Research Administration Training

Using OSP Resources to Facilitate Application Preparation

September 28, 2016
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### Team Black
- SPA Sr/Team Lead - Tammy LeBlanc
- SPA II - Pam Harney
- SPA I - Heather Morello

### Team Blue
- SPA Sr/Team Lead - Jason Brown
- SPA II - Jim LeBlanc
- SPA I - Andrea Sjostedt

### Departments
- Anesthesiology
- Animal Medicine
- Cell & Developmental Biology
  - Wellstone Program
- Commonwealth Medicine (excluding Shriver)
- Dermatology
- Emergency Medicine
- Environmental Health & Safety
- Graduate School of Biomedical Sciences
- Library
- Medicine:
  - Cardiovascular Medicine
  - Diabetes
  - Endocrinology
  - Gastroenterology
  - General Medicine
  - Geriatric Medicine
  - Hematology/Oncology
  - Hospital Medicine
  - Infectious Diseases & Immunology
  - Preventive & Behavioral Medicine
  - Pulmonary
  - Renal Medicine
  - Rheumatology
- Microbiology & Physiological Systems
- Molecular Cell and Cancer Biology
- Neurology
- Newborn Screening
- Quantitative Health Sciences
- Student Affairs
- Biochemistry & Molecular Pharmacology
- Bioinformatics & Integrative Biology
- Center for Clinical & Translational Sciences
- Diabetes Center for Excellence
- Drugs of Abuse Laboratory
- Family Medicine & Community Health
- Gene Therapy Center
- Graduate School of Nursing
- UMass Biologics
- Meyers Primary Care Institute
- Molecular Medicine
- Neurobiology
- OB/GYN
- Office of Global Health
- Office of Medical Education
- Office of Research
- Ophthalmology
- Orthopedics
- Otolaryngology
- Pathology
- Pediatrics
- Program in Systems Biology
- Psychiatry
- Radiation Oncology/QARC
- Radiology
- RNA Therapeutics Inst (RTI)
- Shriver Center
- Stem Cell Biology
- Student Services
- Surgery
Proposal Elements of Review

• Proposal Routing Form (must be complete and signed by PI, Department Administrator and Chair).

• Summary Disclosure of Financial Interests (eSDFI) for all individuals meeting the Investigator definition required to be completed prior to submission of application.

• Detailed Internal Budget – either the Internal Budget Spreadsheet located on the OSP website or any other spreadsheet that provides budget category detail using appropriate UMMS rates.

• EXCEPTION: If you are submitting an NIH fellowship or a modular grant with no excluded budget categories, a detailed internal budget is not required.

• Budget Justification:
  – Personnel justification showing effort and roles of all personnel if the submission includes a modular budget
  – Detailed budget justification if non-modular proposal

• Copy of sponsor guidelines if responding to an RFA or PA other than PA-16-160 (Parent R01) or if sponsor requests a specific format or articulates budget restrictions.
Proposal Elements of Review Subrecipient Documentation

- Signed Letter of Intent or Signed Face Page (for NIH proposals)
- Approved budget and justification
- Scope of work
- Checklist page (for NIH proposals)
- Copy of institution’s F&A Rate Agreement
PeopleSoft Routing Form

Common Errors/Omissions:

1. Submit Status
   - Choose “Submit for Approval”

2. Department/Division
   - If there is a Division, enter it

3. Contact Information
   - Should reference person able to answer questions about proposal

4. Dates
   1. Requested Return is when department would like approved proposal returned
   2. Due to Sponsor is the sponsor’s deadline date

5. Foreign Component
   - ‘Yes’ or ‘No’ dependent on FPR form

6. Due By method & time of day
   - Method is almost always ‘Receipt’

7. Subawardees/Subrecipients
   - Both budget entries are Total Costs, entered as ‘Level 2 Direct Costs’

8. Cost-Sharing/Indirect Costs
   - Indirect rate limited or not allowed by sponsor is not cost sharing

9. Co-Investigators - use Co-PI in PS

10. Certifications
    - Always choose ‘A025 – Animal’ and ‘H001 – Human’; other designations not presently in use
PeopleSoft Routing Form
Signature Page

Significance of Each Required Signature:
1. Principal Investigator
2. Department Administrator
3. Department Chair

Should any of the required signatories be unavailable at the time of submittal to OSP, please use the Proposal Approvals – Signature Checklist Form found on the OSP web site: http://www.umassmed.edu/research/rfsform.aspx
Cost Sharing Requests

• Voluntary Cost Sharing on proposals requires the approval of the Department Chair.

• Email of Chair’s approval should be forwarded to the Assistant Vice Provost, Sponsored Programs for consideration.

• Documented sponsor mandated cost sharing does not require Office of Research approval.
Indirect Cost Waiver Requests

• Indirect Cost Waiver requests require the Department Chair’s approval.

• Once secured, Chair’s approval should be emailed to the Assistant Vice Provost, Sponsored Programs for consideration.

• Please be aware that any waiver/reduction requests may impact RTF distributions to departments.
Minimum Effort Requirements

- Per the UMMS Effort Commitments and Salary Charges on Sponsored Projects policy, each Primary Individual shall commit at least 1% effort to each sponsored project, including clinical research studies, in which he or she is responsible for proposing, conducting, or reporting the results of the project.
  - A Primary Individual is a person listed as a PI, project director, co-investigator, co-project director, or those with comparable responsibilities on a sponsored project. A Primary Individual typically, but not always carries an academic appointment.

- Exceptions to the minimum level of effort requirement may include awards for equipment and instrumentation grants; doctoral dissertation grants, and limited purpose grants such as travel / conference support and administrative supplements.

- In the case of an institutional training grant, at the time of award effort commitments are required only of the Project Director and those faculty who are actually supervising individual trainees.

- Individuals other than faculty may recover up to 100% of their salaries on sponsored project(s) only if such recovery is commensurate with their duties on the sponsored project(s) and that no duties outside of the sponsored project(s) are performed including preparation of additional sponsored proposals, Medical School committee appointments, or other services to the Medical School.

- Institutional approval of 100% effort is not required for non-faculty individuals.

Ensuring Proposal Submit Dates are Captured in PeopleSoft/SUMMIT

• The Pre Award Dashboard in SUMMIT contains important information regarding proposals for sponsored funding including budget figures, key personnel data and demographic information. All information comes directly from the pre-award data captured in PeopleSoft.

• For non-Cayuse proposals submitted that appear as “In Process” without a Date Submitted in SUMMIT, please use the RFS Submitted Proposal Form link to update the status, otherwise the dashboard data will not reflect the correct submittal information for your unit.

• Please note that this is not an electronic process. The form must be completed and submitted to OSP at research.funding@umassmed.edu for updating.

• A job aid is available on Financial Services website at:
  –  http://inside.umassmed.edu/uploadedFiles/Pre%20Award%20Dashboard_040314.docx
OSP Website Tools

• Sponsored Programs Fact Sheet
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Sponsored Programs Fact Sheet

UMMS Institutional Information for Sponsored Projects

**Applicant Organization for all grant proposals:** University of Massachusetts Medical School

**Legal Entity for contracts and agreements:** University of Massachusetts, Worcester

**Institution Type:** Public/State-Controlled Inst. of Higher Education

**DUNS Number:** 603847393

**NIH IPE Number:** 0850903

**NSF Organization ID:** 0097568000

**County:** Worcester

**Congressional District:** MA–002

**Federal Wide Assurance (FWA) Number:** 000040009

**Animal Welfare Assurance (AWA) Number:** A3306-01, effective 11/27/2012 – 11/30/2016

**Date of AAALAC Accreditation:** November 15, 2013 – Site #000343

**Federal Tax Exemption Status:** Exempt under IRC §115 – State University

**Federal Tax ID Number (TIN):** 04-3167352

**Entity Identification Number (EIN):** 1043167352A1

**NAICS Code:** 611310

**CAGE Code:** 66R004

**FICE Number:** 009756

**System for Award Management (SAM) Expiration Date:** 12/8/2016

**Current NIH Salary Cap:** $185,100

**UMass Medical School W-9 Form**

**DHHS Indirect Cost Rate Agreement, 4/5/16**

**Cognizant Agency:**
US Department of Health and Human Services
POC: Michael Stanko, HHS Representative
26 Federal Plaza, Rm. 41–122
New York, NY 10278
(212) 264–2069

http://www.umassmed.edu/research/funding/facts/
New Investigator Requirements

New and/or first-time UMMS employees with intentions to submit sponsored-project applications are required to sign the UMMS Participation Agreement and acknowledge receipt of the institutional conflict of interest and intellectual property policies before being granted Principal Investigator status.

The forms and policies are listed below. Once completed, please forward the original signature page from each agreement to the OSP front desk, room S1-855.

Forms:

- Participation Agreement (includes Intellectual Property policy)
- Acknowledgement Form (Includes Conflict of Interest policy)

Once these agreements are signed, the next step is to request an eRA Commons ID or to affiliate your existing ID with UMMS. Please use the eRA Commons Account Request Form to initiate this request.

New faculty, postdocs and graduate students intending to submit grant or fellowship proposals to federal funding agencies via Grants.gov, as well as those providing their administrative support, will require a Cayuse account. Please e-mail to Sponsored Programs the following information:

http://www.umassmed.edu/research/funding/new-investigator-requirements1/
Grant Transfers

**Grant Transfers**

This web page is intended to provide guidance to researchers transferring grants to the UMass Medical School (UMMS) and to UMMS researchers leaving the institution who require guidance on how to address/transition their existing grants. All researchers requiring grant transfer assistance are requested to contact their departmental administrator to initiate any transfer processes. Please refer to the procedure documents below, as well as the form requirements, checklist and notification form that follow each respective category.

**For Grant Transfers to UMMS (Incoming):**
- Procedure for Incoming Grant Transfers from Another Institution
- UMMS Incoming PI - Award Transfer Checklist
- UMMS Incoming PI - NIH Forms and Transfer Requirements
- UMMS Incoming Fellow - NIH Fellowship Forms and Award Transfer Requirements

**For Grant Transfers from UMMS (Outgoing):**
- Procedure for Grant Relinquishments/Transfers from UMMS
- UMMS Departing PI - Award Transfer Notification
- Calculation Spreadsheet for Relinquishing Statement

Should you have any questions regarding grant-transfer guidance, please contact Sponsored Programs at 508-856-2119 or via email at research.funding@umassmed.edu

http://www.umassmed.edu/research/funding/granttransfer/
Electronic Research Administration

Electronic Submission of Grant Applications

Investigators MUST have a Commons account in order to submit an NIH grant electronically. To request an account or a change to an existing account, Please complete an eRA Commons Account Request Form, found on the OSP Forms page. Once registered, you can access the Commons to get information on your submitted applications. The account creation and validation process can take up to 3 days so please do not wait until the last minute or you may miss a deadline.

Electronic Progress Reports (RPPRs) will continue to be submitted via the NIH Commons.

Cayuse 424 is our system-to-system vendor for most electronic applications to the federal agencies via Grants.gov. Please contact Office of Sponsored Programs for Cayuse account and formal training information.

Other Federal Sponsor Sites

UMMS is already registered in the CCR/SAM as an authorized organization to submit proposals in Grants.gov. Please do not attempt to register the institution again or try to obtain a new DUNS number for grant application purposes. You must use the UMMS DUNS [603847393] in order to apply for a grant via Grants.gov.

OSP must receive the complete electronic grant application package at least 2 working days prior to the deadline if OSP is the final submitter. If you would like OSP to submit your application for you, please email Diego Vazquez or Janice Lagacé for submission.

NSF: NSF FastLane (https://www.fastlane.nsf.gov/fastlane.jsp) requires institutional submittal as well – Check your Program Solicitation under “Proposal Preparation and Submission Instructions”

The required elements and FIVE business days for review and approval of administrative components have not changed for electronic submission.