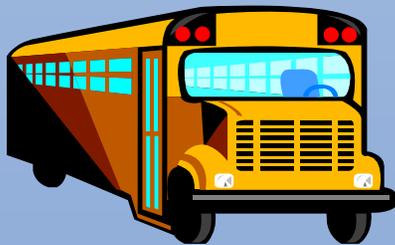


# ROAR 2012-13

## Welcome!

Research Operation and Administrative Rounds

ROAR – Grants  
September 11, 2012  
Lecture Room D



# Announcements

The Office of Research Affairs is happy to announce that we have a new Director!

Stephanie Johnson

Director, Grants Administration

717-531-8495

[sjohnson5@hmc.psu.edu](mailto:sjohnson5@hmc.psu.edu)

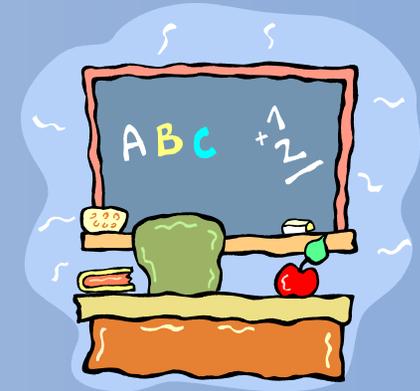
For applications: [E-grants@hmc.psu.edu](mailto:E-grants@hmc.psu.edu)



# Announcements

## Education Opportunities:

- ROAR
- ACES
- SIMS Budgets/Cayuse
- Workshops & other sessions



# Announcements

Mark your calendars:

## Upcoming 2012 ROAR Meetings

Clinical Research

October 9, 2012 - 9:00am Lecture Room D

Grants Research

December 11, 2012 - 9:00am Lecture Room D

Note: November's ROAR topic pending.



# Announcements

## 2013 ROAR Meetings

January 8, 2013 – Clinical – 9am – Lecture Room D

March 12, 2013 – Grants – 9am – Lecture Room D

April 9, 2013 – Clinical – 9am – Lecture Room B

September 10, 2013 – Grants – 9am – Lecture Room TBD

October 8, 2013 - Clinical – 9am – Lecture Room TBD

December 10, 2013 – Grants – 9am – Lecture Room TBD



# Announcements

## SIMS Budgets/Cayuse

Use of SIMS Budgets/Cayuse will be mandatory for all Federal grant submissions beginning with the October 5<sup>th</sup> NIH deadline.

Note: Funding opportunities not yet available for Cayuse submission should still be prepared using SIMS Budgets and PIAF (i.e. P, T, & U type mechanisms)

Training sessions scheduled for September are full, however please contact Marybeth Brown at [mbrown2@hmc.psu.edu](mailto:mbrown2@hmc.psu.edu) to be added to possible future sessions.



# Announcements

When preparing the SIMS Budget and PIAF for DOD applications, you must select:

**U.S. Army Medical Research & Development Command**



# Announcements

## Upcoming Workshops & Other Sessions

Dates/Times to be announced

### **RPPR – Research Performance Progress Report**

This report will replace the current eSNAP format used for NIH progress reports. Also utilized by various other Federal agencies to institute a unified progress reporting system.

### **ePIAF – Electronic Proposal Internal Approval Form**

By year-end the current paper version of the PIAF will be replaced by an electronic version.

Stay tuned...details coming soon!



# Reminder

## Please follow ORA review guidelines:

- 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 (3 business days prior to sponsor deadline).

**This is nothing new!**  
**Taken directly from ORA's website.**



# Reminder

- ALL correspondence with Federal sponsors MUST be done through ORA. They require info be submitted by an authorized institution official.
- Your Grants Officer is your first “go to” with questions. DO NOT contact the NIH Grants Management Specialist, Program Officer, or anyone else until you have spoken with someone in Research Affairs. If necessary, we will then contact the sponsor.



# Reminder

## New fringe rates effective July 1:

FRINGE BENEFITS	Rate Type	7/1/12–6/30/13
CATEGORY I (Salaries)	Fixed	33.5%
CATEGORY II (Graduate Asst.)	Fixed	15.2%
CATEGORY III (Wages/Postdocs)	Fixed	7.8%
CATEGORY IV (Students)	Fixed	0%

Note: We will use 2.5% cost of living inflation factor for all budget categories for proposals except tuition. Tuition will inflate at 4%. This is consistent with University Park. SIMS Budgets uses these percentages automatically.



# New from NIH

## NOT-OD-12-129

**Guidance on Changes That Involve Human Subjects in Active Awards and That Will Require Prior NIH Approval**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-129.html>

## NOT-OD-12-130

**Prior NIH Approval of Human Subjects Research in Active Awards Initially Submitted without Definitive Plans for Human Subjects Involvement (Delayed Onset Awards)**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-130.html>

- **What does this mean to me?**

Kathy Hay from the Human Subjects Protection Office (HSPO) is here to explain.



# NOT-OD-12-129

- Prior NIH approval required for changes in scope
- Includes changes in approved involvement of human subjects
  - Change in human subject designation
    - ◆ Ex: exempt to expedited or full board review
  - Addition of pop. w/ additional protections
    - ◆ Ex: addition of children, pregnant women, prisoners
  - Change resulting in increase in risk level
    - ◆ Ex: addition of vulnerable pop., new procedure, tx. group
  - New information indicating higher risk level



# Procedures

- IRB will review mods and approve per IRB's SOPs
- Send email to PI and study coordinator notifying them that the changes made to the study may require prior NIH approval before implementation
- Copy e-grants@hmc.psu.edu



# NOT-OD-12-130

- Prior NIH approval of human subjects research plans for awards which were submitted
  - with the intent to conduct human subjects research during the period of support,
  - but for which definitive plans could not be described in the grant application (delayed onset awards)
- After award and prior to involvement of human subjects, grantee must submit to NIH for approval
  - A detailed human subjects section
  - Follows the NIH competing application instructions
- Guidance provides procedures for the submission of this information



# New from NIH

## NOT-OD-12-140

**Notice of NIH Special Council Review of Research Applications from PD(s)/PI(s) with More than \$1.0 Million Direct Costs in Annual NIH Support**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-140.html>

### What does this mean?

During Council review, members will be asked to provide additional consideration of new and renewal applications from well-supported investigators who currently receive more than \$1.0 million in direct costs from active NIH awards. This includes cooperative agreements (U01) and subprojects (P01) or other multi-project awards. This policy does not represent a cap on NIH funding.



# NIH News

## Not-OD-12-108

**The Division of Receipt and Referral will use eRA Commons to Communicate with Applicants and Applicant Organizations**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-108.html>

### **What does this mean?**

Beginning on May 25, 2012, communication from the Division of Receipt and Referral (DRR) will be accessible to PIs and ORA in eCommons in a new 'Correspondence' section of the detailed status screen. Applicants (PIs) will be notified by email to check their eCommons account.

**Required action: Make sure that applicants check their eCommons account periodically for accuracy! Pay particular attention to the email addresses!**



# NIH News

## NOT-OD-12-128

### Clarification: Time Limit on NIH Resubmission Applications

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-128.html>

NIH policy allows a thirty-seven (37) month window for resubmissions (A1 applications) following the submission of a new, renewal or revision application.

The initial submission of a new, renewal or revision application constitutes the starting point for the thirty-seven month policy. After thirty-seven months, NIH views a submission as a new application, regardless of whether an unsuccessful resubmission (A1) was submitted during the thirty-seven month time period.



# New from NIH

## NOT-OD-12-136

### Notice of New Process for Requesting dbGaP Access to Aggregate Genomic Data for General Research Use Purposes

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-136.html>

The purpose of this notice is to announce NIH's implementation of a new controlled process to enable investigators to request access to multiple aggregate-level genomic datasets of Genotypes and Phenotypes (dbGaP).

Under the new process, it will be possible for an investigator to request access to the Compilation through a single request, which will be reviewed by a central Data Access Committee.

#### What do I do with this information?

Share it with the investigators in your department.



# New from NIH

## NOT-OD-12-132

### Notice of Pilot Processes for Submitting of Post-Award Relinquishing Statements to NIH

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-132.html>

NIH announces the availability of a pilot process for electronic submission of the Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (PHS 3734 Form, i.e. Relinquishing Statement) through the new eRA Change of Institution module in eRA Commons. Note the relinquishing statement may be submitted electronically even if the corresponding application is submitted on paper.

## NOT-OD-12-134

### Notice of Pilot Processes for Post-Award Change of Grantee Organization Applications to NIH

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-134.html>

There is a new Funding Opportunity Announcement (FOA) for Change of Grantee Organization applications (Type 7 Parent): **PA-12-270**

<http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html>



# New from NIH

## NOT-OD-12-143

**NIH announces One-time Financial Conflict of Interest (FCOI) Reporting Guidance for Certain Fiscal Year 2012 Awards Issued on or After August 24, 2012**

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-143.html>

Institutions are required to implement the requirements of the 2011 revised Financial Conflict of Interest regulations provided at 42 CFR Part 50 Subpart F, "Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought" which pertain to grants and cooperative agreements, by August 24, 2102.

### What must I do?

- Comply with the established ORA guidelines for review.
- Inform your grants officer if there is an outgoing subaward.
- The grants officer will check the clearinghouse website. If the subawardee institution is listed; no further action will be required from you.
- If it is not listed, Cindy Brubaker will be in contact with you to complete the necessary forms required for your proposal submission.
- **NOTE: This MUST be done PRIOR to submission. This applies to ALL PHS and HHS proposals, not just NIH (CDC, FDA, AHRQ).**



# RESEARCH DEVELOPMENT

Ernest W Johnson, Ph.D.  
Director for Research Development

Dianne M Jones  
Coordinator for Research Development

**Phone:** 717-531-6949

**Fax:** 717-531-2077

**Email:** [researchdevelopment@hmc.psu.edu](mailto:researchdevelopment@hmc.psu.edu)



# PREPARE PILOT PROGRAM

## PREPARE

- Peer
- Review by
- Experts
- Promotes
- Achieving
- Research
- Excellence

Offered by Research Development



# Background

- Originated because of NIH's change to one resubmission
- Purpose is to compare success rates of 20 applications peer reviewed with 20-not peer reviewed
- Peer reviewers - established investigators in USA who are leaders in their fields-Provide full NIH type review



# Eligibility Criteria

- PI must have primary appointment in PSCOM
- Application must be an R01, New or Competing Renewal, being prepared for submission to NIH for the first time
- PI must commit to the time frame in the PREPARE announcement



# Enrollment in PREPARE

- 10-12 Weeks prior to the target NIH receipt date, submit enrollment form
- Provide a minimum of 5-6 leading experts in the field in the USA
- Commit to a date for the completion of the draft application-at least 4 weeks, before the targeted NIH receipt date
- Abstract of project



# Reviews & Evaluation

- Research Development will provide reviews to PI as soon as received
- PI will be asked to participate in an evaluation of the program
- Contact Research Development with any questions.
- Research Development-531-6949
- [researchdevelopment@hmc.psu.edu](mailto:researchdevelopment@hmc.psu.edu)



# Controller's Corner



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 College of Medicine

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# Controller's Corner

- **Reminders:**

- *Review each of your accounts to ensure the correct fringe and overhead rates are being charged for the current Fiscal Year 2012/2013.*
- *When closing your accounts, please remove all encumbrances, including planned encumbrances (UPEN).*



# Controller's Corner

- **Reminders:**

- Change to the AURA form.

*Annotate sub award prime number on page 2 instead of Page 4, in the Acct Fed Pass Thru # field.*

*(See revised AURA instructions.)*



# Controller's Corner

- **Reminders:**

- *Carry forward may not be automatic from one budget period to another on sub awards. Departments must read the Special Terms and Conditions on their Research Subaward Agreement - Prime Award Terms and Conditions. PI's must request approval from sponsor to carry forward any remaining balance, if it is not automatic.*



# Controller's Corner

- **Reminders:**

- *Before completing and returning the ACE forms for those accounts that ended in July, ensure that the appropriate salary is posted due to the COM General Salary Increase retro pay.*



# Controller's Corner

- ***ARRA Reporting:***

- *The ARRA Quarterly reporting worksheets will be sent to departments to complete for Data Reporting Period - June 1, 2012 to August 31, 2012.*
- *Complete and return the worksheets by the date requested.*



# Controller's Corner

*Questions ?*



# Controller's Corner

## Controller's Office POC's:

Debbie Musser, X5760,  
dmusser @hmc.psu.edu

Tressa Jilek, X284483,  
tjilek @hmc.psu.edu

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# Thank You!



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