Changes Made to Form 1304 FR.03 (TranSum) and PD Regulatory Form

The Office of Grant and Contract Administration (GCA) has made the following changes to Form 1304 FR.03 Transmittal Summary Form (TRANSUM) and to the Proposal Development (PD) Regulatory Form. These changes include improvements to the usability of the form, a subrecipient section, required yes or no responses for animal and human subject research and clearer export control questions. The revised TranSum is available on the Grants and Contracts page of Yale’s Policies and Procedures website at https://business.yale.edu/ppdev/. Regulatory eForms added to the Internal Documents tab in PD after May 17, 2013 will include these changes.

IMPACT

For proposals sent to GCA using a TranSum, please begin using the new form as soon as possible. The new form is required beginning June 17, 2013. GCA will continue to accept the previous version of the TranSum for proposals submitted to GCA before this date.

For all proposals in PD, the Regulatory Form has been updated; please verify that the new version of the form is included in all proposals being routed to GCA after May 17, 2013.

ACTION REQUIRED

- Please discard all old TranSum form templates you have stored on your computers and begin to use the revised TranSum for proposals submitted to GCA as soon as possible.
- All proposals submitted on or after June 17 must be accompanied by the new revised TranSum.
- Verify that the updated Regulatory Form is included with all proposals routed after May 17, 2013.
  - NOTE: Any Regulatory Forms that have the complete check box in the upper right corner selected will not display the changes to the regulatory form. To update the form, deselect the complete check box and the screen will refresh to show the new fields.

CHANGES TO THE TRANSUM FORM 1304 FR.03

- Old Section III – Subrecipient Information is now New Section VI.

The new section allows the user to add up to 4 subrecipient organizations and more clearly captures subrecipient information, human or animal subject research (indicated by a yes or no), subrecipient individuals responsible for the design, conduct or reporting of the research, and export control information.
Old Section IV – Proposal Budget Summary is now New Section III.

The Proposal Budget Summary chart has been revised to include totals for Yale Direct Costs, Subaward Costs, Yale Total Direct Costs, F&A Costs, and Yale Total Funding Requested. In addition, the cost-sharing and F&A questions in this section have been revised to clarify the data being requested.

Old Section V – Senior/Key and or Responsible Personnel Data is now New Section IV.

The data fields in this section have been rearranged and reformatted to make them more user-friendly.

- Personnel Type is now a drop down list versus check boxes.
- Yale Net ID is now requested for each Senior/Key and/or Responsible Personnel.

Old Section VI – Compliance and Approvals is now New Section V.

- A selection of yes or no is required for the question, “Will this Project Involve Animals and/or Human Subjects?.” Response options have been changed to:
  - No – Humans
  - Yes – Humans
  - No – Animals
  - Yes – Animals
- The choices for the question, “If the research is being conducted by a subrecipient - What is the name of the Subrecipient?” have moved to Section IV - Subrecipient Information.
- The default for question “In what country is the work being conducted?” has been changed from “United States” to “Select a Country”.
- The note regarding Export Controls has been expanded to state that the Director, Export Controls & Licensing should be contacted promptly for those projects that involve any interaction with people or institutions in Cuba, Iran, Myanmar (Burma), North Korea, Sudan or Syria.

The EHS materials section has been reformatted into two columns instead of three.

CHANGES TO THE REGULATORY FORM

Export Controls Introduction text is now:

- NOTE: When selecting associated countries, all OFAC sanctioned countries [The Balkans (Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Macedonia, Montenegro, Romania, Serbia), Belarus, Myanmar (Burma), Ivory Coast, Cuba, Democratic Republic of the Congo, Iran, Iraq, Liberia, Libya, Lebanon, North Korea, Somalia, Sudan, Syria and Zimbabwe] are identified with an asterisk (*).
NOTE: If the project involves any interaction with people or institutions in Cuba, Iran, Myanmar (Burma), North Korea, Sudan or Syria, you must contact the Director, Export Controls & Licensing at 203-785-3817 or donald.deyo@yale.edu.

❖ PD Only – Cost Sharing Information is now:
Are there any personnel included in this proposal whose salary exceeds a legislatively mandated salary cap? If YES, in the Personnel section, please provide the Award and Org associated with the individual(s).

❖ New Sections
Subrecipient Conflict of Interest (2 questions)
  o Subrecipient Institution name
  o If the prime sponsor is a PHS agency, a PHS-like sponsor or the NSF, does the subrecipient have a PHS/NSF Compliant Policy? If No, enter the name and role of the individual(s) identified by the subrecipient as being responsible for the design, conduct or reporting of the research.

Subrecipient Personnel (3 questions)
  o Subrecipient Institution name
  o Individual Name
  o Role

If you have any questions, please contact your GCA Proposal Reviewer, your assigned GCAT email box, ires@yale.edu (PD related questions) or tracy.coston@yale.edu.