OSP News & Updates

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*The **OSP News & Updates**, published by the Office of Sponsored Projects, is a bi-weekly subscription-based newsletter that provides OSP and sponsor updates and reminders, quick facts, guidance and training in all aspects of sponsored projects administration. To subscribe, visit https://subscribe.yale.edu/browse?search=OSP.[i]*

Table of Contents

1   REMINDER – LIMITED SUBMISSIONS

Please share with your researcher that when a sponsor issues a funding opportunity that limits the number of applications an institution can submit, Yale University holds internal competitions to select the candidates who will submit applications to the sponsoring agencies. Internal competition procedures are specific to each funding opportunity. For most opportunities, an Expression of Interest (EoI) followed by an Internal Application (IA) is required.

When responding to a limited submission opportunity, researchers must obtain approval from the Vice Provost for Research team or the delegated party *prior* to sending a proposal to the Office of Sponsored Projects for submission to the sponsor.

Upon obtaining the approval to respond, interested researchers are asked to provide an EoI to internal.proposals@yale.edu by the posted date (typically at least 14 weeks prior to the sponsor deadline). The EoI should include the following information for each principal investigator and co-investigator:

- o Name
- o Title
- o Department
- o Phone Number
- o University Email Address
- o Proposal Title
- o Funding Agency
- o Link to Funding Opportunity Announcement
- o Sponsor's Due Date

The Pre-proposal application

The researcher must submit an electronic pre-proposal by the posted date (typically 12 weeks prior to sponsor deadline). Researchers who do not submit a pre-proposal by the posted date are not guaranteed consideration in an internal downselect.

Pre-proposal guidelines vary according to the funding opportunity and are typically conveyed by email.

Researchers who are selected to apply for limited submission opportunities are expected to work with the appropriate department administrative units to prepare strong proposals and to submit those proposals by the designated deadline. A researcher who declines the selection must notify OSP and the VPR as soon as possible so that another researcher may compete.

Resource Information:

OSP Limited Submission Webpage

2018-2019 Limited Submission Process

2018-2019 Limited Submission Process Flow

2 WORKDAY AT RISK BUDGET TEMPLATE

In response to requests from departments, OSP will initiate the budget template when setting up the At-Risk Accounts in Workday. This will follow the same process of funding the budget plan with $1 under *Yale Chart of Accounts: SP78 Other Expenses.* This additional step provides the department the option to

create budget amendments and track spending on at-risk accounts. This will also enable budget **AND** commitments to appear on the Account Holder Report. OSP will implement this new process on **Monday, February 25** for all new At-Risk account set-ups.

 All the same requirements of At-Risk awards are still in place and departments remain responsible for expenses on awards that do not get funded by the sponsor.

3   GRANT MANAGER & GRANT BUDGET SPECIALIST ROLES TO BE ASSIGNED BY DEPARTMENTS

As mentioned in the most recent Business Update, department business offices will be able to assign the Grant Manager and Grant Budget Specialist roles using the Assign Roles business process, effective February 28, 2019. Grant Manager and Grant Budget Specialist are assigned to the Grant Hierarchy for role assignments, not to the Cost Center Hierarchy.

View the new *Grant Roles Hierarchy* training guide which has been posted on the Workday@Yale Training website. Please review this new process in preparation for this change.

4   IRES USER ADDRESS UPDATES

To correct a user's address in IRES, the Campus Mail Code needs to be updated. The business office should send a message to the Employee Service Center (employee.services@yale.edu) and request that the HR Transaction Team change the Campus Mail Code. Once the change has taken place, the next data push should pick up the updated address.

If you have any questions about this process, please contact IRES@yale.edu.

5   ESHIPGLOBAL UPGRADE

The University's express shipping tool, eShipGlobal, supports more than 45,000 shipments each year. In March of 2019, Yale's eShipGlobal will be upgraded with improved compliance and features, including:

- Collaboration functionality to enable authorized non-Yale colleagues to use eShipGlobal to ship materials (research and non-research) to the university.
- Ability to capture additional details for research material shipments to improve our compliance with shipping regulations.
- Enhancements to simplify creating transactions.
- Process flow improvements.

In the coming weeks, the upgrade team will work with select members of the Yale community to ensure communications, training, and support are ready and available for our eShipGlobal users. If you have questions, please feel free to contact Rob Bores (Finance Business Solutions, robert.bores@yale.edu) or Kevin Charbonneau (Environmental Health and Safety, kevin.charbonneau@yale.edu).

6   OSP TRAINING

6.1   BROWN BAG MEETING

Join us for the next Brown Bag meeting scheduled for Friday, March 1st, 2019 at 25 Science Park. Visit the TMS Brown Bag webpage to view the agenda and event details.

6.2   UPCOMING OSP CLASSES

OSP classes are designed for Research Administrators and those in department business offices who manage sponsored projects. Attend a class to learn more about the situations you deal with in your office or take a refresher to stay up-to-date. Register to attend an OSP training classes.

Financial Reporting and Closeout: This course is designed for administrators responsible for the financial reporting and closeout of sponsored awards including:

- The roles and responsibilities of those involved in financial reporting and closeout
- Policies and procedures related to these functions
- University processes supporting sponsor requirements
- The closeout process cycle
- The steps necessary to properly close sponsored awards

Fly America Act & Open Skies Agreement: This course is designed to help those who schedule travel arrangements to understand all the nuances of the Fly America Act and the Open Skies Agreement and to learn more about these restrictions and exceptions and ensure that reservations and flight arrangements are made in compliance with current policies and procedures. Topics include:

- The Fly America Act and exceptions
- The Open Skies Agreements
- Compliance regulations with these policies
- The GSA City Pair search tool
- Egencia the online booking and reservation tool
- Case studies and discussion

[Subrecipient Basics and Monitoring](#): This course is designed to review the process of managing a subaward including:

- Understand the roles and responsibilities of individuals involved in the subaward process
- Be able to differentiate between a subrecipient and a vendor relationship
- Gain a greater awareness and understanding of Yale's policies and procedures regarding subrecipients
- Understand the requirements and expectations for subrecipient monitoring and the processing of invoices
- Know where to find resources to assist in the subaward process

[Research Compliance for Administrators](#): is designed to review the principles of research compliance concentrating on what business administrators need to know when managing sponsored awards including:

- An overview of regulatory compliance
- Conflict of Interest (COI) disclosure requirements at Yale
- Human Research Protection Program (HRPP) and IRB reviews
- Regulations, guidance and policies regarding Animal research
- Yale's department of Environmental Health and Safety (EHS) and how they monitor safety concerns on campus
- Policies and regulations regarding Export Controls

7   OSP STAFF UPDATES

7.1   PROPOSAL MANAGEMENT

We are pleased to announce that on February 11, 2019 **Lisa Hanggi** joined OSP as Proposal Manager. Lisa spent six years as a Grants Administrator with FRMS handling all aspects of the development of proposals, budgets and ensuring compliance with sponsor and institutional policies. Lisa is currently training, and a separate communication will be sent once her portfolio goes live

7.2   AWARD MANAGEMENT

We are excited to announce that **Magaly Gomez** joined the Award Management team as an award manager on February 18, 2019. Magaly has post award experience from her previous positions in Internal Medicine and Astronomy. Magaly is currently in training and will assume her full portfolio in the months ahead. Once her training phase is complete, a separate communication will be sent.

8   SPONSOR UPDATES

8.1   NEW EFFECTIVE DATE FOR REVISED NSF PROPOSAL & AWARD POLICIES & PROCEDURES GUIDE (NSF 19-1)

Due to the recent lapse in appropriations, implementation of the revised NSF *Proposal & Award Policies & Procedures Guide* (PAPPG), (NSF 19-1) was postponed. NSF announced that the revised PAPPG will now be effective for **proposals submitted, or due, on or after February 25, 2019**. Significant changes include:

- Addition of Research.gov as an option for proposal preparation and submission, and proposal file updates;
- Revision of eligibility standards for unaffiliated individuals;
- Specification that conference proposals over $50,000 and all equipment proposals must include the Collaborators and Other Affiliations information in the proposal submission;
- Revision of resubmission guidelines for NSF programs that accept proposals at any time;
- Implementation of NSF's policy on sexual harassment and other forms of harassment, or sexual assault;
- Specification that proposers are required to have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, and sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. This policy or code-of-conduct must be disseminated to conference participants prior to attendance at the conference as well as made available at the conference itself;
- Emphasis on the importance of training faculty in the responsible and ethical conduct of research;
- Incorporation of existing patent policy into the PAPPG. This policy was previously implemented by regulation at 45 CFR 650; and
- Numerous clarifications and other changes throughout the document.

You are encouraged to review the by-chapter summary of changes provided in the Introduction section of the PAPPG.

To learn about the changes in the revised PAPPG (NSF 19-1), please view the latest NSF Proposal & Award Policy Update webinar.

While this version of the PAPPG becomes effective on February 25, 2019, in the interim, the guidelines contained in the current PAPPG (NSF 18-1) continue to apply. The current version of the PAPPG will remain on the NSF website, with a notation to proposers that specifies when the new PAPPG (including a link to the new Guide) will become effective.

Associated award terms and conditions (including RTC NSF Agency Specific Requirements, GC-1, and FL-26) will also be effective for proposals submitted or due, on or after, February 25, 2019. Cooperative Agreement Conditions (CA-FATC) and CA-FATC Modifications and Supplemental terms and conditions are effective for new awards and funding actions to existing awards beginning on February 12, 2019.

8.2 IMPORTANT POLICY CHANGES AT THE SIMONS FOUNDATION

The Simons Foundation has made several important policy changes that will go into effect on April 1. Due dates for financial statements, progress reports and carry-forward requests (if required) have been updated in proposalCENTRAL.

New general policies as of April 1, 2019:

- Financial statements are due within 120 days following the end of each funding year.
- Progress reports are due on or before the end date of each funding year.
- Final progress reports are due within 120 days following the end date of the award.
- Except at the end of the final funding year, unspent funds will be automatically carried forward from one year to the next, to be used within approved budget categories toward the approved aims of the grant. A formal no-cost extension request, due 30 days before the award end date, is required in the final funding year for all awards regardless of the amount of unspent funds.
- If a carry-forward request is required for an award in a particular program, then it is due 30 days before the end date of the funding year.

You can review the revised policies and procedures, which take effect April 1, at https://bit.ly/2WpKFvb.

Each PI has received an individual notification for his or her award, which may contain exceptions to these new general policies. The notifications can be found in the Correspondence section of each award in proposalCENTRAL.