale these innovations.
- To provide critical funding to get some of the most promising ideas into the field quickly.

Submissions for the second round of reviews are due **December 1, 2014**, submissions received after December 1, 2014, will be reviewed in subsequent rounds. For challenge guidelines and submission details visit http://www.usaid.gov/grandchallenges/ebola.

Agency Tip

eRA Commons Quick Queries

Quick Queries are a series of search tools designed to help find important information concerning NIH awarded grants without the need for having an eRA Commons account. There are four query options available on the eRA Commons Quick Queries page:

- Commons Registered Organizations
- Progress Report Search by Institutional Profile File (IPF) Number
- IPF Number Search
- Issued Notice of Grant Award

In late November, these queries will be moving from their current page to the eRA Commons system. You will be able to access the queries from the eRA Commons homepage, by clicking on the Commons Quick Queries link located in the Additional Links section.

Note: This move will result in a change in the URLs for each tool. If you have any of the tools bookmarked, you will need to bookmark the new URLs.

COEUS UPDATES & REMINDERS

COEUS Tips of the Month

➤ **Using Correct R&R Subaward Budget Form in Your Coeus S2S Proposal**

Given the various versions of R&R Subaward and R&R Budget forms available, we have developed the table below to help you determine on which R&R Budget Form to enter the Subaward Budget Details in order for Coeus to translate the Subaward Budget information correctly. Follow the usual steps to connect to Grants.gov in Coeus and in the Forms Tab of the Grants.gov Submission Details Window, include the checkbox for the RR Subaward Budget and **make note of that specific attachment form name** (e.g. RR Subaward Budget 30 V1.3). Then use the table below to determine which R&R Budget Form version the Subawardee (or you) must use to enter the Subaward Budget Details:

If your S2S Application includes one to these Grants.gov Subaward Budget Attachment Forms…	…use the following R&R Budget Form to enter the Subaward Budget information:
RR SubAward Budget 30 V1.3	*RR Budget V1-3*
RR SubAward Budget V1.2 RR SubAward Budget 30 V1.2	*RR Budget V1-1*
RR Subaward Budget 10 10 V1.3 RR Subaward Budget 10 30 V1.3	*RR Budget V1-3*
RR Subaward Budget 10 10 V1.2 RR Subaward Budget 10 30 V1.2	*RR Budget10 V1-1*
RR FedNonFedSubawardBudget V1.2 RR FedNonFedSubawardBudget 30 V1.2	*RR FedNonFedBudget V1.1*
RR FedNonFedSubawardBudget 10 10 V1.2 RR FedNonFedSubawardBudget 10 30 V1.2	*RR FedNonFedBudget10 V1.1*

Note: It is always best practice to extract the required form directly from the Grants.gov Adobe Forms Package for the FOA that you are applying to!

➤ **Grants.gov Subaward Budget Form Tips**

Below are some items to keep in mind while preparing and/or reviewing Subaward budgets:

- ALL Subaward budget forms must be completed in FULL
- ALL the mandatory and other applicable fields must be filled out (mandatory fields appear in yellow and are marked with an asterisk)
- Start and End Dates of the Subaward budget periods MUST match the Start and End Dates of the main Proposal
- Effort (Cal. Months or Acad. and/or Sum. Months) must be entered for all Senior/Key Personnel listed in Section A of the Budget for NIH Proposals [entry of "0" in all three fields is NOT valid and will cause a submission error]
- File Name for the Subaward budget form cannot contain any spaces or special characters
- File name for the Budget Justification **must follow designated naming convention and be a distinct file name that is not used anywhere else in the whole proposal application**

POST-AWARD / WORKDAY UPDATES

➢ Payroll Accounting Adjustments (PAA)

- **FY15 SPONSORED PAYROLL ACCOUNTING ADJUSTMENTS:**
  Cost Center Managers and Grant Managers may request a PAA (formerly salary reallocations) by using the Salary Reallocation Request Form.
  - o Information on PAA requirements and details on validating processed requests may be viewed here.
  - o July PAAs must be completed by November 30 – waive lateness questions until December 1.
  - o August and forward PAAs must be completed within 90 days or lateness question must be addressed.
  - o Cost Center Managers and Grant Managers will receive Workday notifications when the PAAs have been processed.
  - o Cost Center Managers should contact their Post Award Accountant with questions about PAA requests using sponsored funds.

- **FY14 SPONSORED PAYROLL ACCOUNTING ADJUSTMENTS:**
  Cost Center Managers or Grant Managers with adjustments using sponsored funds should contact their Post Award Accountant.

- **DOCUMENTATION REQUIRED BY OSP:**
  The Cost Transfer Explanation and Justification Form should be emailed to your Post Award Accountant for each PAA. The subject line should be "PAYADJ: Employee name". If PAA affects an issued Time and Effort Report, a revised Time and Effort Report must be submitted.

- **PAA VALIDATIONS:**
  PAAs can be validated in the Payroll Actuals report in the pay period for which the adjustment was processed.
  - o July's adjustments will appear in July's Payroll Actuals report with a negative amount displaying for the associated transaction.

- **NON-SPONSORED PAYROLL ACCOUNTING ADJUSTMENTS:**
  - o Questions regarding adjustments using non-sponsored funds should be submitted via Remedy request using the *Salary Reallocation* category.

REPORTING UPDATE

➤ OSP Electronically Delivered Reports

OSP has created the following reports that are electronically sent monthly or quarterly to assist departments with their grant portfolios, view sponsored project activity, and ensure correct data on Grants.gov submissions.

Report Name	Description	Why this can be helpful	When it is distributed
Monthly Proposal Status Updates	This report includes a listing of Institute Proposal records where the status was updated in the month prior to the report run date.	➤ Identifies proposals that have been funded in the previous month ➤ Identifies proposals that are older than 2 years and the system changed the status to – "Not-Funded"	The 5th of every month
Quarterly Award & Proposal Activity By Investigator for 3 years	This report includes detailed Award and Proposal Activity by Investigator for quarter run of current year and 2 prior years. Activity is based on the Investigator's home department.	➤ Provides a detailed list of Award and Proposal data for a department. ➤ Includes PI activity that happens outside of the home department.	The 9th of each quarter • Jan 9th • April 9th • July 9th • Oct 9th
Quarterly Investigator Information Report (Email, Degree, Commons ID)	The report is a listing of Investigators in your department and includes their email address, Degree and Degree year, and Agency Credentials stored that are stored in Coeus.	➤ Enables you to confirm the degree data / agency credentials that is stored in Coeus for Investigators ➤ Identify Investigators that have missing degree and/or Agency Credentials.	The 5th day of the quarter • Jan 5th • April 5th • July 5th • Oct 5th
Status of Expired Awards Report	This report is a listing of department's awards that have expired. The status and related comments, where applicable, identify the action(s) that need to be taken to complete the closeout of the award.	➤ This is designed to help you understand what remains outstanding on awards in "closeout" status in order for the awards to be closed in Coeus.	The 1st day of the month

TRAINING & CONFERENCES

OSP TRAINING SPOTLIGHT	ABOUT OSP TRAINING

UPCOMING OSP TRAININGS

PRE-AWARD:

NIH-Career Development Awards (CDA) ("K" Awards)
December 4, 2014

This workshop will define and review the various NIH K Award Application requirements as well as provide tips and experience entering the proposals in Coeus. Participants will become familiar with the key components of a Career Development application and with Coeus K-Award specific requirements.

POST-AWARD:

Effort Reporting
December 3, 2014

This workshop will discuss the effort reporting process, the importance of effort reporting within parameters of federal regulations and University policy, effort reporting best practices, and the future of effort reporting at Brown. Additional effort reporting topics that will be discussed include: Cost Sharing, Summer Salaries, Payroll Accounting Adjustments, Committed Effort, and NIH Salary Cap. Bring your questions for group discussion.

Cost Transfers
December 5, 2014

This workshop will provide an in-depth review of the University's Cost Transfer Policy and related procedures for processing cost transfers. Specific attention will be paid to federal regulations pertaining to cost transfers, the cost transfer form and other appropriate supporting documentations and best practices.

To register for classes, please navigate to
Brown Learning Point Page
and log in using your Brown User Name and Password. The training classes can be found by clicking on the "Sponsored Research Related Training" from your homepage.

The Office of Sponsored Projects is pleased to offer numerous training opportunities for faculty and staff. Topics Include:

- **Coeus Training**
  - *Learn how to use the University's sponsored projects management system.*
- **Pre-Award Training**
  - *Learn best practices in Pre-Award management. Sessions range from preparation of proposals and budgets to subawards.*
- **Post-Award Training**
  - *Learn best practices in Post-Award management. Sessions ranging from travel on sponsored projects to allocation of costs.*

Sponsored Projects Training Sessions are listed on LearningPoint, Brown's Professional Development System.
♦To register for classes, please navigate to www.brown.edu/learningpoint and log in using your Brown User Name and Password.
♦The training classes can be found by clicking on the "*Sponsored Research Related Training*" from your homepage.

CONFERENCES & NCURA EDUCATIONAL PROGRAMS

Interested in online research administration training? **NCURA** offers 4 multi-week online tutorials that you can register for throughout the year:

- Intellectual Property in Research Agreements Tutorial
- Clinical Trials Tutorial
- Federal Contracting Tutorial
- Subawards Tutorial

What: **Naval Future Force Science and Technology EXPO**
When: Feb. 4-5, 2015 | Register online
Where: Walter E. Washington Convention Center in Washington, D.C.
The Naval Future Force Science & Technology (S&T) EXPO is the Office of Naval Research's premiere event of 2015.