Research Administration Update

Wednesday, March 28, 2018
Lazare Auditorium (S1-607)
1:00 pm
Agenda

• OSP Updates
  – Org Chart
  – Website updates
  – April deadlines
  - Foreign Project Registration
  - Final RPPR for Closeout
  - PeopleSoft Upgrade

• NIH Update
  – NOT-OD-18-137
  – Continuing Resolution
  – eRA Commons Roles

• Proposal & Progress Report Statistics

• Research Administration Training Topic:
  eRA Commons Prior Approval Module
OSP Updates - Website

Sponsored Programs Fact Sheet

UMMS Institutional Information for Sponsored Projects

| **Applicant Organization for all grant proposals:** University of Massachusetts Medical School |
| **Legal Entity for contracts and agreements:** University of Massachusetts, Worcester |
| **Institution Type:** Public/State-Controlled Inst. of Higher Education |
| **DUNS Number:** 603847393 |
| **NIH IPF Number:** 0850903 |
| **NSF Organization ID:** 00975568000 |
| **County:** Worcester |
| **Congressional District:** MA-002 |
| **Federal Wide Assurance (FWA) Number:** 00004009 |
| **Animal Welfare Assurance (AWA) Number:** D16-00196 (A3306–01), effective 1/4/2017 – 11/30/2020 |
| **Date of AAALAC Accreditation:** November 15, 2013 - Site #000343 |
| **Federal Tax Exemption Status:** Exempt under IRC §115 - State University |
| **Federal Tax ID Number (TIN):** 04-3167352 |
| **Entity Identification Number (EIN):** 1043167352A1 |
| **NAICS Code:** 611310 |
| **CAGE Code:** 6R004 |
| **FICE Number:** 009758 |
| **System for Award Management (SAM) Expiration Date:** 3/5/2019 |
| **Current NIH Salary Cap:** $189,600 |

UMass Medical School W-9 Form W-9 Form
NIH Proposal Information

Most NIH funding mechanisms are now electronic with a few notable exceptions. For electronic applications, please see the Electronic Submission page.

For paper-based applications please use these partially completed pages:

- PHS398 Face page for new and competing Grant Applications
- PHS398 Checklist Page
- PHS2590 Face page for Grant Progress Report
- PHS2590 Checklist Page for Grant Progress Report
OSP Updates - Website

Proposal Information Worksheet

- Suggested by the Grants Focus Group
- Work group under the direction of Rik Madison
- Assist with capturing the required information when building a proposal

https://www.umassmed.edu/research/funding/rfsform/
Proposal Information Worksheet

1. General Information

<table>
<thead>
<tr>
<th>Proposal Information Worksheet</th>
<th>Administrative Use:</th>
</tr>
</thead>
<tbody>
<tr>
<td>This worksheet is a standardized form used to obtain and communicate essential information pertaining to the initiation of a proposal submission between the PI and Department Administration. Please complete as much information as known at this time and forward to the appropriate administrative contact in your department who is responsible for coordinating the application process.</td>
<td>Initial Notification (When/How):</td>
</tr>
<tr>
<td></td>
<td>Meeting/Forum and Date:</td>
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<tr>
<td></td>
<td>OSP Request Return Due Date:</td>
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<tr>
<td></td>
<td>Administrative Coordinator:</td>
</tr>
<tr>
<td></td>
<td>Proposal ID #:</td>
</tr>
<tr>
<td></td>
<td>Project ID #:</td>
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</tbody>
</table>

**General Information**

- **Principal Investigator (PD/PI) Name:**
- **Multi PD/PI:** Yes ☐ □ No ☐ □
- **Are you the Contact PI:** Yes ☐ □ No ☐ □
- **Other PD/PI Name(s):**
- **Outside Contact(s):**

- **Sponsor:** NIH ☐ CDC ☐ HRSA ☐ DOD ☐ NSF ☐ State ☐ Non-Profit ☐ Hughes ☐ Industry ☐ Subcontract (Other Institution is Prime) ☐
- **Other/Specify:**

- **Application in Response to a Specific Opportunity:** Yes ☐ □ No ☐ □
- **PA/RFP/RFA:**
- **Agency Due:**
- **Date:**
- **Time:**

- **Award Type/Code:** R01 ☐ R21 ☐ R37 ☐ K-Award ☐ P01 ☐ U19 ☐ SBIR/STTR ☐ Contract ☐ Fellowship ☐ Other/Specify:

- **Application Type:** New ☐ Resubmission (Include ID#) ☐ Renewal ☐ Revision ☐ Continuation ☐ Supplement ☐ Transfer In ☐ Other:

- **Type of Submission:** Cayuse ☐ Sponsor Website ☐ Paper ☐ Email/Electronic ☐ Other/Specify:

- **Provide a Quick/Nickname to refer to:**

- **Title if Known:**
## Budget/Personnel Information

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<thead>
<tr>
<th>Budget Type:</th>
<th>□ Modular</th>
<th>□ Detailed</th>
<th>□ No Budget Required</th>
<th>□ Other:</th>
<th>□ Yes</th>
<th>□ No</th>
<th>Project Start Date:</th>
<th>□ Yes</th>
<th>□ No</th>
<th>Number of Years:</th>
<th>□ Yes</th>
<th>□ No</th>
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<tbody>
<tr>
<td>Cost Sharing Requirements (Personnel or Other):</td>
<td>□ Yes</td>
<td>□ No</td>
<td>If Yes, Provide Specifics:</td>
<td></td>
<td></td>
<td></td>
<td>Equipment:</td>
<td>□ Yes</td>
<td>□ No</td>
<td>Target Amount: Direct $</td>
<td>□ Yes</td>
<td>□ No</td>
</tr>
</tbody>
</table>

| List Personnel/Effort and who's Key: |
| 1. | Role: PD/PI | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |
| 2. | Role: | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |
| 3. | Role: | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |
| 4. | Role: | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |
| 5. | Role: | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |
| 6. | Role: | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |
| 7. | Role: | Effort: % | Key: □ Yes □ No | Incl on SDFI: □ Yes □ No |

Are there any Other Significant Contributors: □ Yes □ No
If yes, list Name/Institution/Department:

Are there Outgoing Sub-Recipients: □ Yes □ No
If yes, List Who and Projected Amounts:

Will project involve foreign travel and activities outside the US or partnerships with international collaborators: □ Yes □ No (if Yes, Contact Travel Office for approval)
# Proposal Information Worksheet - Three Areas

## 3. Certifications/Other

<table>
<thead>
<tr>
<th>Certifications/Other Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Human Subjects:</strong></td>
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<tr>
<td><strong>Clinical Trial:</strong></td>
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<tr>
<td><strong>Phase III:</strong></td>
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<tr>
<td><strong>Animal Subjects:</strong></td>
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<tr>
<td><strong>Other Requirements/Certificates:</strong></td>
</tr>
<tr>
<td><strong>Provide Key Words (up to 3):</strong></td>
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</tbody>
</table>

[https://www.umassmed.edu/research/funding/rfsform/](https://www.umassmed.edu/research/funding/rfsform/)
Proposals that are due on 4/16/2018

OSP will be closed due to the Patriot’s Day holiday.

Please encourage PI’s to submit on 4/13/2018.

Although our review will be complete, we will not be available to support the PI should there be issues.
Dear Dr. _____,

The NIH eRA Commons Institutional Profile (IPF) query is showing that you have a Progress Report due on 4/15/2018 for the grant mentioned above.

Please note that the RPPR deadline falls on a Sunday, which would normally allow for submission on Monday, April 16th. However, **Monday, April 16th is a Holiday** for the University.

This is a State Holiday and *not* a Federal Holiday. Since our office is the final submitter for RPPR’s **your RPPR will need to be electronically submitted by Friday, April 13th. Our office will not be available on Monday, April 16th to submit RPPRs.**
Foreign Project Registration form (FPR)

- Previously the Office of Global Health (OGH)
- Now International Support Services (ISS)
- Must be initiated at the time of JIT
- Can be submitted to the OGH mailbox
- Form will be revised soon
OSP Updates - FPR

https://www.umassmed.edu/international-support-services/
Closeout Process Reminder....

Once the FRPPR is completed by the PI and no errors are found upon validation, it can be submitted directly to the NIH. It does not require routing to our office for review.
OSP Updates – PS Upgrade

Employee Self Service

Pay
- Last Pay Date: 03/23/2018

Report Time

Personal Details

Direct Deposit

W-2/W-2c Consent

W-4 Tax Information
- FED TAXES

M-4 (MA State) Tax Information
- MA TAXES

View W-2/W-2c Forms
OSP Updates – PS Upgrade

NEW LOOK TO FINANCIALS COMING IN APRIL!
OSP Updates – PS Upgrade
NOT-OD-18-137

• Guidance on Salary Limitation for Grants and Cooperative Agreements FY 2018 (NIH salary cap)
• The Office of Personnel Management has recently released new salary levels for the Executive Pay Scale.
• Effective January 7, 2018, the salary limitation for Executive Level II is $189,600.
NOT-OD-18-137 continued

For awards already issued in FY2018, if adequate funds are available in active awards, and if the salary cap increase is consistent with the institutional base salary, grantees may rebudget to accommodate the current Executive Level II salary level.

However, no additional funds will be provided to these grant awards.
Continuing Resolution Update:

• President Trump signed a $1.3 trillion Spending Bill averted a Government shutdown on March 23rd

• The legislation would boost funding for the National Institutes of Health (NIH) to a historic high of $37 billion, $3 billion over the 2017 level.

• No formal announcement from the NIH at this time.
NIH Updates eRA Commons

Who needs an eRA Commons Account for Application Submission?

You must include the eRA Commons credentials for the following individuals named in your application:

- Project Director/Principal Investigator (PD/PI) and any multiple-PD/PIs
- Sponsor on a fellowship application
- Component leads on a multi-project application
- Candidates for diversity supplement support
- Primary mentor identified on individual mentored career development applications
Who needs an eRA Commons Account for Progress Reporting?

You must include eRA Commons credentials for personnel with the following roles who participate in a NIH funded project for at least one person month:

- Project Director/Principal Investigator (PD/PI) and any MPI’s
- Undergraduate Student
- Graduate Student
- Postdoctoral

A Commons ID is optional, for all other project personnel.
Assistant (ASST) Role

• The Assistant (ASST) is delegated access by a PI to his/her account

• An Assistant (ASST) role has the following privileges:
  • Edit own Personal Profile data
  • Edit PIs Personal Profile if delegated
  • Edit PIs RPPR data if delegated
  • Perform PD/PI X Train functions if delegated
  • Edit PIs Administrative Supplement requests initiated in the eRA Commons if delegated
## PROPOSAL SUBMISSIONS TO OSP
January 2017 – January 2018

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<th>Change</th>
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RAU – Training
March 28, 2018
eRA Commons Prior Approval Module
The Prior Approval module allows Principal Investigators (PIs) and Signing Officials (SOs) to respond to prior approval invitations from the agency:

• WITHDRAW a successfully submitted grant
• Request a CHANGE of the PD/PI on a grant
• NO COST EXTENSIONS when the grant meets specific conditions
• CARRYOVER requests
• PIs will see the option to:
  – Initiate a Withdrawal Request
  – Respond to a 500K invitation
eRA Commons Prior Approval

Prior Approval

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type: [Select a request type] Go

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

List my Requests Search for Requests
Prior Approval

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:
- Select a request type
- No Cost Extension Request
- Withdrawal Request
- Carryover Request
- Change of PD/PI Request
Withdrawal via eRA Commons

Withdrawal Requests

- Both PIs and SO’s may initiate Withdrawal Requests but only an SO may submit them.
Withdrawal via eRA Commons

Withdrawal Requests

Prior Approval Request Withdrawal - Modify Request

Note: Required fields are marked with an *

Request ID
66014

Principal Investigator (PI)
Kang, Joonsoo

Grants.gov Tracking
GRANT12534389

Project Title
ITK-Regulated migratory code for tissue infiltrating self-reactive T cells

Justification

Total remaining allowed limit is 4000 characters.

Supporting Documents

Drag up to 10 files here to upload.
Withdrawal via eRA Commons

Withdrawal Requests

- There are several reasons why an applicant chooses to withdraw an application:
  - He or she spots a major error in the submitted application.
  - There are new scientific developments that could significantly alter the application’s competitiveness.
  - The application duplicates or has significant scientific overlap with another submission still under review.
  - A new application that overlaps with an application already under review and the earlier submission is then funded.
  - To preserve the application resubmission status. Those applications that are withdrawn before the peer review meeting do not count as a submission.
Change in PD/PI via eRA Commons

System allows for the change of PD/PI or adding/deleting multiple PIs through Prior Approval.

- Only a Signing Official (SO) can initiate the request. Principal Investigators cannot see Change of PD/PI Requests.

- The following conditions must be met for a grant to be eligible for a Change of PD/PI Request:
  
  1. The grant has a grant year awarded.
  2. The grant family is not past the Project Period End Date.
  3. The grant is not a Fellowship or Career award.
  4. The grant is from an IC/Agency that supports Change of PD/PI using the Prior Approval module.
The details for the request require some basic information:
- Who is being replaced, removed/added to the grant?
- What will their level of effort be?
- What is the effective start date for the new PD/PI?

Additionally, some files will be uploaded to the request:
- Biosketch
- Other Support
- Justification Document

Once the request is submitted, the system creates a PDF of all the submitted information and sends a notification to the SO, the GMS, and Program Officer so they can review the request.
Signing Officials (OSP) will be able to request an NCE electronically through eRA Commons via Prior Approval once the extension flag is no longer active.

- A No Cost Extension may be requested in the following situations:
  - If the Grant has previously had a No Cost Extension and less than 90 days remain
  - When the project end date has expired and has not been closed or has not entered unilateral closeout, whichever comes first.

- When is an award **not eligible** for a NCE through Prior Approval?
  - When you have never requested a NCE under expanded authority and you are within 90 days of the project end date. In this case, the NCE will be processed normally through the Extension link in Status.
  - When the award is closed.
  - When the award is a fellowship.
What information needs to be included in the request?

The NCE request form consists of 4 sections:

1. Request Detail
   a. Number of months of requested for extension; new end date
   b. Any unobligated funds available
2. Progress Report (pdf upload)
3. Budget Document (pdf upload)
4. Justification Document (pdf upload)

The exact details of what is required in the upload files will be outlined by the awarding IC.
All grants eligible for Carryover will be displayed.
This view is only available to the SO and AO roles

<table>
<thead>
<tr>
<th>Grant Number</th>
<th>Project Title</th>
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<th>Budget Period End Date</th>
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<tbody>
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<td>National Network of Libraries of Medicine New England (Region 8) and Public Health Coordination Office</td>
<td>Piorun, Mary Elizabeth</td>
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<td>5U54HD062013-04</td>
<td>Rescuing the Fragile X Syndrome by Resetting Translational Homeostasis</td>
<td>Richter, Joel D</td>
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<td>EMERSON, CHARLES P.</td>
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<td>5U24HG009446-02</td>
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<td>Weng, Zhiping</td>
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<td>5U24AI126683-02</td>
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<td>REIMANN, KEITH A</td>
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<td>5U19AI108358-04</td>
<td>CD4 T cells in anti-viral immunity and immune pathology</td>
<td>Welsh, Raymond M</td>
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<td>Racial and Ethnic Diversity in Human Extracellular RNA</td>
<td>FREEDMAN, JANE E</td>
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<td>Rules of gene expression modeled on human dendritic cell response to pathogens</td>
<td>LUBAN, JEREMY</td>
<td>11/30/2018</td>
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What information needs to be included in the request?

The Carryover request consists of 3 sections:

1. Explanation of Unobligated Balance
2. Detailed Budget
3. Scientific Justification

Individual pdf’s need to be uploaded to each section.
QUESTIONS???