RESEARCH ADMINISTRATION NEWSLETTER

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

MAY 2018

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

➤ Brown's Fiscal Year Closure - June 30, 2018

The Year End Schedule has been posted to the Controller's Website: https://www.brown.edu/about/administration/controller/workday-project/year-end-schedule

> ***OSP requires a lead time of 2 business days prior to Year End Deadlines***

For Example:
- All operational transactions (i.e.: supplier invoices, expense reports, Payroll Accounting Adjustments (PAA's) must be routed to OSP by **July 12th at 4pm** in order to ensure the expenses are approved by the Controller's Office closing schedule of July 16th at 4pm.
- All cost transfer journal entries must be routed to OSP by **July 17th at 4pm** in order to ensure the entries are completed through the business process by the Controller's Office deadline of July 20th at 4pm.

We will do our best to facilitate late submissions, however, we cannot guarantee that late submissions will be posted to FY18 if received after the OSP deadline.

➤ Key Personnel Changes

We encourage all faculty and staff members who are aware of incoming and outgoing Principal Investigators (PIs) to notify OSP (or BioMed Research Administration (BMRA)) of changes in PI status. The earlier we are aware of potential award changes the sooner we can begin the process of making agency contacts to secure prior approval of an award transfer or the nomination of a new Principal Investigator if the award will remain at Brown. There are numerous report requirements which must be met by the University including financial, equipment, intellectual property and subawards at the termination of a project. It is often difficult to complete the requirements after the active PI has moved on from Brown. Please help us ensure a fluid transition of research by including the central office in anticipated personnel actions.

➢ Faculty Summer Salary Costing Allocations

When completing faculty summer salary costing allocations in Workday please complete and attach the Summer Salary Costing Allocation Template to the costing allocation in Workday. In addition, if salary is changing July 1, a separate Summer Salary Costing Allocation Template is needed for July and/or August summer salary costing allocations.

The summer salary guidelines can be found on the OVPR website: https://www.brown.edu/research/conducting-research-brown/managing-award/award-management/summer-salary-effort-reporting-guidelines

Summer salary is defined as any compensation paid during the summer period to a faculty member in excess of his or her academic year salary. The summer period is defined to be the period outside the Institutional Base Salary of the academic year Appointment.

- Unallowable Summer Activities on Sponsored Projects
- Vacation
- Administrative tasks (student advising, curriculum review)
- Work on new proposals
- Travel to conferences associated with another grant from the one for which time is charged
- External peer review committees

If you have any questions, please contact your OSP Grant/Contract Accountant.

Office of Research Integrity

➢ When Will My Human Subjects Research Submission Be Reviewed?

The Human Research Protection Program (HRPP) receives an *exceptionally* high volume of protocol submissions every spring. Fielding frequent questions from investigators/research teams about when a particular submission will be reviewed takes time away from conducting our reviews.

As a service to our research community, to improve transparency, and to hopefully reduce incoming inquiries, on the landing page of our website we now post the receipt date of amendment/new protocols submissions currently being reviewed. If you have a priority submission (i.e., Just-in-Time [JIT] request) or a hard deadline for approval that is immovable, please let us know this *at the time of your submission*.

We assure you that progress reports are always prioritized based on expiration date and will be reviewed prior to expiration - please do not feel you need to email us as your expiration date approaches.

➢ Mental Health Safety Plan: *New & Improved!*

A research study participant Mental Health Safety Plan ("Safety Plan") is a set of procedures developed to ensure the well-being of research participants who may experience significant emotional distress (e.g., depression), or be at risk of harming themselves or others during the course of a research study. The Human Research Protection Program (HRPP) continues to make improvements to its forms based on researchers' feedback and is pleased to report that an updated and improved Safety Plan is available on our website. *We strongly encourage investigators to use this form **in lieu of** providing detailed written information regarding their Safety Plan in the body of IRB Form #1*.

Please contact your IRB Manager with any questions.

➢ Purchasing/Receiving Materials for Research? You Must Contact the Export Control Officer When…

Faculty, students or research staff who purchase or receive technology, materials, or software from a vendor, manufacturer, collaborator or sponsor, may, on occasion, be asked to:
- sign an **End-User/End-Use Certificate**
- provide **proof of citizenship**
- sign **agreements containing export control clauses**

In all of these instances, faculty, students, or research staff **must** contact the Export Control Officer for review and guidance (and in some instances, act as a signatory).

Why are these requests of concern?

- End-Use/End-User certifications are often required for technology, materials or software (collectively "technology") that also have military applications. Receiving one of these certifications may be an indication that the incoming technology is, in some way, export controlled.
- While faculty/students/staff may have no plans to ever physically export the incoming technology outside the U.S., the Export Control Officer can help address potential *deemed export* concerns; that is, exports to foreign nationals here on campus. Furthermore, the Export Control Officer can assist with signing these certificates.
- A request to provide proof of citizenship is usually an indication that the incoming technology is export controlled. If a vendor/manufacturer makes such a request, we recommend that you seek clarification regarding why proof of citizenship is required, then contact the Export Control Officer for further guidance.
- Agreements containing export control clauses or export control language may be issued in connection with controlled technology or access to controlled technology. Faculty, students, or staff who receive such agreements must contact the Export Control Officer for guidance. Note also that faculty, students or staff cannot sign agreements on behalf of the University.

Whom do I contact?
Jules Blyth, Export Control Officer
juliane_blyth@brown.edu; 401-863-3295
Rebecca Haworth, Research Integrity Manager
Rebecca_haworth@brown.edu; 401-863-2041

Research Development

➢ **Research Development and Grant Writing Newsletter**
This newsletter offers strategies on how to compete successfully for research funding and highlights new funding opportunities. Archived editions, going back to 2012, are also available. Access the External Funding Opportunities website and then select 'Research Development and Grant Writing News' in the left hand menu.

	Sponsor /Agency Updates
FDP UPDATE	➤ **Expanded Clearinghouse Pilot Initiative – Final Report** The Final Report for the Federal Demonstration Partnership (FDP) *Expanded Clearinghouse* Pilot Initiative is now available. The FDP Executive Committee has decided to advance the *Expanded Clearinghouse* from a pilot to an ongoing initiative of the FDP. The Expanded Clearinghouse can be viewed at fdpclearinghouse.org. No login or password is required. This pilot successfully demonstrated that access to an on-line repository of key data documenting institutional financial and compliance adequacy can significantly reduce administrative burden over the exchange of similar information on a transaction-by-transaction basis. For more information about the results, see the report listed above or the press release summarizing the results. ➤ **FDP Meeting Presentations** FDP meeting presentations have been posted to the FDP website. You may access them by clicking on the following link to the Meetings page or by visiting the Meetings page on the FDP website at www.thefdp.org. All additional presentations will be posted as they are received.
NIH UPDATE	➤ **National Institute of Neurological Disorders and Stroke (NINDS) Limited Support for Well-Funded PIs** Effective with applications under funding consideration at the January 2019 meeting, NINDS will refine the Special Council Review policy and procedures for support of research from well-funded investigators. Under the new policy, a well-funded investigator is defined as an individual with NIH research support exceeding \$1M in direct costs at the time of the Council meeting, including the pending application. All competing applications from well-funded investigators with primary assignment to NINDS will be subject to a percentile pay line that is ½ of the NINDS pay line for the Council round in question (https://www.ninds.nih.gov/Funding/About-Funding/NINDS-Funding-Strategy. Please visit the NINDS website for additional details and a list of Frequently Asked Questions. Details also available in this NIH Guide Notice. ➤ **National Research Service Award (NRSA) Stipend Levels Increase for FY18** NOT-OD-18-175 Stipend levels for fiscal year (FY) 2018 Kirschstein-NRSA awards for undergraduate, predoctoral, and postdoctoral trainees and fellows, the Training Related Expenses and the Institutional Allowance for postdoctoral trainees and fellows have been increased. The Training Related Expenses and Institutional Allowances for predoctoral trainees and fellows and the Tuition and Fees for all educational levels remain unchanged. ➤ **Xtract System for Preparing Research Training Data Tables** NIH anticipates mandating that required training data tables submitted with applications and progress reports for the following activity codes be created via the xTRACT system: T32, TL1, T90/R90, T15. In late FY 2019, NIH will provide further guidance about the implementation of this expected requirement. At this time, applicants who have not yet taken advantage of the xTRACT system to create training data tables are encouraged to begin exploring its functionality, and may wish to start by using the system to create Data Table 8, to accompany a Research Performance Progress Report.

➢ NIH Notices – Fiscal Policies and Legislative Mandates for FY2018

NIH recently issues two notices concerning their fiscal policies and legislative mandates for FY 2018.

Notice of Fiscal Policies in Effect for FY 2018
This Notice provides guidance about the NIH Fiscal Operations for FY 2018 and implements the Consolidated Appropriations Act, 2018 (Public Law 115-141), signed into law on March 23, 2018. With the passage of the Act, NIH received a 9 percent increase over FY 2017, for a total of $37.311 billion in program level funding, including $496,000,000 authorized under the 21st Century Cures Act. A general increase of over 5 percent was received, as well as specific increases for Opioid/Pain research, Alzheimer's disease, and other high priority research initiatives. For more details, see (NOT-OD-18-180)

Notice of Legislative Mandates in Effect for FY 2018
The Consolidated Appropriations Act, 2018 (Public Law 115-141), signed into law on March 23, 2018, provides funding to NIH for the fiscal year ending September 30, 2018. The intent of this Notice is to provide current requirements outlined in the following statutory provisions that limits or conditions the use of funds on NIH grant, cooperative agreement, and contract awards for FY 2018. For more details, see (NOT-OD-18-181)

➢ New Human Subjects System

The new Human Subject System (HSS) is scheduled to go live on June 9, 2018 and will be replacing the Inclusion Management System (IMS). HSS is a shared system that enables grant recipients to electronically report and update their data on human subjects and clinical trials to NIH. The system will also allow NIH agency staff to monitor and manage the data.

As of June 9, Principal Investigators and Signing Officials will no longer see "Inclusion" links as an action option, but instead will see "Human Subjects" links on both the Status Search screens and in section G.4.b of the Research Performance Progress Report (RPPR). The RPPR Human Subjects link will only be displayed if the award involves human subjects.

Updates to the enrollment records in IMS must be submitted no later than Friday, June 8. Updates not submitted by June 8 will not be available in HSS and will need to be re-entered into HSS.

For more information on this transition, please see Guide Notice NOT-OD-18-179. See also HSS Overview and HSS Training pages. HSS tutorial videos can be found in the Human Subjects section of the eRA Videos Tutorials page.

➢ NIH Recruiting for "All of Us" Research Program Initiative

On May 6, the National Institutes of Health opened national enrollment for the *All of Us* Research Program. The goal of this program is to advance individualized prevention, treatment and care for people of all backgrounds. People ages 18 and older, regardless of health status, are able to enroll. Volunteers will join more than 25,000 participants already enrolled in *All of Us* as part of a year-long beta test to prepare for the program's national launch.

NSF UPDATE	➢ **Proposal & Award Policies & Procedures Guide** A "For comment" draft of the *Proposal & Award Policies & Procedures Guide* (PAPPG) is now available. NSF is accepting comments from the external community until close of business **July 13, 2018**. The draft PAPPG is available on the [Policy Office website](#). To facilitate review, revised text has been highlighted in yellow throughout the document and explanatory comments have been included in the margins, where appropriate. Any questions should be directed to the Policy Office at policy@nsf.gov. ➢ **Revision - Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Phase I and II Grant General Conditions** The [SBIR/STTR Phase I and II Grant General Conditions](#) have been revised. Important changes include: • Development of a separate NSF prior approval matrix for awards made to State and local governments or for-profit organizations; • Modification of Research.gov to include an "Other" category, which must be used to submit prior approval requirements that do not already have a specific request type in NSF's electronic systems; • Revision of the Equipment article (applicable to SBIR/STTR Phase II awards) to align with 2 CFR § 200.313 requirements for all equipment purchased under NSF awards and provide clarity on reporting requirements for NSF-owned equipment; • Revision of the Patent Rights article to implement government-wide changes to the Department of Commerce Bayh-Dole regulations at 37 CFR § 401; and • New requirement for awardees to have procedures in place to respond to a breach of personally identifiable information (PII) and notify NSF that a breach of PII within the scope of an NSF award has occurred. The revised Terms and Conditions will apply to all new NSF SBIR/STTR Phase I and II awards and funding amendments to existing NSF SBIR/STTR Phase II awards made on or after May 18, 2018.
OTHER AGENCY UPDATES	➢ **American Heart Association (AHA) Institutes Paid Membership Requirement** Beginning this summer, AHA will require payment of a membership fee by Applicants (individuals) for programs with due dates **June 1, 2018** and after. Membership options are available [here.](#) AHA has identified a 3-5 day waiting period before membership can be completed, therefore it is important to join well in advance of the proposal due date. If the proposal is successfully reviewed, Awardees are required to maintain their AHA membership throughout the period of performance. This requirement goes into effect for awards beginning July 1, 2018 or later. The cost of membership is an allowable cost on the grant award. Applicants may include this fee in their proposal budgets. No other membership fees are considered allowable by AHA.

Coeus Update

➢ NSF S2S Proposals - Forms Now Updated in Coeus

The update to NSF forms is now complete in Coeus. You may resume NSF S2S submissions in Coeus; these two forms have been updated:

- NSF Cover Page version 1.8
- NSF Senior Key Person Profile (Expanded) version 1.1*

* NSF Senior Key Person Profile (Expanded) version 1.1 now requires that all Senior Key Personnel have their NSF ID entered on a proposal. This can be updated in Coeus at the Edit menu > Proposal Personnel screen. Double click the person's name and update the Contact Info tab with the Agency Credential:

Note: If you have an NSF proposal already in-progress in Research.gov/FastLane- ready to be approved or submitted by 1OSP/BMRA, please continue that proposal as-is and resume proposals via Coeus S2S thereafter. Please work with your OSP/BMRA Pre-award contact should you have questions on proposal preparation and submission methods.

If you have any questions pertaining to this update, please contact RAIS@brown.edu.

➢ Coeus FAQ's Video Series

RAIS has started a new "FAQ'S" series of short videos for Coeus topics that we get asked about most often. The first in this series addresses Subaward Budget Forms for S2S proposals. Subaward Forms for Coeus S2S

We hope that you enjoy this first 2-minute tutorial. Please feel free to recommend any topics and provide feedback on this series to RAIS@brown.edu.

➢ Coeus Technical Support

If you run into technical errors in Coeus that you cannot resolve there is Coeus Support available Monday through Friday during the business hours of 8:00am-4:00pm – for summer hours.

File a support ticket at: **https://ithelp.brown.edu/new-ticket**. Request type to choose is: 'COEUS / INFOED Support'

➢ **Coeus / PDF Attachments Best Practices**

When attaching proposal attachments to your Coeus record, it is extremely important to review the Grants.gov Package to confirm that the PDF is properly attached. Although the PDF may appear to upload without a hitch, there may be an issue with the file that prevents it from appending to the Grants.gov Forms and being submitted electronically with the package.

**Some things to look for when reviewing the Grants.gov forms:**

1. Review the file name that is displayed on the Grants.gov form to ensure it has no spaces, special characters, and includes a .pdf at the end
2. Ensure the PDF is appended to the correct field
3. Ensure the PDF is included within the pages of the specific Grants.gov form
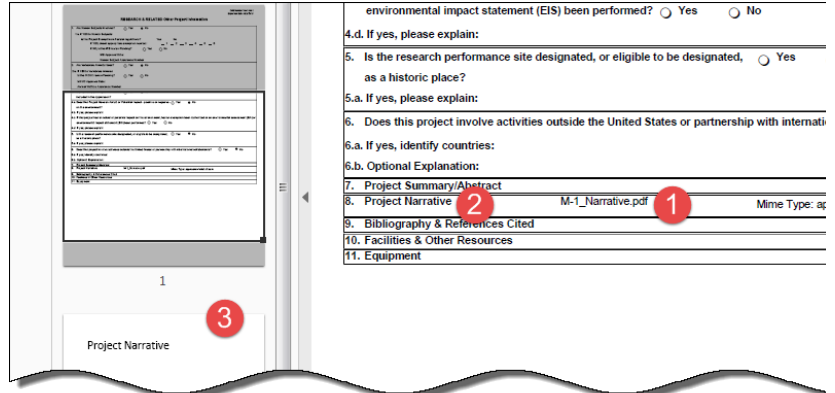
If your PDF does not appear or append correctly in the Grants.gov Forms

There is a simple method that will resize the file into a more condensed, new PDF that should rectify most attachment-specific errors you may encounter for Grants.gov attachments in Coeus.

- Open the file in Adobe DC or Adobe Reader
- Click File > Print
- In the Printer Drop-down selection
  - Choose 'save as .pdf'
    OR
  - Choose 'Adobe PDF'
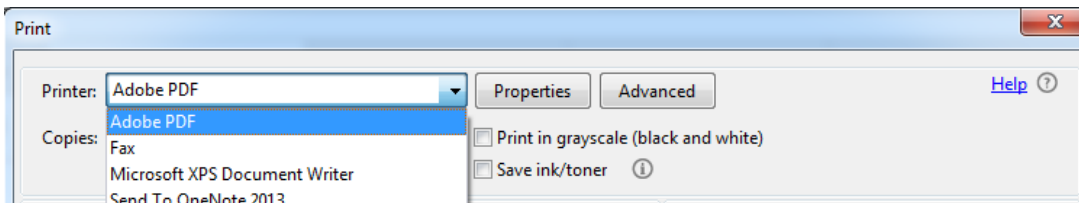
If you are still having trouble with attachment issues after performing this, please email coeus_help@brown.edu.

Training & Conferences

OSP & RAIS Spring Training

The Office of Sponsored Projects offers 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.

Spring Training Schedule		
Track	Class	Date
Post-Award	Effort Certification	06/14/18

Traveling Sponsored Projects Training

While Sponsored Projects Trainings are not scheduled during the summer; we do offer to "travel" to departments to conduct trainings upon request. We currently offer over 20 classes that range from how to use Coeus, to guidelines on award management. Visit the Sponsored Projects Training and Outreach Webpage to learn more about the classes.

➢ Workday Learning is Coming

Workday Learning will replace LearningPoint in June 2018 and become the learning and professional development system of record for the University. All training in LearningPoint will be migrated into Workday Learning.

No further classes are currently being posted in LearningPoint. We will be posting future classes in Workday Learning from June 2018 forward.

UPCOMING CONFERENCES & PROGRAMS

NCURA National Meetings posted for 2018

➢ **Annual Meeting**
   August 5-8, 2018 | Washington, DC
Registration now open.

NCURA Traveling Workshops
➢ September 5-7, 2018 | San Antonio, TX
For more details, see
http://www.ncura.edu/Education/MeetingsConferences.aspx

NSF Grants Conference
➢ **Conference:**
   June 4-5, 2018 | Detroit, MI

For more details, see:
https://www.nsf.gov/events/event_summ.jsp?cntn_id=244050&WT.mc_id=USNSF_13&WT.mc_ev=click

SRA International Basics of Research Administration
➢ July 16-18, 2018 Milwaukee, WI
Registration now open.

NIH Regional Seminar
➢ October 17-19, 2018 | San Francisco, CA
Registration now open.

SRA International Annual Meeting
➢ October 27-31, 2018 Orlando, FL
Registration now open.

Pre-Award Research Administration (PRA) & Financial Research Administration (FRA)
➢ March 11-12, 2019 | Las Vegas, NV
Registration opens November 2018.

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