The **OSP News & Updates**, published by the Office of Sponsored Projects, provides OSP updates and reminders, quick facts, guidance and training in all aspects of sponsored projects administration for faculty and department business offices and sponsor/agency updates and reminders.

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1 NEW YALE UNIVERSITY RATE AGREEMENT DATED 10/2/2017

The new University rate agreement negotiated with Cost Allocation Services (CAS) on behalf of the Department of Health and Human Services (DHHS) dated October 2, 2017 can be found on the Resources page of the Office of Sponsored Projects (OSP) website. The new rate agreement establishes F&A rates which are in effect from July 1, 2018 through June 30, 2022. Note there is no change in the rates from the previous rate agreement. Therefore, the proposal submission process is not impacted.

2 OSP S2S AND OTHER PROPOSAL SUBMISSION METHODS

Effective December 31, 2017, PDF single-file Adobe packages will no longer be available for download from Grants.gov. For most federal proposals submitted through the University, this will have no impact, as a proposal can be created and submitted system-to-system (S2S) via IRES Proposal Development.

For those few applications that cannot be submitted S2S, the following options are available:

NIH applications

Create a new proposal in ASSIST. You can access ASSIST with your eRA Commons login and password. Many large proposals are created and submitted through this system and our research community is familiar with the proposal creation process. If you are a first-time user, you can access ASSIST through this link: https://public.era.nih.gov/assist.

Grants.gov applications

All federal sponsors’ application packages are available through Grants.gov’s new proposal preparation and submission mechanism called Workspace. This is a shared, online environment managed by Grants.gov where users can simultaneously work on different forms within an application package. Workspace can be accessed from the Grants.gov portal.

To register for Workspace, designated departmental users will need to complete the organization application registration process in Grants.gov. Once registered, OSP will add the Managed Workspace (MW) role to your account. Users with the MW role can create new workspaces and manage another user’s access to that workspace.

It is important to note that the Office of Sponsored Projects is unable to assist with problems in software that Yale does not support, so difficulties encountered with either ASSIST or Workspace will require assistance from their respective Help Desks. With this in mind, and to provide the best support for
proposal preparation, please be advised that the preferred method for our federal applications is to submit a S2S PD record in IRES.

Additional resources and tutorials for Workspace are available. For YouTube training videos, open YouTube and search “Grants.gov Workspace”.

NSF applications

All NSF proposals continue to be created and submitted through FastLane. For new PI registrations, contact your assigned GCAT or Proposal Manager.

3 OSP BUSINESS OPERATIONS

3.1 IRES Award Setup

Before a Chart of Account can be established in Workday Financial for your sponsored award, the award must be setup in IRES. To avoid potential delays with your award setup in IRES, ensure the following requirements have been met:

- Current COI disclosure(s) for all personnel identified as responsible for the design, conduct and reporting of research
- IRB approval, as applicable
- IACUC approval, as applicable
- Patent Policy Acknowledgement and Agreement (PPAA), at proposal stage
- Workday Award Setup webform

3.2 Training Opportunities

OSP made recent enhancements to the training section of its website. Those involved in the administration of sponsor projects can now visit the Research Administrator training webpage to learn about courses relevant for your job and view course information such as: required prerequisites, links to register for a class, links to class presentations, course descriptions and more.

Upcoming Training Sessions

- Is your department involved with clinical trials? Register for the upcoming Clinical Trial Budgeting class. In this class, you’ll learn how to build budgets that result in the full recovery of...
costs, how to account for costs including hidden costs, and how to budget for post award activities. Key topics include how to distinguish between subject stipends and subject reimbursement, and how the Informed Consent Form (ICF) consistency review process works to ensure the ICF is consistent with the clinical trial contract and budget. Whether you’re new or just need a refresher, this class will help you manage your clinical trial budgets.

- *Are you involved with managing costs for a sponsored award?* Register for the upcoming Allocating Allowable Costs to learn the difference between an allowable and unallowable cost; what makes a cost allowable; learn the different ways costs can be allocated to awards; how to equitably charge lab supplies used for more than one award; and the proper allocation of costs for your circumstances.

View a list of all OSP training and share the following links with your faculty: OSP Faculty training and OSP Funding-Grantsmanship training.

**Upcoming Brown Bag Sessions**

OSP will begin monthly brown bag sessions with the research administration community, beginning November 2017. All sessions will be pre-scheduled and posted in Yale’s Training Management System (TMS). Registration in TMS will be required once topics have been identified.

The sessions in November will cover the financial setup for grants in Workday and will be held on Thursday, November 16th and Monday, November 27th. Visit TMS to view event times and locations and to register for a session. View our recently posted Sponsored Projects and Workday Setup Frequently Asked Questions found on the Resources page.

### 3.3 Communications

As a reminder, view OSP’s website to find important OSP resources and frequently needed Yale facts such as, the University’s current fringe benefit and F&A rates, EIN and DUNs, Yale’s federal IRB and IACUC assurances, OSP educational opportunities, published OSP News & Updates, federal audit reports, etc.

**OSP Resources**

https://your.yale.edu/research-support/office-sponsored-projects/resources

**Yale facts**

https://your.yale.edu/research-support/office-sponsored-projects/resources/frequently-needed-yale-facts
OSP Educational Opportunities
https://your.yale.edu/work-yale/training/research-training/osp-educational-opportunities

OSP News & Updates
https://your.yale.edu/research-support/office-sponsored-projects/osp-news-updates
To subscribe: https://messages.yale.edu/Subscribe
For archives: https://your.yale.edu/research-support/office-sponsored-projects/osp-news-updates/osp-news-updates-archives

Yale’s FY17 Federal Uniform Guidance Audit Report
https://your.yale.edu/research-support/office-sponsored-projects/resources

3.4 GCAT Portfolio Assignments

To find out who in OSP, is assigned to your department for grants and contracts, please visit the Sponsored Projects Contacts page.

- Use the accordion menu in the center of the page for a quick table display of the assigned OSP Proposal Manager, Award Manager, Subaward Specialist, IRES Setup Coordinator, Financial Accountant and GCAT.
- On the bottom right side of the window, there is also a list of each unit’s portfolio assignments. These matrices are helpful when wanting to find out who is responsible for a specific type of contract or clinical trial.

4 OSP Staff Updates

4.1 Award Management

On October 2, 2017, Catherine (“Cathy”) Volpe joined OSP’s Award Management team. Cathy worked as a Grants Administrator in the Faculty Research Management Service’s (FRMS) Pre-Award unit for almost 5 years. Prior to working at Yale, Cathy worked at Save the Children Federation, The U.S. Peace Corps, and the Department of State. Cathy obtained her undergraduate degree from Georgetown University an M.A. from George Washington University.
4.2 **Financial Management**

George Jenco joined the Financial Reporting Group as a Senior Accountant on October 2, 2017. Prior to joining OSP, George worked in the department of Immunobiology as an Accountant responsible for the post award management of sponsored awards. Before joining Immunobiology, George spent several years in the private industry, holding varying Financial and Team Leader positions.

5 **Sponsor-related Updates & Reminders**

5.1 **National Science Foundation (NSF)**

5.1.1 **Revised Proposal and Award Policies and Procedures Guide (NSF 18-1)**

The National Science Foundation (NSF) issued a revised version of its Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 18-1). The new PAPPG will be effective for proposals submitted, or due, on or after January 29, 2018.

Significant changes include:

- Addition of a new eligibility subcategory on international branch campuses of U.S. Institutions of Higher Education;
- Revision of eligibility standards for foreign organizations;
- Implementation of the standard Collaborators and Other Affiliations (COA) template that has been in pilot phase since April;
- Increase in the Budget Justification page limitation from three pages to five pages;
- Restructuring of coverage on grantee notifications to and requests for approval from NSF, including referral to the Prior Approval Matrix available on the NSF website; and
- Numerous clarifications and other changes throughout the document.

A webinar to brief the community on the new PAPPG is scheduled for December 8 at 2 PM EST. To be notified when registration is available, sign up on the outreach notifications website, by selecting “All NSF Grants and Policy Outreach Events & Notifications.”

While this version of the PAPPG becomes effective on January 29, 2018, in the interim, the guidelines contained in the current PAPPG (NSF 17-1) 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.

5.1.2 Updates to the Agency Specific Requirements to the REsearch Terms and Conditions

The NSF revised agency specific requirements are available on the NSF Award Conditions webpage and apply to all new NSF grants and funding amendments to existing NSF grants awarded on or after October 11, 2017.

5.2 National Institutes of Health

5.2.1 Notice of Changes to NIH Policy for Issuing Certificates of Confidentiality

OSP strongly encourages Yale researchers to read NIH Notice NOT-OD-17-109 in its entirety. NIH is updating its policy for Certificates of Confidentiality (Certificate) in response to Section 2102 of the 21st Century Cures Act, P.L. 114-255. The policy applies to all biomedical, clinical, or other research funded wholly or in part by the NIH, whether supported through grants, cooperative agreements, contracts, other transaction awards, or conducted by the NIH Intramural Research Program, that collects, or uses identifiable, sensitive information.

*Effective October 1, 2017, all research that was commenced or ongoing on or after December 13, 2016 and is within the scope of this Policy is deemed to be issued a Certificate.*

For the purposes of this Policy, NIH considers research in which identifiable, sensitive information is collected or used, to include:

- Human subjects research as defined in the Federal Policy for the Protection of Human Subjects (45 CFR 46), including exempt research except for human subjects research that is determined to be exempt from all or some of the requirements of 45 CFR 46 if the information obtained is recorded in such a manner that human subjects cannot be identified or the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;

- Research involving the collection or use of biospecimens that are identifiable to an individual or for which there is at least a very small risk that some combination of the biospecimen, a request for the biospecimen, and other available data sources could be used to deduce the identity of an individual;
• Research that involves the generation of individual level, human genomic data from biospecimens, or the use of such data, regardless of whether the data is recorded in such a manner that human subjects can be identified or the identity of the human subjects can readily be ascertained as defined in the Federal Policy for the Protection of Human Subjects (45 CFR 46); or

• Any other research that involves information about an individual for which there is at least a very small risk, as determined by current scientific practices or statistical methods, that some combination of the information, a request for the information, and other available data sources could be used to deduce the identity of an individual, as defined in subsection 301(d) of the Public Health Service Act.

Additional information such as FAQs will available at the NIH Certificates of Confidentiality website at https://humansubjects.nih.gov/index.

5.3 ROBERT WOOD JOHNSON FOUNDATION ANNOUNCES

5.3.1 Travel Policy for Grantees and Service Providers

The Foundation announced its new Travel Policy for Grantees and Service Providers. Some of the changes include:

• A single travel policy for both grantees and service providers
• An increase in the per day/per meal limits to $100 per day/$75 per meal
• An increase in clarity around items that are allowable/reimbursable, including the combination of personal travel and/or other business travel with Foundation-support business trips.

5.4 Simons Foundation

5.4.1 Important Policy Changes

Note the below policy changes of the Simons Foundation that are in effect immediately. View the complete policies and procedures document.

CARRY FORWARD REQUESTS

Automatic Carry Forward

- For grants with an annual award amount of $200,000 or less, the grantee may carry forward any unexpended balance that is $50,000 or less, including funds carried forward from the previous year, unless stated otherwise in the award letter. A formal request is not required; funds will be automatically carried forward to the next funding year. The threshold applies to the total amount across all sub-projects.
- For grants with an annual award of more than $200,000, the grantee may carry forward any unexpended balance that is 25 percent or less the annual award amount, including funds carried forward from the previous funding year, unless stated otherwise in the award letter. A formal request is not required; funds will be automatically carried forward to the next funding year. The threshold applies to the total amount across all sub-projects.

Formal Carry Forward Request Required

- For unexpended balances in excess of the thresholds described above, the grantee must formally request to carry forward the balance.
- For grants with an annual award amount of $200,000 or less, a Carry Forward must be requested for an unexpended balance of more than $50,000, including funds carried forward from the previous funding year, from one funding year to the next, unless stated otherwise in the award letter. The threshold applies to the total amount across all sub-projects.
- For grants with an annual award amount of more than $200,000, a Carry Forward must be requested for an unexpended balance of more than 25 percent, including funds carried forward from the previous funding year, of the annual awarded amount, unless stated otherwise in the award letter. The threshold applies to the total amount across all sub-projects.
• A Carry Forward Request is due thirty (30) days prior to the end date of the funding year. To request approval, complete the *Carry Forward Request web form* in the Deliverables section of the award on proposalCENTRAL (pC).

**REALLOCATION REQUESTS**

• Funds may not be moved across budget categories if the result exceeds any maximum allowable cost set for a budget line item, such as salaries/wages or indirect costs.

• **For grants with annual award amount of $200,000 or less**, grantees are given discretion to move up to $50,000 of the annual awarded funds across approved budget categories, unless stated otherwise in the award letter. The threshold applies to the total amount across all sub-projects.

• **For grants with annual award amount of more than $200,000**, grantees are given discretion to move up to 25 percent of the annual awarded funds across approved budget categories, unless stated otherwise in the award letter. The threshold applies to the total amount across all sub-projects.

• Reallocations exceeding these thresholds, unless stated differently in the award letter, require formal approval. Please complete the *Request to Reallocate Funds web form* in the Deliverables section of the award on pC.

**MATERNITY, PATERNITY OR PERSONAL LEAVE**

• The Simons Foundation defers to the institution’s policies for any maternity, paternity, or personal leaves. We review all personal leave requests on a case by case basis, and all Grantee requests must comply with their institution’s leave policy.

• Grantees who wish to request personal leave must complete a *Maternity, Paternity, or Personal Leave web form*, and have it signed and submitted by their institution’s Signing Official (SO) in the Deliverables section of the award on pC.

**PAYMENTS**

• The Simons Foundation will not reimburse for, nor may grant funds be used for costs or losses of funds that are a result of exchange rate fluctuations or bank fees associated with the transmission of funds via EFT.

**UNEARNED INTEREST**

• Unearned interest up to 5 percent of the total awarded amount per project may be kept by the grantee institution, and used for general operating support of the institution, if the
Institution is a 501(c)(3). Any amount over 5 percent must be returned to the Simons Foundation within sixty (60) days of the end date of the grant.

If your institution is not a 501(c)(3) any unearned interest must be returned to the foundation within sixty (60) days of the end date of the grant.

**NEW WEB FORMS**

- Going forward Web Forms must be used to request a Change of Institution, Change of Principal Investigator, Change in Key Personnel, Change of Percent Effort of Key Personnel, and Termination of a Grant. To request approval, complete the appropriate web form in the Deliverables section of the award on proposalCENTRAL.

### 5.5 SPACE TELESCOPE SCIENCE INSTITUTE (STScI)

#### 5.5.1 Changes to HST Grant Programs

Beginning in October 2017, Space Telescope Science Institute made changes to the process for allocating funding to grants. These changes will provide institutions immediate access to funding through automatic funding releases based on invoice totals and payments issued.

Previously, the amount of funding available upon grant award was determined as a percentage of the approved grant amount. Future grant funding became incrementally available according to the scheduled dates listed in the grant award document.

With the new process, the amount of funding available upon grant award will still be determined as a percentage of the approved grant amount and future grant funding will still become available in increments, but availability will be based on invoicing and payments instead of a pre-established schedule. When 90% of the current funding is invoiced and paid, the next incremental funding allotment will become automatically available. STGMS will issue a grant award document stating the updated funding amount.

<table>
<thead>
<tr>
<th>Approved Amount Expended</th>
<th>Available at Award</th>
<th>Available at 90%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to $30,000</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Up to $50,000</td>
<td>50%</td>
<td>50%</td>
</tr>
</tbody>
</table>
Greater than $50,000  

20%  

20% in equal increments  

Auto-monitoring expenditures and rephrasing  

STGMS will auto-monitor expenditures. If $0.00 expenditures are reported during the first nine (9) months of the period of performance, the grantee will be notified that no expenditures have been reported. If no expenditures are reported within twelve (12) months, the grantee will be notified that the available funding will be reduced by 50%. Note that this does not affect the grant award amount, merely the available funding will be rephased and reallocated based on expenditures. When 90% of the current funding is invoiced and paid, an incremental funding allotment will be automatically released.  

The new process will apply to all new grant awards. Continuation and supplemental grants will revert to the new process when funds for the new grant amount are made available. Funding for existing awards will continue to be released according to schedule in the most recent grant award or amendment document.