

RESEARCH ADMINISTRATION UPDATES AND ITEMS OF INTEREST

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, and 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.

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OSP / OVPR UPDATES

➤ **OSP Review of the Scientific/Programmatic Portions of a Proposal**

Each proposal is reviewed for compliance with University policies and practices, adherence to sponsor guidelines, and potential regulatory requirements. The **scientific/programmatic portions of a proposal** are integral to review of the following:

- protection of human research participants, laboratory animal subjects and the environment;
- intellectual property (patents, copyrights, licenses), proprietary, privileged or potentially patentable information;
- conflicts of interest;
- use of University facilities and equipment;
- additional space, alterations/construction, specialized or fabrication of equipment;
- adherence to personnel policies including involvement of non-Brown employees, subcontractors, consultants and collaborators, foreign nationals or Federal employees;
- recovery of direct and indirect costs, implied or stated cost-sharing;
- liability insurance and indemnification;
- use of recombinant DNA, potentially infectious agents, hazardous waste, select agents, radiation producing or radioactive materials, biohazards;
- proposed clinical trials, or use of human embryonic stem cells;
- security & privacy requirements including FISMA, IT Accessibility, encryption, clearances;
- export control concerns (ITARS/EARS); dual-use technologies or prohibited countries list; research conducted off-campus or in partnership with international collaborators.

OSP relies on the Department Chair's approval of the scientific/programmatic components of the proposal to attest to:

- appropriateness of the activity to the University and the Department.

In the next month's issue, we will discuss **OSP Review of the Budget Portions of a Proposal**.

➤ Update on Foreign Travel – New Open Skies Agreement with Japan

Under the **Fly America Act**, travelers are required to use United States (US) air carrier service for all travel funded by the US. One exception to this requirement is the **Open Skies Agreement**.

There are NOW four Open Skies Agreements with the US in effect: **European Union (EU), Australia, Switzerland, and Japan**.

Excluding the EU, you must check to ensure there is no city-pair contract fare in effect in order to use a foreign carrier (<http://apps.fas.gsa.gov/citypairs/search/>). If there is a city-pair contract in effect, a US carrier must be used.

In addition, the Open Skies Agreement exception **does not apply** to travel funded by the Department of Defense.

Please contact your Grant/Contract Accountant with any questions. In addition, a detailed review of Open Skies is covered in the Post Award Training session: "[Traveling on Sponsored Funds](#)".

AGENCY UPDATES

NIH UPDATES

➤ New NIH Policy on Efficient Spending Related to Grants Supporting Conferences and Meetings

[NOT-OD-12-041](#); [NOT-OD-12-048](#); [NOT-OD-12-050](#); [NOT-OD-12-051](#)

Effective January 27, 2012, NIH implemented the [HHS Policy on Promoting Efficient Spending: Use of Appropriated Funds for Conferences and Meetings, Food, Promotional Items, and Printing and Publications](#) by modifying longstanding grants policy. The new policy applies to **NIH Grants and Cooperative Agreements** where the primary purpose of the grant is to support a Conference and/or Scientific Meeting (i.e. R13s and U13s); however, other grant mechanisms that are specifically issued to support conferences will be considered on a case by case basis.

- **New Policy Affecting Awards:**

- **Competing and Noncompeting NIH R13 and U13** awards issued **on/after January 27, 2012** include a new term and condition which prohibits food/meal costs from being supported or charged to NIH-supported conference grants. Specifically, the following term will apply:

“Direct charges for meals/food and beverages are unallowable charges to this project.”

- Conference grants awarded **before January 27, 2012** with FY2012 funds will **NOT** be revised to include the modified terms and conditions, however grantees are strongly encouraged to **apply the new policy broadly to all active R13 and U13 awards**.

- **New Policy Affecting Applications:**

- The parent conference grant funding opportunity announcement (FOA) and other active R13/U13 FOAs have been revised to specify that meals/food and beverages are unallowable charges to NIH-supported conference grants.
- Applicants preparing applications for the **April 12, 2012 and subsequent due dates** must submit application requests in accordance with this new policy.
- For applications already submitted, the NIH awarding component will ensure all applications selected for funding are awarded in accordance with this new policy.

*****Note***** *This policy does not apply to Research Grants and Other Mechanism that are not Awarded Specifically to Support Conferences. Any meetings conducted under these programs are considered an ancillary effort under the grant and cooperative agreement and are not subject to the new policy. In these cases, the allowability of food-related costs is governed by the respective cost principles, the terms of award which incorporates the NIH Grants Policy Statement, and University Policies.*

➤ Peer Review Consolidation of the Services Subcommittees at the National Institutes of Mental Health

[NOT-MH-12-015](#)

The National Institute of Mental Health (NIMH) Initial Review Group has the following four subcommittees:

- The Interventions Committee for Adult Disorders (ITVA),
- Interventions Committee for Disorders Involving Children and Their Families (ITVC),
- Mental Health Services in MH Specialty Settings (SRSP), and
- Mental Health Services in Non-Specialty Settings (SRNS).

Over the past several rounds, the number of applications referred to SRSP and to SRNS has been relatively modest, thus resulting in the **plan to merge SRSP and SRNS into a single committee focused on mental health services research (Mental Health Services Research Committee [SERV])**. A single SERV committee focused on mental health services research will provide for a more efficient use of the time and talents of the services researchers called to serve on the committee as well as provide for peer review of the full spectrum of services research submitted to the NIMH for support.

This new subcommittee will have 24 authorized members: 22 scientific and 2 public members and will hold its first meeting in **June 2012**.

AHRQ UPDATES

➤ **Re-Activation of AHRQ Individual Career Development (K) Funding Opportunity Announcements (FOAs) for June 5, 2012 Receipt Date**

[NOT-HS-12-006](#)

AHRQ has issued the above notice to inform the community that Individual Career Development (K) Funding Opportunity Announcements (FOA's) **will be re-activated for the June 12, 2012 application receipt date for new applications and July 12, 2012 receipt date for re-submission applications.**

The FOAs that have been re-activated are:

- **PAR-09-085 Mentored Clinical Scientist Research Career Development Award (K08)**
(see <http://grants.nih.gov/grants/guide/pa-files/PAR-09-085.html>)
- **PAR-09-086 Independent Scientist Award (K02)**
(see <http://grants.nih.gov/grants/guide/pa-files/PAR-09-086.html>)
- **PAR-09-087 Mentored Research Scientist Research Career Development Award (K01)**
(see <http://grants.nih.gov/grants/guide/pa-files/PAR-09-087.html>)



Agency Tip – Proposal Preparation Guidelines

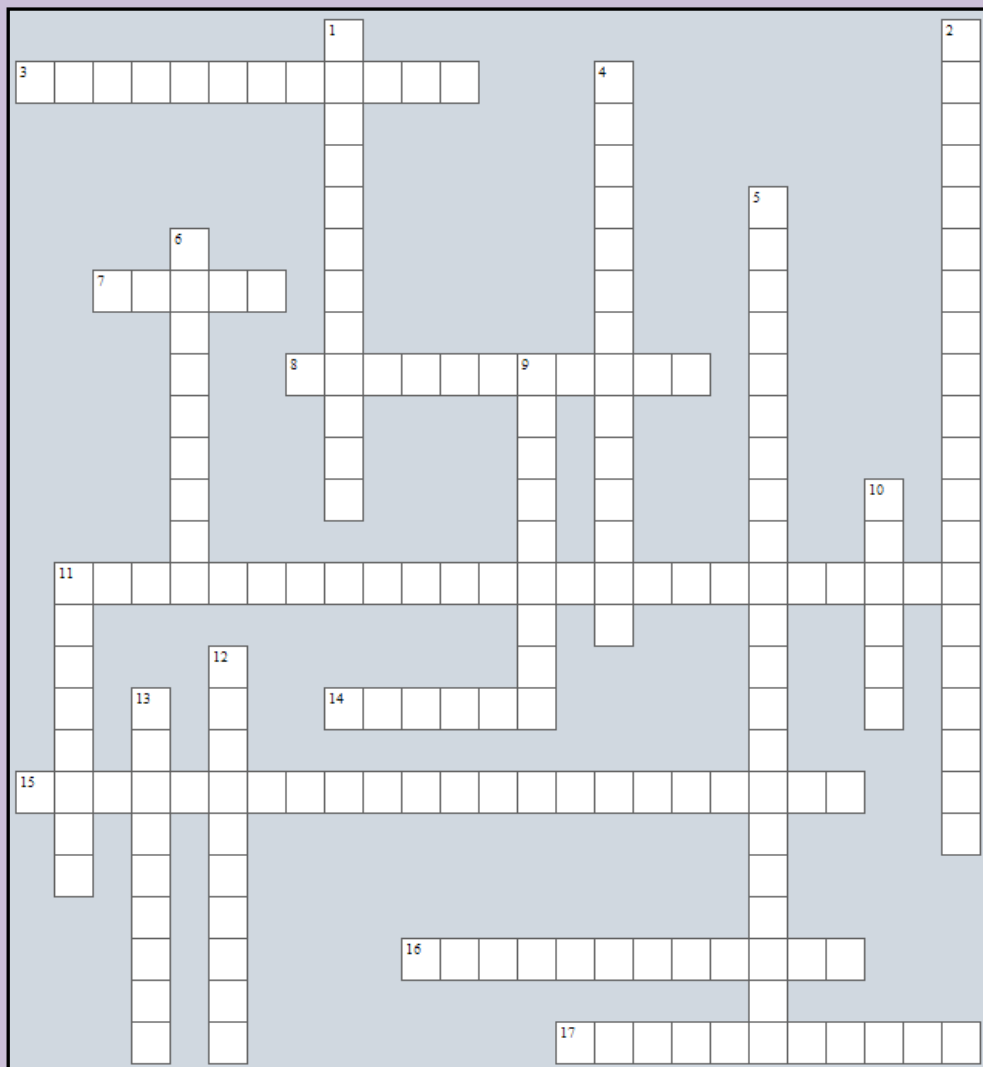
Proposal Funding Rates at research agencies have plummeted around the world. With this trend continuing downwards it is more important than ever to make every application count and minimize proposal rejections due to non-compliance with content and formatting instructions.

The issues surrounding compliance with the Agency Proposal Preparation Guidelines have never been as visible as they are now. More and more proposals get returned without review due to non-compliance with content and formatting instructions. For example, proposals are being rejected for reasons such as:

- including “*et. al.*” in the References Cited section rather than listing all authors;
- non compliance with margin, font and spacing requirements; and/or
- failure to address specific requirements within the Proposal (e.g. Broader Impacts, Intellectual Merit)

In an effort to minimize such rejections your Contract Administrator in the Office of Sponsored Projects reviews each proposal against the applicable guidelines and will outline each component of the proposal that deviates from the Agency's instructions. Ultimately however, it is up to the Principal Investigator to decide whether he/she wants to make the suggested revisions. OSP will abide by the Principal Investigator's direction.

CROSSWORD PUZZLE



Directions

Using the clues below, fill in the letters to complete the puzzle.

Answers can be found on page 7 of the Newsletter!



Across

3. Affords grantees the right to elect title and retain ownership to inventions they develop with funding under a Federal award.
7. Financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project.
8. Proposal initiated by the applicant and submitted according to the sponsor's broad guidelines.
11. This role is not currently used by NIH and other PHS agencies.
14. Financial expression of the proposed scope of work.
15. An individual who is within 10 years of completing his/her terminal research degree or medical residency (NIH Definition).
16. Principal Investigator and any other person who is responsible for the design, conduct, and/or reporting of research.
17. The acquisition of property or services for the direct benefit or use of the Government, generally via a contract.

Down

1. Individuals integral to the research and may or may not be responsible for the design, conduct, or reporting of research.
2. A support mechanism used when there will be substantial Federal scientific or programmatic involvement.
4. To charge this expense directly to a federal project, the proposal must identify the project as "major" and the expense must be specifically budgeted and justified.
5. The individual with the appropriate level of authority and responsibility to direct the project supported by the award.
6. This has been reduced from Executive Level I to Executive Level II.
9. A mechanism that provides an exclusive right to authors, composers, etc. to copy, exhibit, distribute, or perform their works.
10. A mechanism that provides to an inventor the right to exclude others from making, using, or selling the invention.
11. An award instrument used to acquire from a non-federal party, by purchase, lease, or barter, property or services for the direct benefit or use of the Federal government.
12. An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party.
13. Proposal that is submitted in response to a specific work statement from the sponsor.

COEUS UPDATES

COEUS TIP OF THE MONTH

WHO GOES WHERE? INVESTIGATOR TAB VS. KEY PERSON TAB



There have been some questions lately regarding which individuals should be listed in the Investigator Tab and which in the Key Person Tab of Coeus. The answer to this depends on the individual's role on the project and the agency that you are submitting your proposal to.

For Coeus proposal development purposes, the following applies:

Investigator definition:

*“An “Investigator” means the principal investigator and any other person who is **responsible for the design, conduct, and/or reporting of research.**”*

Principal Investigators (PI), Co-Principal Investigators (Co-PI), Co-Investigator (Co-I), and all Principal Investigators in a Multi-PI proposal submission (Multi-PI) are entered on the Investigator Tab.

More specifically, based on the agency that the proposal is being submitted to, the Investigator Tab should include the following individuals:

Key Person definition:

*“Key Personnel are other individuals who are integral to the research and **may or may not be responsible for the design, conduct, and/or reporting of research.**”*

More specifically, the Key Person Tab should include those individuals that do not have the Roles mentioned for the Investigator Tab; however, their responsibilities on the project qualify them as a Key Person (e.g. Statistician, Consultants, Post-Doc, etc.).

Agency	Individuals in the <u>Investigator Tab</u>	The role that will appear on the R&R Senior Key Person Form
NIH and other PHS Agencies - Grants.gov Submissions	PD/PI	PD/PI
	Multi-PD/PI	PD/PI
	Co-Investigator	Co-Investigator
Other Federal Sponsors (NSF, DoD, DoE, etc.) - Grants.gov Submissions	PI	PD/PI
	Co-PIs	Co- PD/PI
Others - Non-Grants.gov Submissions	PI	N/A
	Co-PIs	
	Co-Investigators	
	Investigators	

Keep in mind that each agency clearly defines the various project roles that they recognize. Most often these roles will be defined in the general guidelines of the specific agency or on their website, for example:

1. NIH definitions (PD/PI, Multi-PD/PI, Co-Investigator, Senior/Key Person) can be viewed at: <http://grants.nih.gov/grants/glossary.htm>
2. NSF definitions (PI, Co-PIs, Senior Personnel) can be viewed on page II-40 (Exhibit II-7: Definitions of Categories of Personnel) of the [NSF Grant Proposal Guide](#).

*****NOTE*** Anyone meeting the “Investigator” definition, regardless of the Tab that they are on, MUST complete and submit to OSP the Investigator Certification.**

COEUS NEWS

Coeus User Group Meeting

The meeting is intended to allow Coeus Users to network, share best practices, learn new business process changes, and address Coeus issues.

Next Meeting:

March 21st, 2012 – Location TBD

10:00am – 11:30am

Agenda:

- I. Overview of the Current and Pending Support
- II. Modular Budgets in Coeus
- III. Investigator Tab vs. Key Person Tab in Coeus

If you have any ideas for topics to discuss, please e-mail [Kat Szulc](#).

TRAINING

OSP TRAINING SPOTLIGHT

ABOUT OSP TRAINING

Reading the Funding Opportunity Announcement

This workshop will offer an in-depth overview of the initial stage of the Proposal Development process, *Reading the Funding Opportunity Announcement (FOA)*. It will define and review the various types of Federal and Private Foundation funding opportunity announcements available. Participants will learn to identify the key components of an announcement, e.g. research objectives, eligibility, dates, available funds, content, forms, budget requirements, & special terms and conditions. Various examples of actual Federal and Private FOAs will be provided and reviewed.

Feedback from participants who have taken the class:

- *“The Jeopardy exercise at the end of the training was both interesting and useful and the knowledge generated during the training will aid in my interaction with my PI...”*
- *“The Instructor was able to provide insightful examples and delivered the material in an organized manner.”*
- *“A very good overview for people new to reading FOAs.”*

[Register for Reading the Funding Opportunity Announcement](#)

The Office of Sponsored Projects is pleased to offer numerous training opportunities for faculty and staff that range from how to use Coeus to guidelines on pre or post award management:

All Sponsored Projects Training Sessions:
<http://training.brown.edu/index.php?campaign=68>

Coeus Training

Learn how to use the University's sponsored projects management system, Coeus. Classes include creating proposals, budgets, submitting Grants.gov proposals, and viewing proposal and award records.
<http://training.brown.edu/index.php?campaign=71>

Post Award Training

Learn best practices in Post Award management. Sessions covering travel, commitments, administrative costs, and other areas of post award administration are offered.
<http://training.brown.edu/index.php?campaign=72>

Pre Award Training

Learn best practices in Pre Award management. Sessions covering preparation of proposals, budgets, negotiation of terms and conditions of awards, issuance of subcontracts and other areas of pre-award administration are offered or planned for this year.
<http://training.brown.edu/index.php?campaign=126>

GRANT CONFERENCES/NCURA EDUCATIONAL PROGRAMS

- **NCURA Region I – RADG “Managing Risk...Managing Expectations...Managing International Projects”**

March 13, 2012

Boston, Massachusetts

Registration Now Open:

<http://www.ncuraregion1.org/pymtprgradg.html>

- **2012 NIH Regional Seminars on Program Funding and Grants Administration**
NOT-OD-12-040

April 16-18, 2012

Indianapolis, Indiana

[Registration Now Open](#)

June 20-22, 2012

Washington, DC

Registration will be open soon!

For more information please visit:
<http://grants.nih.gov/grants/seminars.htm>

JOIN NCURA'S "YOUTUBE" TUESDAYS!

Each week your colleagues will be sharing tips and information on topics of interest to research administrators on NCURA's YouTube Channel!

Please visit

<http://www.youtube.com/ncura1959>
 to subscribe and to view the archives!

SPONSORED PROJECTS REPORTING

Reporting Update

➤ **New Report Available – Proposal & Award Activity by Investigator**

(This is the report that most Department Chairs and Department Manager/Administrators receive quarterly. This report now can be scheduled when needed.)

The report:

- ◆ Is based on an Investigator's current Home Department for the defined time frame.
- ◆ Lists all of an Investigator's proposal and award activity including Co-PI activity, for the defined timeframe.
- ◆ Includes Summary & Detail reports for Proposal & Award activity.
- ◆ Can be refined via prompts on Department and PI.
- ◆ Useful for defining all of an Investigator's activity for a particular time.
- ◆ Is available for scheduling.

Reporting User Group

Reporting User Group Meeting

Next Meeting:

Thursday, March 8, 2012

11:00am

BOB - 2nd Floor Conference Room

Agenda:

➤ **Bring your Cognos Questions!!**

Wendi Lewis, Cognos Instructor, will be attending our next Reporting User Group Meeting. She will be answering questions as well as providing some Cognos time saving tips including creating a report view and scheduling reports to run at a specific time or at regular intervals.

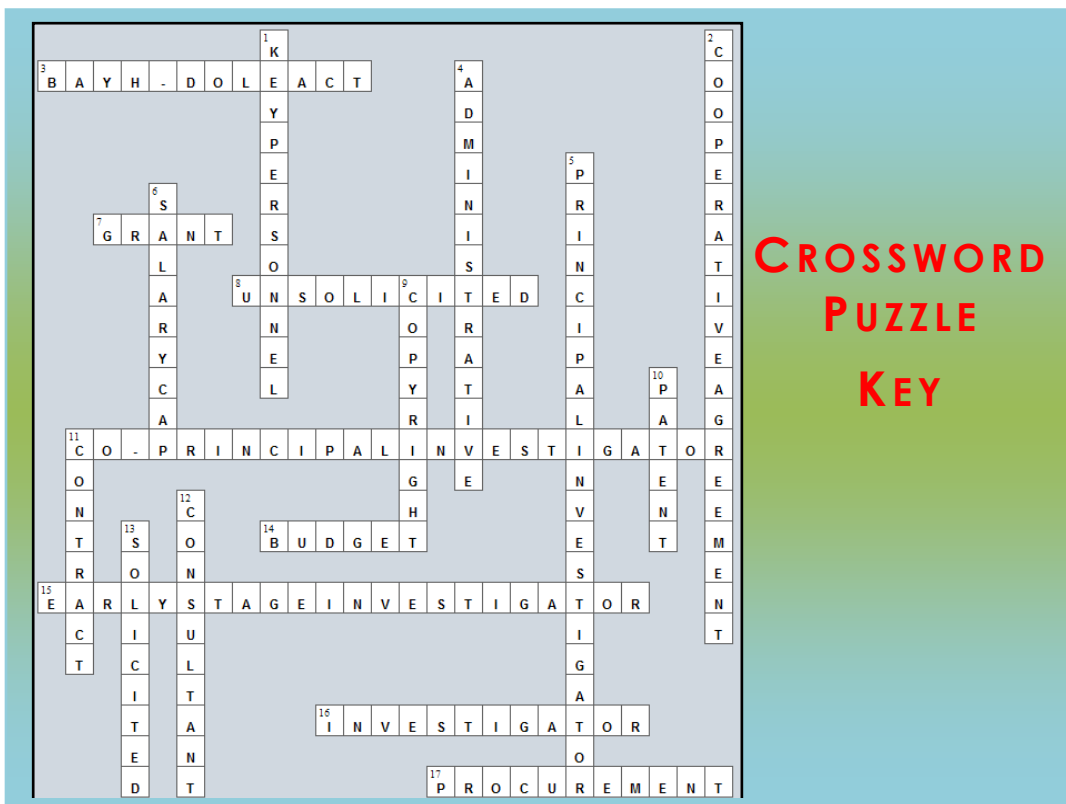
Requesting an Ad Hoc Sponsored Projects Report

All Sponsored Projects report requests should be sent to:

OSP_Reporting@brown.edu

Please use the "OSP Report Request Form", located at the below link, for all ad hoc report requests:

http://research.brown.edu/pdf/OSP_Report_Request_Form_12_10.doc



**CROSSWORD
PUZZLE
KEY**

Questions or comments about the Newsletter should be directed to the editors:
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Jeremy Cox, Grant/Contract Accountant & eRA Administrator (Jeremy_Cox@brown.edu)