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](https://subscribe.yale.edu/browse?search=OSP).

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1. **NEW WORKDAY REPORTS**

1.1. **SPONSORED AWARD RECENT SETUPS – YALE**

For users who need to monitor Award setups, this report allows monitoring of Award modifications without getting notifications or to-do items in Workday. It is not necessary to have the Grant Manager or
Grant Budget Specialist role in order to run the report; however, you will need the Cost Center Financial Analyst role.

Type “Sponsored Award Recent Setups – Yale” into the search box to launch the report. Results will show original setup completion date, amendment date and reason, and correction date and comment for any Awards with setup, amendment, or correction dates in the 60 days prior to the date specified when running the report.

1.2 GrantValidator – Yale

The Cost Center Financial Analyst role has been updated. Analysts with this role can now validate accurate grant start and end dates outside their cost center. Previously, users were unable to see start and end dates of grants associated with an award outside of their cost center.

Type “Grant Date Validator – Yale” into the search box to launch the report.

2 Presentation – Hierarchy: Role Assignment to be Released in Workday

Coming in June 2018, distributed users will be able to assign Grant Manager and Grant Budget Specialist roles using Workday’s Assign Roles Business Process. To appropriately assign the roles, it is necessary to understand what Grant hierarchy does and how it’s built.

Please join us as we present what the Grant Hierarchy does and its basic structure.
Date: June 07, 2018 from 2:00 - 3:00 p.m. via Zoom.

Register for Grant Hierarchy presentation.

3 Registration is Open for June Brown Bag Session

Please join the June Brown Bag session hosted by the Office of Sponsored Projects on June 13th. This session will be held at 12:30pm in 25 Science Park, Room 125 and can be attended remotely via Zoom.

Topics for this session include:

- OSP Staff Updates
- OSP Reminders
  - Acknowledgement of Busy Season
Before you call... where to look for status

- Export Controls
- International Operations and Compliance Committee
- Update on PD for Clinical Trials
- Workday® Yale Continuous Improvements
  - Supplier Contracts
  - Subaward Invoicing
  - Subaward Budget Date
  - Award Closeout

Visit the University’s Training Management System (TMS) to view topics and register for the session.

4 Effort Reporting Principles Training

The Office of Sponsored Projects encourages you to register for an upcoming Effort Reporting Principles instructor-led training class. With the implementation of Workday (July 2017), the training presentation for Effort Reporting Principles has been updated to include an overview of the Effort Certification process in Workday, including administrative review and certification. Participants will be provided with a more comprehensive understanding of effort as it relates to sponsored projects.

Topics covered include:

- Key terms, policies, procedures and regulations
- Effort management activities from proposal through closeout
- Key roles and responsibilities
- The effort reporting lifecycle, with case studies
- An overview of the effort certification process in Workday

There will be a short break between Effort Reporting Principles and the overview of the Effort Certification process in Workday. Participants are welcome to depart during the break if the Workday Effort Certification process overview is not relevant.

Visit the University’s Training Management System (TMS) to view event times, locations and register for a session.
## Upcoming OSP Communications and Training Opportunities

### June 2018

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(OSP News & Updates, Vol. 3, Iss. 2)
6 SPONSOR-RELATED UPDATES & REMINDERS

6.1 NATIONAL INSTITUTES OF HEALTH (NIH)

6.1.1 Notice of Fiscal Policies in Effect for FY 2018

NIH Notice Number: NOT-OD-18-180 provided guidance about the NIH Fiscal Operations for FY 2018 and implements the Consolidated Appropriations Act, 2018 (Public Law 115-141), signed into law on March 23, 2018. With the passage of the Act, NIH received a 9 percent increase over FY 2017, for a total of $37.311 billion in program level funding, including $496,000,000 authorized under the 21st Century Cures Act. A general increase of over 5 percent was received, as well as specific increases for Opioid/Pain research, Alzheimer’s disease, and other high priority research initiatives.

The following NIH fiscal policies are instituted in FY 2018:

FY 2018 Funding Levels: Non-competing continuation awards that have already been made in FY 2018 were generally funded at levels below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level) as described in NOT-OD-18-120. In general, such reductions will be fully restored, and non-competing continuation grants (research and non-research) including those that remain to be issued in FY 2018 will be made at the commitment level indicated on the Notice of Award. Any exceptions will be posted at the site listed under “Additional Information” below. Out-year commitments for continuation awards in FY 2019 and beyond will remain unchanged. The NIH awarding Institutes/Centers (IC) will develop and post their fiscal policies consistent with overall NIH goals and available FY 2018 funds.

Ruth L. Kirschstein National Research Service Awards (NRSA): Consistent with the recommendations of the Advisory Committee to the Director regarding the Biomedical Research Workforce, the NIH will increase NRSA stipends by approximately 2 percent on average. The full range of stipend adjustments for FY 2018 is described at NOT-OD-18-175.

Next Generation Researchers Initiative Policy: NIH will prioritize meritorious R01- equivalent applications from ESI PD/PIs. By providing funding priority for ESIs, NIH intends to encourage funding applications that involve researchers earlier in their career in accordance with the policy established in FY 2017 and described at https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-101.html.
Salary Limits: Section 202 of the Consolidated Appropriations Act, 2018 prohibits payments for salaries under grants and other extramural mechanisms in excess of Executive Level II previously set at $187,000, and effective January 7, 2018, increased to $189,600. See NOT-OD-18-137 for additional information.

Other Legislative Mandates: Other statutory requirements are described in NOT-OD-18-181.

Additional Information: Additional details on Fiscal Operations, including specific funding strategies for ICs will be posted at https://grants.nih.gov/grants/financial/index.htm.

6.1.2 eRA Information: Make Sure to Update RPPR and Inclusion Data by June 8, 2018, Before IMS Retirement on June 9

If an RPPR is in progress on or before June 8, inclusion data cannot be submitted separately in IMS on or before June 8.

- In this situation, the entire RPPR must be submitted on or before June 8, or
- If the RPPR is submitted on or after June 9, any study data entered on or before June 8 in IMS must be reentered in HSS

If inclusion data has not been completed in IMS on or before June 8:

- PI will need to reenter the inclusion data in HSS on or after June 9.

6.1.3 Notice of Legislative Mandates in Effect for FY 2018

NIH Notice Number: NOT-OD-18-181 provides the current requirements outlined in the following statutory provisions that limits or conditions the use of funds on NIH grant, cooperative agreement, and contract awards for FY 2018.

FY 2018 Legislative Mandates that remain in effect are as follows:

Division H, Title II - Department of Health and Human Services Appropriations Act, 2018
NEW: This title included a new requirement of two NIH Institutes that for-profit recipients of funds provided for research related to opioid addiction, development of opioid alternatives, pain management, and addiction treatment contribute a match of funds or documented in-kind contributions of not less than 50 percent of the total funds awarded to such entity.

(1) Salary Limitation (Section 202)
(2) Gun Control (Section 210)

Division H, Title V - Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2018

(3) Anti-Lobbying (Section 503)
(4) Acknowledgment of Federal Funding (Section 505)
(5) Restriction on Abortions (Section 506)
(6) Exceptions to Restriction on Abortions (Section 507)
(7) Ban on Funding Human Embryo Research (Section 508)
(8) Limitation on Use of Funds for Promotion of Legalization of Controlled Substances (Section 509)
(9) Restriction on disclosure of political affiliation for Federal scientific advisory committee candidates (Section 515(a))
(10) Dissemination of False or Misleading Information (Section 515(b))
(11) Restriction on Distribution of Sterile Needles (Section 520)
(12) Restriction of Pornography on Computer Networks (Section 521)

Details:

New: National Institute of Neurological Disorders and Stroke
For carrying out section 301 and title IV of the PHS Act with respect to neurological disorders and stroke, $2,145,149,000: Provided, That $250,000,000 shall be available until September 30, 2019 for research related to opioid addiction, development of opioid alternatives, pain management, and addiction treatment: Provided further, That each for-profit recipient of funds provided in the previous proviso shall be subject to a matching requirement of funds or documented in-kind contributions of not less than 50 percent of the total funds awarded to such entity.

New: National Institute on Drug Abuse
For carrying out section 301 and title IV of the PHS Act with respect to drug abuse, $1,383,603,000: Provided, That $250,000,000 shall be available until September 30, 2019 for research related to opioid addiction, development of opioid alternatives, pain management, and addiction treatment: Provided further, That each for-profit recipient of funds provided in the previous proviso shall
be subject to a matching requirement of funds or documented in-kind contributions of not less than 50 percent of the total funds awarded to such entity.

6.2 NATIONAL SCIENCE FOUNDATION (NSF)

6.2.1 Research.gov Now Accepts Proposal Submission

As of April 30, nonfederal entities submitting research proposals for awards from the National Science Foundation (NSF) can prepare and submit noncollaborative proposals in Research.gov rather than the former FastLane system.

At a recent Federal Demonstration Partnership (FDP) meeting in Washington, D.C., Jean Feldman, head of the policy office in the NSF Division of Institution and Award Support told attendees that NSF has been working since federal fiscal year 2016 to enable the submission of research proposals via Research.gov. From February to April, NSF allowed users to preview the functionality at Research.gov and test the preparation of proposals (see “Research.gov Soon To Offer Proposal Capabilities,” February 2018). It now has made the site fully functional. Some of the new proposal preparation capabilities include compliance checks for page formatting, project summary and project description heading, and a completely redesigned display of the budget.

The Research.gov site advises users to note that as of April 30, the “Proposal Status” page in FastLane is no longer accessible. Instead, proposers and NSF staff are redirected to Research.gov to view a proposal’s status.

Feldman added that separately submitted collaborative proposals, as well as collaborative proposals with subawards, cannot be submitted via Research.gov. NSF aims to continue to improve the Research.gov system and add functionality over time for other types of proposals. Meanwhile, FastLane will continue to operate for all types of proposals for now.

International Collaboration

Feldman reminded FDP attendees about updated provisions in the NSF Proposal and Award Policies and Procedures Guide (PAPPG) that became effective in January concerning the eligibility of foreign organizations in funding proposals. The PAPPG now states that “if the proposal includes funding to be provided to an international branch campus of a U.S. institution of higher education (IHE) (including through use of subawards and consultant arrangements), the proposer must explain the benefit(s) to the
project of performance at the international branch campus, and justify why the project activities cannot be performed” at the U.S. campus.

Further, NSF policy now states that in cases where the proposing institution considers the foreign organization’s involvement to be essential to the project, the institution must explain why local support is not feasible and why the foreign organization can carry out the activity more effectively. The proposed activity also must demonstrate how one or more of the following conditions have been met:

- the foreign organization contributes a unique organization, facilities, geographic location and/or access to unique data resources not generally available to U.S. investigators (or which would require significant effort or time to duplicate) or other resources that are essential to the success of the proposed project; and/or
- the foreign organization to be supported offers significant science and engineering education, training or research opportunities to the U.S.

“This is not a deviation from where NSF has been going for many years,” Feldman said. “We absolutely support collaboration. This is just a reminder that for any proposal with an international branch campus, expect there to be an explanation as to the benefit to the project and a justification as to why this can’t be conducted at a U.S. campus. This will be checked by reviewers and program officers … so take this seriously when you are doing it.” She added that future versions of the PAPPG will provide more instructions related to this topic.

Research Terms and Conditions

Feldman also said that grants now must incorporate the NSF Research Terms and Conditions dated March 14, 2017, and the related NSF Agency Specific Requirements, which have been revised and became effective May 14. The NSF Agency Specific Requirements contain the following significant changes from the previous version:

- Article 25, Equipment, now aligns with the equipment provision in the uniform grant guidance at §200.313 for all equipment purchased under NSF awards, and provides clarity on reporting requirements for NSF-owned equipment.
- Article 26, Intangible Property, now implements governmentwide changes to the Department of Commerce Bayh-Dole regulations at 37 C.F.R. §401.
- Article 27, Copyright Ownership, Government License, was removed from the intangible property article and has been added as a standalone article. The content of the article has not changed.
Lastly, Feldman explained that NSF has released for 60 days of public comments a draft of the revised PAPPG that would potentially become effective in January 2019. Changes that would be made to the current PAPPG are highlighted in yellow. She said, “Please take advantage of the fact that we are one of the few agencies that … gives an opportunity for you to tell us about unexpected consequences or if something is not clear”.

For More Information


The draft 2019 PAPPG is available at https://www.nsf.gov/bfa/dias/policy/.

\(^1\) Thank you to all who have contributed to this newsletter. Questions about this newsletter should be directed to osp.communications@yale.edu. To unsubscribe, visit https://subscribe.yale.edu/browse?search=OSP. For archived issues, visit OSP News & Updates archives.