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]*

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1 PREPAYMENT TO SUBRECIPIENTS UNDER OUTGOING SUBAWARDS

Due to a Workday system limitation that impacts the reconciliation and billing of pre-payments, pre-payments can no longer be charged to FD02/FD28 (sponsored funds), but instead must be charged to a departmental account.

The following policy is in the process of being updated and will be online soon for your review:

1307 PR.02 Managing Subrecipient Activity Associated with Sponsored Programs

Please note that reconciliation of pre-payments is still **required**.

2 REQUESTING AT RISK ACCOUNTS

In order to facilitate the timely charging of sponsored project expenses and reduce the need for transfers, OSP will now broadly allow At Risk accounts to be requested for non-federal awards that are in-house and not fully executed. Recognizing that some non-federal sponsored awards may require significant time to negotiate an agreement, it is recommended that an At Risk be considered. It is further recommended that At Risk accounts be requested for federal contracts, as these tend to have substantial periods of negotiation.

Please note that these accounts are set up *at risk* to the department and should be requested with this in mind. Additionally, some sponsors may mandate that the start date of the award is the date of final signature on the agreement and therefore should not be set up At Risk. Please direct any questions to your award or contract manager.

3 OSP TRAINING

3.1 UPCOMING BROWN BAG

Join us for the Brown Bag meeting on April 10th. [Visit the TMS Brown Bag webpage](#) to register and view the event details.

3.2 SHARE YOUR KNOWLEDGE

We received several comments asking users to share their "best practices" for optimizing the use of Workday reports and for managing their Workday Inboxes. So, we are inviting everyone to share any tips they might have and we will include them in a future OSP News and Updates.

Please send any tips or best practices regarding using Workday reports or managing their Workday Inbox to osp.trainings@yale.edu.

3.3 ZOOM AUDIO

If you're having sound issues you may want to try watching the video on your computer, then dialing in to get sound via your phone. If you do this, you'll need to mute both your phone and your computer speakers.

Several people asked how to mute their computer microphones. For most computers there will be a speaker icon on the taskbar that, when clicked, offers a mute option; but if the taskbar icon doesn't work for you, then you'll need to contact the ITS Help Desk (203-432-9000).

3.4 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 class.

[Research Compliance for Administrators](#): focuses on the principles of research compliance that research 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

[Effort Reporting Principles](#): provides research administrators with a comprehensive understanding of the principles of effort reporting and documenting activities as it related to sponsored awards. Topics include:

- Key terms, policies, procedures and regulations
- Effort management activities from proposal through closeout
- Key roles and responsibilities
- Understanding the effort reporting lifecycle, with case studies e.g., appointing faculty and staff, proposing effort, charging salaries...
- Key roles and responsibilities
- An overview of the effort certification process in Workday

4 SPONSOR UPDATES
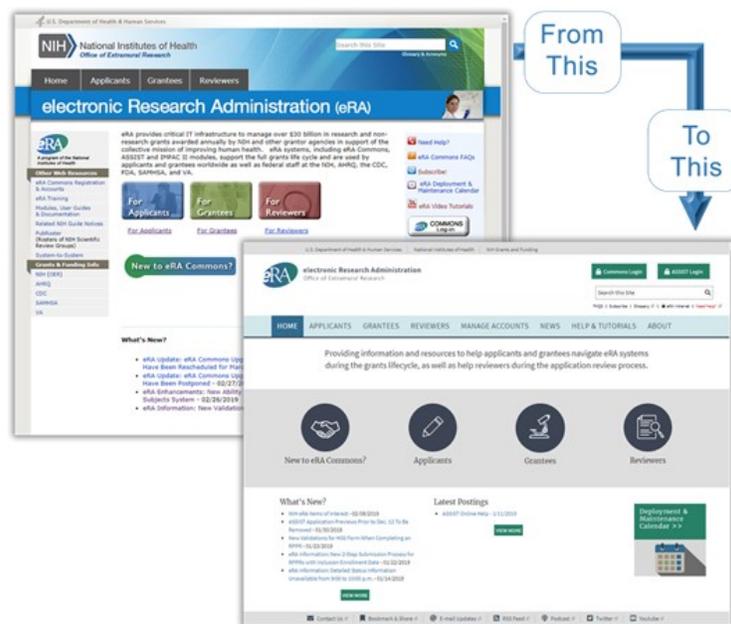
4.1 NIH – UPCOMING ERA COMMONS WEBSITE UPGRADE

NIH has plans to launch a completely redesigned and upgraded eRA website in April. The new design represents a year-long effort to provide users with better information, better navigation, and improved access to resources.

Figure 1: The current eRA home page vs the soon to be launched redesigned eRA home page.

The new design is softer, easier on the eyes, to better meet the Americans with Disabilities Act (ADA) for accessibility. It includes new categories of information and updated content. Main screenshots of systems have been added to help figure out the process at a glance. Navigation improvements include hover-over functionality, bread crumbs, scope notes, and more. Resources have been consolidated and better organized. The website is mobile-friendly, dynamically resizing for mobile use. Note that URLs of pages are changing so please remember to change bookmarks after launch.

4.2 NOT-OD-19-083: UPDATE TO THE NIH/AHRQ/NIOSH POLICY ON POST-SUBMISSION MATERIALS

NIH recently released Notice NOT-OD-19-083 to update and clarify the NIH, AHRQ, and NIOSH policy for post-submission materials for applications submitted for due dates on or after May 25, 2019. Post-submission materials are those submitted after submission of the grant application but prior to initial peer review. They are not intended to correct oversights or errors discovered after submission of the application, but rather allow applicants the opportunity to respond to unforeseen events.

What Will Change

For applications for Training Grant (T series) applications submitted for due dates on or after May 25, 2019, a list of publications up to three pages in length will be accepted as post-submission materials. This replaces the former one-page limit for the post-submission publication list.

Clarifications

This Notice also provides the following clarifications:

- Preprints and Other Interim Research Products ([NOT-OD-17-050](#)) are not accepted as post-submission materials because they do not represent unforeseen events.
- Missing or corrected materials cannot be submitted after the application due date unless submission of that material is specifically listed in this Notice (below) as allowable post-submission material(s).
- Materials resulting from change of institution, or change of PD/PI, that occurs between application submission and peer review must be sent to the SRO managing the review with a cc: to the Division of Receipt and Referral (csrdrr@mail.nih.gov); after review materials should be sent to the Grants Management Specialist listed in eRA Commons for that application.

What <u>Will Not</u> Change

The information below was published previously and has NOT changed. Other types of post-submission materials not listed below are not likely to be accepted.

Allowable Post-Submission Materials for All Applications

- Citations of Issued Patents

Eligible patents must be publicly available on the United States Patent and Trademark Office website ([United States Patent and Trademark Office](#)). Citations of foreign patents are also acceptable, so long as the granted patent number and date when the patent was granted are provided, and the issued patent is publicly available and accessible in English.

A citation of a patent must include the names of the inventors, patent title, issued patent number (including country designation, e.g, US for USA), filing date, and the date the patent was issued:

Smith, Samuel S., and John J. Jones. Method of citing issued patents. US Patent #,###,###, filed December 31, 2015, and issued December 27, 2016.

Copies of patent applications or patents, or any other materials related to a patent application or granted patent will not be accepted as post-submission materials, unless specified in the Funding Opportunity Announcement (FOA) for which the application was submitted or in a special Guide Notice.

Citations should be sent to the Scientific Review Officer by secure e-mail or as a PDF. They must also meet the other requirements outlined at the end of this Notice, including concurrence from the Authorized Organization Representative (AOR).

- Revised budget page(s) (e.g., due to new funding or institutional acquisition of equipment)
- Biographical sketches (e.g., due to the hiring, replacement, or loss of an investigator)
- Letters of support or collaboration due to the hiring, replacement or loss of an investigator
- Adjustments resulting from natural disasters (e.g., loss of an animal colony)
- Adjustments resulting from change of institution [e.g., Program Director/Principal Investigator (PD/PI) moves to another university]
- News of professional promotion or positive tenure decision for any PD/PI or Senior/Key Personnel
- Approval by the NIH Stem Cell Registry of a human embryonic cell line(s) after submission of the application (see NOT-OD-12-111)
- Videos, within defined limits, that demonstrate devices and experimental data with a temporal element, which refers to the need to show how something functions or occurs over time, or demonstrates movement or change. Applicants must follow the directions in NOT-OD-12-141 for submitting videos to accompany grant applications.
- Other post-submission materials specified in the Funding Opportunity Announcement for which the application was submitted or in a special Guide Notice.
- News of an article accepted for publication since submission of the application, which must include only:
  - List of authors and institutional affiliations
  - Title of the article
  - Journal or citation (if available)

Additional Materials for Certain Applications

Institutional Training and Training-related Grants (e.g., T32, T34, T35, T90, TU2, T15, D43, K12, KM1, UR2)
In addition to the materials for All Applications above, allowable post-submission materials after submission of Institutional Training and Training-related grants include:

- a trainee's or former trainee's graduation, employment, promotion, funding, or publications;
- a faculty member's promotion, funding, or publications (since submission of the application); and
- the addition or removal of any faculty member involved in the training program (mentors or senior/key persons).

Individual Fellowships (F-Series) and Individual Career Development Awards (K-series)
In addition to the materials for All Applications listed above, news (since the F or K application was submitted) of:

- New funding for the Sponsor/Mentor, limited to the project title, funding source (e.g., NIH/AHRQ/NIOSH grant number), a brief description of specific aims, and relevance to the fellowship or career development application under review.
- Change in Mentor(s) or other Senior/Key Persons specified in the original application.

Applications submitted to Requests for Applications (RFAs): the same post-submission materials as other applications (see "All Applications" above), for all due dates in the RFA.

Conference grants (R13, U13): a one-page explanation of all speakers who accepted invitations to participate in the proposed conference after the application was submitted, plus a one-page explanation of all speakers who declined such invitations after the application was submitted.

Alternatively, the PD/PI may consider submitting a one-page explanation for each plenary slot on the agenda.

Instructions for Submitting Post-Submission MaterialsOther Than Citations and Videos
All post-submission materials (other than citations and videos) must conform to NIH/AHRQ/NIOSH policies on font size, margins, and paper size as referenced in the applicable application instructions. Any specified formats (e.g., budgets, biographical sketches) and page limits referenced in the applicable application instructions apply.

If post-submission material is not required on a specific format page and/or does not have a specified page limit, each explanation, letter, etc. is limited to one page. The only exception is that lists of publications for Training Grant applications may be up to three pages in length.

Deadlines
Post-submission materials must be received by the Scientific Review Officer (SRO) no later than 30 calendar days prior to the peer review meeting. Post-submission materials will not be accepted after this time, unless specifically allowed in the related FOA or special Guide Notice.

AOR concurrence

Post-submission materials require concurrence from the Authorized Organization Representative (AOR) of the applicant organization. Although the post-submission materials may originate from the PD/PI, Contact PD/PI, or organizational officials, the AOR must send the materials directly to the SRO or must send his/her concurrence to the PD/PI who will forward the materials and concurrence to the SRO. A communication from the PD/PI only or with a "cc" to the AOR will not be accepted.

Format instructions

Post-submission materials (other than citations and videos) **can only** be submitted as a PDF attachment. The SRO is responsible for uploading acceptable materials into the official electronic grant file maintained in the eRA Commons. The PD/PI can check his/her application via the Commons to see these materials in the section titled "Additions for Review". This procedure provides the information to reviewers in a secure manner.

4.3 NSF ERA FORUM WEBINAR ON APRIL 10, 2019

The National Science Foundation (NSF) is hosting an Electronic Research Administration (ERA) Forum webinar on **April 10, 2019 from 1:00 - 2:15 PM Eastern Time**. To participate in this Forum, please [Register Now](#).

The topic for this forum will be Separately Submitted Collaborative Proposals from Multiple Organizations on Research.gov.

Please note, space is limited for the webinar. Registration is now open. Please register early.

If you are co-located with colleagues, NSF strongly encourages group viewing via the WebEx, to allow for maximum participation by the research community.

For more information about the NSF ERA Forum Webinar, please visit the DIAS/Policy Office website at https://www.nsf.gov/bfa/dias/policy/era_forum.jsp.

Subscribe to the NSF ERA Forum listserv to receive future ERA Forum notifications by simply sending a blank email to NSF-ERA-FORUM-subscribe-request@listserv.nsf.gov to be automatically enrolled.

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[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. To unsubscribe, visit https://subscribe.yale.edu/browse?search=OSP. For archived issues, visit [OSP News & Updates archives](#).*