

OFFICE OF RESEARCH ADMINISTRATION NEWSLETTER

“Yale has a clear obligation to comply with all regulations pertaining to the administration of federal grants, and we will spare no effort to remedy any deficiencies in our practices.” *President Rick Levin*

INSIDE

- 2 **My NCBI Portal to Replace eRA Commons for Bibliography Management**
- 2 **NIH’s New Policy for Budgeting and Reimbursement of Gene Array’s (GAs)**
- 3 **IRES (Integrated Research Enterprise Solutions) Update**
- 4 **Research Administration Training Opportunities**

Yale’s Research Affiliate Rank Redefined

Effective July 1, 2010 the title *Research Affiliate* at Yale was redefined as *Laboratory Associate*. The eligibility requirements for Laboratory Associates are similar to those for Research Affiliates, and the application process is virtually the same. The Office of Postdoctoral Affairs has sent instructions to current Research Affiliates whose appointments were prematurely end-dated on June 30th in anticipation of the change to the new title.

For a Research Affiliate appointment that end-dated after July 1, no changes are necessary until such time of the actual termination of an appointment or to request a new appointment.

Questions should be directed to the Office of Postdoctoral Affairs. Contact information is located at <http://www.yale.edu/postdocs/>.

ORA Welcomes Michael Glasgow

After a nationwide search, and in consultation with academic leadership and faculty researchers, effective June 28, 2010, Mike Glasgow joined Yale as the Executive Director of the Office of Grant and Contract Administration (GCA). Mike joins Yale after 18 years with the University of Virginia (UVA), where he once served as a departmental business administrator in the Medical School and College of Arts and Sciences and later as the Assistant Vice President for Research Administration for the University. In addition to overseeing pre-award and post award sponsored project services for UVA, Mike co-chaired a UVA initiative to streamline sponsored programs administration. Mike is located at 47 College Street and can be reached directly at michael.glasgow@yale.edu or 785-3680.

Contributors/Sources

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Did you know that...

Preliminary data supporting Yale’s sponsored projects activities and accomplishments during FY10 is available? Here is a synopsis of those accomplishments in support of Yale’s research enterprise.

FY 2010 ACTIVITY	#/\$
New and Competing Proposals Submitted	4,832
New and Competing Renewal Awards Received	1,288 \$608M
Total Sponsored Projects Expenditures	\$625M
Animal Protocols Reviewed	550
Human Participant Protocols Reviewed	2,909

Did you know that...

Federal guidelines prohibit subcontracting of federal funds in excess of \$25,000 to an organization or an individual who is debarred, suspended, or proposed for debarment unless there is a compelling reason to do so? The Yale Procurement Department's Vendor Compliance Unit (VCU) is responsible for the initial setup and ongoing maintenance of the University's vendor database. The VCU checks vendors for debarred status, maintains affirmative action information and secures appropriate tax information on vendors as required by the IRS. A list of such entities is available from the Purchasing Department.

My NCBI Portal to Replace eRA Commons for Bibliography Management

Until now program directors and principal investigators (PD/PIs) have been able to utilize eCommons to create and maintain professional bibliographies. As of July 23, 2010, PD/PIs are no longer able to enter citations manually into eRA Commons and must use the National Center for Biotechnology Information's (NCBI's) portal called "My Bibliography" to manage their professional bibliographies. This change allows users the benefit of populating citation data from PubMed, PubMed Central, and the NIH Manuscript submission system and to readily maintain accurate, structured and up-to-date bibliographic information. An additional benefit is the ability for grantees to easily track compliance with the NIH Public Access Policy (PubMed).

PD/PIs who wish to utilize this system must establish a My NCBI account to gain access to My Bibliography. Online assistance is available at <http://info.med.yale.edu/library/education/guides/pubmed> or through your department's library contact.

Did you know that...

...all NSF grant applications that include funding to support postdoctoral researchers must include a description of the mentoring activities that will be provided for such individuals? Proposals that do not describe mentoring activities provided to postdoctoral researchers will be returned without review. Annual and final reports for research grants that include funding to support postdoctoral researchers must include a description of the mentoring activities provided. This requirement also applies to any postdoctoral researcher not identified in the original proposal submission.

NIH's New Policy for Budgeting and Reimbursement of Gene Array's (GAs)

On May 13, 2010, the NIH announced a new policy for F&A (facilities and administrative costs) reimbursement on Genomic Array purchased services. The new policy will be applied prospectively to new commitments established by competing awards and by administrative supplements. The new policy is located at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-097.html>.

In summary, the policy prohibits F&A recovery for high volume purchases of GA ***in excess of \$50,000 per year***. The standard treatment of these resources as "supplies" in determining the F&A base of an award will no longer apply.

While the NIH understands that these methods promise important new insights into biological mechanisms and the risk for disease, they are concerned that an increasingly significant component of funds are being awarded in this area thus affecting the financial impact on the total award budget.

(continued on page 3)

NIH's New Policy for Budgeting and Reimbursement of Gene Array's (GAs) (CONTINUED)

Budgeting for Services Provided by an Outside Provider

When the research staffs of a requested project use Gene Array's (GA's) in the course of a project, the cost of GA's procured from an external source should be budgeted as described below.

Example I: GA's are budgeted at \$50,000 for each year of a project: GA costs should be treated as supplies and Yale's negotiated federal F&A rate should be applied to the entire \$50,000.

Example II: An award is for three years and GA's are budgeted at \$75,000 in year one and \$150,000 in years 2 & 3 respectively. For each budget year the Yale's negotiated federal F&A rate should be applied as follows:

- Year one – \$50,000 is budgeted as supplies and Yale's negotiated federal rate should be applied to the entire \$50,000. The remaining \$25,000 is budgeted in the consortium/subcontract line and Yale's negotiated federal rate is applied to the entire \$25,000.
- Year two and three – The first \$50,000 is budgeted as supplies and Yale's negotiated federal F&A rate is applied. The remaining balance (\$100,000) is treated as consortium/subcontract costs where the F&A rate is applied to the first \$25,000 and the remaining portion (in this example \$75,000) of each year respectively are excluded from the F&A cost base calculation in accordance with standard consortium/subcontract policy.

Budgeting for Services Provided by an Institutional Internal Service Provider

When services requiring GA's are provided by an internal service provider, costs are allowable provided they are budgeted and accounted for in accord with applicable University policy. The salaries and related costs of project staff assigned to this task should be budgeted as personnel costs. Supplies, equipment and other materials should be budgeted in the appropriate cost categories of the requested budget.

Review and Consideration of Requested Budgets by NIH Staff

If the NIH Grants Management Specialist determines that a proposed budget is not presented in accordance with NIH's policy, the Grants Management Specialist will request a revised budget consistent with the policy, or NIH may incorporate the required compliance changes into the authorized budget of the "NOA" for the funded project, citing the policy in the terms of the "Notice of Award".

Questions about specific awards may be directed to the Grants Management Specialist identified in the Notice of Award or Yale's Office of Grant and Contract Administration.

Did you know that...

...you are required to complete a Patent Policy Acknowledgement and Agreement Form? If you or select members of your staff received a reminder to complete this form, the form is located at <http://yale.edu/training/>. Click on the Office of Cooperative Research section. Questions can be sent to ocr@yale.edu or call 203 436-8096.

IRES (Integrated Research Enterprise Solutions) Update

After much planning and analysis, the first component of transforming research administration at Yale was launched on May 3rd when Proposal Tracking, the pre-award database application, was implemented. This application is the source for all pre-award data with records dating back to July 2007.

Business processes were modified within the central offices to streamline data capture and review of proposals thereby decreasing proposal turnaround time and improving data integrity. The next step, slated to go-live late in this calendar year, will involve the participation of administrative staff across campus.

(continued on page 4)

Proposal Development – Data Collection (PD DC) is the next implementation phase of IRES. This implementation will allow administrative staff to get a glimpse of the future. They will be working directly in Proposal Development (a new software module). The major change introduced in this phase is to transmit summary data to the Office of Grant and Contract Administration (GCA) electronically within the Proposal Development application rather than manually as is currently done. The goals of the project are to:

- Eliminate duplicate data entry
- Increase data integrity
- Enhance data transparency
- Connect users to the data base
- Get users accustomed to the look and feel of the Proposal Development module

In addition to the electronic transmission of the summary data, all proposal materials will be uploaded directly into the database, creating a complete electronic record of each proposal.

Looking ahead, the changes to business processes and the use of technology will accelerate. The ultimate goal is to have a pre-award solution that assists PIs, researchers and administrators in the creation, collation, routing, approval, and submission of all proposals for external support.

Upcoming Research Administration Training/Educational Events

Brown Bag Luncheon Series

- ***Setting Up a Sponsored Award:***
September 7, 2010; 2:00 PM – 3:30 PM
Anlyan Center Auditorium, 300 Cedar Street, N107

Faculty Forums

- ***Science Writing (for Grants and Scientific Manuscripts):***
August 26, 2010; 1:30 PM – 2:30 PM
Sloane Physics Laboratory, 217 Prospect Street, SPL Room 59

Fundamentals of Sponsored Projects: Administration 2-day training program:

- September 14 and 15, 2010; 9:00 AM – 4:30 PM
To complete the course attendees must attend both full day sessions.

To learn more or to register for these sessions, visit <http://www.yale.edu/training/>
Navigate to Grant & Contract Training and click Courses under GCA and GCFA Training.

Additional Training For Faculty And Administrators

Grant and Contract Financial Administration (GCFA)

- Allowability of costs and Cost Transfer Principles
- Effort Reporting Principles (web-based)
- Effort Reporting System Training
- Subrecipient Basics, Monitoring and Tracking (web-based)
- What Research Staff Need to Know About Spending Sponsored Project Funds

(continued on page 5)

Grant and Contract Administration (GCA)

- Hands-on Clinic – Grants.gov
- Fundamentals of Export Controls (web-based)
- Human Research Protection Training (options for training are described at <http://www.yale.edu/hrpp/responsibility/training.html>)

Office of Research Administration (ORA)

- Sponsored Projects Administration Training for Faculty (web-based) (To access this course visit <http://www.yale.edu/training/> Navigate to Office of Research Administration Training and click Courses.)

OFFICE OF RESEARCH ADMINISTRATION MISSION STATEMENT

To coordinate the activities of the various University offices providing support to faculty, staff and students on sponsored projects, to assure that service provided by those offices is of the highest caliber and professionalism, and to serve as an effective representative for the research enterprise.