BROWN

RESEARCH ADMINISTRATION NEWSLETTER

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

NOVEMBER 2016

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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INSIDE THIS ISSUE

Research Administration Updates

Office of Sponsored Projects

➢ Winter Break Submission Schedule 2016/2017

Proposal Submissions

Brown will close at the end of your department's normal workday on **Thursday, December 22, 2016**, and will reopen at the beginning of your department's workday on **Tuesday, January 3, 2017**.

For all proposals with deadlines that fall during Winter Break the deadline to OSP/BMRA is **Wednesday December 14th by 5pm**.

For programs with deadlines in early January (AIDS and AIDS-Related Research and SBIR/STTR) please contact OSP /BMRA as soon as possible to establish a mutually acceptable submission schedule. The AIDS deadline moves to Monday January 9th in 2017.

Post-Award Materials

We very much appreciate your cooperation with submission of all financial data, including return of rough drafts and financial close-out materials well in advance of Winter Break. To demonstrate Brown's careful stewardship of external funds, it is important that we continue to submit timely reports to our sponsors.

➢ 2016 Outreach Program

OSP would like to thank all the departmental research partners who participated in our 2016 Outreach Program this past semester. We appreciate all the recommendations and constructive suggestions provided during those visits.

The team from OSP was comprised of staff from both Pre and Post Award. Overarching goals of the meeting were to build a solid and valued relationship with departments, improve our services to the research community, and identify and find resolution to outstanding issues. The outreach program will resume February 2017. We will send out communications to departmental research partners included in our next round of visits, before Winter Break.

➢ OSP Welcomes New Staff Member

OSP is excited to welcome Kyle McDonnell to the Post Award team as a Grants/Contracts Accountant II. Kyle worked previously as a Grants Administrator with Big Brothers Big Sisters of America and as a Senior Auditor with the Office of the Auditor General in Providence, RI. Kyle holds a MBA from the University of Rhode Island. He can be reached at 401-863-1746 and via email Kyle_McDonnell@brown.edu.

Office of Research Integrity

➢ Human Research Protection Program (HRPP) Updates

Food and Drug Administration (FDA) Updated Guidance: Collection of Race & Ethnicity Data

In October 2016, the FDA published an updated guidance document regarding the Collection of Race and Ethnicity Data in Clinical Trials. This document provides guidance on the collection of race and ethnicity in clinical trials, and provides recommendations on the two-step collection process for these data. This guidance replaces the 2005 FDA guidance on this topic.

All FDA guidance topics and documents can be accessed at a single location on the FDA's website, enabling investigators and research staff to efficiently search for specific guidance documents. If you have any questions about this updated guidance or FDA questions in general, please contact Christiana Provencal (Christiana_Provencal@brown.edu or 3-5729.)

➢ Animal Research Protection Program (ARPP) Updates

Administrative burden reduction: Important updates

In support of its ongoing efforts to reduce administrative burden, the IACUC has recently adopted several new measures:

- Conducting a 'Search for alternatives' is no longer required for non-USDA and non-Department of Defense (DoD)-funded protocols.
- Eliminated the need for an Amendment Request form for removing personnel, removing a funding source, or closing a protocol. Instead, please send these types of requests via email to IACUC@brown.edu.

***NEW* Guideline for the preparation, storage, handling and use of Tricaine Methanesulfonate (Tricaine-S, MS-222)**

The IACUC recently approved a new Guideline for the Preparation, Storage, Handling and use of Tricaine Methanesulfonate to help research investigators with appropriate preparation, storage and use of tricaine methanesulfonate (MS-222, Tricaine-S). All labs must switch to Tricaine-S MS 222 no later than *January 1, 2017*.

It is the responsibility of the Principal Investigator (PI) to institute adequate inventory and laboratory management procedures to ensure that tricaine methanesulfonate is properly prepared, identified, and stored. Tricaine methanesulfonate is a common agent used for both fish and amphibious species (i.e., frogs) for temporary immobilization, anesthesia and euthanasia. Due to the acidic nature of tricaine methanesulfonate, the solution must be prepared and buffered appropriately before use in any live, vertebrate aquatic species. Additionally, the *Guide for the Care and Use of Laboratory Animals, 8th Edition* states "The use of pharmaceutical-grade chemicals and other substances ensures that toxic or unwanted side effects are not introduced into studies conducted with experimental animals. They should therefore be used, when available, for all animal-related procedures." Thus, the pharmaceutical grade Tricaine-S (Western Chemical) is currently the only FDA-approved version of tricaine methanesulfonate, thus scientific justification in the IACUC protocol must be made if an alternative source (i.e., Sigma) is to be used.

Research Development

➢ Call for Nominations: Research Achievement Awards

The Office of the Vice President for Research (OVPR) is pleased to announce an inaugural Research Achievement Awards program during academic year 2016-2017 to recognize outstanding research achievements of Brown faculty. Five awards will be given annually that each carries a research stipend of $5,000.

Nominations are now open through December 20, 2016 on UFunds. OVPR invites nominations from deans, department chairs, center directors, colleagues and also invites self-nominations. Please see here for more information and contact Margaret_Manning@brown.edu with any questions.

➢ OVPR Internal Funding Opportunities

Grant Resubmission Awards

Deadline: Rolling

- Provide up to $15,000 for investigators to improve an already highly-rated proposal for re-submission.

OVPR's First Annual Research Networking Event: Health Disparities

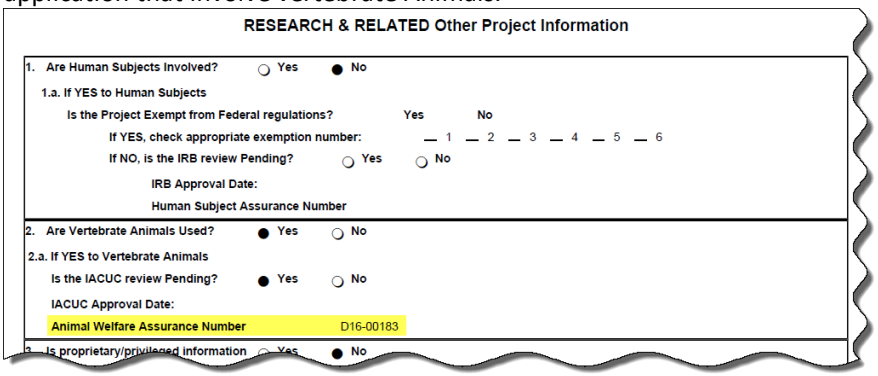
The 1st Annual Research Networking Event, focusing on health disparities, took place on October 25th. The purpose of the event was to create new and exciting collaborations across institutions and also launched a new $50,000 seed funding opportunity! Read more about reactions to the successful speed networking event.

Research Administration Information Systems

➢ Coeus Updated with Brown's New Animal Welfare Assurance Number

Effective this past July, the Office of Laboratory Animal Welfare (OLAW) implemented a new Animal Welfare Assurance database that utilizes a new numbering format (D00-00000). **Brown's new assurance number is D16-00183**.

We have updated Coeus so you will see this number on the Grants.gov form - *R&R Other Project Info* when submitting an application that involve vertebrate Animals.



RESEARCH & RELATED Other Project Information

1. Are Human Subjects Involved? ○ Yes ● No
   1.a. If YES to Human Subjects
   Is the Project Exempt from Federal regulations? Yes No
   If YES, check appropriate exemption number: 1 2 3 4 5 6
   If NO, is the IRB review Pending? ○ Yes ○ No
   IRB Approval Date:
   Human Subject Assurance Number
2. Are Vertebrate Animals Used? ● Yes ○ No
   2.a. If YES to Vertebrate Animals
   Is the IACUC review Pending? ● Yes ○ No
   IACUC Approval Date:
   Animal Welfare Assurance Number D16-00183
3. Is proprietary/privileged information ○ Yes ● No

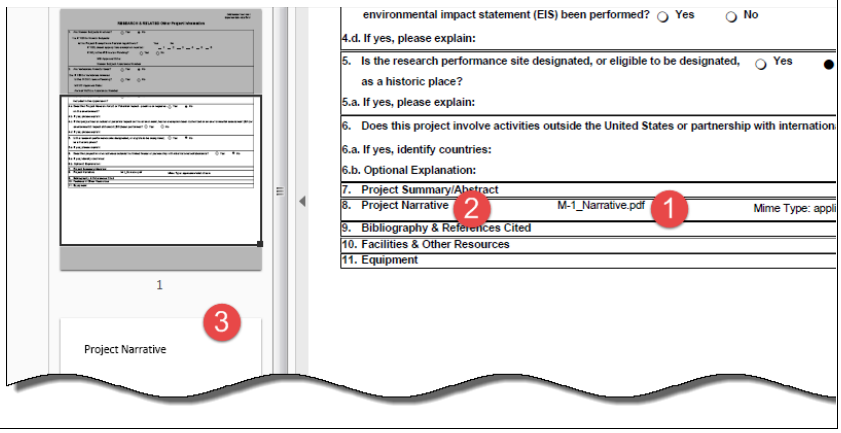
In addition, the institutional fact sheet has been updated: https://www.brown.edu/research/conducting-research-brown/preparing-proposal/proposal-review-submission-osp/institutional-facts-reference-documents

➢ 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:

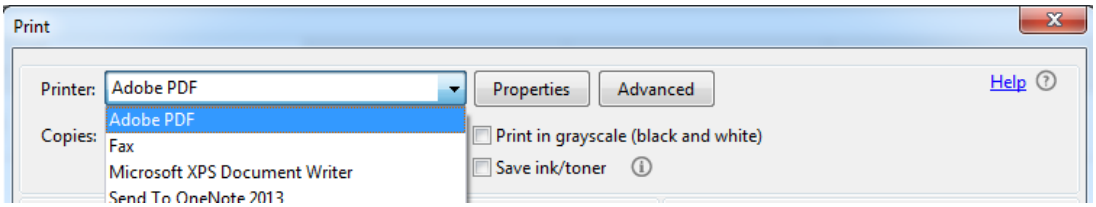
1. Review the file name that is displayed on the Grants.gov form to ensure it has no spaces, special characters, and includes a .pdf at the end
2. Ensure the PDF is appended to the correct field
3. Ensure the PDF is included within the pages of the specific Grants.gov form



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.

➢ NIH eRA Commons Browser Compatibility Announcement

In accordance with the Office of Management and Budget mandate that all publicly accessible Federal websites and webservices only provide service through a secure connection, eRA Commons has been working on strengthening the security of its modules, web services and websites.

Effective November 30, 2016, all eRA modules (eRA Commons, ASSIST, IAR and iEdison), web services and websites will use 'https only' secure connections.

With this change, you may need to review / update your browser settings. Below is a list of browsers and versions that are known to be compatible with these changes as well as supported by Brown University:

- Internet Explorer 11.x
- Mozilla Firefox 49.x
- Google Chrome 54.x

The other browsers listed below will work with the security upgrade, but are not included in the in the eRA Browser Compatibility statement:

- Chromium
- Opera version 12 and later
- Safari as of OS X Mavericks
- Microsoft Edge™ and Internet Explorer 11 on Windows 10

Contact the eRA Service Desk at http://grants.nih.gov/support/ (preferred method of contact) or call 1-866-504-9552/301.402.7469 with any questions.

➢ Having Trouble Logging into NIH eRA Commons?

The eRA Communications Office has published a helpful two page guide - 'Having Trouble Logging in to eRA Commons?' It walks you through the four most common issues related to logging into eRA Commons. It also contains a list of other errors, password guidelines, and how to contact the eRA Service Desk.

Sponsor / Agency Updates

DOD UPDATE

➢ Department of Defense (DoD) implementation of Code of Federal Regulations

Recently, six notices of proposed rulemaking to update the DoD Grant and Agreement Regulations were published in the Federal Register.

- Revised Interim Implementation of Government wide Guidance for Grants and Cooperative Agreements
- Definitions for DoD Grant and Agreement Regulations in Subchapters A Through F
- Format for DoD Grant and Cooperative Agreement Awards
- National Policy Requirements: General Award Terms and Conditions
- Cost-Type Awards to Nonprofit and Governmental Entities

The public can comment on these notices through **February 6, 2017**.

NIH UPDATE

➢ Implementation of Final Research Performance Progress Reports (Final RPPR) – Effective January 1

The National Institutes of Health (NIH) will replace the *Final Progress Report* (FPR) with the *Final Research Performance Report* (F- RPPR) for closeout effective January 1, 2017.

*On or after January 1, 2017, NIH will no longer accept FPRs. Any FPR submitted after January 1, 2017 will need to be submitted as an F-RPPR. Any other submission format will be rejected and you will need to resubmit in the Final RPPR format.

Background

NIH implemented the interim RPPR in 2012 as a uniform report to annually capture grant recipient progress and compliance with the terms of the award. As a result of the roll-out of the RPPR, an interagency workgroup tasked with developing a standard format for use in reporting final progress announced the RPPR is to be used for final performance progress reporting.

Some Key differences between the Annual RPPR and Final RPPR

- NIH will not maintain the current Type 2 policy which in accordance with NIHGPS Chapter 8.6.2 states that "whether funded or not" the progress report contained in the Type 2 application may serve in lieu of a separate final progress report.
- New requirement to report on Project Outcomes which will be made publicly available.
- Not all sections will be part of the final report. For example, *Section D – Participants*; *Section F – Changes*; and *Section H – Budget* will not be part of the Final RPPR.

For further details about this implementation, please see Not-OD-17-022.

FAQs and additional information pertaining to NIH's implementation of the F-RPPR will be available on the NIH RPPR website.

➢ *New* - Electronically Request Prior Approval for Direct Costs Greater than $500K

A principal investigator (PI) needs to seek prior approval from the National Institute of Health (NIH) before submitting a grant application with direct costs of $500K or more for a single budget year. NIH has recently developed a way to provide an option to electronically submit these prior approval requests through eRA Commons.

The Invite to Initiate a $500K Request

The PI may reach out via email or phone to the Program Official (PO) at the Institute/Center (IC) with whom they have been working concerning the $500K request, per current practice. The PO can then choose to invite the PI to initiate the prior approval request through eRA Commons. The initiation of the request will trigger an email notification to the PI and to the email address listed for receiving the Notice of Award (NoA) on the Institutional Profile screen.

PI Action

Upon being notified, the PI will go into eRA Commons and go to the Prior Approval tab along the top navigation menu. The PI will find two options and should click *List my Requests*. The PI will find the $500K Request under the column Request Type, with a status of "In Progress PI," and should click the "Modify" link.

The Prior Approval Request $500K screen will open. The screen is pretty straightforward with a few required fields, such as Project Title, Funding Opportunity Announcement (FOA) number, and Anticipated Submission Date. The PI will need to provide a short justification (just 500 characters) for the request, with up to 10 supporting documents allowed. Based on the PI's preference, he or she can route the request to the Signing Official (SO) for review, or submit directly to NIH.

SO Action

If the PI has requested that OSP/BMRA review and submit this prior approval request, the SO will login to eRA Commons and go to the Prior Approval tab.

Next Steps

If the request is approved by the Program Official at the IC, the PI will receive an email from the Program Official. When the error free application is received by NIH, this application will be matched with the $500k approval from the IC and the application will move through the normal process.

For the moment, this is an option for the submission of $500K requests. However, as we continue to move from all paper processes to a formal electronic environment, this option may become a requirement as we seek solutions that provide accountability, transparency and improved reporting capabilities.

There are other features (status and history), which you can read about in the Prior Approval section of the eRA Commons Online Help.

For more information, please see Guide Notice NOT-OD-17-005.

Also, coming soon will be two new video tutorials on Prior Approval. One focuses on the request to withdraw an application, and the second demonstrates the process of $500K requests as described above.

NSF UPDATE

➢ NSF Proposal & Award Policies & Procedures Guide

A revised version of the NSF *Proposal & Award Policies & Procedures Guide* (PAPPG), (NSF 17-1) has been issued. The PAPPG has been modified in its entirety, to remove all references to the *Grant Proposal Guide* (GPG) and *Award & Administration Guide* (AAG). The document will now be referred to solely as the NSF *Proposal & Award Policies & Procedures Guide*. The document will be sequentially numbered from Chapter I-XII and all references throughout have been modified to reflect this change. Given the number of important revisions, the community is strongly encouraged to review the by-chapter summary of changes provided at the beginning of the PAPPG.

The new PAPPG will be effective for **proposals submitted, or due, on or after January 30, 2017**. In addition to the significant change mentioned above, other revisions include:

- Addition of new sections on Special Processing Instructions and Types of Proposals, including two new types, Research Advanced by Interdisciplinary Science and Engineering (RAISE) and Grant Opportunities for Academic Liaisons with Industry (GOALI);
- Additional instructions for proposers on completion of the Collaborators and Other Affiliations information;
- Supplemental guidance on submission of proposals by organizations impacted by a natural or anthropogenic disaster;
- Implementation of 45 CFR 690.118 for applications and proposals lacking definite plans for involvement of human subjects;
- Update on the type of information that NSF may request from proposers with regard to Federal environmental statutes;
- Supplemental information regarding treatment of NSF awards with canceled appropriations; and
- Numerous other changes and clarifications throughout the document.

A webinar to brief the community on the new PAPPG will be held on **January 19th at 1 PM EST**. Registration is required on the outreach events website.

While this version of the PAPPG becomes effective on January 30, 2017, in the interim, the guidelines contained in the current PAPPG (NSF 16-1) continue to apply.

If you have any questions regarding these changes, please contact the Policy Office by phone (703) 292-8243 or by e-mail to policy@nsf.gov.

Training & Conferences

OSP & RAIS November / December Training Classes

The Office of Sponsored Projects and the Research Administration Information Systems team 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.

NIH – NRSA Institutional Training (T) Grants **12/1/2016** This workshop will offer an in-depth pre 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 tips on entering the proposals in Coeus. Participants will become familiar with the key components of a training grant application (e.g. eligibility, content, forms, budget requirements, etc.) and with Coeus-Training Grants specific requirements. The training will culminate with a review of some of the most troublesome and confusing aspects of administering a training grant once awarded	**Allocation of Costs** **12/2/2016** 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.
Effort Reporting **12/6/2016** 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.	**Sub Contracts Demystified** **12/9/2016** This session explores the process of issuing subcontracts from Brown University to other organizations under our sponsored awards. The course covers the difference between subcontracts and procurement, what is required at the proposal stage, what is required at the award stage, risk assessment and subcontract modification and close-out.

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 – Research Administrators Discussion Group (RADG)

- Discussion Group: December 6, 2016 | Cambridge, MA
  - Discussion Topics include:
    - Two key organizations to Research Administration: the Federal Demonstration Partnership (FDP) and the Council on Governmental Relations (COGR).
    - NSF's Grants operation

For more For more details, see NCURA Region I - Research Administrators Discussion Group (RADG)
Registration: http://ncuraregioni.org/radg-meetings.html

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