

# Research Administration Brown Bag

December 15, 2015

11:45 am – 12:45 pm

Amphitheater III (S6-102)



## Agenda



- Coding Key Personnel on Awards in UMMS systems
- New UMMS Post-Doc Minimum Salary
- eSDFI Pilot Starting in January
- NIH Update
  - NOT-OD-16-030 Publication of the Revised NIH Grants Policy Statement for FY 2016
  - NOT-OD-16-029 Revised SF424 (R&R) Application Guides and Supplemental Instructions Available for Application Due Dates On and Between January 25, 2016 and May 24, 2016
  - NOT-OD-15-153 Notice of Clarification of Eligibility for K99/R00 Applications
  - ASSIST
- Proposal & Progress Report Statistics

- Individuals listed as Key in application that are not listed as Key in the Notice of Award (NOA) will be coded as Other in the Final Proposal used to generate the award in PeopleSoft (PS).
- Exception: OSP will leave PI/Co-I/MPI as Key in PS regardless of whether they are listed as Key in the NOA.
- Effort changes to personnel not listed as Key in the NOA but coded that way by UMMS will not require agency prior approval.
- OSP will provide a copy of the RPPR to Grant Accounting when effort reductions on non-key personnel are reported.

### Updated UMMS Post-Doc Minimum Salary

- OSP received notification from GSBS that the new institutionally approved minimum post-doc salary is now:

**\$40,893**

- The figure on the OSP Fact Sheet has been updated to reflect the updated amount.

- OSP has been working with IT to develop an electronic version of the Summary Disclosure of Financial Interests (SDFI) form.
- Form will allow departments to initiate and track electronic signature process.
- Form elements and disclosure process will remain the same.

## NIH Notices

- NOT-OD-16-030: Publication of the Revised NIH Grants Policy Statement (NIHGPS) FY 2016
  - Revised NIHGPS published 11/2015. This revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2015.
  - This revision supersedes, in its entirety, the NIHGPS (03/2015) as a standard term and condition of award.
  - Previous versions of the NIHGPS remain applicable as a standard term and condition for all NIH grants and cooperative agreements with budget periods that began prior to October 1, 2015.
  - While this revision does not introduce any new material, it incorporates new and modified requirements, clarifies certain policies, and implements changes in statutes, regulations, and policies that have been implemented through appropriate legal and/or policy processes since the previous version of the NIHGPS.
  - Biggest change is that NIH will allow recipients to reduce effort during a NCE without prior approval.

The Summary of Upcoming Significant Changes to the NIHGPS pdf is included in the Brown Bag Appendix.

Link to new GPS: <http://grants.nih.gov/grants/policy/nihgps/HTML5/introduction.htm>

# NIH Notices

- **NOT-OD-16-029** Revised SF424 (R&R) Application Guides and Supplemental Instructions Available for Application Due Dates On and Between January 25, 2016 and May 24, 2016
- General and small business (SBIR/STTR) application guides used with FORMS-C application forms have been revised. These instructions must be used for application due dates on and between January 25, 2016 and May 24, 2016.
- Major changes to the application instructions include:
  - Instructions for changes described in NOT-OD-16-004 under the implementation of Phase 1.
  - Incorporation of the instructions for Individual Fellowship applications into the general application guide (it will no longer be maintained as a separate document).
- NIH expects to publish an application guide for the new FORMS-D forms in late March, which must be used for application due dates on or after May 25, 2016.

# NIH Notices

- Notice of Clarification of Eligibility for K99/R00 Applications NOT-OD-15-153
- **Part 2. Section III.1. Eligible Applicants**
- **Current Instruction**
  - Eligible Individuals (Program Director/Principal Investigator)
  - K99 applicants must have no more than 4 years of postdoctoral research experience at the time of the initial or the subsequent resubmission or revision application, and must be in mentored, postdoctoral training positions to be eligible to apply to the K99/R00 program.
- **Revised Instruction**
  - Eligible Individuals (Program Director/Principal Investigator)
  - Effective with applications for the February 12, 2016, due date and beyond, K99/R00 applicants must have no more than 4 years of postdoctoral research experience as of the relevant application due date regardless of whether it is a new or resubmission application. Individuals must be in mentored, postdoctoral training positions to be eligible to apply to the K99/R00 program.

# NIH Funding Opportunity (FOA) Guidance Regarding Use of the ASSIST System



- Funding opportunities include language indicating applicants can use ASSIST.
- This guidance has caused some confusion to users.
- Please let your investigators know that UMMS uses Cayuse as our other institutional system-to-system solution.

## Required Application Instructions

It is critical that applicants follow the instructions in the SF424 (R&R) Application Guide, except where instructed to do otherwise (in this FOA or in a Notice from the NIH Guide for Grants and Contracts). Conformance to all requirements (both in the Application Guide and the FOA) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in Section IV. When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions. **Applications that do not comply with these instructions may be delayed or not accepted for review.**

There are several options to submit your application to the agency through Grants.gov. You can use the ASSIST system to prepare, submit and track your application online. You can download an application package from Grants.gov, complete the forms offline, submit the completed forms to Grants.gov and track your application in eRA Commons. Or, you can use other institutional system-to-system solutions to prepare and submit your application to Grants.gov and track your application in eRA Commons. [Learn more.](#)

[Apply Online Using ASSIST](#)

[Apply Using Downloadable Forms](#)

## PROPOSAL SUBMISSIONS TO OSP November 2014 – November 2015



	November 2014	December 2014	January 2015	February 2015	March 2015	April 2015	May 2015	June 2015	July 2015	August 2015	September 2015	October 2015	November 2015
Count	77	62	119	117	89	72	69	111	90	62	112	129	60
On Time	34%	50%	54%	40%	47%	33%	39%	55%	47%	47%	52%	43%	37%
Late	61%	48%	42%	56%	46%	63%	58%	42%	47%	52%	43%	56%	60%
After the fact	4%	2%	4%	4%	7%	4%	3%	3%	6%	2%	5%	1%	3%
Withdrawn	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Expedited Request (3 days or less)	38%	29%	28%	44%	34%	34%	35%	23%	33%	39%	31%	39%	40%

**On Time:** Received by OSP 5 days prior to the requested return date.

**Late:** Received by OSP less than 5 days prior to the requested return date.

**After the Fact:** Received by OSP after the requested return date.

**Expedited Request:** Received by OSP with 3 days or less to review before requested return date.

# SUBMISSIONS TO OSP

November 2014 to November 2015 Comparison



PROPOSALS	2014	2015	Change
Count	77	60	-17
On Time	34%	37%	+4
Late	61%	60%	-1
After the fact	4%	3%	-1
Withdrawn	1%	0%	-1
<b>Total</b>	<b>100%</b>	<b>100%</b>	-
Expedited Request (3 days or less)	38%	40%	+2

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.

## PROGRESS REPORT SUBMISSIONS TO OSP

November 2014 – November 2015



	November 2014	December 2014	January 2015	February 2015	March 2015	April 2015	May 2015	June 2015	July 2015	August 2015	September 2015	October 2015	November 2015
Count	20	26	33	33	50	50	52	53	32	11	19	30	19
On Time	25%	31%	61%	46%	42%	50%	46%	38%	38%	27%	37%	43%	26%
Late	50%	61%	30%	39%	52%	40%	37%	51%	37%	46%	47%	40%	63%
After the fact	25%	8%	9%	15%	6%	10%	17%	11%	25%	27%	16%	17%	11%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Expedited Request (3 days or less)	45%	46%	18%	27%	38%	36%	19%	38%	31%	36%	26%	20%	58%

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.

# SUBMISSIONS TO OSP

November 2014 to November 2015 Comparison



PROGRESS REPORTS	2014	2015	Change
Count	20	19	-1
On Time	45%	26%	-19
Late	50%	63%	+13
After the fact	25%	11%	-14
Withdrawn	0%	0%	-
<b>Total</b>	<b>100%</b>	<b>100%</b>	-
Expedited Request (3 days or less)	45%	58%	+13

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.

## Calendar Year 2015 Metrics (Through 11 Months)



	All	Proposals	Progress Reports
Count	1,477	1,079	398
On Time	45%	46%	43%
Late	49%	50%	43%
After the fact	6%	4%	14%
Withdrawn	0%	0%	0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Expedited Request (3 days or less)	34%	35%	31%



# Calendar Year 2015

## PROPOSAL ON TIME RATE – TOP 5

1.	Emergency Medicine	92%
2.	Program in Systems Biology	91%
3.	Pathology	88%
4.	Molecular, Cell and Cancer Biology	74%
5.	Biochemistry & Molecular Pharmacology	69%

Based on 11 months of CY 2015 data

# Calendar Year 2015

## PROGRESS REPORT ON TIME RATE – TOP 5

1.	Radiation Oncology	100%
2.	Diabetes Center	83%
2.	Gene Therapy Center	83%
3.	Molecular, Cell and Cancer Biology	73%
4.	Neurobiology	73%
5.	Biochemistry & Molecular Pharmacology	67%

Based on 11 months of CY 2015 data



# APPENDIX



## Publication of the Revised NIH Grants Policy Statement (Rev. 11/2015) for FY 2016

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Notice Number: NOT-OD-16-030

### Key Dates

**Release Date:** November 25, 2015

### Related Announcements

[NOT-OD-16-017](#)

### Issued by

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

### Purpose

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

The NIHGPS provides both up-to-date policy guidance that serves as NIH standard terms and conditions of awards for grants and cooperative agreements, and extensive guidance to those who are interested in pursuing NIH grants.

While this revision does not introduce any new material for the first time, it incorporates new and modified requirements, clarifies certain policies, and implements changes in statutes, regulations, and policies that have been implemented through appropriate legal and/or policy processes since the previous version of the NIHGPS dated 3/31/2015. The document is available in the following electronic formats: HTML and PDF (<http://grants.nih.gov/grants/policy/nihgps/index.htm>). Prior versions of the NIHGPS are accessible at <http://grants.nih.gov/grants/policy/policy.htm#gps>.

NIH will continue to publish interim grants policy changes through the issuance of NIH Guide Notices found at <http://grants.nih.gov/grants/guide/index.html>. Each change will be described, including its applicability and effective date; and the necessary language to implement it as a term or condition of award provided.

A document is available that summarizes the significant changes that are implemented with the November 2015 NIHGPS:

[http://grants.nih.gov/grants/policy/nihgps/Significant\\_Changes\\_NIHGPS\\_Oct2015.pdf](http://grants.nih.gov/grants/policy/nihgps/Significant_Changes_NIHGPS_Oct2015.pdf).

### Inquiries

Please direct all inquiries to:

Division of Grants Policy

Office of Policy for Extramural Research Administration (OPERA)

Office of Extramural Research

National Institutes of Health

Telephone: 301-435-0949

Email: [GrantsPolicy@od.nih.gov](mailto:GrantsPolicy@od.nih.gov)

## Summary of Upcoming Significant Changes to the NIH Grants Policy Statement

The revised NIH Grants Policy Statement (NIHGPS, rev. 11/2015) will represent an update to the 03/31/2015 version and will be applicable to all NIH grants and cooperative agreements beginning on or after the revision date. It incorporates new and modified requirements, clarifies certain policies, and implements changes in statutes, regulations, and policies that have been implemented through appropriate legal and/or policy processes since the previous version of the NIHGPS dated 03/31/2015. When issued, the revised NIHGPS will supersede, in its entirety, the NIH Grants Policy Statement (03/31/2015) as a standard term and condition of the award. Please note that this document is for information only and that these changes will not be effective until the revised NIHGPS is issued by NIH in November.

Section	Significant Changes	Reason
<b>PART 1: NIH Grants – General Information</b>  <b>Chapter 2 – The National Institutes of Health as a Grant-Making Organization</b>	<p>Sec. 2.3.7.10 NIH Genomic Data Sharing: Requires that applications proposing to generate large-scale human and/or non-human genomic data are expected to include a genomic data sharing plan; requires that applicants who wish to use controlled-access human genomic data from NIH-designated data repositories briefly address their plans for requesting access to the data in the application, and state their intention to abide by the NIH Genomic Data User Code of Conduct.</p>	<p>Implements provisions announced in <a href="#">NOT-OD-15-083</a> and <a href="#">NOT-OD-15-086</a>.</p>
	<p>Sec. 2.3.9.5 Application Non-compliance: Reminds applicants that NIH may withdraw any application identified during the receipt, referral and review process that is not compliant with the instructions in the SF424 (R&amp;R) Application Guide, the Funding Opportunity Announcement, and relevant NIH Guide Notices. Subsequent subsections renumbered.</p>	<p>Implements provisions announced in <a href="#">NOT-OD-15-095</a>.</p>

<b>PART II: Terms and Conditions of NIH Grant Awards</b>  <b>Chapter 4 – Public Policy Requirements, Objectives and Other Appropriation Mandates</b>	4.1.3 ClinicalTrials.gov Requirement Text added to clarify that results reporting is still required after the period of performance has ended.	To clarify FDAAA requirement.
	Sec. 4.1.15.9 Informed Consent for Research on Dried Blood Spots Obtained Through Newborn Screening: Sec. 4.1.14 Human Fetal Tissue Research The language is changed from “guidance” to “regulatory requirements”.	Implements provisions announced in <a href="#">NOT-OD-15-127</a> .  To highlight this is a regulatory requirement.
	<b>Chapter 8 – Administrative Requirements</b>	
	Sec. 8.1.1.3 Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds Sec. 8.1.2.5 Change in Scope: Expands the description of Changes from the Approved Involvement of Human Subjects Requiring Prior NIH Approval	To reduce administrative burden, NIH will allow our recipients to reduce effort during a NCE without prior approval.  Implements provisions announced in <a href="#">NOT-OD-15-128</a> and <a href="#">NOT-OD-15-129</a> .
	Sec. 8.2.3.3 Genomic Data Sharing (GDS) Policy: Allows investigators to request permission to transfer controlled-access genomic and associated phenotypic data obtained from NIH-designated data repositories that are under the auspices of the NIH GDS Policy to public or private cloud systems for data storage and analysis.	Implements provisions announced in <a href="#">NOT-OD-15-086</a> .
	Sec. 8.2.4 Inventions and Patents: Requires recipients to report inventions subject to Bayh-Dole regulation electronically to NIH through iEdison ( <a href="http://iEdison.gov">http://iEdison.gov</a> ).	Implements provisions announced in <a href="#">NOT-OD-15-080</a> .



## Revised SF424 (R&R) Application Guides and Supplemental Instructions Available for Application Due Dates On and Between January 25, 2016 and May 24, 2016

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Notice Number: NOT-OD-16-029

### Key Dates

**Release Date:** November 25, 2015

### Related Announcements

[NOT-OD-16-004](#)

### Issued by

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

Agency for Healthcare Research and Quality ([AHRQ](#))

### Purpose

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

Major changes to the application instructions include:

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

We expect to publish an application guide for the new FORMS-D forms in late March, which must be used for application due dates on or after May 25, 2016.

Information about all application guides and their intended audiences can be found on the [NIH forms page](#).

### Inquiries

Please direct all inquiries to:

#### NIH Grants Information

Email: [grantsinfo@od.nih.gov](mailto:grantsinfo@od.nih.gov) (preferred method of contact)

Telephone: 301-435-0714

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[Weekly TOC for this Announcement](#)  
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## Notice of Clarification of Eligibility for K99/R00 Applications

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Notice Number: NOT-OD-15-153

### Key Dates

**Release Date:** November 17, 2015

### Related Announcements

[PA-15-083](#)

### Issued by

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

### Purpose

This Notice clarifies the eligibility guidance for applicants to [PA-15-083](#) "NIH Pathway to Independence Award (Parent K99/R00)". Specifically:

## Part 2. Section III.1. Eligible Applicants

### *Current Instruction*

#### **Eligible Individuals (Program Director/Principal Investigator)**

K99 applicants must have no more than 4 years of postdoctoral research experience at the time of the initial or the subsequent resubmission or revision application, and must be in mentored, postdoctoral training positions to be eligible to apply to the K99/R00 program.

### *Revised Instruction*

#### **Eligible Individuals (Program Director/Principal Investigator)**

Effective with applications for the February 12, 2016, due date and beyond, K99/R00 applicants must have no more than 4 years of postdoctoral research experience as of the relevant application due date regardless of whether it is a new or resubmission application. Individuals must be in mentored, postdoctoral training positions to be eligible to apply to the K99/R00 program.

### Inquiries

Please direct all inquiries to:

The Division of Biomedical Research Workforce  
Office of Extramural Programs  
Email: [NIHTrain@mail.nih.gov](mailto:NIHTrain@mail.nih.gov)

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**ACRONYMS AND TERMS USED TODAY****RFS BROWN BAG - 12/15/2015**

<b>ACRONYM/TERM</b>	<b>DESCRIPTION</b>
ASSIST	Application Submission System & Interface for Submission Tracking
K99	Career Transition Award
Co-I	Co-Investigator
eSDFI	Electronic Summary Disclosure of Financial Interests form
GSBS	Graduate School of Biomedical Sciences
MPI	Multiple Principal Investigator
NCE	No Cost Extension
NOA	Notice of Award
OSP	Office of Sponsored Programs
PI	Principal Investigator
RPPR	Research Performance Progress Report. Progress reports are required annually to document grantee accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year. See <a href="http://grants.nih.gov/grants/rppr/">http://grants.nih.gov/grants/rppr/</a>
R00	Research Transition Award
SBIR	Small Business Innovation Research Program
STTR	Small Business Technology Transfer Program