RESEARCH ADMINISTRATION NEWSLETTER

http://www.brown.edu/research/research-administration-newsletters

The monthly newsletter provides timely information on agency updates; sponsor and University policy and procedural information; and guidance in all aspects of sponsored project administration for Researchers and Research Administrators. Content for the newsletter is contributed from the offices under the Vice President for Research:

- Office of Research Administration Information Systems (RAIS)
- Office of Research Development
- Office of Research Integrity (ORI)
- Office of Sponsored Projects (OSP)

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Research Administration Updates

Office of Sponsored Projects

➢ Revised Process for University's Five Day Submission Rule

The Vice President for Research is no longer reviewing proposal submission waiver requests. In those exceptional circumstances where a Principal Investigator (PI) needs more time to complete a proposal, a waiver to the University's five day policy can be requested by the PI:

- University faculty email Patrice Carroll, Director of Office of Sponsored Projects, at Patrice_Carroll@brown.edu
- BioMed faculty submits the Biomed Deadline Exception Request Form to Dean Ed Hawrot.

Please include the Sponsor's deadline and a date by which all components will be finished. In fairness to all PIs, proposals completed on time will be given first priority. Please note that late submissions may reduce or eliminate the time needed to correct any transmission errors.

➢ Most Common Proposal Application Errors

OSP / BMRA are often asked what types of corrections are made during the "five days" prior to submission of a proposal. The most common errors are outlined below. Please use the list as a guide to your proposal review **prior** to routing to OSP / BMRA for submission to the sponsor.

- Role of all persons listed in the budget not described in the budget justification and/or effort shown incorrect or not expressed in person months
- Budget justification does not accurately explain amounts budgeted
- Budget justification does not reflect correct fringe benefit or F&A rates
- The budget justification must justify inclusion of administrative costs
- Signed Letter of Intent (LOI), budget, budget justification and work scope from subrecipient needed when proposal includes subawards
- COEUS record is incomplete and/or inaccurate (missing PI effort, key words & other info)
- Yes/No questions incorrectly completed

- Yes/No questions indicate proprietary information included in proposal but sections of proposals including proprietary information not marked as such
- References cited does not include full citation (et al used or dates missing)
- Cost sharing included without approval and/or when not allowed by sponsor
- Required components not included (e.g., signed Coeus certification, department chair letter for CAREER awards)
- Sponsor page limitations exceeded or does not address all sections required by sponsoring agency (example: Biosketches or Research Plan)
- Attachments not in PDF format / Incorrect file name (Special characters, spaces, etc.)/Incorrect paper size

If you have further questions about the review process, please contact your Contract Administrator – OSP Contacts by Department.

➢ Research Administration Offices Tour Professor Tellex's Humans to Robots Laboratory

OSP and RAIS enjoyed a tour of Professor Stephanie Tellex's Humans to Robots Laboratory in late October. Staff members interacted with Baxter the Robot and learned about applying for grants from the Principal Investigator's perspective. This is enormously helpful to our increased comprehension of faculty efforts toward establishing and maintaining a thriving research program. We are very interested in observing and learning about the ongoing research activities around campus, even if you don't have a Robot! If you would like to sponsor a tour or present a summary of your sponsored activity, please let us know by contacting OSP Administrative Coordinator, Daniel_Mueller@brown.edu or 3-2777. We look forward to hearing from you.

Office of Research Integrity

➢ Office of Research Integrity Staffing Updates

The Office of Research Integrity (ORI) is excited to announce the addition of two new team members. Vittoria Capria, MS, recently joined the Animal Research Protection Program (ARPP) as an IACUC Coordinator. Vittoria can be reached at 3-2356 or vittoria_capria@brown.edu. On November 2nd, we will officially welcome Jules Blyth, MSc, MA, to ORI as the new Associate Director of Research Operations. Jules will have oversight of financial conflicts of interest, research ethics education and policy, and Brown's export control compliance program. Until Jules comes on board, please direct any inquiries related to these compliance areas to Keri Godin at 3-1803 or keri_godin@brown.edu.

➢ HRPP Office Hours on the Road!

You may know that the Human Research Protection Program (HRPP) holds open hours at 2 Stimson Ave. every Tuesday (12:00-1:00) and Friday (2:00 – 3:00), but did you know that we're also happy to take our show on the road? If you think faculty, staff and students could benefit from a brief one-on-one meeting with HRPP staff, but they find it difficult to make it to our office, give us a call and we'd be happy to schedule open hours in your department at a time and place most convenient for your investigators.

Office of Research Development

➢ 2016 Internal Funding Opportunities

A synopsis of OVPR's open internal funding opportunities is below. Details and application guidelines may be found on OVPR's **Internal Funding Opportunities** web page.

Salomon Awards (up to $15,000)
Application deadline: November 2

Richard B. Salomon Faculty Research Awards were established to support excellence in scholarly work by providing funding for selected faculty research projects deemed to be of exceptional merit. These awards are for individual research projects (as distinguished from collaborative projects). Investigators may propose projects with budgets up to $15,000 for one year. Proposal: 250 word abstract, 1,500 word project description, CV, chair's letter

New **Grant Resubmission Awards – Pilot Program,** a pilot program for 2015-2016, provides support for investigators to improve an already highly-rated proposal for re-submission. The awards will be for up to $15,000 to support activities including data gathering, travel, equipment time, purchase of supplies or other modest activities that could make a significant difference for the competitiveness of the proposal. Proposal: description of how the award will address limitations identified by funding organization reviewers. Grants are distributed directly to faculty researchers and administered by the Office of the Vice President for Research.

Application deadline: rolling
For questions email margaret_manning@brown.edu

➢ Save the Date - March 1, 2016 - How to Write Winning Grants

Full-day workshop for faculty presented by Grant Writers Seminars and Workshops, LLC and co-sponsored by OVPR, BioMed and Public Health. Watch your email for more details and registration information.

➢ Research Development & Grant Writing News – October Issue

The October 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.

Sponsor / Agency Updates

Federal-Wide	

➤ Agencies Publish Draft Research Terms and Conditions

The National Science Foundation (NSF) and other federal agencies have issued a draft set of research terms and conditions that implement the new Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, also known as the Uniform Guidance. When finalized, the new terms and conditions will replace those in effect since 2008.

The proposed Federal Research Terms & Conditions for the Uniform Guidance have been posted for public comment. Please refer to the federal register notice for complete information, https://federalregister.gov/a/2015-26090. **Comments are due by December 14, 2015**. You can see the proposed RTCs at *http://www.nsf.gov/awards/managing/rtc.jsp*.

NIH & AHRQ UPDATE	

➤ NIH & AHRQ Announce Upcoming Changes to Policies, Instructions and Forms for 2016 Grant Applications
NOT-OD-16-004

This notice informs the biomedical and health services research communities of planned changes to policies, forms and instructions for grant applications submitted in 2016. The planned changes focus on the following areas:

- Rigor and transparency in research
- Vertebrate animals
- Inclusion reporting
- Data safety monitoring
- Research training
- Appendices
- Font requirements
- Biosketch clarifications

➤ **Policy Changes effective for due dates on or after January 25, 2016:**

Topic	Change
Rigor and Transparency	We are changing application requirements and review language to enhance reproducibility of research findings through increased scientific rigor and transparency. These changes will take effect for most research grant applications (including small business and complex research grant applications), but will not impact institutional training and individual fellowship applications until Phase II. Changes include: • **Updates to application guide instructions for preparing your research strategy attachment – Please see** NOT-OD-16-011 & NOT-OD-16-012 • Use of a new "Authentication of Key Biological and/or Chemical Resources" attachment (uploaded in Other Attachments section of R&R Other Project Information form) • Additional rigor and transparency questions reviewers will be asked to consider

	Vertebrate Animals	We are removing redundancy with Institutional Animal Care and Use Committee review while meeting the requirements of the Public Health Service Policy on Humane Care and Use of Laboratory Animals. Changes include: • Updated guidance on criteria to be addressed (description of procedures; justifications; minimization of pain and distress; and euthanasia) • A description of veterinary care is no longer required • Justification for the number of animals has been eliminated • A description and justification of the method of euthanasia is required only if the method is not consistent with the American Veterinarian Medical Association (AVMA) Guidelines for the Euthanasia of Animals See NOT-OD-16-006. Note: This change does not apply to AHRQ applications.
	Definition of Child	We are redefining the age of a child for the purposes of NIH's inclusion policy to individuals under 18 years old instead of under 21 years old. See NOT-OD-16-010. Note: This change does not apply to AHRQ applications.
	Research Training	We are updating requirements and instructions for several attachments on the PHS 398 Research Training Program Plan form to reflect recent policy guidance and reduce applicant burden. Changes include: • "Recruitment and Retention Plan to Enhance Diversity" - applicants will be asked to focus on recruitment • "Human Subjects" - applicants must describe how the institution will ensure that trainees only participate in exempt human subjects research or non-exempt human subjects research that has IRB approval; no longer necessary to provide a list of potential grants trainees may work on and associated IRB information • "Vertebrate Animals" - applicants must describe how the institution will ensure that trainees only participate in vertebrate animal research that has IACUC approval; no longer necessary to provide a list of potential grants trainees may work on and associated IACUC information • "Progress Report" - requirement to report on publications that arose from work conducted by the trainee while supported by the training grant will be moved to the Just-in-Time process

➢ **NIH Form Changes (FORMS-D) effective for due dates on or after May 25, 2016:**
Some of the new policies require additional data collection and updates to application forms. We have received approval from the Office of Management and Budget to make the needed form updates and we expect to have system support and guidance for these updates in place by March 25, 2016 (NOT-OD-15-146).

> ➢ **NIH & AHRQ Announce Upcoming Changes to Post-Award Forms and Instructions**

NOT-OD-16-005

This notice informs the biomedical and health services research communities of planned changes to policies, forms and instructions for interim and final progress reports, and other post-award documents associated the monitoring, oversight, and closeout of an award. This also applies to revised Ruth L. Kirschstein National Research Service Award (NRSA) forms.

Newly revised forms and instructions will be posted on the NIH Forms & Applications page. Significant changes and targeted effective dates are indicated in the table below:

Forms	Title	Planned Changes	Targeted Effective Date
RPPR	PHS Research Performance Progress Report (RPPR)	New training data tables are in use. See NOT-OD-15-112 and NOT-OD-16-007.	12/1/2015
		Updates Coming to the Screens in the Inclusion Management System (IMS). More information will be posted in a separate Guide Notice just prior to when the changes will be implemented.	1/22/2016
		Addition of clarifying rigor language. See NOT-OD-16-011 and NOT-OD-15-012.	1/25/2016
PHS 2271	Statement of Appointment	Editorial clarifications to form items and instructions. New list of Field of Training codes. Reporting of tuition/fees and travel eliminated for NIH trainees. Updated list of Specialty Boards.	1/22/2016
PHS 416-7	NRSA Termination Notice	Editorial clarifications to form items and instructions. Instructions for fellows sponsored by Federal or foreign institutions updated to reflect current payment policies.	1/22/2016
PHS 2590	Noncompeting Continuation Progress Report	Updates Coming to Inclusion Enrollment Report Forms. More information will be posted in a separate Guide Notice just prior to when the changes will be implemented.	3/25/2016
Final Progress Report	Final Progress Report Instructions	Updates Coming to Inclusion Enrollment Report Forms. More information will be posted in a separate Guide Notice just prior to when the changes will be implemented.	3/25/2016

➢ **NIH & AHRQ Announce Transition to New Research Training Table Formats for 2016**
NOT-OD-16-007

This Notice serves to announce the availability of new research training data tables for use with FY 2016 institutional training grant applications and research performance progress reports (RPPRs). Table formats, instructions, and a completed set of tables with sample data may be found on the NIH website at: http://grants.nih.gov/grants/funding/424/datatables.htm.

- **Previously issued training data table formats** are advised for use for RPPRs due **prior to December 1, 2015,** and applications submitted for due dates **prior to May 25, 2016**.

- **New training data table formats** **must be used** for RPPRs due **December 1, 2015, and after** and applications submitted for due dates **on or after May 25, 2016.**

Highlight of changes to the training data tables:

- Reduce the number of tables from 12 to 8
- Minimize the reporting of individual-level information
- Extend the tracking of trainee outcomes from 10 to 15 years

Introduction of xTRACT:
xTRACT is an electronic system for creating research training data tables and storing the information reported in those tables. xTRACT is expected to be available for users to access via the eRA Commons beginning October 16, 2015.

Where possible, existing data will be used to pre-populate the xTRACT system, including trainee names and selected characteristics, institutions, grant numbers, and subsequent NIH, AHRQ and other HHS awards.

➢ **NIH Operates Under a Continuing Resolution**
NOT-OD-16-002

The Department of Health and Human Services (HHS), including NIH, operates under the Fiscal Year 2016 Continuing Appropriations Act, 2016 (H.R. 719) signed by President Obama on September 30, 2015. This Act (CR) continues government operations through December 11, 2015 at 99.7892 percent of the FY 2015 enacted level.

Continuing the procedures identified under NOT-OD-15-050 and consistent with NIH practices during the CRs of FY 2006 – 2015, the **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 2016 appropriations are enacted, but NIH expects institutions to monitor their expenditures carefully during this period. All legislative mandates that were in effect in FY 2015 (see NOT-OD-15-054 and NOT-OD-15-048) remain in effect under this CR, including the salary limitation set at Executive Level II of the Federal Pay Scale as described in NOT-OD-15-049.

NSF UPDATE	➢ **National Science Foundation (NSF) Issues New Policies and Procedures Guides**
	
	   o **Proposal & Award Policies and Procedures Guide (PAPPG)** will be effective for **proposals submitted, or due, on or after January 25, 2016**.
	
	     Significant changes include:
	      • Enforcement of 5 p.m. submitter's local time across all NSF funding opportunities
	      • Implementation of NSF's Public Access Policy
	      • Submission of proposal certifications by the Authorized Organizational Representative (AOR) concurrently with proposal submission
	      • NSF's implementation of the US Government Policy for Institutional Oversight of Life Sciences on Dual Use Research of Concern
	      • Provision of Collaborators and Other Affiliations information as a new single-copy document, instead of as part of the Biographical Sketch
	      • Submission of Biographical Sketches and Current and Pending Support separately for each senior personnel
	      • Electronic signature and submission of notifications and requests by the AOR only
	      • Revision of timeframe for submission of final project reports, project outcomes reports and financial closure of awards to 120 days after the award end date
	      • Numerous clarifications throughout the document.
	
	   o **Grant Proposal Guide (NSF 16-1)** will be effective for **proposals submitted or due on or after January 25, 2016**. For proposals submitted prior January 25, 2016, the guidelines in NSF 15-1 apply.
	
	   o **Award & Administration Guide (NSF 16-1)** will be effective for all **new awards and funding increments to existing awards made on or after January 25, 2016**. For awards made prior to January 25, 2016, the guidelines in NSF 15-1 apply.

Agency Tip

eRA Commons Updates

➢ **Confirmation Checkbox Added to the Extension Screen**

Users submitting a No-Cost Extension (NCE) will notice a new checkbox that verifies that the terms of the NCE have been read and are understood. By notifying NIH of this one-time extension of the period of performance, you certify that the extension is not:

1) being exercised merely for the purpose of using unobligated balance;
2) prohibited by the terms and conditions of the Federal award; and
3) requesting additional Federal funds. Further, it does not involve any change in the approved objectives or scope of the project.

Selecting the checkbox enables the Confirm button for submitting the request. You must select the checkbox to confirm.

➢ **eRA Help Desk Now *eRA Service Desk***
- The eRA Commons Help Desk has been rebranded as the *eRA Service Desk*.
- Commons users will see this change on screens, email notifications, web pages, and other resources.
- The new name reflects the team's expansion to support ASSIST and other eRA services.

➢ **Security Precautions added to DOB and SSN Fields**
- eRA has added extra security to the Personal Profile for the Date of Birth and Social Security Number (SSN) fields.
- These two fields are now only editable if blank or filled with all zeroes.
- Once populated, the fields will become read-only.

NOTE: Should you need to make changes to either of these fields on your Personal Profile, contact the eRA Service Desk for assistance.

COEUS UPDATES & REMINDERS

➢ **Check the R&R Sub Budget Form Version**
- The R&R Sub Budget V1.3 Form that is downloaded from the Grant.gov Forms page is not the correct one for use in the Coeus Subaward upload tool.

- The R&R Sub Budget form must be extracted from the *R&R Subaward Budget Attachment(s) Form* of the Grants.gov application.

REPORTING UPDATE

➢ **FEATURED REPORT: PROPOSAL SUCCESS RATES**

Report is located in Cognos Folder: Sponsored Projects Reports for Departments/Success Rates

Success Rates are **defined as** the percentage of reviewed proposals (i.e. proposal types New, Renewal, Resubmission, and Task Order) that receive funding/awarded.
- Excluded from success rates are the following proposal types: Continuation, Supplement, Pre-Proposal, Void, and Withdrawn.

Success Rates are **determined by** dividing the number of proposals funded by the sum of the total number of proposals submitted during selected period.
Features of the report include the following:
- Prompts that provide the ability for end users to select:
    - Period of time associated with proposal submissions
    - One or multiple departments
    - One or multiple Principal Investigators
    - One or multiple sponsors
- Report output Columns:
    - Total number of proposals submitted
    - Total number of proposals funded
    - Success rate
    - Requested funding for proposals, and obligated and anticipated funding for funded proposals.
- Report has drill down capability allowing user to drill to the detail of each proposal submitted.

Example of Proposal Success Rate Report for a Department:

Proposal Success Rates Report — Office of Sponsored Projects, Run Date: Oct 26, 2015

This report summarizes the success rate for proposals submitted Jul 1, 2014 thru Jun 30, 2015.

Proposal Type(s):	All Proposal Types	Sponsor Type(s):	All Sponsor Types
Division(s):	All Divisions	Sponsor(s):	All Sponsors
Department(s):	Department 1	PI(s):	All PI

Department 1

Principal Investigator	Number of Proposals Submitted	Number of Proposals Funded	Number of Proposals Not Funded	Success Rate	Requested Funding for Initial Project Period	Requested Funding for Total Project Period	Total Obligated Funding for Project Period	Total Anticipated Funding for Project Period
PI 1	4	1	3	25%	670,326	1,128,776	970,000	970,000
PI 2		0	3	0%	472,912	1,543,032	0	0
PI 3		1	0	100%	500,0			3,939,903
PI 4		2	0	100%	50,00			1,940,000
PI 5	5	3	2	60%	2,133,510	3,201,271	2,083,125	2,083,125
Department 1	15	7	8	47%	3,82		8,933,028	8,933,028

PI1's FY 15 success rate is 25%, based on 1 funded proposal of the 4 proposals submitted

PI5's FY 15 success rate is 60% and the awards resulted in $2M of anticipated funding

Department 1's Success Rate for FY2015 is 47%

TRAINING & CONFERENCES

OSP & RAIS TRAINING

The Office of Sponsored Projects and the Office of Research Administration Information Systems offer a variety of research administration training opportunities in order to provide staff with the knowledge base to support faculty and researchers in the management of their research.

Fall Training Schedule		
Track	**Class**	**Date**
Pre-Award	NIH – NRSA Individual Fellowship (F) Grants	11/3/2015
Coeus	Coeus Premium: Budgeting Basics	11/4/2015
Post-Award	Financial Closeout of Sponsored Projects	11/6/2015
Pre-Award	Subawards	11/11/2015
Post-Award	Cost Transfers	11/18/2015
Coeus	Coeus Premium: Advanced Budgeting	11/19/2015
Coeus	Proposal Hierarchy	11/30/2015
Pre-Award	NIH – NRSA Institutional Training (T) Grants	12/1/2015
Post-Award	Effort Reporting	12/2/2015
Coeus	How Coeus populates your Grants.gov forms	12/3/2015
Post-Award	Allocation of Costs	12/3/2015
Pre-Award	Cost Sharing on Sponsored Projects	12/8/2015
Post-Award	Traveling on Sponsored Funds	12/9/2015
Pre-Award	ASSIST Training	12/10/2015

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

CONFERENCES & PROGRAMS

NCURA National Meetings posted for 2016

- **Financial Research Administration (FRA)**
  March 9-11, 2016 | New Orleans, LA
- **Pre Award Research Administration (PRA)**
  March 9-11, 2016 | New Orleans, LA
- **Annual Meeting**
  August 7-10, 2016 | Washington, DC

See **NCURA Meetings and Conferences**

NCURA Region 1 -
Call For Proposals For The 2016 Region I Spring Meeting – **Due November 18th**

Region 1 Spring Meeting
April 30, 2016- May 4, 2016
North Falmouth, MA

On behalf of the Region 1 Program Committee, we are inviting you to share your expertise with other Region 1 members by proposing ideas for a concurrent session, discussion group, or workshop.

Please access the submission form at the following https://sponsoredresearch.wufoo.com/forms/ncura-region-i-call-for-session-proposals-2016/

NCURA Region 1 -
Special Election: Call For Nominations For Treasurer-Elect

NCURA Region I is holding a Special Election for a new Treasurer-Elect due to the resignation of our current 2015 Treasurer-Elect, who would be Treasurer in 2016. Our recently elected 2016 Treasurer-Elect,

Description and responsibilities of this position can be found by clicking here.

Questions or comments about the Newsletter should be directed to
the Office of Research Administration Information Systems – RAIS@brown.edu