

Research Funding Services Brown Bag

May 28, 2013
11:45 am – 12:45 pm
Amphitheater II (S4-102)



Agenda

- Financial Services/Grant Accounting Update
 - Fiscal Year End Guidance & Key Dates
 - BuyWays Purchasing Changes
- Organizational Changes – Research Funding Services
- NIH Update
 - Continuing Resolution – Award Modifications
 - NIH Grant Fiscal Policy for FY 2013
 - NHLBI FY 2013 Payline E-mail
 - NIH Implementation of New DHHS Closeout Requirements
 - RPPR Update
 - NIH ASSIST 9/25/13 Due Date & Cayuse
- Proposal Stage Requirements for Subrecipients
- FCOI Update
- Research Administration Training Program Upcoming Courses
- Updated Proposal & Progress Report Statistics

Fiscal Year End – July 19, 2013

Some items to note:

- The close is a week later than usual
- As usual there will be a period of 2 weeks or so that Grant Accounting will be unable to create new chartstrings
- Last payroll for FY13 (only 1 day) will not run until July 18, 2013
- UMass will be transitioning to BuyWays for purchasing



Fiscal Year End – Key Dates

- Last day to submit **FUNDING CHANGE PA's** is Friday, June 14, 2013
Please note: funding change PA's received after this date will not be processed until the Pay end date of July 27th for the August 2nd paycheck
- Last day to submit Recharge Entries is Wednesday, July 10, 2013
- Last day to enter FY13 requisitions in PeopleSoft is Tuesday, June 25, 2013
- First day to enter FY14 Purchase requisitions in BuyWays is Monday, July 1, 2013





Go-Live of BuyWays is July 1st, 2013

All PeopleSoft Requisition access will be removed.

What to do*:

Think about business process

Attend Requisitioner training for access

Fill out and return Security Form

*Read BuyWays Go-Live announcement e-mail (May 15th)
additional reminder e-mail will be sent



BuyWays Changes



- \$1000 or greater Department Approval
- Department has only 1 Approver
- Shopper role
- No Pre-encumbrance (CFS Form work around)
- No auto Printing of PO's – most PO's electronically sent to vendors
- Approvals based on Commodity Code
IS, EH&S, HR



BuyWays Changes



Expectation – Procard will not be used with BuyWays catalog vendors*

*Procards - important tool for the acquisition of goods and services for vendors that do **not** have catalogs in BuyWays.



BuyWays Training

Training - Classroom (registration links)

[Approver training](#)

[Requisitioner Training **with** PeopleSoft experience](#)

[Requisitioner Training **without** PeopleSoft experience](#)

BuyWays learning materials

Quick Reference Guides

Training Guides

Screencasts (brief video demonstrations)

Online Tutorials



BuyWays Questions

Contact:

Purchasing department – BuyWays@umassmed.edu or
508-856-5301

Security Team - WorcesterFinanceSecurity@umassmed.edu

Training – LandD@umassmed.edu or 508-856-3236



Research Funding Services



Research Funding Services
Office of Research
University of Massachusetts Medical School
55 Lake Avenue North, Suite S1-859
Worcester, MA 01655-0002
508.856.2119 (office) 508.856.5004 (fax)
<http://www.umassmed.edu/research/funding/index.aspx>

NIH Continuing Resolution - Award Modifications

- NIH is issuing award modifications to reinstate funding previously reduced due to the Continuing Resolution.
- Most budgets are being reinstated to 96.5% for an overall 3.5% reduction.
- RFS will only require a revised budget for:
 - Program Projects
 - Multi PI grants
 - Any funding with Subcontracts
- Award notifications will state the following:

SECTION IV – NS Special Terms and Conditions – 5R21NS077294-02 REVISED

This revised award increases the total costs authorized consistent with the NIH fiscal policy for 2013.

NIH Funding Strategy FY 2013 - http://www.ninds.nih.gov/funding/ninds_funding_strategy.htm
 Guide Notice: NOT-OD-13-064 - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-064.html>

THE PREVIOUS TERMS AND CONDITIONS STATED BELOW REMAIN IN EFFECT.

NIH Fiscal Policy for Grant FY 2013

- Consolidated and Further Continuing Appropriations Act, 2013 (P.L. 113-6) signed March 26, 2013.
- Combines provisions of the 2011 Budget Control Act (a.k.a. Sequestration) with a continuing resolution to fund the rest of fiscal year 2013.
- All FY2012 legislative mandates and priorities remain in effect.
- Salary Limits: Continues with Executive Level II.
- Many of the funding principles used in FY2012 are being continued; details on IC funding plans still being finalized.
- New Investigators: NIH will continue to support new investigators on R01 equivalent awards at success rates equivalent to that of established investigators submitting new (Type 1) R01 equivalent applications.

From: The National Heart, Lung, and Blood Institute
Sent: Thursday, May 16, 2013 4:07 PM
Subject: Status of the NHLBI Payline

To the NHLBI-supported scientific community:

We have faced extraordinary budgetary uncertainties this year and an incredibly fluid fiscal situation. At the beginning of this fiscal year, the National Heart, Lung, and Blood Institute (NHLBI) established a conservative approach to an interim payline with the hope that our final appropriation would allow us to reach paylines comparable to historical baselines. I recognize that the fiscal challenges we are facing have caused incredible anxiety and hardships within our scientific community. Now that Congress and the Administration have provided greater clarity on our budget for FY 2013, I would like to update you on our funding allocation and operating plans for this year.

The NHLBI's budget for FY 2013 will be approximately \$2.9 billion, which is nearly \$175 million (about 5.7%) less than the FY 2012 funding level. The magnitude of the budget reductions mandated by 'the sequester' necessitated a broad-based approach that affected all NHLBI budget lines. The implementation of the budget cuts was guided by our enduring principles to prioritize investments in investigator-initiated R01 awards, new/early stage investigators, and trainees. The fiscal austerity reflected in our appropriation necessitated a difficult choice between two options: 1) fully-funded awards with a consequential decrease in the number of awards and single-digit payline versus 2) a double-digit payline with an approximate 5-7% total cost reduction in all awards. In accordance with our stated principles and the guidance of the NHLBI Advisory Council, we elected to pursue the latter allocation approach. As a result, the NHLBI will increase the FY 2013 payline for R01 awards to the 11th percentile from the current 6th percentile. Similarly, despite the overall cut in the budget, our prioritization strategy will strive to restore paylines to other mechanisms related to trainees and new/early-stage investigators toward those of FY 2012. For additional details on our Funding/Operating guidelines, please visit our site: <http://www.nhlbi.nih.gov/funding/policies/operguid.htm>.

My hope is that this fiscal update message will provide clarity and some reassurance that we remain committed to being responsible stewards of public resources while fulfilling our mission to invest in outstanding discovery science and nurture the next generation of scientific leaders.

Thank you for your continued patience and dedication in pursuit of the NHLBI mission together.

Sincerely,
 Gary H. Gibbons, MD
 Director, NHLBI



Upcoming Changes – NIH Implementation of New HHS Closeout Requirements

Highlights of NIH closeout policy changes:

- NIH implementation date proposed: 10/01/14; (May be delayed to 10/1/2015 if subaccounts is delayed)
- Maintains 90 day requirement for recipients to submit closeout documents after completion of the award;
- New Proposed: Revised Financial Reports and Expenditures must be submitted no later than 6 months from the due date for the original report;
- New Proposed: A 270 day post-project period requirement for agency completion of the entire closeout process;
- New guidelines for administrative (unilateral) closeout;
 - If acceptable final reports are not received by NIH, GMO must initiate unilateral closeout of the award within 180 days of the completion date of the award;
 - Unilateral closeout defined as “the process by which an OPDIV closes out an award without receipt of all final reports required by the Terms and Conditions of an award, after making reasonable efforts to obtain them.”
- Stay tuned for future Policy Guide Notices on implementation.



Research Performance Progress Report - Update

- Guide Notice for RPPR changes (Feb. 2013)
 - Progress reports for SNAP and Fellowships with budget start dates on or after 7/1/13 must be submitted using the RPPR
 - Progress Report Additional Materials (PRAM) functionality expanded to include requests from ICs
- Now *required* for all awards issued under SNAP authorities and Individual Fellowships; non-compliant progress reports will not be accepted
- RPPR for non-SNAP and multi-year funded awards
 - Implementation timeline TBD



More at: [NOT-OD-13-035](#)

Public Access Compliance Monitor

- NIH announced release of the Public Access Compliance Monitor (<http://www.pubmedcentral.nih.gov/utis/pacm>);
- A web-based tool that institutions can use to track compliance of publications that fall under the NIH Public Access Policy;
- By providing efficient and flexible methods for retrieving, viewing, and organizing public access compliance information, the compliance monitor supports the efforts of grantee organizations to ensure their awards are compliant;
- For additional information, see [NOT-OD-13-020](#).



Changes to Public Access Compliance— Effective with 7/1/2013 Start Dates

- For non-competing awards with starts dates on/after 7/1/2013;
- NIH will delay processing award if publications arising from it are not compliant;
- Investigators must use My NCBI;
- Electronically associated with RPPRs;
- Include PDF Report from My NCBI in paper Progress Reports;
- See Notice [NOT-OD-13-042](#).



Electronic Submission of Multi-Project Applications (ASSIST) for the September 25th Due Date

- Cayuse will not have a system-to-system solution in place for the 9/25/13 deadline (Grants.gov has not provided Evisions with the form set and mapping instructions).
- Applications submitted in response to FOAs with the following activity codes for the 9/25/13 due date will need to be generated and submitted via ASSIST:
 - P01, P20, P50, R24, U24, U19.
- Since Cayuse is not available, RFS as Authorized Official will have to submit proposals in ASSIST.
- RFS is requesting departments adhere to the program project proposal submission deadline (8 working days prior to sponsor due date) in the UMMS-RFS Proposal Review and Submission Policy to ensure that submissions are complete and loaded in ASSIST before the deadline.



Proposal Stage Requirements for Subrecipients

- If a subaward/subcontract is proposed, please submit to RFS:
 - Signed face page and/or LOI
 - Approved budget and justification
 - Scope of work
 - Checklist page
 - Copy of entity's F&A rate agreement



FCOI Update

- 1,650 UMMS faculty/staff have completed the FCOI training
- Institutional FCOI policy applicable to all UMMS sponsored project activity (not just PHS)
- Reminders:
 - A completed SDFI form for all Investigators (FCOI definition) is a mandatory element of review for all proposals submitted to RFS for approval
 - At the award stage, all Investigators identified on the SDFI form must have completed FCOI training before a project can be set up
- NIH Intramural Investigators participating on NIH extramural funded projects are not subject to the FCOI regulation



Research Administration Training Program Upcoming Courses

- **Summit Finance Dashboard for Academic Departments**
5/30/13 10:00 – 11:30 Location – Live Online Webinar
6/28/13 10:00 – 11:30 Location – Live Online Webinar
- **Contributions & Gifts**
6/4/13 9:00 – 11:00 Location – S1-608 (Hiatt Auditorium)
- **Budgeting for Clinical Research**
9/24/13 9:00 – 11:00 Location – TBD

To register go to: <http://i.umassmed.edu/Inside/registration/Register.aspx?pid=77>



PROPOSAL SUBMISSIONS TO RFS April 2012 – April 2013

	April 2012	May 2012	June 2012	July 2012	August 2012	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013
Count	61	104	100	84	62	100	125	75	75	139	111	93	56
On Time	33%	51%	50%	50%	60%	62%	50%	41%	43%	52%	40%	32%	32%
Late	57%	40%	43%	48%	35%	37%	48%	49%	48%	47%	55%	59%	59%
After the fact	10%	9%	7%	2%	5%	1%	2%	9%	9%	1%	5%	9%	9%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	39%	31%	31%	29%	26%	22%	31%	29%	35%	32%	38%	41%	39%

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 April 2012 to April 2013 Comparison

PROPOSALS	2012	2013	Change
Count	61	56	-5
On Time	33%	32%	-1%
Late	57%	59%	+2%
After the fact	10%	9%	-1%
Total	100%	100%	-
Expedited Request (3 days or less)	39%	39%	0%

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.



PROGRESS REPORT SUBMISSIONS TO RFS April 2012 – April 2013

	April 2012	May 2012	June 2012	July 2012	August 2012	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013
Count	45	39	29	26	10	11	23	22	20	25	45	30	42
On Time	47%	34%	38%	23%	30%	37%	26%	27%	55%	40%	49%	50%	45%
Late	42%	56%	41%	62%	50%	27%	43%	41%	25%	48%	40%	40%	41%
After the fact	11%	10%	21%	15%	20%	36%	30%	32%	20%	12%	11%	10%	14%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	29%	31%	17%	31%	30%	0%	35%	36%	10%	44%	24%	17%	31%

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

April 2012 to April 2013 Comparison

PROGRESS REPORTS	2012	2013	Change
Count	45	42	-3
On Time	47%	45%	-2%
Late	42%	41%	-1%
After the fact	11%	14%	+3%
Total	100%	100%	-
Expedited Request (3 days or less)	29%	31%	+2%

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