BROWN

RESEARCH ADMINISTRATION NEWSLETTER

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

NOVEMBER 2015

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)

Email: RAIS@brown.edu | *Subscribe / Unsubscribe:* https://listserv.brown.edu/?SUBED1=RESEARCH_ADMIN_NEWS&A=1

INSIDE THIS ISSUE

Research Administration Updates

Office of Sponsored Projects

➢ Holiday Proposal Submission Schedule 2015/2016

Winter Break

Winter Break is from ***Thursday, December 24th through Friday, January 1st***. For all proposals with deadlines that fall during the break, the deadline to OSP/BMRA is **Wednesday, December 16th by 5pm**.

For proposals with deadlines the first week of January (e.g., January 7th - NIH AIDS and AIDS-related applications or January 5th - NIH STTR, SBIR and CPR Applications) please contact your Grant & Contract Administrator / BMRA as soon as possible to establish a mutually acceptable submission schedule.

Office of Research Development

➢ Research Development & Grant Writing News

The November issue is now available online. This newsletter offers strategies on how to compete successfully for research funding and highlights new funding opportunities.

➢ OVPR Internal Funding Opportunity

Grant Resubmission Awards (up to $15,000)

Application deadline: Rolling

Grant Resubmission Awards, 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.

Sponsor / Agency Updates

FOUNDATION UPDATE

➢ The Ford Foundation Changes Policy on F&A Rates

In an effort to more accurately support actual project costs, the Ford Foundation will be doubling their overhead (F&A) rate on project grants from 10 percent to 20 percent beginning in January 2016.

To learn more about Ford Foundation Grants, visit their Grants Webpage.

NIH & AHRQ UPDATE

➢ NIH Publishes Revised Grants Policy Statement for FY2016

NOT-OD-16-030

The National Institutes of Health (NIH) announces the publication of the revised NIH Grants Policy Statement (NIHGPS, rev. 11/2015). **This revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2015**. This revision supersedes, in its entirety, the NIH Grants Policy Statement (03/2015) as a standard term and condition of award. Previous versions of the NIHGPS remain applicable as a standard term and condition for all NIH grants and cooperative agreements with budget periods that began prior to October 1, 2015.

The document is available in the following electronic formats: HTML and PDF (http://grants.nih.gov/grants/policy/nihgps/index.htm)

A summary of significant changes are below:

Section	Significant Changes	Reason
PART 1: NIH Grants – General Information Chapter 2 – The National Institutes of Health as a Grant-Making Organization	Sec 2.3.7.10 NIH Genomic Data Sharing: Requires that applications proposing to generate large-scale human and/or non-human genomic data are expected to include a genomic data sharing plan; requires that applicants who wish to use controlled-access human genomic data from NIH-designed data repositories briefly address their plans for requesting access to the data in the application, and state their intention to abide by the NIH Genomic Data User Code of Conduct.	Implements provision announced in NOT-OD-15-083 and NOT-OD-15-086.
	Sec. 2.3.9.5 Application Non-compliance: Reminds applicants that NIH may withdraw any application identified during the receipt, referral and review process that is not compliant with the instructions in the SF-424 (R&R) Application Guide, the Funding Opportunity announcement, and relevant NIH Guide Notices. Subsequent subsections renumbered.	Implements provision announced in NOT-OD-15-095.
Part II: Terms and Conditions of NIH Grant Awards Chapter 4 – Public Policy Requirements, Objectives and Other Appropriation Mandates	4.1.3 Clinical Trials.gov Requirement Text added to clarify that results reporting is still required after the period of performance has ended.	To clarify FDAAA requirement.
	Section 4.1.15.9 Informed Consent for Research on Dried Blood Spots Obtained Through Newborn Screening.	Implements provisions announced in NOT-OD-15-127.

	Section 4.1.14 Human Fetal Tissue Research. The language is changed from "guidance" to "regulatory requirements".	To highlight this is a regulatory requirement.
Chapter 8 – Administrative Requirements	See 8.1.1.3 Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Approval.	To reduce administrative burden, NIH will allow our recipients to reduce effort during a NCE without prior approval.
	Sec 8.1.2.5 Change in Scope: Expands the description of Changes from the Approved Involvement of Human Subjects Requiring Prior NIH Approval.	Implements provisions announced in NOT-OD-15-128 and NOT-OD-15-129.
	Sec. 8.2.3.3 Genomic Data Sharing (GDS) Policy: Allows investigators to request permission to transfer controlled-access genomic and associated phenotypic data obtained from NIH-designated data repositories that are under the auspices of the NIH GDS Policy to public or private cloud systems for data storage and analysis.	Implements provisions announced in NOT-OD-15-086.
	Sec. 8.2.4 Inventions and Patents: Requires recipients to report inventions subject to Bayh-Dole regulation electronically to NIH through iEdison (http://iEdison.gov)	Implements provisions announced in NOT-OD-15-080.

➢ Revised SF424 (R&R) Application Guides and Supplemental Instructions Issued

NOT-OD-16-029

This Notice informs the biomedical and health services research communities that in accordance with NOT-OD-16-004, the general and small business (SBIR/STTR) application guides used with FORMS-C application forms have been revised. **These instructions must be used for application due dates on and between January 25, 2016 and May 24, 2016**.

Major changes to the application instructions include:

- Instructions for changes described in NOT-OD-16-004 under the implementation of Phase 1.
- Incorporation of the instructions for Individual Fellowship applications into the general application guide (it will no longer be maintained as a separate document).

Information about all application guides and their intended audiences can be found on the NIH forms page.

➢ Reminder about NIH & AHRQ Transition to New Research Training Table Formats for 2016

NOT-OD-16-007

- Previously issued training data table formats are advised for use on 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.**

➢ NIH & AHRQ Announce New Form for PHS Awarding Component and Peer Review Requests

(NOT-OD-16-008)

Applicants who want to communicate requests pertinent to the assignment and initial peer review of applications must use a new **PHS Assignment Request Form** beginning with applications for due dates on or after May 25, 2016. Use of this form will ensure applicant requests are effectively communicated to agency staff and may be used to expedite the processing and assignment of applications. The form is optional, and use of the form does not require completion of all fields in the form.

Fields included in the new form:

- PHS Awarding Component (including NIH Institute/Center (IC) Requests), both positive ("assign to") and negative ("do not assign to")
- Study Section or Special Emphasis Panel Requests, both positive and negative
- List of potential reviewers in conflict, and why
- List of scientific expertise needed to review the application

➢ NIH & AHRQ Change Font Guidelines for Applications to Due Dates On or After May 25, 2016.

(NOT-OD-16-009)

This notice informs the biomedical and health services research communities of additional flexibility regarding the fonts used in PDF attachments included in grant applications***. The following new guidelines apply to applications submitted on or after May 25, 2015***. Applications that include PDF attachments that do not conform to the minimum requirements listed below may be withdrawn from consideration. (Since some PDF converters may reduce font size, it is important to confirm that the final PDF document complies with the font requirements).

Text in PDF attachments must follow these minimum requirements:

- **Font size:** must be 11 points or larger (smaller text in figures, graphs, diagrams and charts is acceptable as long as it is legible when the page is viewed at 100%)
- **Type density:** must be no more than 15 characters per linear inch (including characters and spaces)
- **Line spacing:** must be no more than six lines per vertical inch
- **Text Color:** must be black (color text in figures, graphs, diagrams, charts, tables, footnotes and headings is acceptable as long as it is legible)

The following fonts are recommended, although other fonts (both serif and non-serif) are acceptable if they meet the above requirements.

- Arial
- Garamond
- Georgia
- Helvetica
- Palatino Linotype
- Times New Roman
- Verdana

NSF UPDATE

➢ National Science Foundation (NSF) Issues Revised Terms and Conditions

To parallel the recent changes made to the *Proposal & Award Policies & Procedures Guide(PAPPG)*, *NSF has revised the terms and conditions documents:*

- *Grant General Conditions* (***GC-1***)
  - (*Summary of Significant Changes to the GC-1*)
- *Cooperative Agreement Financial and Administrative Terms and Conditions* (***CA-FATC***)
  - (*Summary of Significant Changes to the CA-FATC*)

The revisions to the terms and conditions address the recent updates to the areas of Public Access, Dual Use Research of Concern, updates regarding animal welfare and a revised timeframe for submitting project reports.

The revised GC-1 will apply to new NSF grants and funding amendments to existing NSF grants issued on or after January 25, 2016, and similarly, the CA-FATC will apply to NSF cooperative agreements.

➢ NSF Issues Revised Grants.gov Application Guide

A revised version of the *NSF Grants.gov Application Guide* has been posted to the NSF website and is available electronically at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide0116&org=NSF.

This document is applicable to all applications submitted, or due, to NSF on or after January 25, 2016. Please refer to Page 2 of the Guide for a summary of the significant changes, clarifications and other changes. Any questions regarding the new Guide should be submitted electronically to policy@nsf.gov.

Summary of Significant Changes and Clarifications:

- **Overall Document,** The *Grants.gov Application Guide* has been updated to align with changes to NSF's *Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 16-1). Additionally, screen images of Grants.gov Research and Related (R&R) forms as well as NSF-specific forms have been deleted and replaced with a link to reference copies on the Grants.gov website.
- **Editorial changes**. Editorial changes have been made to either clarify or enhance the intended meaning of a sentence or section or ensure consistency with data contained in NSF systems or other NSF policy documents.
- **Chapter V - Section 5, R&R Senior/Key Person Profile (Expanded),** has been modified and moved to Chapter VI, NSF Specific Forms and Instructions.
- **Chapter VI, NSF Specific Forms and Instructions** has been revised to include a new Section 2. NSF R&R Senior/Key Person Profile (Expanded) has been modified to reference GPG Chapter II.C.1.e, and the form has been revised to include the capability to attach the required information about Collaborators & Other Affiliations as a separate single copy document. This new single copy document is used to provide information regarding collaborators and other affiliations for all senior project personnel. This information used to be provided as part of the Biographical Sketch. The new format no longer requires proposers to identify the total number of collaborators and other affiliations when providing this information.
- **Chapter VII – NSF Application Checklist,** has been revised for consistency with changes made in this Guide, as well as in the *Proposal & Award Policies & Procedures Guide, Part I: Grant Proposal Guide*.

➢ Updated NSF Program Announcements

- **Integrative Strategies for Understanding Neural and Cognitive Systems**
  NSF 16-508

  Phase II of the NSF-Neural and Cognitive Systems program has been revised with new program information and qualifications:

  - Two additional integrative research themes are introduced: ***Cognitive and Neural Processes in Realistic, Complex Environments;*** and ***Data-Intensive Neuroscience and Cognitive Science.***
  - Program expectations have been clarified with respect to risk, reward, and risk management; and strategy for maximizing a project's integrative impact.
  - INTEGRATIVE FOUNDATIONS proposals must include the following or they will be returned without review: The project summary must contain a separate statement labeled "**Integrative Value and Transformative Potential**," and the project description must contain, as separate sections within the narrative, sections labeled "**Integrative Strategy**" and "**Risk, Reward, and Risk Management**," as described in the solicitation.
  - An INTEGRATIVE FOUNDATIONS project may explicitly build on another associated project or projects (e.g., a proposed or funded NSF-NCS project, or a research or infrastructure project from another program), to synergistically advance the project goals.
  - CORE+ SUPPLEMENTS, formerly CORE+ EXTENSIONS, may provide additional support to new or existing projects. The process for new and existing projects is described in Section V of this solicitation.
  - Directorate participation in the proposal classes is as follows:
    INTEGRATIVE FOUNDATIONS: CISE, EHR, ENG, SBE;
    CORE+ SUPPLEMENTS: CISE, EHR, ENG.

  Letters of Intent submitted in response to this solicitation should be submitted in accordance with the current NSF Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 15-1) and are **due December 10, 2015**.

  Full Proposals submitted in response to this solicitation are **due January 26, 2016** and should be submitted in accordance with the revised NSF Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 16-1) which is effective for proposals submitted, or due, on or after January 25, 2016.

- **Integrated NSF Support Promoting Interdisciplinary Research and Education (INSPIRE)**
  NSF 16-023

  The INSPIRE pilot continues to support bold interdisciplinary projects in all NSF-supported areas of science, engineering, and education research in FY16. INSPIRE has no targeted themes and serves as a funding mechanism for proposals that are required both to be interdisciplinary and to exhibit potentially transformative research (IDR and PTR, respectively). Complementing existing NSF efforts, INSPIRE was created to handle proposals whose:

➢ Fall NSF Grants Conference Presentations

Presentation slides from the annual NSF Grants Conference, held November 3-5, 2015, are now available online You can see the slides at https://www.nsf.gov/bfa/dias/policy/outreach.jsp#regional

Agency Tip

eRA Commons - Application Compliance

➢ Manual Checks Made on Your Proposal Submission Once it is Received

- Does the topic of the application fit NIH's Mission?
- Is the applicant eligible to apply?
- Does the application include all critical sections?
- Does the application include information in inappropriate places to get around page limits?
- Was the application submitted on-time?
- Do you already have an application with essentially the same content under review?
- If reference letters apply, was the correct number of reference letters received by the due date?
- Did you follow font and margin guidelines documented in the application guide when preparing all your attachments?
- If requesting over $500K in direct costs in any budget period, did you have institute permission to submit?

➢ Ensuring Your Biosketch is Compliant

On November 5, NIH started sending email notifications to applicants indicating reviewers found one or more biosketches that did not comply with our current biosketch format (NOT-OD-15-032). Hundreds of letters have already gone out. If you've received one of these notifications, don't panic. These letters are currently just warnings and require no action on your part. However, they do demonstrate NIH's commitment to enforcing compliance with our biosketch policy.

Post Award Update

➢ eRA Commons Closeout Features

Grantees use the eRA Commons closeout feature to electronically file the information necessary to complete grant closeout requirements. eRA has created a video tutorial on using Commons to complete the necessary closeout requirements. The video covers using Commons to initiate the closeout process; identify grants for closeout; access required reports, and using final report additional materials or "FRAM" functions.

For more eRA Commons tutorials, visit era.NIH.gov.

Coeus Updates & Reminders

➢ Answering Brown's Internal Regulatory Questions on Proposals

Brown University's regulatory questions appear in the **Yes No Questions Section** of the Coeus Proposal Record. The question codes for these questions range from 0B03 > 0B09 & 0B23. These questions are used to identify any proposed compliance and regulatory items that are tracked by the Office of Research Integrity (ORI) or Environmental Health and Safety (EHS).

Recent Changes to the Yes No questions:

- Question ***0B05 – Generate Hazardous Waste*** has been removed from the list
- New Question Added – *0B23 - Nanomaterials*

ID	Question	Question Description
0B03	Recombinant DNA	DNA that has been formed artificially by combining constituents from different organisms or by artificial gene synthesis.
0B04	Potentially Infectious Agents, including human blood and tissues	Any work which involves an agent of biological origin that has the capacity to produce deleterious effects on humans, i.e. microorganisms, toxins, and allergens derived from those organisms; and allergens and toxins derived from higher plants and animals.
0B06	Biological Select Agents or Toxins	Bio-agents which since 1997 have been declared by the U.S. Department of Health and Human Services (HHS) or by the U.S. Department of Agriculture (USDA) to have the "potential to pose a severe threat to public health and safety".
0B07	Export Controls	Does the research involve physical export of pathogens, select agents, high performance computers, lasers, space-related equipment, GPS systems, military devices or related technology or involve travel to an embargoed country? Is any equipment being used for the research controlled under the ITAR and identified on the US Munitions List?
0B08	Biohazards	A risk to human health or the environment arising from biological work, especially with microorganisms.
0B09	Radioactive Materials or Radiation Producing Equipment	Ionizing radiation; either a sealed or unsealed source of radioactive material or an apparatus capable of producing x-rays.
0B23 NEW	Nanomaterials	A material having particles or constituents of nanoscale dimensions, or one that is produced by nanotechnology.

Training & Conferences

OSP & RAIS December Training Classes

NIH – NRSA Institutional Training (T) Grants **12/1/2015** This workshop will offer an in-depth Pre-Award and Post-Award overview of the National Institutes of Health (NIH) National Research Service Awards (NRSA) Institutional Training (T) Grants. It will define and review the various NRSA Training Grants Application requirements as well as provide guidelines on entering the proposals in Coeus.	**Effort Reporting** **12/2/2015** 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, Cost Transfers, Committed Effort, and NIH Salary Cap.
How Coeus populates your Grants.gov forms **12/3/2015** This hands-on workshop will explore how Coeus populates the SF-424 Research & Related Grants.gov forms. Participants will learn how the information in Coeus directly maps to the fields of the Grants.gov forms. The class is designed to assist users complete and better understand the data entry and narrative upload requirements for grant submissions entered in Coeus. Prerequisite: Coeus access and experience is required.	**Allocation of Costs** **12/3/2015** This session will focus on the costing principle of allocability; including the basic principles of allocation of costs and why it is necessary to properly document allocation methodologies. Guidelines for preparing and documenting allocation methodologies will be presented. Examples of appropriate allocation methodologies will be shared and case studies will be presented. Participants are encouraged to bring examples of allocation issues to the session for discussion.
Cost Sharing on Sponsored Projects **12/8/2015** This workshop is applicable to both Pre-Award and Post-Award, and will discuss cost sharing and its impact to the University and the federal regulations governing cost sharing on sponsored projects. Topics that will be discussed include: sources of funding, the difference between voluntary committed and voluntary uncommitted cost share, cost share prior approval process, tracking cost share expenditures and cost sharing best practices. A calculator is required.	**Traveling on Sponsored Funds** **12/9/2015** This workshop provides an overview of the requirements that apply to travel reimbursements when charged to a sponsored award. You will learn 1) what to consider before charging travel expenses to a sponsored account; 2) the documentation required; 3) what OSP staff consider when reviewing a travel expense report; and 4) additional considerations that apply to foreign travel. Avoid unnecessary delays in processing your travel reimbursements by attending this workshop.
ASSIST Training **12/10/2015** ASSIST is the NIH and other Public Health Service Agencies Application Submission System & Interface for Submission Tracking. This training will cover how to prepare, enter, and submit multi-project grant applications using the ASSIST system.	

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 Region I Spring Meeting 2016

- **Conference:** May 2- May 4, 2016 | Pre Conference Workshops: May 1, 2016 2016 | Falmouth, MA
  For more details, see http://ncuraregioni.org/spring-meeting.html

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