ERA Hot Topics
NIH Updates
by Maria Skinner
Changes to NIH Grant Policy Statement

1. Some of the new policies require additional data collection and updates to application forms.

2. The policy and guidance changes will be implemented in two phases:

   - **Phase 1** – **Effective January 25, 2016**: Implements a subset of policy Changes using existing (FORMS-C) forms and updated instructions

   - **Phase 2** – **Effective May 25, 2016**: Completes the implementation with the introduction of new (FORMS-D) forms and instructions
Phase 1

1. Rigor and Transparency
   - Updates to application guide instructions for preparing research strategy
   - Use of a new “Authentication of Key Biological and or Chemical Resources” attachment (see slide 5)
   - Additional rigor and transparency questions reviewers will be asked to consider during review process

2. Vertebrate Animals
   - Updated Guidance on criteria to be addressed
   - Description of veterinary care no longer needed
   - Justification of number of animals not needed
   - Description of method of euthanasia is only required if the method is not consistent with AVMA guidelines for Euthanasia
3. Definition of Child
   - Redefined age of child as individual under 18 instead of 21

4. Research Training
   - “Recruitment and Retention Plan to Enhance Diversity” applicants asked to focus on recruitment
   - Use of “Human Subjects”/“Vertebrate Animals” – applicants will now have to describe how the institution will ensure trainees only participate in exempt or non-exempt human subject/animal research that has IRB/IACUC approval; no longer required to provide a list of potential grants with IRB/IACUC information
   - “Progress Report”- Requirement to report on publications that arose from work conducted on training grant will be moved to the Just-in-Time process
Form C Changes - submitted between 1/25/16 and 5/24/16

- Attachment “Authentication of Key Biological and/or Chemical Resources Plan” pdf must included in Biomedical Research Proposals
  - Key biological and/or chemical resources may or may not be generated with NIH funds and:
    1. may differ from laboratory to laboratory or over time
    2. may have qualities and/or qualifications that could influence the research data
    3. are integral to the proposed research

These include, but are not limited to, cell lines, specialty chemicals, antibodies, and other biologics.
New Form Set D

Required for all proposals due on or after May 25, 2016; new guides will be available by March 25\textsuperscript{th}, 2016.
Phase 2

1. Rigor and Transparency
   - “Authentication of Key Biological and/or Chemical Resources” attachment in FORMS – D application packages:
     - PHS 398 Research Plan
     - PHS 398 Career Development Supplemental form
     - PHS Fellowship supplemental Form
   - Adding “Plan for the Instruction in Methods for Enhancing Reproducibility” to PHS398 Training Program Plan

2. Vertebrate Animals
   - Adding new questions regarding euthanasia to:
     - PHS 398 Research Plan
     - PHS Fellowship Supplemental Form
Phase 2 cont.

3. Inclusion Forms
   - Optional PHS Inclusion Enrollment Report to replace the optional Planned Enrollment Report and Cumulative Inclusion Enrollment report

4. Data Safety Monitoring Plan (must be included in all applications involving clinical trials *)
   - New attachment for the following FORMS-D packages
     - PHS 398 Research Plan
     - PHS 398 Career Development Supplemental Form
     - PHS Fellowship Supplemental Form
     - PHS 398 Research Training Program Plan

* Although requirement for data and safety monitoring for clinical trials is not new, the use of a separate attachment will emphasize its importance and facilitate systematic enforcement of its presence.
Phase 2 cont.

5. Research Training
   - Reducing the number of tables from 12 to 8
   - Minimizing the reporting of individual-level information
   - Extending the tracking of trainee outcomes from 10 to 15 years

6. Appendix Policy
   - NIH reevaluating current appendix policy by Spring of 2016

7. New PHS Assignment Request Form
   - Awarding Component (NIH Institute) assignment preference
   - Study Section preference
   - List of potential reviewers in conflict
   - List of scientific expertise needed to review the application
Phase 2 cont.

8. New Font Guidelines
   ▪ Additional flexibility regarding fonts. NIH will allow both serif
     and non-serif fonts as long as they comply with specific density
     and line spacing

9. Bio Sketch clarifications
   ▪ URL for publication list is optional; if used must be gov. website
   ▪ Allow publications and research products to be cited in both
     personal statement
   ▪ No graphics, figures or tables allowed in biosketch
References/Notices

1. C Form Changes after January 25th 2016 (NOT-OD-16-011) and (NOT-OD-16-012)
2. Vertebrate Animals -(NOT-OD-16-006)
3. Definition of a Child -(NOT-OD-16-010)
4. Research Training -(NOT-OD-16-007)
5. New PHS Assignment Request Form -(NOT-OD-16-008)
6. New Font Guidelines -(NOT-OD-16-009)
Hot Topics – NSF Updates

Tuesday, December 8\textsuperscript{th}, 2015
Henry Center, Room A169
8:30 a.m. – 12:00 p.m.

Craig O’Neill, Office of Sponsored Programs
5:00 pm Deadline Enforcement

- **Local time**
  - As determined by the institution’s zip code listed in Fastlane
- **Deadline applies to all proposals**
  - No exceptions
- **Collaborative proposals**
  - Each collaborator must submit their proposal by their own 5:00 pm local time
Public Access to Copyrighted Material

• Applies to new awards resulting from proposals submitted, or due, on or after January 25, 2016

• Reported in the NSF annual and final reports
  ▪ Uploaded into the NSF Public Access Repository (NSF-PAR)
  ▪ NSF is encouraging use for all current awards

• Material required to be available for download within 12 months of publication
  • Must include a minimum of machine-readable metadata elements

• More information can be found in the NSF FAQ http://www.nsf.gov/pubs/2016/nsf16009/nsf16009.jsp
Submit Publications, Project Reports, and Outcomes

0 Publications in the NSF Public Access Repository (NSF-PAR)  What is Public Access?
Deposit the final accepted version of your manuscript and publication details

Deposit publication (NSF-PAR)  Manage deposited publications (NSF-PAR)  Public Access FAQs

Annual, Final and Interim Report
View, complete and submit reporting requirements

Project Outcomes Report: 0 Total
Due (0) | Overdue (0) | Submitted (0) | Not Yet Due (0)
NSF pre-populated award information; you will receive the following message if there are no active NSF awards: “You do not have any Award IDs associated with your profile, and therefore are not able to access this site. Please contact the NSF help desk at 1-800-381-1532 or rgov@nsf.gov, if you believe you should have access.”
Collaborators & Other Affiliations Information

- **New single-copy document requirement**
  - Each senior project personnel to provide information regarding collaborators and other affiliations
    - This information *was originally provided* as part of the Biographical Sketch
- **Upload box**
  - NSF will provide a specific input box for uploading the document in Fastlane
- **Submission format**
  - NSF will provide a format before the January 25, 2016 deadline
Results from Prior NSF Support

- **Proposal project description** must include prior NSF support
  - For any PI or co-PI on the proposal being submitted
    - NSF funding with a start date *within the past five years*
    - Regardless of whether the support was directly related to the proposal.
  - The NSF Proposal Preparation Guide includes examples of the types of applicable NSF awards
Current & Pending Support and Biosketch are Revised

• Current & Pending support and Biosketch for all senior personnel may no longer be grouped together and uploaded in a single PDF file
  • Each individual’s current and pending support and Biosketch must be uploaded as a single PDF file associated with that individual
C&P must include any specific MSU projects

- Even if they receive no salary support from the project(s), list all current and pending support:
  - All active projects and proposals from whatever source (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations, or internal MSU funds allocated toward specific projects)
    - Include “this project” in the list
    - Include all proposals already submitted or submitted concurrently* to other possible sponsors, including NSF.
C&P must include any specific MSU projects

• *Concurrent submission of a proposal to other organizations will not prejudice its review by NSF
  ▪ (Except as prescribed by the Biological Sciences Directorate)
For more information

- See OSP’s website link: https://www.cga.msu.edu/PL/Portal/DocumentViewer.aspx?cg a=aQBkAD0AMwAzADcA
OSP Updates

Website Resources:
OSP Proposal Checklist

Welcome to the Office of Sponsored Programs (OSP) is a unit under the Vice President for Research and Graduate Studies with an organizational affiliation to the Vice President of Finance. Our mission is to provide superior pre-award support to faculty, staff, and the Contract & Grant Administration. If you have any general questions, please email help@osp.msu.edu

As a tool to assist with the steps of processing a proposal, as well as keeping track of the deadline dates specific to your proposal submission, please consider using the OSP Proposal Checklist. Note, the deadline dates included in the checklist are specific to OSP only, and do not account for deadlines that may be imposed by your College/Department.
OSP Updates
Website Resources:

**Budget Guidelines**
OSP Updates
Website Resources:
Activity Log

- Transparency for the campus community in viewing the status of a proposal or award negotiation.
- Improved organization and tracking of activities resulting in enhanced cross-utilization of staff and the ability to prioritize workflow in a consistent manner.
- More detailed, complete and consistent metrics for proposals and awards providing tools to identify areas for increased efficiency and client support.

Activity Log Viewer Guide

Web-based tracking system for proposal and award activities handled through the Office of Sponsored Programs (OSP) and Business-Connect (BC).

For MSU Faculty and Research Administrators
OSP Updates

Proposal Deadline Policy

Number of Proposals Submitted by OSP

Source Data: e-Transmittal plus activity log (Implemented Feb 2014)
Activity Log training was conducted in November, 2014, which resulted in more data consistency.
OSP Updates

Point of Service Surveys

Thank you to those who have completed our Point of Service Survey. The information helps us create and/or update processes, as well as manage our service levels. We ask that you please:

- keep the feedback coming
- provide specific comments to help us improve our processes and service levels

Our recent survey
A huge thank you!
Post Award Hot Topics

December 8, 2015
CGA Managers: Dan Evon, Evonne Pedawi, Stacy Salisbury, Kristy Smith, Kasey Schiellerd, Mustafa Khawaja
Topics of Discussion

• Updated Federal/State Cost Policy
• On/Off Campus Rate Calculation
• DY/DW Fee for Service Accounts
• Other process changes/enhancements
  • Prior Approval Checkboxes in Account Explorer
  • Potential new Subrecipient Risk Assessment tool
  • Fly America Act certifications
• Open Forum
Updating the Federal/State Cost Policy for the UG

Cost Policy sections reviewed in 3 committees with reps from each group

- **MSU Central Offices**
  - 8 participants

- **SPA/OSP/CGA**
  - 15 participants

- **Campus Administrators**
  - 16 participants

**Federal/State Cost Policy drafted by CGA**

Policy was separated and specific sections were emailed to committee members.

Committees met to discuss the sections and provide feedback/recommendations.

Federal/State Cost Policy was revised by CGA.

The final draft of all sections was emailed to all committee participants.

Final Federal/State Cost Policy was posted to CGA’s website and notification was sent out to SPA’s listserv.
Federal/State Cost Policy Changes/Improvements

• Format
• Applies to federal or state funded RC accounts
• Printable versions
• Usual Treatment of Sample Items
  • Includes a allowable/unallowable table
  • Required documentation is listed
  • Links to both Uniform Guidance and MSU policy
On or Off-Campus F&A Rate

• How is it determined?
  • MSU currently reviews budget categories to identify where the expenses will occur.
    • The budget categories of equipment, space rent, subcontracts, and F&A are excluded from this analysis.
  • If the majority of the expenditures are incurred/used off-campus, then the off-campus rate applies to the full project.

• Why review this now? Do we have to change?
  • MSU is currently defending an audit where the post audit review is very close.
    • Auditors are choosing a different method. MSU needs to confirm with our cognizant agency to clarify.
  • No, we do not need to change.
On or Off-Campus F&A Rate

What is the difference? It’s all about space!

F&A rate components for the on-campus research rate
7/1/2016 - 6/30/2019

General Administration 7.9%
Department Administration 12.6%
Sponsored Projects Administration 5.5%
Total Administrative Cost Pools 26.0%

Building Depreciation 3.9%
Equipment Depreciation 3.3%
Interest 2.7%
Operations & Maintenance 18.1%
Library 1.0%
Total Facilities Cost Pools 29.0%

Total F&A Rate 55.0%
On or Off-Campus F&A Rate

DHHS has two standard options for on vs. off campus

1. **OFF CAMPUS DEFINITION**: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s) the off-campus rate will apply. Grants or contracts **will not be subject to more than one F&A cost rate**. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.
   - **MSU and majority of CIC use this option**

2. **OFF CAMPUS DEFINITION**: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s) the off-campus rate will apply. **Actual costs will be apportioned between on-campus and off-campus components**. Each portion will bear the appropriate rate.
   - **Illinois, Northwestern & U Chicago use this option**
On or Off-Campus F&A Rate

Options for determining which rate to apply.

- Review the budget categories to identify where the expenses will occur.
  1. All expenses except equipment, space rental, subcontracts, and F&A.
     - Majority of CIC
  2. 50% or more of salaries and wages are performed off-campus
  3. 50% or more of salaries and wages are performed off-campus, AND they must be working off-campus for at least one semester (8 weeks for summer)
  4. Should cost sharing be included in the calculation?

- Next Steps?
# DY/DW Fee for Service Accounts – Draft Grid

<table>
<thead>
<tr>
<th>Account Type</th>
<th>Research &amp; Creative Endover</th>
<th>Fee for Service Activity</th>
<th>Board of Trustee Reported</th>
<th>F&amp;A Rate</th>
<th>eTransmittal Required</th>
<th>Fee-For-Service Project Form Required</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>RC - Sponsored Project</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Full</td>
<td>Yes</td>
<td>No</td>
<td>No Change</td>
</tr>
<tr>
<td>RG - Sponsored Project w/o accounting Restrictions</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Full</td>
<td>Yes</td>
<td>No</td>
<td>Services Types to be moved to DY</td>
</tr>
<tr>
<td>DY - Service Activities with Faculty Academic Credit</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>26%</td>
<td>Yes</td>
<td>No</td>
<td>Used for all projects that: 1) &gt; $5k 2) Have any compliance needs 3) Require a signature on a non-MSU Standard Agreement</td>
</tr>
<tr>
<td>DY - Service Activities w/o Faculty Academic Credit</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>26%</td>
<td>No</td>
<td>Yes</td>
<td>Used for all projects that: 1) &gt; $5k 2) Have any compliance needs 3) Require a signature on a non-MSU Standard Agreement</td>
</tr>
<tr>
<td>DW ???</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Set by VPR</td>
<td>No</td>
<td>Yes</td>
<td>If DY reporting allows, then DW not required</td>
</tr>
<tr>
<td>DS - Self Supporting</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>2%</td>
<td>No</td>
<td>Yes if triggers one of 3 checks.</td>
<td>Yes, if any of the following triggers: 1) &gt; $5k 2) Have any compliance needs 3) Require a signature on a non-MSU Standard Agreement</td>
</tr>
<tr>
<td>DN - Conference &amp; Non-Credit Instruction</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>2%</td>
<td>No</td>
<td>Recommended if &gt; $10k</td>
<td>Recommended if &gt; $5k 2) Have any compliance needs 3) Require a signature on a non-MSU Standard Agreement</td>
</tr>
<tr>
<td>RN Research Gifts - Processed thru MSU Advancement</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>0%</td>
<td>Yes if triggers one of 3 checks.</td>
<td>Recommended if &gt; $10k</td>
<td>Yes, if any of the following triggers: 1) &gt; $5k 2) Have any compliance needs 3) Require a signature on a non-MSU Standard Agreement</td>
</tr>
<tr>
<td>XT - Athletics, Housing, etc.</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>2%</td>
<td>No</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>
Other Process Changes/Enhancements

• Prior Approval Checkboxes in Account Explorer

• Potential new Subrecipient Risk Assessment tool

• Fly America Act certifications
What post award topics do you want to discuss?
Office of Regulatory Affairs (ORA)

Kristen Burt
NEW

SPA Website Update

Jodi Heliste
RESEARCH ADMINISTRATION

Renee Dolan & Marc Melton
AGENDA

what
Why
Training
challenges
Involvement
What is this about?

Improving collaboration and transparency with information management.

**Enterprise-level** research administration software.

**Preaward** includes proposal development and budget, institutional proposals, and negotiations.

**Award** includes awards, subawards, and report tracking.

**Compliance** includes conflict of interest (COI), Institutional Review Board (IRB)*, and Institutional Animal Care and Use Committee (IACUC)*.

*Deployed in a second phase implementation

[kc.vprgs.msu.edu](http://kc.vprgs.msu.edu)
The mission of Michigan State University’s Research Administration Project is to improve collaboration and transparency in the research process by implementing an enterprise research administration system. The University research community will benefit from improved information management throughout the complex life cycle of proposal development and submission, award administration, and compliance.
# RESEARCH ADMINISTRATION PROJECT

Why, for whom and for what?

<table>
<thead>
<tr>
<th>Transparency</th>
<th>INTEGRATION</th>
<th>SECURITY</th>
</tr>
</thead>
</table>
| • Proposal/award visibility  
  • Multimodal reporting  
  • MEDUSA  
    • Historical proposal transactions | • Modular integration  
    • Pre-award  
    • Award  
    • Compliance  
    • Enterprise level integration  
    • Financial (KFS)  
    • HR (SAPEDW)  
    • Data warehouse (MSUEDW) | • MSU system of record  
    • Two-factor authentication  
    • Centralized server storage/maintenance  
    • Intrusion protection  
    • Backups/disaster recovery/business continuity |

<table>
<thead>
<tr>
<th>OUTCOMES</th>
</tr>
</thead>
</table>
| • Accurate data/detailed reporting.  
  • Enhanced award rates |
<table>
<thead>
<tr>
<th>TRAINING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increase acceptance and adoption</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>E-Learning</strong></td>
</tr>
<tr>
<td>Interactive videos teaching the user how to perform a series of tasks to achieve a goal delivered through MSU’s course management system, D2L.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Online Documentation</strong></td>
</tr>
<tr>
<td>Topic and task based inline, computer-based, and printable instructions on website for access anytime anywhere.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Instructor Led</strong></td>
</tr>
<tr>
<td>Participants attend face-to-face courses in a classroom setting with practical examples and tutorials using sample MSU data.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Quick reference guides</strong></td>
</tr>
<tr>
<td>Written step-by-step guides based on roles and specific tasks.</td>
</tr>
</tbody>
</table>
HISTORY

LESSONs LEARNED
Enterprise Business Systems

COMMUNICATIONS

Consistency
Multichannel
• Uniform messaging
Project Plan
• Disciplined schedule adherence

CHALLENGES

Candor
Software functionality
• Streamline business processes
Realistic Enhancement Pathway

Change

effective management
Research Administration Project
• Awareness
• Understanding
University Research Community
• Acceptance
• Commitment

EXPECTATIONS

kc.vprgs.msu.edu
2016 Training Opportunities

Jennifer Lafferty

• ERA Courses
  • 5 Cores – 4/19, 4/26, 5/10, 5/17 & 5/24
  • Electives – Limited Options (7 sessions)

• NCURA
  • Region IV Meeting – Kansas City, MO (5/1 – 5/4/16)
  • Annual Meeting – Washington, DC (8/7/15 – 8/10/16)

• SRA
  • Midwest/Western Section Meeting – Portland, OR (5/15 – 5/18/16)
  • Annual Meeting – San Antonio, TX (10/22 – 10/26/16)
Thank You for Attending!

Happy Holidays!