The OSP News & Updates, published by the Office of Sponsored Projects, provides OSP updates, quick facts, sponsor/agency updates, guidance and training in all aspects of sponsored projects administration for faculty and department business offices. Please click here for archives. To subscribe, please go to: https://messages.yale.edu/subscribe.

1 NIH GUIDANCE REGARDING ADJUSTMENTS TO APPOINTMENT RECORDS IN xTRAIN TO REFLECT STIPEND LEVEL INCREASES FOR POSTDOCTORAL TRAINEES ON KIRSCHSTEIN-NRSA INSTITUTIONAL TRAINING GRANTS

NIH issued Notice Number: NOT-OD 17-057 to provide additional guidance regarding the process recipients of Kirschstein-NRSA institutional training grants (T32, T35, T90, TL1) must follow to accurately reflect adjustments to appointment records for trainees when the training grant received supplemental funding in response to Notice Number: NOT-OD-17-002. The notice was also issued to remind training grant awardees meeting the criteria established in Notice Number: NOT-OD-17-002 that they must submit applications by June 30, 2017, in order to receive supplemental funding from the NIH to accommodate stipend level increase.

To amend a stipend within xTrain:

- On the Trainee Roster screen for the parent award (not the supplement award, which is listed above the parent award) select Amend 2271 from the Action Column for the desired Trainee.
- The system will open the 2271 form.
- Do not modify the Stipend Level or Salary drop-down value; instead enter the new stipend level into the Stipend/Salary/Other Compensation field. The amount entered should reflect the stipend that the trainee will have received for their period of appointment including the additional funds received from the supplement.
- You may route the form for Trainee verification, or submit the amendment to the Agency for review.
- When submitting the 2271 to Agency, the system will prompt you for a comment, please indicate that this amendment is in reference to “Stipend increase per Notice Number: NOT-OD-17-002 and as reflected on 3T32IC0000051”.

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Appointments, re-appointments, and amended appointments documenting the stipend level increase must be initiated on the parent award. Recipients should not submit these appointment forms for the supplemental award within xTrain.

No additional funds may be expended on behalf of trainees identified within supplemental request until an amended appointment has been submitted and accepted in xTrain. If a recipient fails to submit these forms, NIH may take one or more enforcement actions, such as a decision to disallow costs or withhold a non-competing continuation award, consistent with NIHGPS Chapter 8.5.2.

For trainees with start dates that do not require amending, namely appointments that start after 12/01/2016 but are for FY2016, FY2015 or FY2014, recipients will need to create the appointment or reappointment, select the appropriate stipend level, and then modify the stipend amount to reflect the correct amount (see item #3 above). Recipients will not be required to submit amended appointments for FY2017 appointments made on or after December 1, 2016, or for appointments for FY2016 and earlier fiscal years, where appointments are active on December 1, 2016, but where stipends were supplemented from institutional funds, rather than NRSA supplemental funds.

Additional information on how to submit appointment forms in xTrain can be found using the xTrain Appointment, Re-Appointment, and Amendment Quick Reference Guide for Institution Users.

2 Postdoctoral NRSA Stipend Adjustments

As detailed in the above article entitled - Guidance from NIH Regarding Adjustments to Appointment Records in xTrain to Reflect Stipend Level Increases for Postdoctoral Trainees on Kirschstein-NRSA Institutional Training Grants, NIH released Notice Number: NOT-OD-17-002 - Adjustment to Stipend Levels for Postdoctoral Trainees and Fellows on NRSA Awards to announce the process whereby recipients of institutional training grant and individual fellowship awards supporting currently active postdoctoral trainees or fellows with 0, 1, or 2 years of experience as of December 1, 2016, will receive adjusted stipends. The notice also provides instructions for requesting one-time supplemental funding to cover the stipend increase.

In addition to reading the guide notice, please note the following:

1. There is no need for an extensive supplement budget justification. A brief statement to request increased funds in response to the notice is adequate. A simple calculation of the estimated amount needed should be included (see examples in Notice Number: NOT-OD-17-002).
2. The deadline for submitting the request is June 30, 2017.
For information about FY17 NRSA trainee stipend increases, please see the guide notice Number: NOT-OD-17-003.

3 xTrain’s Statement of Appointment PDF Form Will No Longer Display PII Information

NIH recently announced that effective immediately the xTrain module will no longer display the following Personally Identifiable Information (PII) in the Statement of Appointment PDF form (PHS 2271):

- Date of Birth
- Last four digits of Social Security numbers
- Gender
- Race/Ethnicity
- Disability
- Disadvantaged Background

A checkmark in the box next to each field indicates whether the appointees have completed these fields in their eRA Commons Personal Profile. If the box is unchecked, the appointees did not provide this information in their profile.

4 NIH Created Two New “All About Grants” Podcasts

The National Institutes of Health Office of Extramural Research added the following two new “All About Grants” podcasts focused on topics related to submitting applications. All About Grants podcast episodes are produced by the NIH Office of Extramural Research, and designed for investigators, fellows, students, research administrators, and others interested in the application and award process. The podcast features NIH staff members who talk about the ins and outs of NIH funding. Listen to more episodes via the All About Grants podcast page, through iTunes.

Submitting Your Application

1. NIH’s Post Application Submission Policy, MP3 Audio
2. A look at NIH’s Appendix Policy, MP3 Audio
5 NIH ISSUED NOTICE OF FORM CORRECTION FOR PA-16-286 “SUCCESSOR-IN-INTEREST (TYPE 6 PARENT)”

NIH discovered a problem with the application form packages posted with Parent Announcement - PA-16-286 – Successor-in-Interest (Type 6 Parent). Specifically, the appropriate inclusion enrollment report form for post-award Successor-in-Interest requests associated with research and fellowship grants was missing.

If an application to Parent Announcement: PA-16-286 was initiated using application form packages with Competition IDs "FORMS-D-TYPE6-RESEARCH" or "FORMS-D-TYPE6-FELLOWSHIP", submissions must be completed by July 31, 2017. Beginning August 1, 2017, NIH will no longer accept applications using those form packages.

If you are initiating a new Successor-in-Interest application, please use the updated form packages with Competition IDs "FORMS-D-TYPE6-RESEARCH-REVISED" or "FORMS-D-TYPE6-FELLOWSHIP-REVISED”.

The following resource describes how to check the Competition ID used to prepare an application:

- Do I Have The Right Forms For My Application?

6 NIH PREPARES FOR NEW “FORMS-E” UPDATE

NIH is gearing up to transition from current forms (FORMS-D) to the next iteration of forms (FORMS-E) for due dates on or after January 25, 2018.

Highlights of the new FORMS-E will include:

- Consolidation of human subjects, inclusion enrollment, and clinical trial information previously collected across multiple agency forms
- Expansion and use of discrete form fields for clinical trial information to
  - Provide the level of information needed for peer review;
  - Lead applicants through clinical trial information for collection requirements;
  - Present key information to reviewers and agency staff in a consistent format; and
  - Align with ClinicalTrials.gov (where possible)
Incorporation of recent Grants.gov changes to R&R Budget and SBIR/STTR Information forms

NIH will begin posting funding opportunities with the new FORMS-E packages in October. For more information, see revised Notice Number: NOT-OD-062 – New NIH “FORMS-E” Grant Application Forms and Instructions Coming for Due Dates On or After January 25, 2018.

7 NIH RELEASED TWO IMPORTANT UPDATES: THE FINAL NIH-FDA CLINICAL TRIAL TEMPLATE FOR PHASE 2 AND 3 IND/IDE STUDIES AND THE ELECTRONIC PROTOCOL WRITING TOOL

The National Institutes of Health (NIH) released two important related items. The first is the Final NIH-FDA Clinical Trial Template for Phase 2 and 3 IND/IDE Studies. The template aims to assist NIH-funded investigators in preparing clinical trial documents efficiently so that both IRBs and the FDA can perform speedy reviews. Secondly, the NIH released a web-based platform where investigators can utilize the protocol template in an interactive fashion. The Electronic Protocol Writing Tool allows for a collaborative approach to writing and reviewing protocols. Investigators will be able to use the tool to form a “protocol writing team” and assign different individuals with writing and reviewing roles.

To learn more about the importance of these new resources, please read the latest Under the Poliscope blog by NIH Associate Director for Science Policy, Dr. Carrie D. Wolinetz. For an additional perspective please also see the statement released by NIH Director Dr. Francis Collins.

8 DEPARTMENT OF JUSTICE MADE A REVISION TO ITS GRANTS FINANCIAL GUIDE

The Department of Justice (DOJ) revised Chapter 3.18 (Closeouts) of its 2015 DOJ Grants Financial Guide, effective March 7, 2017 to clarify the timeframe within which award recipients must submit all required closeout reports. Award recipients must submit, no later than 90 calendar days after the award end date of the period of performance, all financial, performance, and other reports as required by the terms and conditions of the award.
9  Updates from the American Heart Association

Applications submitted to AHA this winter will be reviewed throughout April and early May. The AHA Research Committee will approve allocations in late May. Applicants and Grant Officers will receive an email from Grants@Heart in June with a prompt to log onto Grants@Heart to view outcomes. Sponsors (mentors) will be copied on messages to fellowship applicants.

The American Heart Association now requires that all awardees obtain an Open Researcher and Contributor Identification (ORCID), which is a universal identifier for researchers. Registration for an ORCID identifier is very brief. Awardees will be prompted for this identifier in their upcoming scientific reports.

10 July 2017 Introduction to Sponsored Projects Administration ( Intro to SPA ) Training Canceled

The Office of Sponsored Projects is in the process of reviewing and making content changes to its Introduction to Sponsored Projects Administration training course materials in light of Workday implementation in July 2017. As a result, the July 2017 session is canceled. Our last class, before go-live, is scheduled for June 6th. Courses will resume August 1, 2017 as scheduled.

11 Reminder: Reduce Cost Transfers with At-Risk Accounts

As stated in University Guide 1304 GD.01, “At-Risk Accounts can be used to facilitate the initiation or continuation of a sponsored project prior to receiving an award or official notice from the sponsoring agency. The reason for requesting and establishing an At-Risk Account is that one has received notification of a sponsor’s intent to fund a proposal, but the issuance of the actual award document by the sponsor may be delayed and an immediate need exists to begin work or continue existing work that benefits the sponsored project.”

“The establishment of the At-Risk Account provides the Principal Investigator (PI) access to funding by assigning an account number to the sponsored project in advance of receiving the official award document. The advance assignment of the account number aids in the proper assignment of costs at the beginning of the project which prevents the improper allocation of expenses to an incorrect PTAEO and further minimizes the need for cost transfers. (A cost transfer is the reassignment of an expense to or
from a sponsored project after the expense was initially charged to another sponsored project or non-sponsored project. Cost transfers include reassignments of salary, wages and other direct costs. (Refer to Policy 1305 Cost Transfers involving Sponsored Projects for more information.) As part of the University’s efforts to improve research administration processes, PIs are encouraged to use At-Risk Accounts when appropriate.)”

Applicable Yale and sponsor regulatory requirements must be met prior to the creation of an At-Risk Account. Refer to University Guide 1304 GD.01 for additional guidance.

Following are some questions to keep in mind when determining if an At-Risk Account is appropriate:

- Has the proposal been recommended for funding?
- Do you have documentation from the sponsor substantiating that the funding is imminent and includes a start date?
- Does the Sponsor/Agency allow pre-award costs?
- Is the request to incur allowable pre-award expenses?
- Is it expected that the official notice of award document will be received after the project start date?

When an At-Risk Account is deemed appropriate, request an At-Risk Account by completing, signing and forwarding an At-Risk Request Form 1304 FR.01 with supporting documentation relating to the imminent award to your Award/Contract Manager for review and approval via your assigned GCAT mailbox.

Please direct questions about the set-up of an At-Risk Account request to your OSP Award or Contract Manager.


12 OSP STAFF UPDATES

Proposal Management

We are excited to announce the promotion of Danielle O’Brien from OSP’s Award Setup Team to the Proposal Management Team. Effective June 12th Danielle will transition to the preaward group as Proposal Manager.
Awards Management

The Award Management team is pleased that Maria Kwon accepted a position as Award Manager. Maria began her career in OSP in a temporary assignment, was promoted to a Proposal Manager and has worked at that capacity since January 2015. She joined the Award Team on May 18th.

Financial Management

A combined Reporting Group and Cash Management Group will report to Kenechia Clarke as Associate Director of Financial Services. Kenechia has been at Yale for 15 years of which 12 years have been spent in roles of increasing responsibility within OSP.

We are pleased to announce that Kathleen King has been promoted and will now lead the Reporting group as Manager of Financial Services. Kathleen has been with OSP Financial Management for 9½ years.

We look forward to the knowledge, expertise, and enthusiasm that Kenechia and Kathleen will bring to their new roles.