

OSP News & Updates

Office of Sponsored Projects

9/17/2020

2020 Volume 3, Issue 6

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. [Subscribe to OSP News & Updates](#)ⁱ

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1 SENIOR/KEY PERSONNEL ON APPLICATIONS AND AWARDS

NIH has published some examples of what should be disclosed to NIH about Senior/Key personnel on applications and awards. The matrix can be found here: <https://grants.nih.gov/policy/protecting-innovation.htm>. If you have specific questions, please contact Lisa Mosley at lisa.mosley@yale.edu.

2 APPROVAL OF INTERNAL DOCUMENTS/REQUESTS TO OSP

For approval of internal documents and requests to OSP, please include the email chain in which the PI has approved the request, or cc: the PI on the submission of the request to OSP. Electronic signatures, as well as a scanned copy of the document that includes the PI's signature are also acceptable.

3 NSF AUDIT REPORT

For your information, Yale's NSF Audit Report is available at the following link: https://www.oversight.gov/sites/default/files/oig-reports/20-1-007_Yale_University.pdf. We are still formulating lessons learned.

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4 OSP WEBSITE UPDATE: ATTESTATION LETTERS

Coming soon – OSP will be updating the [OSP Resources](#) and [OSP Awards](#) sections of its website to include the following two attestation letter templates PIs can use to certify that work to be completed on an award will not involve human subjects and/or animals without a valid IRB or IACUC protocol approval in place. When available, replace any templates you have with these updated versions.

- Attestation template awaiting IRB approval
- Attestation template awaiting IACUC approval

5 OCTOBER BROWN BAG MEETING

Join us for the October 14th Brown Bag meeting at 11:00am.

We are gathering questions for the **What's on Your Mind Q&A** portion of the meeting. Submit any questions you have to: osp.trainings@yale.edu. *The deadline for submitting questions is 5:00pm, Monday, October 12th.*

6 OSP TRAINING

Upcoming Classes: Zoom Instructor-Led Training (ILT)

The Financial Reporting and Closeout class this week went well. Survey results showed attendees were definitely satisfied with the class and attending improved their knowledge of the topics covered. We all seem to be acclimating to the Zoom environment and feeling more comfortable with distance learning. Past survey comments overwhelmingly agree providing interactivity with Zoom polling questions and Test Your Knowledge discussions are key to learning and keeping participants engaged.

In accordance with the current University safety guidelines, all instructor led classes will be offered in Zoom format for the foreseeable future. If you are currently registered for a non-Zoom class, you will be receiving information about rescheduling for a Zoom session.

Use the links below to see TMS course descriptions or start the course. *Remember: you need VPN to access TMS information.*

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Registrations are open for the following Zoom classes:

- October 6, 7, 8, 9: [Introduction to Sponsored Projects Administration](#)
- October 20: [Clinical Trial Budgeting](#)
- October 22: [Fly America Act and Open Skies Agreement](#)

Online self-paced learning

The following OSP training courses are available online. If you have any questions after completing the course email osp.trainings@yale.edu and we will forward your question to the appropriate subject matter expert.

- [Allocating Allowable Costs - Online](#)
- [Cost Transfer Principles - Online](#) - this course is in the process of being updated to reflect recent University policy changes. We will let you know when this course is back online in an upcoming OSP News & Updates email.
- [Direct Charging of F&A Type Costs on Sponsored Awards - Online](#)
- [IRES Proposal Tracking \(PT\) Overview - Online](#)
- [Subrecipient Basics and Monitoring - Online](#)

7 POLICY FOR CHARGING PERSONAL PROTECTIVE EQUIPMENT TO NIH GRANTS AND COOPERATIVE AGREEMENTS AS DIRECT COSTS

The following guidance on the criteria that support direct charges for Personal Protective Equipment (PPE) to NIH grants was provided by the NIH in its release of [Notice NOT-OD-20-164](#). Please review the Notice in its entirety for additional information.

- PPE purchased with grant funds must directly assist in safely carrying out the clinical activities and direct interactions with the patients participating in clinical trials and clinical research studies. Therefore, the costs are allowable for researchers and patients directly linked to the clinical studies (CT and respectively CR).
- For PPE expenses totaling \$500,000 direct cost or less in a budget period, applicants/recipients may charge PPE as a direct cost, with associated F&A, for all CT and CR awards regardless of the activity code. Charges must align with the institution's negotiated F&A rate agreement, which is consistently applied regardless of the source of funds. The \$500,000 direct cost limit is cumulative. Applicants/recipients must not submit multiple requests for lower amounts in order to by-pass the \$500,000 direct cost limit.

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- Recipients must identify a need to purchase PPE totaling more than \$500,000 direct cost. In these cases, applicants must apply for an S10 award to provide funds solely to support the PPE costs to directly assist in safely carrying out the clinical activities and direct interactions with the patients participating in clinical trials and clinical research studies. S10 awards do not allow indirect costs. **Non-domestic entities are not eligible to apply for S10 awards.**)
- Pursuant to the NIH Revitalization Act (P.L. 103-43, June 10, 1993), section 2004, when purchasing equipment or products under an award, applicants/recipients should, whenever possible, purchase only American-made items.

8 ENFORCEMENT OF NSF-APPROVED BIOGRAPHICAL SKETCH AND CURRENT AND PENDING SUPPORT

The National Science Foundation issued the following guidance regarding adherence to NSF-approved Bio Sketch and Current and Pending Support formats when submitting proposals to the NSF:

Effective October 5, 2020, the National Science Foundation (NSF) will begin enforcing the [Proposal & Award Policies & Procedures Guide](#) (PAPPG) (NSF 20-1) requirement to use NSF-approved formats for the preparation of the Biographical Sketch and Current and Pending Support proposal documents. The NSF-approved formats are [SciENcv: Science Experts Network Curriculum Vitae](#) and an NSF fillable PDF.

All other PAPPG (NSF 20-1) changes were effective on June 1, 2020. Please refer to the complete list of PAPPG (NSF 20-1) [significant changes and clarifications](#) which include the IT system changes and other policy-related changes. A set of [Frequently Asked Questions \(FAQs\) on proposal preparation and award administration](#) related to NSF [PAPPG](#) (NSF 20-1) is also available and includes Biographical Sketch and Current and Pending Support information.

Biographical Sketch and Current and Pending Support Websites

- The NSF [Biographical Sketch](#) and [Current and Pending Support](#) websites include links to the NSF-fillable PDF formats, updated FAQs, and instructions.
- For the fillable PDF formats, NSF recommends users download and save the blank PDF document prior to adding content. Populating content directly into a web browser (e.g., Chrome or Safari) may result in formatting inconsistencies. The completed and saved PDF can then be uploaded via FastLane, Research.gov, or Grants.gov.
- Beginning on October 5, 2020, links to the [Biographical Sketch](#) and [Current and Pending Support](#) websites will also be located in FastLane (on the Biographical Sketch and Current and Pending Support Personnel pages), in Research.gov (on the Biographical Sketch and Current and Pending Support Upload pages), and in Grants.gov (on the NSF Senior Key Person Profile form version 2.0).

Change of Principal Investigator (PI) and Add/Change Co-PI Requests

- Effective October 5, 2020, Biographical Sketch and Current and Pending Support documentation must also be in an NSF-approved format when uploaded with a Change of PI and an Add/Change co-PI request in FastLane.

Research Performance Progress Report (RPPR) Submissions with Active Other Support Changes

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- Effective October 5, 2020, PIs and co-PIs must include an NSF-approved format for Current and Pending Support when notifying NSF that active other support has changed since the award was made, or since the most recent annual report.
- This new requirement serves as NSF's implementation of the revised RPPR, a uniform format for reporting performance progress on Federally-funded research projects and research-related activities.
- Further details about the RPPR can be found on the Research.gov [About Project Reports website](#).

Automated Compliance Checks for NSF-approved Formats

- Biographical Sketch and Current and Pending Support documents not in an NSF-approved format will trigger a compliance error and ultimately will prevent proposal submission or completion of the post-award action. This compliance check applies to proposals, Change of PI requests, Add/Change co-PI requests, and relevant RPPR submissions.
- The complete lists of FastLane and Research.gov automated proposal compliance checks effective October 5, 2020, are available on the [Automated Compliance Checking of NSF Proposals website](#).
- Note that automated compliance checks also apply when a proposal file update (PFU) is performed on a proposal. Proposers should be aware that if a proposal was previously submitted successfully, a PFU performed on the proposal will be prevented from submission if the proposal does not comply with the compliance checks in effect at the time.

NSF-approved Format Updates

Based on feedback from the research community, NSF has enhanced both approved formats, and users are encouraged to use the latest versions. Please see the system-related [FAQs on using SciENcv](#) and the system-related [FAQs on using the NSF fillable PDF](#) for a list of the improvements to each format. In particular, note the permitted use of "et al." for publication citations in the Biographical Sketch when listing multiple authors. Senior personnel who wish to include publications in the products section of the Biographical Sketch that include multiple authors may, at their discretion, choose to list one or more of the authors and then "et al." in lieu of including the complete listing of authors' names.

SciENcv Enhancements

The SciENcv module for creating NSF Biographical Sketch and Current and Pending Support documents will be updated prior to October 5, 2020; however, all SciENcv-generated Biographical Sketch and Current and Pending Support PDF documents created on or after April 1, 2020 remain compliant in NSF systems.

Prior to the October 5th requirement to use the NSF-approved format, SciENcv will make a number of enhancements that include:

- ability for users to reorder products and appointments in the Biographical Sketch
- ability for users to edit long author citations imported from ORCID on the Biographical Sketch and add "et al."
- addition of a Current and Pending Support tool tip to provide clarification and guidance on how users should document support under a fiscal year calendar

Please see the system-related [FAQs on using SciENcv](#) for details.

As a reminder, the SciENcv tool integrates with ORCID, enabling users to populate the Biographical Sketch by importing data directly from ORCID records rather than having to manually enter all the required information. This helps reduce administrative burden associated with the Biographical Sketch preparation process. Additionally, SciENcv allows users to grant access to delegates to assist with maintaining and updating data. SciENcv also offers users a dynamic and more customized PDF. For example, users with fewer Current and Pending Support entries may elect to use SciENcv to generate their Current and Pending Support PDF document since SciENcv will produce a PDF without any blank pages. Conversely, the Current and Pending Support fillable PDF will always be 15 pages regardless of how much data is included.

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Latest NSF Fillable PDF Version

- Revised NSF fillable PDF formats were released on May 1, 2020; however, the previous versions remain compliant in NSF systems.
- The May 1, 2020 version is indicated by "Revised 05/01/2020" printed on the first page of each form.

Additional Training Resources

To learn more about the NSF-approved formats for Biographical Sketch and Current and Pending Support, please view the [NSF PAPPG \(NSF 20-1\) webinar](#) and [NSF-Approved Formats for the Biographical Sketch & Current and Pending Support Sections of NSF Proposals webinar](#).

SciENcv has created the following materials to guide NSF users through the preparation of the NSF documents available in SciENcv:

- [NSF Biographical Sketch Video Tutorial](#)
- [NSF Current and Pending Support Video Tutorial](#)
- [NSF-specific Bookshelf Resource](#) (includes screenshots and step-by-step instructions)

Other Updates for Proposers

A revised *NSF Grants.gov Application Guide* will be published on September 16th and effective October 5, 2020. The Guide will be updated to remove references and instructions for the Research & Related Personal Data Form. NSF will no longer require this form, and this form will no longer be included in NSF's packages effective October 5, 2020.

ⁱ Thank you to all who have contributed to this newsletter. Please direct questions or suggestions regarding newsletter content to Tracy Coston at osp.communications@yale.edu or tracy.coston@yale.edu. Use the following link to [unsubscribe to OSP News & Updates](#). For archived issues, visit [OSP News & Updates archives](#).