On a quarterly basis, the Office of Grant and Contract Administration (GCA) publishes a *Lessons Learned* G&CAAlert. This Alert, covering July 8, 2014 through October 8, 2014, includes the following:

- **Submission Metrics**
  - How many proposals were submitted and when GCA received the proposals
- **Lessons Learned**
  - What was learned and how can the process of preparing and submitting proposals can be improved
- **Departmental Spotlight**
  - Highlighting departments who were particularly successful during the quarter

**Submission Metrics**

- 73 total proposals were submitted for the October 5th deadline (since October 5th fell on a weekend, the actual deadline was October 6th.)

**Lessons Learned**

*Allow time for electronic systems – sometimes the sponsor’s system can be slow!*

For the October 5, 2014 NIH proposal deadline, the processing time for Grants.Gov on Friday (October 3, 2014) and NIH eRA Commons on Monday (October 6, 2014) was very slow. In fact, many of the proposal applications submitted on Monday took over 1.5 hours to appear in the Commons. This means that some applications were ultimately submitted late (after 5:00pm) and some experienced validation errors.

**Lesson learned:** Allow sufficient time for electronic processing, understanding that applications submitted after 5:00pm are considered late (according to NOT-OD-11-035, late applications are reviewed for acceptance on a case by case basis).

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Lessons Learned (continued)

Validations in PD, Grants.Gov, eRA Commons, and other electronic sponsor systems may not catch every error
The validations in the electronic systems Yale uses are meant to assist in assembling the best application possible while reducing the chances that a proposal is non-compliant. However, these systems do not identify all potential errors and/or omissions. For example, PD does not validate for the number of pages of a biosketch (as some sponsors allow biosketches that are greater than four pages in length) also the eRA Commons does not validate for font size.

The NIH OER Communications Office posted a very informative article on eRA NIH Commons validations that contains useful information for faculty and department administrators who prepare applications submitted to the eRA Commons.

Lesson learned: Read, Review, and Review Again:
- **Read** the sponsor’s solicitation and application guidelines carefully;
- **Review** the final application in PD (this is what the PI and the department are approving GCA to officially submit to the sponsor); and
- **Review** the final application in the sponsor’s electronic system whenever possible and ensure the rendered application is correct.

Make sure any required VA MOUs are signed prior to submitting a proposal to GCA!
According to both the Yale and NIH policy, individuals with a Yale/VA joint appointment and whose effort is committed and/or salary requested in a proposal must have a fully executed MOU on file. The University will **not** submit applications that are not compliant with this requirement.

Lesson learned: Make sure to verify that **all** individuals (even if from other departments) who have a Yale/VA joint appointment have a fully executed MOU on file. If there is no MOU or if it is expired, start preparing the MOU and obtaining signatures early in the proposal preparation process.

Departmental Spotlight
In order to fairly evaluate success, departments were divided into three categories (2 or fewer, 3 to 5 and more than 5 proposal submissions).

Highest Percentage of Proposals Submitted to GCA at least 2 Days in Advance of the October 5th Deadline

More than 5 Submissions: Psychiatry – 71%
Yale School of Public Health – 67%

3 to 5 Submissions: Genetics – 100%
OBGYN – 67%

2 or Fewer Submissions: Diagnostic Radiology – 100%
MB&B – 100%
Neurobiology – 100%
Orthopaedics – 100%
Pathology – 100%
Surgery – 100%
Yale Comprehensive Cancer Center – 100%
The Inclusion Management System: New Module in eRA Commons

On October 2, 2014, the National Institutes of Health notified (NOT-OD-15-005) grantees about key changes in the new Inclusion Management System (IMS) for the reporting of sex/gender, race, and ethnicity information. The new IMS was released on October 17, 2014, and includes the following key changes:

1. Inclusion enrollment forms received with competing application submissions automatically populate the IMS.
2. NIH grantees completing their RPPR (Research Progress Performance Report) will be prompted in Item G.4.b to access and update inclusion reports directly in IMS.
3. Grantees can access their inclusion enrollment data via the eRA Commons Status page and can review or update their inclusion data as needed.
4. Ongoing enrollment information from the previous data system will be migrated to the IMS. Because the report format has been adjusted, grantees will be prompted to update Cumulative Inclusion Enrollment data in the IMS format at the time of the RPPR at which time you are encouraged to update your Planned Enrollment data as well.

It should be noted that any updates to the Inclusion Enrollment Data form must be completed by the PI and submitted to the NIH by an Institutional Signing Official. After the PI revises the enrollment data in IMS, Department Business Offices should send an email to the appropriate GCAT mailbox notifying your GCA award manager that the inclusion data has been updated and is ready for SO submission to the NIH.

Please contact your award manager if you have specific questions about this process.