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 OLAW Issued New Animal Welfare Assurance Number for Yale (“Assurance”)

In order for Yale to conduct federally-funded research involving live vertebrate animals, the University is required to have an OLAW-approved Animal Welfare Assurance. This Assurance is an agreement with OLAW that Yale will comply with the federal regulations regarding the welfare and safety of animals. The Assurance is assigned a number that must be indicated with every proposal to any federal agency.

**Yale’s Animal Welfare Assurance Number has changed effective July 25, 2016 to D16-00146** (previous Assurance was A3230-01). Note: The old number (A3230-01) is valid until May 31, 2019 – until that time either number can be used. The Frequently Needed Yale Facts page of the OSP website has been updated to reflect this change.

2 Revised: Projected FY 2017 Stipend Levels for Postdoctoral Trainees and Fellows on NRSA

The National Institutes of Health issued NOT-OD-16-134 to rescind NOT-OD-16-131 and to correct an error in the effective date. The purpose of the Notice is to announce projected stipend levels for postdoctoral trainees and fellows supported by Kirschstein-NRSA awards in Fiscal Year 2017.

The new stipend levels are planned to be effective December 1, 2016. The projected stipend levels and the actual date of implementation are subject to the availability of FY 2017 appropriations and implementation of the FLSA threshold for professional workers to be eligible to be paid overtime.

Projected Postdoctoral Stipend levels for FY2017
3  NIH MAKES PREPARATIONS TO REMOVE APPENDIX MATERIAL FROM APPLICATIONS

The National Institutes of Health has plans to remove most appendix materials beginning with applications submitted for due dates on or after January 25, 2017, as announced in NOT-OD-16-129.

For applications submitted to the NIH, AHRQ, or NIOSH with due dates on or after January 25, 2017, the only allowable appendix materials are:

- For applications proposing clinical trials (unless the Funding Opportunity Announcement (FOA) provides other instructions for these materials):
  - Clinical trial protocols
  - Investigator’s brochure from Investigational New Drug (IND), as appropriate

- For all applications:
  - Blank informed consent/assent forms
  - Blank surveys, questionnaires, data collection instruments
  - FOA-specified items.
    - If appendix materials are required in the FOA, review criteria for that FOA will address those materials, and applications submitted without those appendix materials will be considered incomplete and will not be reviewed.

NIH will withdraw and not review applications submitted for due dates on or after January 25, 2017 that contain appendix material that are NOT allowable or otherwise required in the FOA.
4 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.

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5 NSF ANNOUNCES IMPORTANT INFORMATION REGARDING AUTOMATED COMPLIANCE IMPROVEMENTS OF NSF PROPOSALS

Effective September 26, 2016, the National Science Foundation (NSF) proposal submission system (FastLane) performs validation checks to ensure that the combined text of the Project Summary text boxes (or uploaded PDF if the Project Summary contains special characters) does not exceed one page prior to submission, rather than the previous check of 4,600 characters. See the Proposal & Award Policies and procedures Guide (PAPPG), Chapter II.C.2.b, for further information.

In the following circumstances, an error message occurs:

- Project Summary text exceeds the one-page limit; and
- Project Summary text is entered and the user also uploads a “Project Summary with Special Characters” supplementary document.

Proposal File Updates (PFU) Implications:

Proposers should be aware that if a proposal was received by NSF prior to September 26, 2016, containing a Project Summary that complies with the previous 4,600-character limit but exceeds the one-page limit, a PFU addressing any section of the proposal will result in the proposal not being accepted if it does not comply with these compliance checks. The checks will be run on all sections of the proposal, regardless of which section was updated during the PFU.

Grants.gov Implications:

Proposers should also be aware that Grants.gov will allow a proposal to be submitted, even if it does not comply with these proposal preparation requirements. Should NSF receive a proposal via Grants.gov that is not compliant, it will be returned without review.

6 HIGHLIGHTS OF RECENT eRA ENHANCEMENTS

As a result of eRA Commons scheduled downtime on Thursday, October 20, 2016 at 9 p.m. the following eRA system enhancements were made:

- New Non-Research Tab Has Been Added to the Top Navigation
As part of the expansion of eRA services to other federal agencies, the Non-Research tab has been added for recipients of SAMHSA (Substance Abuse and Mental Health Services Administration) non-research grants.

The new tab is located after eRA Partners.

- **SAM Registration Expiration Data Displayed**
  - The expiration date for institutions’ System for Award Management (SAM) registration is now being displayed on the Institution Profile,
  - The SAM registration needs to be renewed yearly and is required to successfully submit a federal grant application to Grants.gov.  **NOTE:** Yale’s annual registration (DUNS# 04-320-7562) in SAM has been recently renewed. The registration expires October 12, 2017.

### 7  OSP STAFF UPDATES

We are pleased to announce the following new hires in OSP.

**Business Operations**

- **Christine Hanks** joined OSP on August 29th as the newest Senior Administrative Assistant. Christine is responsible for supporting the Office’s front desk operations including, but not limited to, providing high level support to the general needs of the office. Prior to joining Yale and OSP, Christine worked at Subway Headquarters in Milford, CT.

- We are excited to announce that effective October 24th **Kathi Goodfriend** will transfer from working for the past two years on the Workday@Yale Change Management project to our new Training Manager position. As Training Manager, Kathi’s focus will be to manage the development and coordination of training/education programs in the field of sponsored projects administration as well as facilitating our current training program. Kathy started at Yale ten years ago at the Learning Center as a business applications trainer for Oracle and Microsoft Office applications with additional responsibilities of managing xTrain and TMS registrations, managing various system processes and various departmental projects.

**Clinical Trials**

- The Clinical Trials team is delighted to announce that **Kathryn Picanso** joined the team as Contract Manager on September 12, 2016. Most recently Kathryn was an associate attorney with Carmody
& Torrance, LLP, in their intellectual property litigation group. Kathryn has an A.B. in Chemistry from Harvard College and earned her J.D. from Fordham University School of Law. As the newest member of the team, Kathryn will primarily be handling clinical trial agreements for the Cancer Center.

Contracts

- James Cresswell has joined OSP as a new contract manager on the Contracts Team, handling a wide array of contracts. James has a background as an attorney in private practice with a broad focus on various legal issues and contractual disputes. Before law school, James worked as a Research Associate in the Department of Internal Medicine, doing bench research and assisting in grant and publication preparation.

Financial Management

- We are pleased to announce that Cynthia LoPiano will join the Cash Management group in OSP as Senior Accountant on October 24, 2016. Cindy comes to us from the Controller’s Office where she worked for 11 years as a Cash Analyst.
- Join us in welcoming Maranda Fitzgerald to Yale and specifically the OSP Reporting Group. Maranda joined the group on October 11, 2016 as a Senior Accountant. Miranda has many years of accounting experience, several of which were spent in the automotive industry.