

Research Funding Services Brown Bag

January 31, 2013



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

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



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.

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:

Requested Percentage of 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%

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).



eRA Commons Users Can Now Generate a Publications Report for the PHS 2590 with My NCBI

Notice Number: NOT-OD-13-017

Key Dates

Release Date: January 10, 2013

Related Announcements

[NOT-OD-12-160](#)

[NOT-OD-12-142](#)

[NOT-OD-10-103](#)

Issued by

National Institutes of Health ([NIH](#))

Purpose

In [NOT-OD-12-160](#), the NIH announced it would release an enhancement to My NCBI to facilitate reporting of publications in paper progress reports (form PHS 2590). This feature is now available. My Bibliography can now generate a PDF report of publications that may be printed and submitted as Section 2.2.6, Section E. Publications, of the paper PHS 2590 progress report.

Grantees are encouraged to begin using the PDF report immediately on a voluntary basis. Submitting the My Bibliography PDF report will be required at the same time that the Research Performance Progress Report (RPPR) is required for all Streamlined Non-Competing Award Process (SNAP) and Fellowship awards, expected in the Spring of 2013 (see [NOT-OD-12-142](#)).

The My Bibliography PDF report facilitates grantee reporting in two ways. First, it quickly provides the public access compliance status of each publication arising from the award in an easy to understand format. Second, it ensures grant-paper associations reported on the PHS 2590 are captured in RePORTER and other NIH electronic systems. Instructions for the PDF report are available at http://www.nlm.nih.gov/pubs/techbull/nd12/nd12_mynsbl_pdf.html.



Reminders and Updates: NIH Policy on Post-Submission Application 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 the initial peer review. The NIH policy on post-submission application materials specifies that, for the majority of applications, the only post-submission materials that the NIH will accept are those resulting from unforeseen administrative issues, an option to be used when an unexpected event such as the departure of a participant, natural disaster, etc. has occurred, not to correct oversights/errors discovered after submission of the application.

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 of equipment)
- Biographical sketches (e.g., change in senior/key personnel due to the hiring, replacement, or loss of an investigator)
- Letters of support or collaboration resulting from a change in senior/key personnel due to the hiring, replacement, or loss of an investigator
- Adjustments resulting from natural disasters (e.g., loss of an animal colony)
- Adjustments resulting from change of institution (e.g., PD/PI moves to another university)
- News of an article accepted for publication (a copy of the article should not be sent)

Effective immediately, the following changes will be implemented:

1. News of a professional promotion or positive tenure decision for any Program Directors/Principal Investigators and Senior/Key Personnel also will be accepted as post-submission application material. The news must be received by the Scientific Review Officer one month (30 calendar days) prior to the peer review meeting, and demonstrate concurrence from the Authorized Organization Representative (AOR) of the applicant organization.
2. The policy provides exceptions for applications submitted in response to RFAs that have a single due date. Because similar issues apply to the last due date of an RFA with multiple due dates, the policy is revised through this Notice to apply those exceptions to applications submitted for the last due date of an RFA.
3. The policy lists acceptable post-submission materials for institutional training and training-related grants [not fellowships (F series) or career (K series)] applications, including "appointments and/or achievements". With this policy, the following types of information will be accepted:
 - News of a trainee's or former trainee's graduation, employment, promotion, funding, publication or other professional achievement since the training grant was submitted;
 - News of a faculty member's promotion, funding, publication, or other professional achievement since the training grant was submitted; and
 - 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.



Research Performance Progress Report (RPPR) Update

- Mandated effective April 2013
- Replaces eSNAP Progress Reports
- Option to use it now for all Progress Reports
- Must initiate either RPPR or eSNAP in the Commons
- Applicable to all SNAP awards
- Not available for Complex Awards and Training Grants
- RFS training scheduled for Wednesday, 2/27/13; Hiatt Auditorium S1-608
- Additional information at: <http://grants.nih.gov/grants/rppr/>



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.



Grant Transfer Guidance

- UMMS Grants Focus Group (GFG) Workgroup:
 - Melissa Gordon
 - Janice Lagacé
 - Rik Madison
 - Linda Nelson
 - Tina Nesbeda
 - Diego Vazquez
- The Workgroup was tasked with developing guidance and resource documentation for the UMMS research community regarding the transfer of grants to and from the Medical School



Grant Transfer Guidance

- Created procedure documentation and checklists to assist researchers and department administrators
- Resources are available on the RFS website:

<http://www.umassmed.edu/research/funding/granttransfer.aspx>

- Process and form demo feedback provided by:
 - Joyce Barrett
 - Nancy von Hone



Research Funding

OVPR Home

Research Funding

Clinical Research

Compliance

Core Facilities

Clinical/Translational Science

Research Training

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 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

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

Incoming PI Award Transfer Checklist

- Intended to be used for each individual award to be transferred to UMMS
- Associated procedure document located on RFS Grant Transfer website

| UMMS INCOMING PI – AWARD TRANSFER CHECKLIST | | | |
|--|------------------------------|--------------------------|--------------------------|
| Principal Investigator | eRA Commons ID: | | UMMS Start Date: |
| Sponsoring Agency | Agency Award No. | | |
| UMMS Participation Agreement | | | |
| In order to be activated as a Principal Investigator in PeopleSoft, the incoming PI must read and sign the Participation Agreement and then submit the original to Research Funding Services for processing. Please contact RFS at 508-856-2119 if you have any questions about this requirement. | | | |
| Relinquishing Institution Information | | | |
| Institution Name: | Administrative Contact: | | |
| Date Award will be relinquished: | Contact Phone: | E-mail: | |
| Relinquishing Institution Documentation | | | |
| 1. Copy of initial proposal and award statement | | <input type="checkbox"/> | |
| 2. Copy of latest progress report | | <input type="checkbox"/> | |
| 3. Copy of Relinquishment letter or signed agency relinquishment form | | <input type="checkbox"/> | |
| 4. If original award had cost-sharing, provide in the comments below how that cost-share will be fulfilled at UMMS | | <input type="checkbox"/> | |
| Comments: | | | |
| Compliance Information | | YES | NO |
| Are Human Subjects Involved? If yes, contact the IRB Office to begin the protocol review and approval process. | | <input type="checkbox"/> | <input type="checkbox"/> |
| Are Vertebrate Animals Involved? If yes, contact the IACUC Office to begin protocol review and approval process. | | <input type="checkbox"/> | <input type="checkbox"/> |
| Does project involve biohazardous materials/recombinant DNA? If yes, contact the IBC Office for assistance. | | <input type="checkbox"/> | <input type="checkbox"/> |
| Does the project involve the use of radioactive materials? If yes, contact the Radiation Safety Office . | | <input type="checkbox"/> | <input type="checkbox"/> |
| Does the project involve the use of rDNA or Biohazardous Materials? If yes, contact Environmental Health & Safety . | | <input type="checkbox"/> | <input type="checkbox"/> |
| 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: http://www.umassmed.edu/TCOL.aspx . 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 any subawards? If yes, identify below: | | <input type="checkbox"/> | <input type="checkbox"/> |
| Subrecipient 1: | Contact: _____ E-mail: _____ | | |
| Subrecipient 2: | Contact: _____ E-mail: _____ | | |
| Subrecipient 3: | Contact: _____ E-mail: _____ | | |
| Material Transfer Information | | YES | NO |
| Will any material(s) be provided from the original institution? If yes, please contact the Office of Technology Management to initiate the transfer of the materials. | | <input type="checkbox"/> | <input type="checkbox"/> |
| Equipment Information | | YES | NO |
| Will any equipment be transferred from the prior institution? If yes, contact Asset Management for assistance. | | <input type="checkbox"/> | <input type="checkbox"/> |
| Provisional Account Information | | YES | NO |
| Do you intend to request a provisional account for the incoming investigator? If yes, please use the New Award Provisional Sponsored Account Request (NASPAR) Form to establish a chartfield in PeopleSoft. | | <input type="checkbox"/> | <input type="checkbox"/> |

Incoming PI NIH Award & Fellowship Forms Requirements

| 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 http://grants.nih.gov/grants/guide/pa-files/P4-12-29.html 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. http://grants.nih.gov/grants/funding/p412-29.pdf | <input type="checkbox"/> |
| 2. Sponsor Statement (for K mechanism transfers) | <input type="checkbox"/> |
| 3. Progress Report - http://grants.nih.gov/grants/funding/2590/2590.htm | <input type="checkbox"/> |
| 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) | <input type="checkbox"/> |
| 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. http://grants.nih.gov/grants/funding/p412-29-modbudget.pdf 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. | <input type="checkbox"/> |
| 7. Statement concerning current research plan and an indication of whether original plan has changed. | <input type="checkbox"/> |
| 8. Updated PHS 398 biographical sketches for Key Personnel | <input type="checkbox"/> |
| 9. Updated Other Support for Key Personnel | <input type="checkbox"/> |
| 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. Approval concordant IRB/IACUC/IBC, if applicable | <input type="checkbox"/> |
| 12. Certification of Human Subjects Training (CITI), if IRB applicable, for all personnel involved in the design and conduct of human subject research. | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |

| UMMS INCOMING PI – NIH FELLOWSHIP FORMS AWARD TRANSFER REQUIREMENTS | |
|---|--------------------------|
| A transfer may be processed electronically with NIH if done before the transferee's start date. Please refer to http://grants.nih.gov/grants/guide/pa-files/P4-12-29.html 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 http://grants.nih.gov/grants/funding/416-ph416-1.pdf | |
| 1. Form Page 1 (Face Page) http://grants.nih.gov/grants/funding/416-ph416-1.pdf | <input type="checkbox"/> |
| 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-ph416-1.pdf | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 4. Form Page 4: Table of Contents | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 6. Training Plan, Environment, Research Facilities Section 5.8.3 of the PHS 416-1 Instructions: http://grants.nih.gov/grants/funding/416-ph416-1.pdf | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 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-ph416-9.htm | <input type="checkbox"/> |
| 9. Approved IRB/IACUC, if applicable | <input type="checkbox"/> |
| 10. Certification of Human Subjects Training, if IRB applicable, for all personnel involved in the design and conduct of human subject research | <input type="checkbox"/> |

Available at: <http://www.umassmed.edu/research/funding/granttransfer.aspx>

Announcements

- New Congressional District
 - Effective 1/1/13, Congressional district is now MA-002 (previously MA-003)
- RPPR Training Scheduled
 - Wednesday, 2/27/13;
 - Hiatt Auditorium S1-608



Human Resources, Diversity & Inclusion *Learning & Development Announcement*

"Research Administration Course Offering"

The Office of the Vice Chancellor for Administration and Finance and the Office of the Vice Provost for Research (OVPR) in collaboration with the Learning & Development department are pleased to announce a newly revised research administration program. The certificate program in research administration has been discontinued. Instead, stand-alone courses will be offered to a targeted audience who will be able to utilize the course curriculum within current job responsibilities. Visit the [website](#) for details on the courses. [Click here to view the brochure](#). Please share this information with the employees in your department who meet the target audience criteria.

Who Should Attend: The courses are limited to individuals who are responsible for administering, monitoring, supporting and/or facilitating research programs such as; Academic Administrators, Research Directors, Research Coordinators, Grants & Contract Managers, Accountants and Research Specialists.

How to Register: Click here to access registration:

[Research Administration Course Offerings Registration Link](#)

Questions: Contact Learning & Development at LandD@umassmed.edu or ext 6-3236

CLASSES BEGIN IN FEBRUARY

SUBMISSIONS TO RFS

1/1/12 – 12/31/12

| PROPOSALS | January | February | March | April | May | June | July | August | September | October | November | 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% |

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.



SUBMISSIONS TO RFS

1/1/12 – 12/31/12

| PROGRESS REPORTS | January | February | March | April | May | 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.



SUBMISSIONS TO RFS CY 2012 SUMMARY

| | 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% |

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 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:

Requested Percentage of Sponsored Activity: _____

Signatures

Faculty Member: _____ Date: _____

Department Chair: _____ Date: _____

Research Funding: _____ Date: _____

Send the completed form to the UMMS Effort Coordinator

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

UMMS INCOMING PI – AWARD TRANSFER CHECKLIST

| | | |
|------------------------------|------------------------|------------------------|
| Principal Investigator _____ | eRA Commons ID: _____ | UMMS Start Date: _____ |
| Sponsoring Agency _____ | Agency Award No. _____ | |

UMMS Participation Agreement

In order to be activated as a Principal Investigator in PeopleSoft, the incoming PI must read and sign the [Participation Agreement](#) and then submit the original to Research Funding Services for processing. Please contact RFS at 508-856-2119 if you have any questions about this requirement.

Relinquishing Institution Information

| | |
|--|------------------------------------|
| Institution Name: _____ | Administrative Contact: _____ |
| Date Award will be relinquished: _____ | Contact Phone: _____ E-mail: _____ |

Relinquishing Institution Documentation

- | | |
|---|--------------------------|
| 1. Copy of initial proposal and award statement | <input type="checkbox"/> |
| 2. Copy of latest progress report | <input type="checkbox"/> |
| 3. Copy of Relinquishment letter or signed agency relinquishment form | <input type="checkbox"/> |
| 4. If original award had cost-sharing, provide in the comments below how that cost-share will be fulfilled at UMMS. | <input type="checkbox"/> |

Comments: _____

Compliance Information

YES

NO

- | | | |
|---|--------------------------|--------------------------|
| Are Human Subjects Involved? If yes, contact the IRB Office to begin the protocol review and approval process. | <input type="checkbox"/> | <input type="checkbox"/> |
| Are Vertebrate Animals involved? If yes, contact the IACUC Office to begin protocol review and approval process. | <input type="checkbox"/> | <input type="checkbox"/> |
| Does project involve biohazardous materials/recombinant DNA? If yes, contact the IBC Office for assistance. | <input type="checkbox"/> | <input type="checkbox"/> |
| Does the project involve the use of radioactive materials? If yes, contact the Radiation Safety Office . | <input type="checkbox"/> | <input type="checkbox"/> |
| Does the project involve the use of rDNA or Biohazardout Materials? If yes, contact Environmental Health & Safety . | <input type="checkbox"/> | <input type="checkbox"/> |

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: <http://www.umassmed.edu/FCOI.aspx>. 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 any subawards? If yes, identify below. | <input type="checkbox"/> | <input type="checkbox"/> |
| Subrecipient 1: _____ Contact: _____ E-mail: _____ | | |
| Subrecipient 2: _____ Contact: _____ E-mail: _____ | | |
| Subrecipient 3: _____ Contact: _____ E-mail: _____ | | |

Material Transfer Information

YES

NO

- | | | |
|---|--------------------------|--------------------------|
| Will any material(s) be provided from the original institution? If yes, please contact the Office of Technology Management to initiate the transfer of the materials. | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|

Equipment Information

YES

NO

- | | | |
|--|--------------------------|--------------------------|
| Will any equipment be transferred from the prior institution? If yes, contact Asset Management for assistance. | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

Provisional Account Information

YES

NO

- | | | |
|---|--------------------------|--------------------------|
| Do you intend to request a provisional account for the incoming investigator? If yes, please use the New Award Provisional Sponsored Account Request (NAPSAR) Form to establish a chartfield in PeopleSoft. | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|

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 <http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html> 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. http://grants1.nih.gov/grants/funding/phs398/fp1.pdf | <input type="checkbox"/> |
| 2. | Sponsor Statement (for K mechanism transfers) | <input type="checkbox"/> |
| 3. | <p>Progress Report - http://grants.nih.gov/grants/funding/2590/2590.htm</p> <p>Anniversary date transfer (cycle start date): provide a progress report for the current year, including a statement regarding the goals of the upcoming year.</p> <p>Mid-year transfer: provide an updated progress report including a statement regarding the goals of the remaining period of committed support</p> | <input type="checkbox"/> |
| 4. | Resources Format page (PHS Form 398) | <input type="checkbox"/> |
| 5. | <p>Budget pages (PHS Form 398) for current & future years</p> <p>Modular grants: provide narrative budget justification, including total direct costs and F&A costs for the current budget period. http://grants.nih.gov/grants/funding/phs398/modbudget.pdf</p> <p>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.</p> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 7. | Statement concerning current research plan and an indication of whether original plan has changed. | <input type="checkbox"/> |
| 8. | Updated PHS 398 biographical sketches for Key Personnel | <input type="checkbox"/> |
| 9. | Updated Other Support for Key Personnel | <input type="checkbox"/> |
| 10. | <p>PHS 398 Checklist Page</p> <p>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.</p> <p>Check the box for Change of Sponsoring Institution under Type of Application and include the name of the former institution on the same line.</p> | <input type="checkbox"/> |
| 11. | Approved concordant IRB/IACUC/IBC, if applicable | <input type="checkbox"/> |
| 12. | Certification of Human Subjects Training (CITI), if IRB applicable, for all personnel involved in the design and conduct of human subject research. | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |

UMMS INCOMING PI – NIH FELLOWSHIP FORMS

AWARD TRANSFER REQUIREMENTS

A transfer may be processed electronically with NIH if done before the transferee's start date. Please refer to <http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html> 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 <http://grants.nih.gov/grants/funding/416/phs416.htm>

- | | | |
|-----|---|--------------------------|
| 1. | Form Page 1 (Face Page) http://grants.nih.gov/grants/funding/416/416-1fp1.pdf | <input type="checkbox"/> |
| 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 | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 4. | Form Page 4: Table of Contents | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 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 | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> |
| 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 | <input type="checkbox"/> |
| 9. | Approved IRB/IACUC, if applicable | <input type="checkbox"/> |
| 10. | Certification of Human Subjects Training, if IRB applicable, for all personnel involved in the design and conduct of human subject research | <input type="checkbox"/> |

UMMS DEPARTING PI – AWARD TRANSFER NOTIFICATION

| | |
|-------------------------|---|
| Principal Investigator: | Agency and Award No. (e.g. NIH R01 GM12345) |
| Department: | 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(s) of the pending transfer? ☐ Yes ☐ No
 Name of the subcontractor(s): _____

(d) Will any portion of this project need to be subcontracted back to UMMS by the new institution to fund graduate students completing degrees, or to cover work that will not be transferred? ☐ Yes ☐ No

(e) Has the PI discussed/notified the funding agency of the intended transfer? ☐ Yes ☐ No
If yes, please provide any relevant details in the Comments section below.

(f) Name of the new institution where the PI intends to transfer the award : _____

(g) New Institution Admin Contact: _____

Name
Phone
Email

| DEPARTMENT CHECKLIST | Yes | No | Completed |
|--|--------------------------|--------------------------|--------------------------|
| (a) Personnel appointed to this award should be transferred off the project by the relinquishment date. Personnel that will not be retained must be notified in accordance with UMMS HR policy. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) The Dept. will ensure the PI has certified effort in the ECRT system prior to their departure from UMMS. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (c) Have any inventions been disclosed under the award, or does the award involve use of patented material or material made available to the University under a Material Transfer Agreement? If yes, contact the Office of Technology Management | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (d) Will any equipment be transferred to the new institution? <i>If yes, please specify and contact Asset Management for assistance.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (e) Does the transferring project have any of the following compliance items? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Human Subjects Research (IRB) <i>If yes contact the IRB office to closeout the protocol.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Animal Research (IACUC) <i>If yes, contact the IACUC office to closeout the protocol and arrange animal transfers.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Biohazardous Material/Recombinant DNA (Environmental Health & Safety) <i>If yes, contact EH&S for assistance with disposal/transfer of materials.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Radioactive Materials <i>If yes, contact the Radiation Safety Dept. for assistance with disposal/transfer of materials.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (f) Agency-Specific Transfer Forms required: | | | |
| NIH: PHS 3734 (Relinquishment Form) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NIH: PHS 568 (Final Invention Statement) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other: (specify): | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: _____