



RESEARCH FUNDING SERVICES BROWN BAG

AUGUST 29, 2012

AGENDA

- Financial Conflict of Interest (FCOI) Implementation Update
- Revised New Award Provisional Status Account Request (NAPSAR) Form
- Revised Annual Progress Report (APR) Form
- Optional Streamlined Proposal Review Process
- July Proposal & Progress Report Statistics



FCOI UPDATE

- Policy went into effect 8/1/12
- 1,000 UMMS faculty/staff have taken the FCOI training
- RFS is requesting an updated SDFI disclosure form for awards received after 8/1/12 to confirm Investigators (new definition) have taken COI training
- RFS will confirm that individuals identified on the SDFI form have completed FCOI training before a project can be set up



OVPR FCOI Website: http://www.umassmed.edu/FCOI.aspx?linkidentifier=id&itemid=157810

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OVPR Home Research Funding

Clinical Research

Compliance

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Research Training

- Overview
- Policy
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- Training
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Financial Conflict of Interest

Effective August 1, 2012, the University of Massachusetts Medical School has implemented a Policy for Promoting Objectivity in Biomedical Research to comply with new federal financial conflict of interest reporting and training requirements. The new federal requirements are intended to promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of sponsored research will be free from bias resulting from Investigator financial conflicts of interest.

Major changes include:

- · A more inclusive definition of "Investigator"
- · A revised disclosure process at the application stage
- Lower financial disclosure thresholds
- · Disclosure of all activities relating to "Institutional Responsibilities"
- · A requirement to disclose sponsored travel
- · A new conflict-of-interest training requirement

The Office of the Vice Provost for Research has created this website to provide the UMMS research community with the resources needed to understand and manage this process.

FCOI Presentations and Resources:

Click here for a slide presentation detailing the new regulatory requirements.

Click here for the slides presented at the RFS FCOI Brown Bag information session of July 9, 2012.

Email this page

REVISED PROVISIONAL STATUS ACCOUNT REQUEST (NAPSAR) FORM

- Main Revision
 - PSAR Form to be used only for new awards (now referred to as NAPSAR). Provisional account requests for existing awards will be handled through the APR process.
- 2 types of provisional account requests that can be made:
 - Advance Accounts: Used when a PI and the department want to set up an account so that they can appoint personnel and be prepared to begin spending as of the start date of the award.
 - Pre-Award Spending Accounts: Used when the PI and department anticipate needing to spend funds in advance of the sponsor's start date. Most federal sponsors will allow expenditures to be incurred up to 90 days prior to the beginning date of the budget period.





University of Massachusetts Medical School

New Award Provisional Sponsored Account Request (NAPSAR) Form

Please read the guidance provided and complete the form below to request a provisional sponsored account for a new award. Incomplete requests will be returned to the Department for additional information.

		PENDING PRO	POSAL INFORMATION		
*Principal Investigator:			Dept. Name:	*Dept. I	D: [
*PS Proposal/Award #:		*Spor	sor Rot Award #.		
Award Type:		- If Subsquer	ement, Federal Flow-Through	2 Yes No	
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	eement		*Prime Sponsor (if Subagreen	nent):	
*Award Title	tion/Private		VI (III (10 da) 5 di letti il biologia 5 da)	M84 I:	
*Project Period: Start	Date:	End Date:	*Budget Period: *Sta	ut Date:	*End Date:
*Anticipated Award Will			If Transfer, Previous Ins		End Date.
*Estimated Award Amo		- C Hansier-III	if Transfer, Previous ins	titution:	
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*Justification		no pre-award spending ng Account (provide pre			
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New Award Provisional Sponsored Account Request Form

The New Award Provisional Sponsored Account Request (NAPSAR) Form can be used to establish a chartfield in PeopleSoft to facilitate the initiation of a sponsored project prior to receiving an award or official notice from the sponsoring agency. It will provide the Principal Investigator (PI) access to funding by assigning an account number to the sponsored project in advance of the official award document. This will aid in the proper allocation of costs at the beginning of the project, which prevents the improper allocation of expenses to an incorrect account and minimizes the need for cost transfers. (A cost transfer is the reassignment of an expense to or form a sponsored project after the expense was initially charged to another sponsored project or non-sponsored project. Cost transfers include salary, fringe, supplies and other direct costs.)

There are two types of New Award Provisional Accounts that PI's may request.

- Advance Accounts are used when a PI and the department want to set up an account so that they can appoint personnel and be prepared to begin spending as of the start date of the award.
- Pre-Award Spending accounts are used when the PI and department anticipate needing to spend funds in advance of the sponsor's start date. Most federal sponsors will allow expenditures to be incurred up to 90 days prior to the beginning date of the budget period.

New Award Provisional Sponsored Accounts must be secured by an institutional unrestricted account. If an award is not received, or expenditures processed are determined to be unallowable due to the conditions of award, this account will provide the funding sources for these expenditures.

Pls are encouraged to use New Award Provisional Sponsored Accounts when appropriate. If the Pl has received notification, or has information of a sponsor's intent to fund a proposal, but the issuance of the actual award document by the sponsor may be delayed and an immediate need exists to begin work or continue existing work that benefits the sponsored project, please complete the NAPSAR Form.

Regulatory Compliance

UMMS does not release budget into animal, human subjects or biosafety expenditure categories on provisional sponsored accounts. Should the PI need to spend in these categories while in provisional status, RFS will require that any of the following applicable regulatory protocols have been submitted, reviewed and approved by the appropriate regulatory office:

- All animal protocols are approved and determined to be congruent to the proposal by the Institutional Animal Care and Use Committee (IACUC).
 - All human subject protocols are approved and determined to be congruent to the proposal by the Institutional Review Board (IRB).
- All other regulatory compliance requests (biohazards, radiation safety, hazardous material, etc.) are on file and approved.

Pre-Award Costs

Pre-award costs are those obligations and expenditures incurred up to 90 days prior to the beginning date of the initial budget period of a new or renewal award. OMB Circular A-110 gives authority to federal granting agencies to permit grantees to approve 90 day pre-award spending at the grantee's risk. If the sponsor allows the institution to approve pre-award spending, these costs are allowable providing:

- The costs are necessary to conduct the project, and
- The costs would be allowable under the grant, if awarded, without prior approval from the sponsor, and
- All required regulatory compliance approvals are completed.

To Request a New Award Provisional Sponsored Account

Please complete the NAPSAR Form. Required fields are marked with an *. Fields on the NAPSAR Form may be left blank if the information is included on the Proposal Routing Form and a copy is attached to the NAPSAR Form. The completed form requires the signatures of the PI and the Department Administrator.

New Award Provisional Sponsored Accounts must be secured by an institutional unrestricted account by providing a valid PeopleSoft (PS) SpeedType (ST) account number for the unrestricted account. The signature of the Department Chair is required if the PS ST account number is a Departmental Account.

This form must be accompanied by:

- 1.) Supporting documentation and/or justification regarding the notification that the award will be funded, and
- 2.) Copies of all approval letters for regulatory protocols, and
- 3.) A copy of the Proposal Routing Form if duplicate fields are blank.

Once RFS reviews the information provided and determines the request is allowable, they will approve the establishment of a New Award Provisional Sponsored Account and forward the form to Grant Accounting for processing. Grant Accounting will notify the department when the account is established by forwarding a Project In-formation Notification (PIN) Report to the Department Administrator.



REVISED ANNUAL PROGRESS REPORT (APR) FORM

Main Revisions

- A provisional account request section has been added to the APR form.
- A disclosure of financial interests section requesting an updated SDFI form for the project has been added to the APR.
- The Compliance Certifications area has been reformatted for better clarity
- The Declarations section has been modified to add an assurance that Investigators have provided updated disclosures and that they are willing to accept the financial risk on provisional account requests.

University of Massachusetts Medical School

Annual Progress Report Form

This form is required for RFS review and approval of Progress Reports on established projects.

Document Contact	Name	Phone	Email	Requested Return Date
	1			
		I. AW	ARD INFORMATION	
ward Title				
	Prime Recipient Subagreement	Federal Flow-Thro	ang.	ontinuation SNAP? Yes No to Sponsor Receipt Postmark
monsor Ref. Av	oundation/Private			Electronic Time (if Elec.)
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		II. PRINCIPAL II	NVESTIGATOR INFORMATION	
PI Name		Current Ef	fort % Will the level of effort for t change significantly (25% budget period?	
Dept. Name			Project Location (if changed	đ):
		W C	O-INVESTIGATORS	
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VII. DISCLOSURE OF FINANCIAL INTEREST UPDATE

Please include an updated Summary Disclosure of Financial Interests (SDFI) form with the APR packet. All persons meeting the FCOI policy definition of an Investigator (any person, regardless of title or position, who is responsible for the design, conduct or reporting of research, or proposed for such funding) are required to provide an updated disclosure. Any new affirmative disclosures on the SDFI form will require institutional review and treatment before RFS can authorize the release of the next segment of funding. RFS will also confirm that FCOI training is current for all identified Investigators. Training must be current before the next segment of funding can be released.

Authorized Institutional Official - Office of Research Funding Services

FOR RFS USE ONLY	Yes	No
SDFI Form Submitted?	0	0
Affirmative Disclosures?	0	0
nvestigator Training Confirmed?	0	0

			VIII.	COMPLIANCE IN	FORMATION/CERTIFICATIONS						
	Yes	No	Docket/Protocol#	Approval Date					Yes	No	
Human Subjects?	0	0			Has the involvement of human	subie	cts ch	anged?	0	0	
Animal Subjects?	0	0			Has the involvement of animal				0	0	
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	Yes	No		Yes No							
Inventions?	0	0	Previously Reported?	00							
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	Yes	No	Docket/Protocol#	Approval Date		Yes	No	Docket	/Protoc	:ol#	Approval Da
Radioactive Materials	0	0			Blood - Animal	0	0				
Recombinant DNA	0	0			Blood - Human	0	0				
Adult Stem Cells	0	0			Tissue - Animal	0	C				
Embryonic Stem Cells	0	0			Tissue - Human	0	0				
Select Agent	0	0			Microbial Pathogen-Animal	0	0			=	
Biologic Toxin	0	C			Microbial Pathogen-Human	0	0	-		-	
Pathogen - Animal	0	0			Cell Lines - Animal	0	C	-		-	
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Special Approval (as Required)



OPTIONAL STREAMLINED PROPOSAL REVIEW PROCESS

- Piloted with Medicine/Neurology ASG
 - Allows for budgetary items to be reviewed in parallel to the Proposal Routing Form (PRF) signature approval process
- RFS will accept photocopies/scans/faxes of Co-I and Department Chair Signatures on the PRF
 - Email approvals are acceptable if an approver is not available to sign
- At the intake stage, Departments will let RFS know they are using this optional process by submitting the Proposal Approvals – Signatures Checklist form along with the initial items submitted.



OPTIONAL STREAMLINED PROPOSAL REVIEW PROCESS

Compliance Certifications

- RFS will accept photocopies/scans/faxes of the Summary Disclosure of Financial Interests
 (SDFI) form required at the time of submission for any project personnel regardless of title
 or position, who is responsible for the design, conduct or reporting of the research.
- All required disclosures must be provided to RFS prior to submission of the proposal to the sponsor.
- Sponsors require disclosure of the existence of human subjects and/or animal research as part of the application process, but most do not require institutional approval documentation of the research protocols at this stage. RFS will not request documentation of protocol approval letters at the application stage, but will require that departments still disclose the existence of human subject and animal research on the PRF (specific guidance on this process is in the 8/29/12 Streamlined Proposal Review Process Requirements Memorandum).
- Please consult with your RFS Team Leads if you are interested in using this process.



SUBMISSIONS TO RFS 1/1/12 - 7/31/12

PROPOSALS	January	February	March	April	Мау	June	July
Count	136	119	95	61	104	100	84
On Time	60%	61%	45%	33%	51%	50%	50%
Late	36%	33%	48%	57%	40%	43%	48%
After the fact	4%	6%	7%	10%	9%	7%	2%
Total	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	24%	23%	35%	39%	31%	31%	29%



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 - 7/31/12

PROGRESS REPORTS	January	February	March	April	Мау	June	July
Count	34	41	40	45	39	29	26
On Time	50%	41%	45%	47%	34%	38%	23%
Late	47%	49%	38%	42%	56%	41%	62%
After the fact	3%	10%	17%	11%	10%	21%	15%
Total	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	44%	41%	30%	29%	31%	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.



University of Massachusetts Medical School

New Award Provisional Sponsored Account Request (NAPSAR) Form

Please read the guidance provided and complete the form below to request a provisional sponsored account for a new award. Incomplete requests will be returned to the Department for additional information.

UMASS,	Document Contact: Phone:							
PENDING PROPOSAL INFORMATION								
*Principal Investigator:	*Dept. Name: *Dept. ID:							
*PS Proposal/Award #:	*Sponsor Ref. Award #.							
Award Type: Prime Recipient	*Prime Sponsor (if Subagreement):							
*Award Title	Y Time Openior (it catalycomony).							
*Project Period: Start Date: End D *Anticipated Award Will Be: New Renewal (*Budget Period: *Start Date: *End Date: Transfer-In If Transfer, Previous Institution:							
*Estimated Award Amount								
*Justification Advance Account (no pre-a Pre-Award Spending Account Pre-Aw	*Pre-award costs as of (date): award spending) unt (provide pre-award spending date)							
	LIANCE INFORMATION/CERTIFICATIONS							
	Protocol #: Approval Date: Pending Protocol #: Pending Approval Date: Pending							
STATEMENT OF RES	PONSIBILITY FOR REQUESTING AN AT-RISK ACCOUNT							
that an award will be received with an effective date that v processed are determined to be unallowable due to the te expenses.	ated in connection with the sponsored proposal indicated above. There is a reasonable certainty will cover the charges made to the account. If such an award is not received, or expenditures erms of the award, the PS ST# account referenced below will provide the funding source for these are source must be institutional funds.							
Principal Investigator (Sign and Date)								
Dept. Administrator (Sign and Date)								
Department Chair: (Sign and Date)								
Department Chair Signature Require	red if PS ST# is a Departmental Account.							
	RFS/GA USE ONLY:							
Date Logged In: Pro	pposed DC:							
RFS Approval:								

New Award Provisional Sponsored Account Request Form

The New Award Provisional Sponsored Account Request (NAPSAR) Form can be used to establish a chartfield in PeopleSoft to facilitate the initiation of a sponsored project prior to receiving an award or official notice from the sponsoring agency. It will provide the Principal Investigator (PI) access to funding by assigning an account number to the sponsored project in advance of the official award document. This will aid in the proper allocation of costs at the beginning of the project, which prevents the improper allocation of expenses to an incorrect account and minimizes the need for cost transfers. (A cost transfer is the reassignment of an expense to or from a sponsored project after the expense was

initially charged to another sponsored project or non-sponsored project. Cost transfers include salary, fringe, supplies and other direct costs.)

There are two types of New Award Provisional Accounts that PI's may request.

- 1.) Advance Accounts are used when a PI and the department want to set up an account so that they can appoint personnel and be prepared to begin spending as of the start date of the award.
- 2.) Pre-Award Spending accounts are used when the PI and department anticipate needing to spend funds in advance of the sponsor's start date. Most federal sponsors will allow expenditures to be incurred up to 90 days prior to the beginning date of the budget period.

New Award Provisional Sponsored Accounts must be secured by an institutional unrestricted account. If an award is not received, or expenditures processed are determined to be unallowable due to the conditions of award, this account will provide the funding sources for these expenditures.

Pls are encouraged to use New Award Provisional Sponsored Accounts when appropriate. If the Pl has received notification, or has information of a sponsor's intent to fund a proposal, but the issuance of the actual award document by the sponsor may be delayed and an immediate need exists to begin work or continue existing work that benefits the sponsored project, please complete the NAPSAR Form.

Regulatory Compliance

UMMS does not release budget into animal, human subjects or biosafety expenditure categories on provisional sponsored accounts. Should the PI need to spend in these categories while in provisional status, RFS will require that any of the following applicable regulatory protocols have been submitted, reviewed and approved by the appropriate regulatory office:

- All animal protocols are approved and determined to be congruent to the proposal by the Institutional Animal Care and Use Committee (IACUC).
- · All human subject protocols are approved and determined to be congruent to the proposal by the Institutional Review Board (IRB).
- · All other regulatory compliance requests (biohazards, radiation safety, hazardous material, etc.) are on file and approved.

Pre-Award Costs

Pre-award costs are those obligations and expenditures incurred up to 90 days prior to the beginning date of the initial budget period of a new or renewal award. OMB Circular A-110 gives authority to federal granting agencies to permit grantees to approve 90 day pre-award spending at the grantee's risk. If the sponsor allows the institution to approve pre-award spending, these costs are allowable providing:

- The costs are necessary to conduct the project, and
- The costs would be allowable under the grant, if awarded, without prior approval from the sponsor, and
- All required regulatory compliance approvals are completed.

To Request a New Award Provisional Sponsored Account

Please complete the NAPSAR Form. Required fields are marked with an *. Fields on the NAPSAR Form may be left blank if the information is included on the Proposal Routing Form and a copy is attached to the NAPSAR Form. The completed form requires the signatures of the PI and the Department Administrator.

New Award Provisional Sponsored Accounts must be secured by an institutional unrestricted account by providing a valid PeopleSoft (PS) SpeedType (ST) account number for the unrestricted account. The signature of the Department Chair is required if the PS ST account number is a Departmental Account.

This form must be accompanied by:

- 1.) Supporting documentation and/or justification regarding the notification that the award will be funded, and
- 2.) Copies of all approval letters for regulatory protocols, and
- 3.) A copy of the Proposal Routing Form if duplicate fields are blank.

Once RFS reviews the information provided and determines the request is allowable, they will approve the establishment of a New Award Provisional Sponsored Account and forward the form to Grant Accounting for processing. Grant Accounting will notify the department when the account is established by forwarding a Project In-formation Notification (PIN) Report to the Department Administrator.

University of Massachusetts Medical School

Annual Progress Report Form

This form is required for RFS review and approval of Progress Reports on established projects.

Document Contact	Name	Phone	Email		Requested Return Date	
Dodinent Contact		, meno			Troquested trotain Batte	
	,	I. AWAR	D INFORMATIO	N	,	
Aad Title						
Award Title					SNAP? Yes No	
Award Type		Federal Flow-Throug	h Yes No	Type: Continuation Date Due to Sponsor		
Sponsor Name	Prime Recipient Subagreement			Date Due to Sponsor	Receipt Postmark	
Sponsor Ref. Al	Foundation/Private			J.	Electronic Time (if Elec.)	
PS Award #:		PS Project #:		Is Progress Report required	by sponsor? Yes No	
		II. PRINCIPAL INV	ESTIGATOR INF	ORMATION		
PI Name		Current Effort	% Will the lev	vel of effort for the Principal In	vestigator Yes No	
PI Phone			budget pe	gnificantly (25% or more) in the riod?	: next	
Dept. Name			Project Loc	cation (if changed):		
		III. CO-	INVESTIGATORS	3		
	Must be UMMS F	aculty or Professional Staf	funless a Subaward	dee/Subrecipient is indicated bel	DW.	
Name		Department		Signature (See Declarations	(in Sec. VIII) for UMMS Fac/Prof Staff)	
				1	(
		IV. NEXT PERIOD				
Start Date	End Date		(Attach additional s		NEXT PERIOD BUDGET	
					s	
Direct Costs	Indirect Costs To	otal Costs			s	
		Ì			\$	
		\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	OOT OUIS THE			
Borns avance.		2	OST SHARING			
Does Award Include Cost Sharing? Yes No If yes, identify type and attach documentation: Sponsor Required In Kind/Voluntary						
VI. PROVISIONAL ACCOUNT REQUEST						
N. 100 110 100 100	estigator requesting the estable		100000	○ No igned/approved APR form to Gra	nt Accounting to set up the	
provisional account		, or expenditures processed			of the award, the PS ST# account	
*PS ST# (funding s	ource must be institutional fu	nds):				
* Department Chair	signature is required on the i	APR form if the PS ST# pro	ovided is from a Dep	artmental Account.		
	require multiple projects for t the department ID(s).	he year please attach a list	ing of the number o	f projects needed, the title of the	project(s), the project	

			VII. I	DISCLOSURE OF F	INANCIAL INTEREST UPDATE				
reaso include an apacted culturally bisolosare of thichical interests (est i) form with the 7th is packet. 7th							FOR RFS USE O	NLY Yes No	
who is responsible fo	rsons meeting the FCOI policy definition of an Investigator (any person, regardless of title or posit to is responsible for the design, conduct or reporting of research, or proposed for such fund to required to provide an updated disclosure. Any new affirmative disclosures on the SDFI form will rec							SDFI Form Submit	ted?
				uthorize the release of the next segment of funding.				Affirmative Disclosu	res?
RFS will also confirm t before the next segmer				identified Investiga	tors. Training must be current	In	vesti	gator Training Confirm	ned? C C
VIII. COMPLIANCE INFORMATION/CERTIFICATIONS									
	Yes	No	Docket/Protocol#	Approval Date				Yes No	
Human Subjects?	0	0			Has the involvement of human	subie	cts ch	nanged? O O	
Animal Subjects?	0	0			Has the involvement of animal				
rumar odbjects.					That the involvement of animals	Jubje	0.0	anged.	
	Yes	No		Yes No					
Inventions?	0	0	Previously Reported?	00					
Indicate below the ap	propr	iate a	ctivities involved in th	nis project. Please	list the valid IBC Protocols tha	at cov	er th	is activity.	
	Yes	No	Docket/Protocol#	Approval Date		Yes	No	Docket/Protocol#	Approval Date
Radioactive Materials	\circ	\circ			Blood - Animal	\circ	0		
Recombinant DNA	0	0			Blood - Human	0	0		
Adult Stem Cells	0	0			Tissue - Animal	0	0		
Embryonic Stem Cells	0	0			Tissue - Human	0	0		
Select Agent	0	0			Microbial Pathogen-Animal	0	0		
Biologic Toxin	0	0			Microbial Pathogen-Human	0	0		
Pathogen - Animal	0	0			Cell Lines - Animal	0	O		
Pathogen - Human	0	0			Cell Lines - Human	0	O		
* Assurance that * Certification that * Compliance of that * Acceptance of that * Acceptance of that * UMMS resource * Assurance they Signature of the Dep * Assurance of de * Assurance of de * Approval of proj * Cognizance of that * Acceptance of that	the infit they he aw he res institu es nec in arrime epartme ect an he protect and he final from the final from	formate are not are not are not ponsition. essart compent Achental mental and conject's igation	ot currently suspended, ith applicable, institution bility to continue to conty to complete the project of the institution of the institution of the information of the information of the information that appropriarisks and administrative of Department funds	e report (if applicable debarred, or propon, sponsor, federal, duct and judiciously ct will continue to be const Intellectual Proed) below indicates: on and budget for action of accurate and uplow indicates: the space and facilitie obligations, to meet any cost shi	e) is true, complete and accurate sed for debarment or suspension and state rules, regulations and granage the project in accordance available for the project. Derty Policy and have provided upporting and compliance with spot added protocol information for the seare available to continue to meaning in this project. The award is not received. Additional Department	for diguidel guidel ce with pdate msor a sis pro eet the control of the control o	oing bines, h the d CO and in ject.	terms and conditions I disclosures for all prestitution guidelines.	of the sponsoring
				X. INSTITU	TION APPROVALS				
Authorized Institution	nal Offic	cial - C	Office of Research Funding	Services	Special Approval ((as Re	quired)	
Total Indication				NEW YORK TO THE PARTY OF THE PA	-F-sign , Abiovai (,		



Office of the Vice Provast for Research University of Massochusetts Medical School 55 Lake Avenue Narth Worcester, MA 01655-0002 508.856.5600 (office) 508.856.1627 (fax) diego.vazquez@umassmed.edu

Diego R. Vazquez, MPA, CRA Assistant Vice Provost, Research Funding Services

MEMORANDUM

Date:

August 29, 2012

To:

UMMS Research Community

From:

Diego Vazquez, Assistant Vice Provost, Research Funding

Subject:

Streamlined Proposal Review Process Requirements and Compliance Certification Documentation

Proposals Approvals

In order to streamline the proposal review process Research Funding Services (RFS) will initiate the review of a proposal upon receipt of a Proposal Routing Form (PRF) with the Principal Investigator (PI) and Department Administrator's (DA) original signatures and a finalized budget and budget narrative. This will allow for budgetary items to be reviewed in parallel to the PRF signature approval process, allowing the department to continue work on the remaining proposal components while RFS reviews and provides feedback regarding the budget.

Approver Documentation Requirements

RFS will now accept photocopies/scans/faxes of Co-Investigator and Department Chair signatures on the Proposal Routing Form. Moving in this direction allows the initiating department to secure approvals on the PRF in parallel, allowing the process to move forward in the absence of any approvers. E-mail approvals are acceptable in lieu of a signature should an approver not be available to sign. The approver's e-mail must include the Primary PI's name, the PeopleSoft Proposal ID# and a statement indicating that they have reviewed and approved the PRF for the application. Please note that all approvals must still be secured for a proposal to be submitted to the sponsor.

Proposals submitted using the streamlined proposal review process should include the attached checklist identifying any missing or pending signatures. At the intake stage the checklist will let RFS know not to treat the submission as an incomplete packet and that the department will be following up with additional approval signatures. An updated Proposal Approvals Checklist must accompany each submission of additional approval documentation to RFS (including COI documentation). It is the responsibility of the department to ensure that all approving signatures are provided to RFS prior to submission of the proposal to the sponsor.

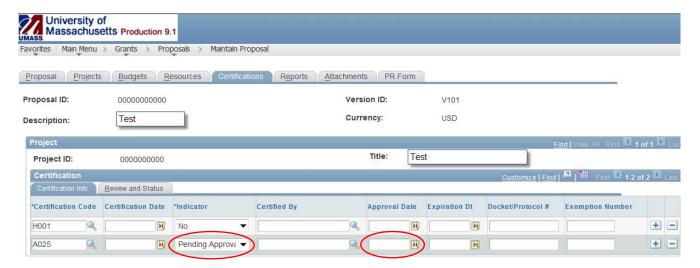
Compliance Certifications

RFS will accept photocopies/scans/faxes of the Summary Disclosure of Financial Interests required at the time of submission for any project personnel regardless of title or position, who is responsible for the design, conduct or reporting of the research. All required disclosures must be provided to RFS prior to submission of the proposal to the sponsor.

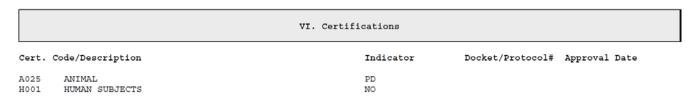
Sponsors require disclosure of the existence of human subjects and/or animal research as part of the application process. Most sponsors do not require institutional approval documentation of human subjects and animal research protocols at the proposal stage. RFS is aligning the proposal review and submission process to reflect how sponsors address this issue (e.g., Just-in-time, or JIT) and will not request documentation of protocol approval letters at the application stage. However, departments are still required to disclose the existence of human subject and animal research components on the PRF and will be asked to select the Pending Approval indicator in the Indicator field on the Certification tab when entering data into PeopleSoft. The Approval Date field should be left blank as a Pending Approval response will not

require documentation of the approval date. If the project does not have a human subject or animal research component, on the Certifications tab in PeoplesSoft, select H001 for Humans, A025 for Animal Research in the Certification Code field and indicate **No** in the Certification Indicator field.

The screenshot below shows how an Animal Research *Pending Approval* certification should be entered. Note that the circled approval date is left blank. Since Human Subjects are not being used in this project, the H001 Certification Code is selected and the Indicator field is set to *No*.



The certification entered above will appear in Section VI. of the printed PRF in the following format:



If the department has a valid protocol number and approval date, they can choose to include it on the PRF. However, if a protocol number and date are provided, RFS will require a copy of the most current approval letter to be provided as part of the submitted PRF packet.

		Proposal ID#:%
	Proposal Approvals - Si	gnature Checklist
Principal Investigator:		Date:
Department Contact:		
Contact Phone:	Co	ontact E-Mail:
9	Signatures Required for G	Frant Submission Review
Check the	box for all signatures that have been secured. A	a blank box indicates the signature has not been secured.
	Summary Disclosure of Financial Interest Form (SDFI)	Proposal Routing Form (PRF)
Principal Investigator		
Co-Investigator (list below)		
1	🗆	
2.		
3.		
4	_ 🗆	
5.	🗆	
Individuals identified by PI	that meet FCOI policy Investigato	r* definition and are required to disclose on the SDFI
1.	🗆	* Investigator is defined as any person, regardless of title or
2.		position, who is responsible for the design, conduct or reporting of research.
3.		
4		
5		
		Proposal Routing Form
PI's Chair		
	nvestigators & Other Key Personne	l
Dept Name		
1		
<u> </u>		
2.		