

# ROAR 2013

## Welcome!

Research Operation and Administrative Rounds

ROAR – Grants  
February 12, 2013  
Lecture Room D



# Controller's Corner

February 12, 2013



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# Effort Reporting

- Salary Assignment Schedules are the mechanisms used for the distribution of salary based on effort.
  - Percentage of Effort (time spent)
  - Distributed to research account(s) as well as other funding sources
  - Salary Cap (currently at \$179,700.)
  - Unfunded Effort



# Effort Reporting

- Salary is Total Salary
  - Includes research incentives and stipends.
  - Must use total salary in calculating and distributing appropriate percent of effort.
  - Can only apply salary on federally funded projects currently up the Federal Executive Level II amount.



# Effort Reporting

- **Funded Effort / Salary:**
    - That amount of salary, based on effort designated on project, that has been budgeted to be expended and paid from the project or research account.
    - If the person's salary exceeds the Federal Cap amount that is currently in effect:
      - ◆ Annual Amount \$179,700.
      - ◆ Monthly Amount \$14,975.
- Then any amount above that is cost sharing.



# Effort Reporting

- Salary CAP
  - Amount that exceeds the applicable cap amount and is charged to the same function in the department's general funds, i.e. 417– XX HY 1001
  - Cost center is created, that starts with “CAP” and list the fund number of project.
  - Refer to Policy RA08 Reimbursement Salary Caps and Plan Effort Confirmation  
<http://guru.psu.edu/policies/RA08.html>



# Effort Reporting

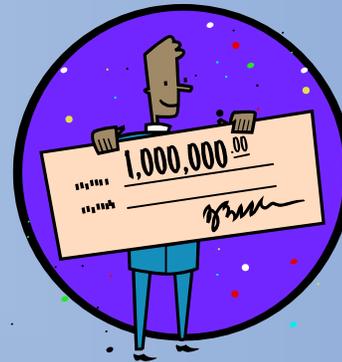
- Unfunded Effort / Salary
  - Normally stated on the Statement of Award because PI listed it on the budget
  - Effort on the award that is not funded by the award.
  - Charged to the same function general funds, i.e., 417-XX HY 1001
  - Cost center is created, that starts with “UN” and list the fund number of the project.



# Gifts versus Grants

What are the characteristics that determine?

- Gifts
- Grants
- Contracts



# Gifts versus Grants

- Gifts to the University support broad faculty activities. Gift characteristics include:
  - No deliverables are required from the activities supported.
  - No formal technical reports are required.
  - No formal financial reports are required.



# Gifts Versus Grants

- Grants are made to the University on behalf of faculty to perform a specific project. The sponsor generally supports the project as outlined in a proposal. Grant characteristics include:
  - Project usually has stated goals and objectives.
  - Sponsor has expectations about how the funds will be spent.
  - Grant deliverables may include formal project reports.
  - Financial report is required.



# Gifts versus Grants

- Contracts are the most formal type of award made to the University. Under a contract, the sponsor supports clearly defined activities. Contract characteristics include:
  - Specific deliverables are stipulated.
  - Project performance is monitored by the sponsor.
  - Technical reports are required.
  - Detailed financial reports are required



# Gifts versus Grants

## Guideline RAG04 Guidelines for Gifts, Grants and Contracts (The Funding Matrix)

<http://guru.psu.edu/policies/RAG04.html>

Handout #4



# Questions and Discussion



# ORA Contracts Administration

Barbara Suchanec, Director

Lou Porter, Assistant Director



# Submission of Budgets to Industry Sponsors for Non-clinical Research

- New direction-Office of Research Affairs (ORA) must send budget to sponsor
- External budgets should reflect the total cost of the work to sponsors
- Goal is to reduce negotiation over F&A and transfer the responsibility for the financial discussion to ORA



# Budget Preparation and Review Process

- Departments are asked to utilize the budget templates found on ORA website and submit proposed budgets to ORA for review
- The budget templates are interactive and provide easy preparation of the external budget from the internal budget
- [www.pennstatehershey.org/web/researchaffairs/home/industry/forms](http://www.pennstatehershey.org/web/researchaffairs/home/industry/forms)



# Internal Vs. External Budgets - Total cost to sponsor

- Internal budget will show F&A rates
- External budgets should reflect the total cost of the work to sponsors
- Please help us communicate this change to PIs



# Questions



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# SIMS/Cayuse

SIMS/Cayuse – several helpful tools available on ORA website:

<http://www.pennstatehershey.org/web/researchaffairs/home>

- Sims/Cayuse Budget Tips
- Cayuse Sample Packet 2013
- Cayuse 424 Quickstart Guide
- Traditional Budget Example
- Modular Budget Example
- Object Code Mapping Guide



# Sims/Cayuse

- You must follow the Object Code Mapping Guide when doing a traditional (detailed) R&R budget to ensure costs transfer to application in the correct categories.
- In SIMS Budget, use object code 395 for pre-doctoral applicants on NIH fellowship applications. The mentor **MUST** be listed as the PI with zero. After importing the SIMS budget into Cayuse application, manually change PI information to the applicant (fellow).
- Please check with your department financial person for questions regarding specific object codes.
- Do not include descriptive info in application titles on the PIAF. Please use Remarks section on bottom of page 1. Note: Do not type over unit budget id number.



# Modular budget with Subaward

Proposals List > TEST - 471

Proposals List

TEST - 471

**PHS 398 Modular Budget** Budget Period 1 of 4

2. MTDC	53.0	197,728	104,797
3.			
4.			

Cognizant Agency (Agency Name, POC Name and Phone Number) Office of Naval Research, Chicago Office, 312-886-5423

Indirect Cost Rate Agreement Date 06/08/2011 Total Indirect Costs 148,103

**C. Total Direct and Indirect Costs (A + B)** Funds Requested (\$) 448,103

**Cumulative Budget Information**

**1. Total Costs, Entire Project Period**

* Section A, Total Direct Cost less Consortium F&A for Entire Project Period	\$ 1,200,000
Section A, Total Consortium F&A for Entire Project Period	\$
* Section A, Total Direct Costs for Entire Project Period	\$ 1,200,000
* Section B, Total Indirect Costs for Entire Project Period	\$ 590,376
* Section C, Total Direct and Indirect Costs (A+B) for Entire Project Period	\$ 1,790,376

**2. Budget Justifications**

Personnel Justification (no pdf) (no src) Add Delete

Consortium Justification (no pdf) (no src) Add Delete

Additional Narrative Justification (no pdf) (no src) Add Delete

Error (20) / Warning (6) / Info (1) NIH Final Review



# Consortium Justification

- Provide an estimate of total costs (direct plus facilities and administrative) for each year, rounded to the nearest \$1,000. When more than one consortium is involved, provide this estimate for each. List the individuals/organizations with whom consortium or contractual arrangements have been made, along with all personnel, including percent of effort (in person months) and roles on the project. Do not provide individual salary information. Indicate whether the collaborating institution is foreign or domestic. While only the direct cost for a consortium/contractual arrangement is factored into eligibility for using the modular budget format, the **total** consortium/contractual costs must be included in the overall requested modular direct cost amount.
- Save this information in a single file in a location you remember. Click **Add Attachment**, browse to where you saved the file, select the file, and then click **Open**.



# ORA Deadlines

## Please follow ORA deadlines

- First Review (at least 7 business days prior to sponsor deadline): Supply copies of PIAF, Hershey Blue, guidelines, SIMS Budget and a near final draft
- Final Review and Submission (2 business days prior to sponsor deadline)

Note: Please do not staple anything in the application packet.



# NIH Public Access Policy

NIH will delay processing of non-competing continuation awards if publications arising from that award are not in compliance with the NIH public access policy. This change will take effect in tandem with NIH requiring the use of the Research Performance Progress Report (RPPRs) for all Streamlined Non-competing Award Process (eSNAP) and Fellowship awards in the Spring of 2013 (see NOT-OD-12-142).

For additional information go to: <http://publicaccess.nih.gov>

Link to COM library resources:

<http://www.pennstatehershey.org/web/library/resources/pathfinders/pmc>

PMC to PMCID converter link:

<http://www.ncbi.nlm.nih.gov/pmc/pmctopmid/>



# NIH Notices

## NOT-OD-13-002

### NIH Operates Under a Continuing Resolution

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-002.html>

Until FY 2013 appropriations are enacted, NIH will issue non-competing research grant awards at a level below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level). This is consistent with our practice during the CRs of FY 2006 - 2012. Upward adjustments to awarded levels will be considered after our FY 2013 appropriations are enacted but NIH expects institutions to monitor their expenditures carefully during this period.



# NIH Notices

## NOT-OD-13-030

### Reminders and Updates: NIH Policy on Post-Submission Application Materials

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-030.html>

Post-submission application materials are those submitted after submission of the grant application but prior to the initial peer review. The NIH policy on post-submission application materials specifies that, for the majority of applications, the only post-submission materials that the NIH will accept are those resulting from unforeseen administrative issues, an option to be used when an unexpected event such as the departure of a participant, natural disaster, etc. has occurred, not to correct oversights/errors discovered after submission of the application.



# NIH Notices

The list of acceptable post-submission materials in the policy includes:

- Revised budget page(s) (e.g., change in budget request due to new funding or institutional acquisition of equipment)
- Biographical sketches (e.g., change in senior/key personnel due to the hiring, replacement, or loss of an investigator)
- Letters of support or collaboration resulting from a change in senior/key personnel due to the hiring, replacement, or loss of an investigator
- Adjustments resulting from natural disasters (e.g., loss of an animal colony)
- Adjustments resulting from change of institution (e.g., PD/PI moves to another university)
- News of an article accepted for publication (a copy of the article should *not* be sent)



# NIH Notices

- Effective immediately, the following changes will be implemented:
  1. News of a professional promotion or positive tenure decision for any Program Directors/Principal Investigators and Senior/Key Personnel also will be accepted as post-submission application material. The news must be received by the Scientific Review Officer one month (30 calendar days) prior to the peer review meeting, and demonstrate concurrence from the Authorized Organization Representative (AOR) of the applicant organization.
  2. The policy provides exceptions for applications submitted in response to RFAs that have a single due date or applications submitted for the last due date of an RFA. If this is the case, follow NOT-OD-10-115.



# NIH Notices

- 3. The policy lists acceptable post-submission materials for institutional training and training-related grants [not fellowships (F series) or career (K series)] applications, including "appointments and/or achievements". With this policy, the following types of information will be accepted:
  - News of a trainee's or former trainee's graduation, employment, promotion, funding, publication or other professional achievement since the training grant was submitted;
  - News of a faculty member's promotion, funding, publication, or other professional achievement since the training grant was submitted; and
  - News of an additional faculty member who will be involved in the training activity.

All other requirements and exceptions specified in [NOT-OD-10-115](#) remain in effect.



# NIH Notices

## NOT-OD-13-035

**NIH Requires Use of RPPR for all SNAP and Fellowship Progress Reports, and Expands RPPR Functionality**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-035.html>

The use of the eRA [Research Performance Progress Report \(RPPR\)](#) Module for submitting Streamlined Noncompeting Award Process ([SNAP](#)) and Fellowship progress reports will be required for awards with start dates on or after July 1, 2013 (i.e., due dates on or after May 15, 2013, for SNAP awards and May 1, 2013, for Fellowships).

The functionality of the RPPR is also expanding on April 18, 2013 to include requests from the awarding Institutes and Centers (ICs) for additional materials following submission of an RPPR and electronic submission of the additional materials by the grantee.



# 2013 ROAR Schedule

<p>January 8, 2013  <b>CLINICAL RESEARCH</b>            Lecture Room - D</p>	<p>February 12, 2013            Special Topic Workshop (TBD)            Lecture Room - D</p>	<p>March 12, 2013  <b>Grants</b>            Lecture Room - D</p>
<p>April 9, 2013  <b>CLINICAL RESEARCH</b>            Lecture Room - B</p>	<p>May 14, 2013            Special Topic Workshop (TBD)            Lecture Room - A</p>	<p>June 2013  <b>NONE</b></p>
<p>July 2013  <b>None</b></p>	<p>August 2013  <b>None</b></p>	<p>September 10, 2013  <b>Grants</b>            Lecture Room - TBD</p>
<p>October 8, 2013  <b>Clinical Research</b>            Lecture Room - TBD</p>	<p>November 12, 2013            Special Topic Workshop (TBD)            Lecture Room - TBD</p>	<p>December 10, 2013  <b>Grants</b>            Lecture Room - TBD</p>



# February Events – Technology Development

## February

- 20      TECHCELERATOR 4 Week Boot Camp begins  
3:00 – 5:00 pm in HCAR 1103  
Information and application process can be found at: <http://techcelerator4week.eventbrite.com>
- 21      Technology Development Series  
Invention Disclosure  
4:00 – 5:00 p.m. in C3860  
RSVP at: <http://techdev2.eventbrite.com/>
- 26      Entrepreneur's Roundtable  
Featured Entrepreneur – Edward Paukovits  
12:00 – 1:00 p.m. in C4702  
RSVP at: <http://entrepreneursroundtable1.eventbrite.com/>

*For information on resources, events and news visit: [med.psu.edu/technologydevelopment](http://med.psu.edu/technologydevelopment)*



# RPPR Questions & Discussion

RPPR guide, FAQs, and Resources

<http://grants1.nih.gov/grants/rppr/index.htm#resources>

