Research Funding Services Brown Bag



Agenda Effort Commitments & Salary Charges on Sponsored Projects - Request for Faculty Exception from 95% Maximum Sponsored Effort Form **NIH Updates** - Continuing Resolution Update eRA Commons Users Can Now Generate a Publications Report for the PHS 2590 with MyNCBI - NIH Policy on Post-Submission Application Materials - Research Performance Progress Report (RPPR) - Application Submission System & Interface for Submission Tracking (ASSIST) New Grant Transfer Guidance Web Page - Guidance for Incoming and Outgoing Transfers FCOI Update Announcements Updated Proposal & Progress Report Statistics University of Massachusetts Medical Schoo umassmed.edu

Effort Commitments & Salary Charges on Sponsored Projects

- Policy 10.06.05 Effective Date 10-1-12
- Faculty may commit and/or fund up to 95% of their UMMS effort annually on sponsored projects. Only in exceptional circumstances should faculty research effort and salary exceed 95%.
- Exceptions over 95% must be preapproved in writing, on an annual basis, by the Department Chair and the Assistant Vice-Provost, Research Funding Services.
- Use the Faculty Exception From 95% Maximum Sponsored Effort Rule Form available on the RFS Forms page at:

- <u>http://www.umassmed.edu/research/rfsform.aspx</u>

Request for Faculty Exception from 95% Maximum Sponsored Effort Rule Form

- Per Effort Policy 10.06.05, UMMS faculty cannot be committed and/or funded 100% off of sponsored awards if they do ANY teaching, grant writing, serve on committees or perform any other UMMS administrative duties.
- Exceptions over 95% must be preapproved in writing, on an annual basis, by the Department Chair and the Assistant Vice Provost, Research Funding Services.

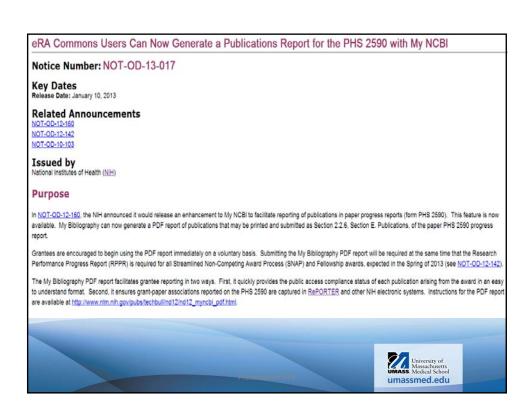
Date Requested:	Requestor Contact:
Faculty Name:	Tel #:
Department:	E-Mail:
Start Date:	
	in 95% of my salary to sponsored sources of funds is appropriate because my activities include any of the following:
1.	Proposal Preparation
2.	Teaching
3.	Academic work on behalf of UMMS
4.	Administrative Work on behalf of UMMS
5.	Student advising
	Public service
	ruos active
Please describe th	
Please describe th	e unusual circumstances:
Requested Percer	e unusual circumstances:
Please describe th Requested Percer Signatures Faculty Member:	e unusual circumstances: tage of Sponsored Activity: Date:
Please describe th	e unusual circumstances: tage of Sponsored Activity: Date: Date:
Please describe th Requested Percer ignatures aculty Member: Department Chair Research Funding	e unusual circumstances: tage of Sponsored Activity: Date: Date:
Please describe th Requested Percer Signatures Faculty Member: Department Chair Research Funding	e unusual circumstances: tage of Sponsored Activity: Date: : Date: : Date:

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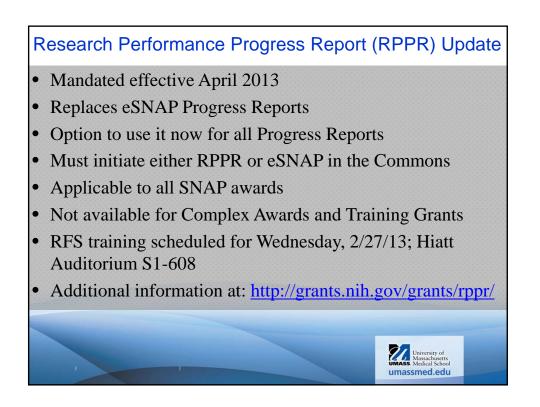
Update - NIH Continuing Resolution

- NIH Notice NOT-OD-13-018; Released 1/2/13
 - NIH continues to operate under a Continuing Resolution as described in Notice OD-13-002; released 10/11/12.
- The CR continues government operations through March 27, 2013 at the FY 2012 level plus 0.6 percent.
- Until FY 2013 appropriations are enacted, NIH will issue non-competing research grant awards at a level below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level). This is consistent with NIH's practice during the CRs of FY 2006 2012.
- Upward adjustments to awarded levels will be considered after FY 2013 appropriations are enacted but NIH expects institutions to monitor their expenditures carefully during this period.
- All legislative mandates in effect in FY 2012 remain in effect under the CR, including the salary limitation set at Executive Level II of the Federal Pay Scale (\$179,700), which was effective with grant awards with an initial Issue Date on or after December 23, 2011 (see NOT-OD-12-034 and NOT-OD-12-035).

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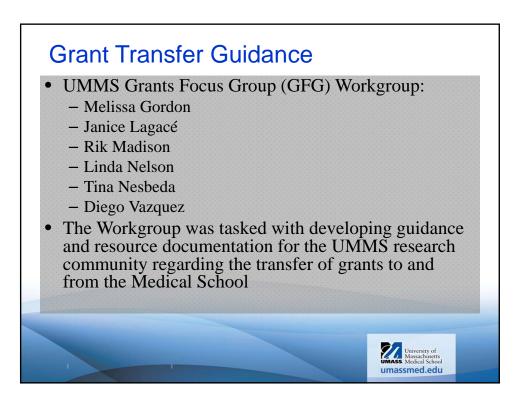
Reminders and Updates: NIH Policy on Post-Submission Ap	plication Materials
Notice Number: NOT-OD-13-030	
Key Dates	
Release Date: January 29, 2013	
Policy	
Post-submission application materials are those submitted after submission of the grant application but prior to specifies that, for the majority of applications, the only post-submission materials that the NIH will accept are ti an unexpected event such as the departure of a participant, natural disaster, etc. has occurred, not to correct	hose resulting from unforeseen administrative issues, an option to be used when
The list of acceptable post-submission materials in the policy includes:	
 Revised budget page(s) (e.g., change in budget request due to new funding or institutional acquisition Biographical sketches (e.g., change in senior/key personnel due to the hiring, replacement, or loss of 1 Letters of support or collaboration resulting from a change in senior/key personnel due to the hiring, replacement, or loss of 1 Adjustments resulting from natural disasters (e.g., IDR) moves to another university) Adjustments resulting from change of institution (e.g., IDR) moves to another university) News of an anticle accepted for publication (a copy of the article should not be sent) 	an investigator)
Effective immediately, the following changes will be implemented:	
 News of a professional promotion or positive tenure decision for any Program Directors/Principal Investigat application material. The news must be received by the Scientific Review Officer one month (30 calendar day Authorized Organization Representative (AOR) of the applicant organization. 	
 The policy provides exceptions for applications submitted in response to RFAs that have a single due date dates, the policy is revised through this Notice to apply those exceptions to applications submitted for the last 	
 The policy lists acceptable post-submission materials for institutional training and training-related grants [n "appointments and/or achievements". With this policy, the following types of information will be accepted: 	ot fellowships (F series) or career (K series)] applications, including
 News of a trainer's or former trainer's graduation, employment, promotion, funding, publication or othe News of a faculty member's promotion, funding, publication, or other professional achievement since the News of an additional faculty member who will be involved in the training activity. 	
All other requirements and exceptions specified in NOT-OD-10-115 remain in effect.	
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	umassmed.edu

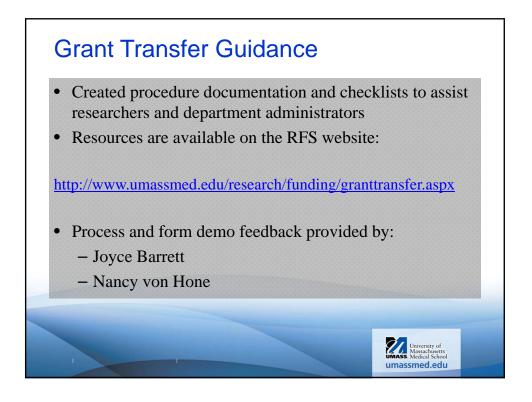


Electronic Submission of Multi-Project Applications (ASSIST)

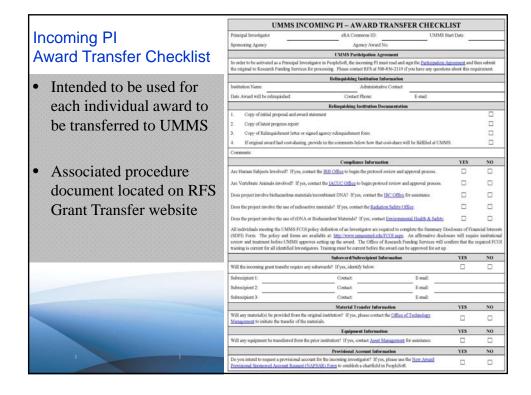
- NIH plans to transition all multi-project applications to electronic submission using the SF 424 (R&R) form set by January 2014.
- November 2012 Launched ASSIST and began issuing a series of pilot funding opportunity announcements of varying activity codes that will require electronic submission for due dates between January and September 2013. These FOAs will be listed on the multi-project application electronic submission transition timeline as they are published;
- September 25, 2013 All applications submitted in response to FOAs with the following activity codes intended for September 25, 2013 due dates and beyond will require electronic submission: P01, P20, P50, R24, U24, U19;
- January 25, 2014 All applications submitted in response to FOAs with the following activity codes intended for January 25, 2014 due dates and beyond will require electronic submission: G12, P30, P40, P41, P42, P51, P60, R28, U10, U41, U42, U45, U54, U56, UC7, UM1.
- Organizations that use system-to-system solutions to transmit applications via data stream to Grants.gov rather than using the Grants.gov forms will be able to send multi-project applications through Grants.gov using the same interfaces they do now.

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University of Massachusetts UMASS Medical School	Research 🧭 Funding
OVPR Home Research Funding	Clinical Research Compliance Core Facilities Clinical/Translational Science Research Training
OVPR Home Research Funding RFS Home Fact Sheet Forms Research Policies & Procedures Funding Opportunities Electronic Research Administration NIH Proposal Information Contracts & Subcontracts Post-Award Information Grant Transfers Brown Bag Schedule Contact Us	Clinical Research Compliance Core Facilities Clinical/Translational Science Research Training 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 that 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 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
	Should you have any questions regarding grant-transfer guidance, please contact Research Funding Services at 🕮 - 508-856-2119 🛛 or via email at research.funding@umassmed.edu



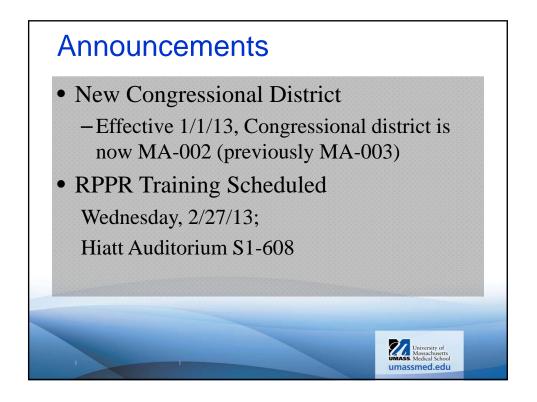


	UMMS DEPARTING PI – AWARD TRANSFER NOTIFICATION							
Outgoing PI	Principal Investigator:	Agency and Award No. (e.g. NIH R01 GM12345)						
U	Department: Administrative Contact, Phone & Email #:							
Award Transfer Notification	(a) Date PI will leave UMMS:	Date that award will be relinquished at UMMS:						
	(b) Has all committed cost sharing been met	□ No		N/A				
• Intended to be used for	(c) Does this award involve one or more sub	🗌 Yes		No				
	If yes, has the Pl/dept notified the s Name of the subcontractor(s):	ubcontractor(s) of the pending transfer?	☐ Yes		No			
each individual award to		the subcontracted back to UMMS by the new institution agrees, or to cover work that will not be transferred?	🗌 Yes		No			
be transferred from	(e) Has the PI discussed notified the funding If yes, please provide any relevant detail		🗆 Yes		Nø			
UMMS	(f) Name of the new institution where the P	i intends to transfer the award :		-				
UMINIS	(g) New Institution Admin Contact:	Xame Phone	Emai	-				
• • • • • • • • • • • • • • • • • • •	DEPARTM	MENT CHECKLIST	Yes	No.	Completed			
Associated procedure	 (a) Personnel appointed to this award should that will not be retained must be notified 	be transferred off the project by the relinquishment date. Personnel in accordance with UMMS HR policy.						
document located on RFS		effort in the ECRT system prior to their departure from UMMS.						
Grant Transfer website		er the award, or does the award involve use of patented material or under a Material Transfer Agreement? If yes, contact the <u>Office of</u>						
	(u) was any equipment of damateried to the If yes, please specify and contact Asset N							
	(c) Does the transferring project have any of							
	Human Subjects Research (IRB)	If yes contact the IRB office to closeout the protocol.						
		contact the IACUC office to closeout the protocol and arrange						
	Biohazardous Material/Recombina If yes, contact EHds for anistance v	ant DNA (Environmental Health & Safety) etth disposal/bransfer of materials.						
	Radioactive Materials If yes, conte of materials	act the Radiation Safety Dept. for assistance with disposal transfer						
	(f) Agency-Specific Transfer Forms requires	đ:						
	NIH: PHS 3734 (Relinquishment Fo	rm)						
	NIH: PHS 568 (Final Invention State	ement)						
	Other: (specify):							

FCOI Update

- 1,471 UMMS faculty/staff have completed the FCOI training
- Institutional FCOI policy applicable to all UMMS sponsored project activity (not just PHS)
- Reminder all individuals identified on the SDFI form must have completed FCOI training before a project can be set up







SUBMISSIONS TO RFS 1/1/12 – 12/31/12												
PROPOSALS	January	February	March	April	Мау	June	ylul	August	Septembe	October	Novembei	December
Count	136	119	95	61	104	100	84	62	100	125	75	75
On Time	60%	61%	45%	33%	51%	50%	50%	60%	62%	50%	41%	43%
Late	36%	33%	48%	57%	40%	43%	48%	35%	37%	48%	49%	48%
After the fact	4%	6%	7%	10%	9%	7%	2%	5%	1%	2%	9%	9%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	24%	23%	35%	39%	31%	31%	29%	26%	22%	31%	29%	35%
(3 days or less) On Time: Received by RFS 5 days prior to the requested return date. Late: Received by RFS less than 5 days prior to the requested return date. After the Fact: Received by RFS after the requested return date. Expedited Request: Received by RFS with 3 days or less to review before requested return date. University of Massachusetts University of University												

PROGRESS REPORTS	January	February	March	April	Мау	June	July	August	September	October	November	December
Count	34	41	40	45	39	29	26	10	11	23	22	20
On Time	50%	41%	45%	47%	34%	38%	23%	30%	37%	26%	27%	55%
Late	47%	49%	38%	42%	56%	41%	62%	50%	27%	43%	41%	25%
After the fact	3%	10%	17%	11%	10%	21%	15%	20%	36%	30%	32%	20%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	44%	41%	30%	29%	31%	17%	31%	30%	0%	35%	36%	10%
On Time: Received by RFS 5 days prior to the requested return date. Late: Received by RFS less than 5 days prior to the requested return date. After the Fact: Received by RFS after the requested return date. Expedited Request: Received by RFS with 3 days or less to review before requested return date.												

		SIONS TO 2 SUMMA	_	
		PROPOSALS	PROGRESS REPORTS	
	Count	1,163	348	
	On Time	51%	39%	
	Late	44%	47%	
	After the fact	5%	14%	
	Total	100%	100%	
	Expedited Request (3 days or less)	29%	32%	
Late: After the Fact:	Received by RFS 5 days prior to the req Received by RFS less than 5 days prior Received by RFS after the requested re Received by RFS with 3 days or less to	to the requested return d eturn date.	return date.	University of Massachusetts Medical School smed.edu

University of Massachusetts Medical School Request for Faculty Exception From 95% Maximum Sponsored Effort Rule

Date Requested:	 Requestor Contact:	
Faculty Name:	 Tel #:	
Department:	 E-Mail:	
Start Date:		

Charging more than 95% of my salary to sponsored sources of funds is appropriate because my activities at UMMS will not include any of the following:

- 1. Proposal Preparation
- 2. Teaching
- 3. Academic work on behalf of UMMS
- 4. Administrative Work on behalf of UMMS
- 5. Student advising
- 6. Public service

Please describe the unusual circumstances:

Doguostad	Dercentage	fenoncorod	Activity
Requested	Percentage c	i sponsored	ACTIVITY:

Signatures

Faculty Member:	Date:	
Department Chair:	Date:	
Research Funding:	Date:	

Send the completed form to the UMMS Effort Coordinator

Note:	This form should be completed and/or updated for any salary changes that result in faculty sponsored effort above 95%
	This form must be resubmitted each fiscal year any faculty members with sponsored effort over 95%

UMMS INC	OMING PI – AWARD TRANS	FER CHECKL	IST				
Principal Investigator	eRA Commons ID:	UMMS Sta	rt Date:				
Sponsoring Agency	Agency Award No.		3. .				
	UMMS Participation Agreement						
	stigator in PeopleSoft, the incoming PI must read and for processing. Please contact RFS at 508-856-2119						
	Relinquishing Institution Information	ž.					
Institution Name:	Administrative Contact:						
Date Award will be relinquished:	Contact Phone:	E-mail					
	Relinquishing Institution Documentation	on					
1. Copy of initial proposal and award	statement						
2. Copy of latest progress report							
3. Copy of Relinquishment letter or si							
4. If original award had cost-sharing,							
Comments:							
	Compliance Information		YES	NO			
Are Human Subjects Involved? If yes, con	tact the IRB Office to begin the protocol review and	approval process.					
Are Vertebrate Animals involved? If yes, o							
Does project involve biohazardous materia							
Does the project involve the use of radioac							
Does the project involve the use of rDNA of							
All individuals meeting the UMMS FCOI policy definition of an Investigator are required to complete the Summary Disclosure of Financial Interests (SDFI) Form. The policy and forms are available at: <u>http://www.umassmed.edu/FCOI.aspx</u> . An affirmative disclosure will require institutional review and treatment before UMMS approves setting up the award. The Office of Research Funding Services will confirm that the required FCOI training is current for all identified Investigators. Training must be current before the award can be approved for set up.							
	Subaward/Subrecipient Information		YES	NO			
Will the incoming grant transfer require an	y subawards? If yes, identify below.						
Subrecipient 1:	Contact:	E-mail:					
Subrecipient 2:	Contact:	E-mail:					
Subrecipient 3:	Contact:	E-mail:					
	YES	NO					
Will any material(s) be provided from the or <u>Management</u> to initiate the transfer of the r							
	YES	NO					
Will any equipment be transferred from the							
	Provisional Account Information		YES	NO			
Do you intend to request a provisional acco <u>Provisional Sponsored Account Request (N</u>							

	UMMS INCOMING PI – NIH FORMS AWARD TRANSFER REQUIREMENTS				
A transfer may be processed electronically with NIH if done before the Investigator's start date. Please refer to <u>http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html</u> to ensure that the grant mechanism is available. The opportunity will be available in Cayuse. Post start date transfers will be requested via paper submission.					
1.	Application face page (PHS Form 398) Insert "CHANGE OF GRANTEE INSTITUTION" typed in capital letters across the top of the page. <u>http://grants1.nih.gov/grants/funding/phs398/fp1.pdf</u>				
2.	Sponsor Statement (for K mechanism transfers)				
3.	Progress Report - http://grants.nih.gov/grants/funding/2590/2590.htm				
	Anniversary date transfer (cycle start date): provide a progress report for the current year, including a statement regarding the goals of the upcoming year.				
	Mid-year transfer: provide an updated progress report including a statement regarding the goals of the remaining period of committed support				
4.	Resources Format page (PHS Form 398)				
5.	Budget pages (PHS Form 398) for current & future years				
	Modular grants: provide narrative budget justification, including total direct costs and F&A costs for the current budget period. <u>http://grants.nih.gov/grants/funding/phs398/modbudget.pdf</u>				
	If the grant currently includes salary support for PI or any other transferring member of the project and continued salary support is not required at the new institution, a statement regarding the proposed rebudgeting of these funds is required.				
6.	Provide explanation if the unobligated balance and/or relinquished amount (including prior-year carryover) is greater than 25 percent of the current year's total budget.				
7.	Statement concerning current research plan and an indication of whether original plan has changed.				
8.	Updated PHS 398 biographical sketches for Key Personnel				
9.	Updated Other Support for Key Personnel				
10.	PHS 398 Checklist Page				
	Modular grants: information regarding the number of modules and the basis for computing F&A costs should be provided for future years on the checklist page.				
	Check the box for Change of Sponsoring Institution under Type of Application and include the name of the former institution on the same line.				
11.	Approved concordant IRB/IACUC/IBC, if applicable				
12.	Certification of Human Subjects Training (CITI), if IRB applicable, for all personnel involved in the design and conduct of human subject research.				
13.	A list of equipment (which was purchased in whole or in part with grant funds and has an acquisition cost of \$5,000 or more) to be transferred from the original grantee institution. Such a listing in the application represents acceptance of title to the transferred equipment.				

UMMS INCOMING PI – NIH FELLOWSHIP FORMS AWARD TRANSFER REQUIREMENTS

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A transfer may be processed electronically with NIH if done before the transferee's start date. Please refer to <u>http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html</u> to ensure that the grant mechanism is available. The opportunity will be available in Cayuse. Post start date transfers will be requested via paper submission. For NIH Fellowship (F mechanism) awards submitted by paper, utilize PHS 416-1 forms <u>http://grants.nih.gov/grants/funding/416/phs416.htm</u>					
1.	Form Page 1 (Face Page) http://grants.nih.gov/grants/funding/416/416-1fp1.pdf				
2.	Form Page 2: Sponsor/Co-Sponsor Information				
	If Sponsor/Co-Sponsor remains current as initially proposed, provide new contact information.				
	If Sponsor/Co-Sponsor changes, refer to Section 5.8 of the PHS 416-1 instructions.				
	http://grants.nih.gov/grants/funding/416/phs416-1.pdf				
3.	Form Page 3: Goals, Activities Planned, Training Site (s), Human Embryonic Stem Cells				
	Items 18 and 19 are not required unless there are changes from original submission.				
	Item 20 will require the new information for the Project/Performance (Training) Site.				
	Item 21 will require completion of Human Embryonic Stem Cells, if applicable.				
4.	Form Page 4: Table of Contents				
5.	Research Training Plan: Include the research training plan from the original application to provide the new sponsoring institution a record of what was peer reviewed and approved.				
6.	Training Plan, Environment, Research Facilities Section 5.8.3 of the PHS 416-1 Instructions:				
	http://grants.nih.gov/grants/funding/416/phs416-1.pdf				
7.	PHS Checklist Page				
	Check the box for Change of Sponsoring Institution under Type of Application and include the name of the former institution on the same line.				
8.	Progress Report				
	Anniversary Date Transfer – Also include Form Page 2 and 3 from (PHS 416-9) of the Project Report for Continuation Support of Kirschstein-NRSA Individual Fellowships and a completed Targeted/Planned Enrollment Table Format Page or Inclusion Enrollment Report Format Page, if applicable.				
	http://grants.nih.gov/grants/funding/416-9/phs416-9.htm				
9.	Approved IRB/IACUC, if applicable				
10.	Certification of Human Subjects Training, if IRB applicable, for all personnel involved in the design and conduct of human subject research				

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Principa		AWARD TRANSFER NOTIFIC. Agency and Award No. (e.g. NIH R01 GM12345)	ATIO	N	
Principal Investigator:		Agency and Award No. (e.g. Nift Kor Givi12543)			
Departm	nent:	Administrative Contact, Phone & Email #:			
(a)	Date PI will leave UMMS:	Date that award will be relinquished at UMMS:			
(b)	Has all committed cost sharing been met?	Yes	🗌 No		N/A
(c)	Does this award involve one or more subcontracts?		🗌 Yes		No
	If yes, has the PI/dept notified the subcontractor Name of the subcontractor(s):	r(s) of the pending transfer?	🗌 Yes		No
(d)	Will any portion of this project need to be subcontra to fund graduate students completing degrees, or to		🗌 Yes		No
(e)	Has the PI discussed/notified the funding agency of <i>If yes, please provide any relevant details in the Co</i>		🗌 Yes		No
(f)	Name of the new institution where the PI intends to	transfer the award :			
(g)	New Institution Admin Contact:	News	Energy	:1	
		Name Phone	Emai	1	
	DEPARTMENT	CHECKLIST	Yes	No	Completed
(a)	Personnel appointed to this award should be transfer that will not be retained must be notified in accordan	red off the project by the relinquishment date. Personnel ace with UMMS HR policy.			
(b)	The Dept. will ensure the PI has certified effort in the	e ECRT system prior to their departure from UMMS.			
(c)	material made available to the University under a Ma <u>Technology Management</u>	, or does the award involve use of patented material or aterial Transfer Agreement? If yes, contact the Office of			
(d)	Will any equipment be transferred to the new institut				
	If yes, please specify and contact Asset Managemen	and dis	_	-	_
(e)	Does the transferring project have any of the following	ng compliance items?			
	Human Subjects Research (IRB) If yes contact	ct the IRB office to closeout the protocol.			
	Animal Research (IACUC) If yes, contact the animal transfers.	IACUC office to closeout the protocol and arrange			
	Biohazardous Material/Recombinant DNA (E If yes, contact EH&S for assistance with disposa				
	Radioactive Materials If yes, contact the Radio of materials.	ation Safety Dept. for assistance with disposal/transfer			
(f)	Agency-Specific Transfer Forms required:				
	NIH: PHS 3734 (Relinquishment Form)				
	NIH: PHS 568 (Final Invention Statement)				
	Other: (specify):				
Comme	ents:				