Objective

Refresh our knowledge and understanding of major sponsor regulatory/policy/procedural changes and major UR initiatives/policy changes year-to-date
Sponsor Regulatory, Policy and Procedural Update
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National Institutes of Health (NIH)

- Using ASSIST for Grant Applications
- Addressing Rigor and Transparency
- Using FORMS-D
- Updated Biosketch Instructions and Format Pages
- Use of a Single Institutional Review Board for Multi-Site Research
Sponsor Regulatory, Policy and Procedural Update

National Science Foundation (NSF)
- FastLane Changes to Comply with Latest PAPPG

Federal, Non-Agency Specific
- 2 CFR 200 Procurement Requirements
- Prior Approval Matrix
National Institutes of Health (NIH)
Using ASSIST for Grant Applications

- ASSIST is now an option for:
  - All single and multi-project, competing grant applications
  - Single-project administrative supplements
  - Single-project, post-award successor-in-interest requests
  - Single-project, post-award change of institution

- Funding Opportunity Announcements that allow ASSIST as an option contain an “Apply Online Using ASSIST” button in addition to “Apply Using Downloadable Forms” button.
Using ASSIST for Grant Applications

- Examples of ASSIST’s advantages:
  - Secure web-based data entry
  - Control over application access
  - Pre-submission validation of many NIH business rules
  - Pre-population of data from eRA Commons profiles
  - Pre-submission print/review of application

- There are several resources available, including ASSIST User Guide
Addressing Rigor and Transparency

- NIH’s goal is to promote the highest level of scientific integrity, public accountability and social responsibility.

- Updated RPPR 6.2 Section B.2 (“What was accomplished under these goals?”) and Section B.6 (“What do you plan to do for the next reporting period to accomplish these goals?”).

- The answers should describe the approaches taken to ensure robust and unbiased results.
Using Forms-D

- The updated FORMS-D application packages must be used now for NIH applications.
- NIH and AHRQ grant application form packages include both agency-specific forms and federal-wide forms ("R&R").
- R&R forms have recently expired (June 2016) or will expire soon (September 2016).
- OMB approval for updated R&R forms is expected soon.
- Keep using the existing R&R forms despite the expiration date.
Examples of items covered in updated biosketch instructions:

- URL for a publication list is optional and, if provided, must be to a government website
- Graphics, figures and tables are not allowed
- Research products can include conference proceedings
- Research products that are under development can be mentioned, but they cannot be cited as a citation
Use of a Single Institutional Review Board for Multi-Site Research

- Published in the Federal Register 6/21/16
- Effective for grant submissions after 5/25/17
- Applies to domestic NIH-funded multi-site studies “where each site will conduct the same protocol involving non-exempt human subjects research.”
- Career development, research training and fellowship awards are exempt.
- Details required for implementation have not been provided, although guidance materials will be issued prior to the policy’s effective date.
- OHSP will providing updates and outreach through their website and email communications.
National Science Foundation (NSF)
FastLane Changes to Comply with Latest PAPPG

- Proposals cannot be submitted after 5:00pm submitter’s local time.

- Final Project Report and Project Outcomes Report is required no later than 120 days following the end date of the grant.

- Upload a Current and Pending Support document and a Biographical Sketch document for each Senior Personnel as separate files or as text associated with each individual (i.e., no longer grouped together in a single PDF document submitted under the name of the PI).
FastLane Changes to Comply with Latest PAPPG

- New automatic compliance checks effective now:
  - Biographical Sketches and Current and Pending Support files for each Senior Personnel
  - Biographical Sketches uploaded as a file, not to exceed two pages, not entered as text
- Proposals that receive error messages will not be able to be submitted in FastLane.
- Should NSF receive a proposal from Grants.gov that is not compliant, it may be returned without review.
- A complete list of FastLane auto-compliance checks is available through a link on the 6/28/16 ORPA-L.
Federal, Non-Agency Specific
2 CFR 200
Procurement Requirements

- Implementation of the Procurement Standards, 200.317 through 200.326, has been extended for one additional year.
- For most Institutions of Higher Education, this means the effective date will be July 1, 2018 (i.e. FY2019).
- The extra year will allow the community to engage with OMB to address issues such as the micropurchase threshold and other related issues.
- A Proposed Rulemaking is expected in September/October 2016 to invite comments.
Prior Approval Matrix

- Available now on the ORPA web site
- The matrix indicates when prior approval is required or waived for various administrative and cost related requirements under 2 CFR 200 for several federal sponsors.
- This tool should be used in conjunction with the sponsor’s award notice.
- Any waivers noted on the prior approval matrix may be overridden by a special term or condition of an award.
Major UR Initiatives / Policy Changes
Major UR Initiatives / Policy Changes

- UR Financials Grant Reporting
- Closeout of Clinical Trials
- Guidance When a PI is Leaving the University
- New Version of ORPA Sign Off Form
- Retirements in University Finance and ORACS
- FLSA - Changes to Minimum Salary for Postdoctoral Appointments and Research Faculty; impact on payroll allocations
- Forthcoming policy updates – Graduate Student Appointments, Journal Entries and Service Centers
- Electronic HRMS Forms – reminders about certification
<table>
<thead>
<tr>
<th>Report Name</th>
<th>Report Description and Use</th>
<th>When to Run</th>
</tr>
</thead>
<tbody>
<tr>
<td>View FAO by Grant Attributes (Grant Only) URF0313</td>
<td>Returns grants and award numbers based on your security. Use this report to view a listing of grants and award numbers to use in reporting and transactions.</td>
<td>When NOGA is received, on change or as needed</td>
</tr>
<tr>
<td>Award Line Summary of Funds (NCL) URF0983</td>
<td>Activity summarized by grant (award line) with award line amount and balance remaining.</td>
<td>After monthly close</td>
</tr>
</tbody>
</table>
| Award Budgetary Balance Summary Printable (NCL) URF0987                     | Budget-to-actual summary for an Award/Grant by Object Class by Award Period. Must be scheduled using the Schedule a Report task.  

Tip: Useful to provide to Principal Investigators  

| Transaction Details Printable (NCL) URF0985                                | Transaction details for exporting to PDF with subtotals and page breaks.  

Tip: Useful to provide to Principal Investigators                                                                 | After monthly close                |
UR Financials Grant Reporting

- Instructions for creating the reports are available in the CLASP toolbox (1/16 RARA presentation, 2/16 River Rats presentation).
Closeout of Clinical Trials

- The checklist is to be completed when closing out a trial that was budgeted using the UR Budgeting Workbook.

- Submit the checklist to ORACS, with your email requesting account closeout, and the final total expenses in UR Financials for the clinical trial account.

- All clinical trial policies, templates and practice aids are available in the Clinical Trial Resources Share Point site hosted by ORPA.
Guidance When a PI is Leaving the University

- Guidance for when a PI leaves for another institution can now be found on the ORPA web page (under the “Awards Management > Closeout” tab).

- The document is meant to inform investigators and administrators of the necessary notifications, processes and policies applicable to departing researchers.

- It does not address department-specific or school-specific matters.
New Version of ORPA Sign Off Form

- Titled “University of Rochester Proposal Sign Off Form for Industry-Sponsored Clinical Research Studies”

- Substantial changes include:
  - The title of the form
  - Checkboxes were added to better indicate whether a study is a clinical trial

- If the clinical research study involves an investigational drug or device, the “clinical trial” box should be checked; for all other studies, the “clinical research” box should be checked.
Retirements in University Finance and ORACS

- Doug Wylie, University Controller
  - Karen Sodoma is Interim University Controller

- Al Weigert, ORACS accountant
  - Lisa Julian is Al’s replacement
  - Some of Lisa’s responsibilities include preparing cash deposits for research accounts and processing subcontract invoices
Fair Labor Standards Act

- The regulation raises the minimum salary for “white collar” exemption to $47,476 annually ($913 per week).
- Employees earning less than $47,476 need to be converted to hourly status effective 12/1/16.
- July 6, 2016 memorandum from Provost Clark and AVP Anthony Kinslow provides guidance on salary minimums for postdocs and research faculty
- Effective 12/1/16 ASE, SMD, SON postdoctoral associates and postdoctoral fellows annual salaries are to be raised to $47,476.
Fair Labor Standards Act

- Effective 12/1/16 ASE and SON postdoctoral visiting fellows annual salaries are to be raised to $47,476 (12/1/17 for SMD).
- Postdocs with full-time, partial year academic appointments will be paid $913 per week.
- Postdocs with part-time appointments who do not meet the FLSA minimum will be paid on an hourly basis.
- Research faculty positions will be evaluated by each school on a case-by-case basis.
- Research faculty on part-time schedules will be paid on an hourly basis.
Fair Labor Standards Act

- Effective immediately, research proposal budgets need to reflect the new salary minimum as dictated by the Clark/Kinslow memo.
Forthcoming Policy Updates

- Graduate Student Appointments
  - Fellowship
  - Assistantship
  - Research Assistant/Graduate Assistant
  - Teacher Assistant

- Journal Entry Policy

- Service Center Policy
Electronic HRMS Forms

- When selecting “Approvers” for an electronic form, use the type “Effort” for an individual with pay distribution from a GR5 account.

- When the person selects the “Approve” button, a pop-up message will display which states: “By selecting “Approve”, I certify that the Present Pay Distribution is a reasonable reflection of effort devoted during the period prior to the effective date of this proposed change.”
Questions?