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 REQUESTING SPONSOR PRIOR APPROVAL FOR EFFORT REDUCTION

Department Business Offices (DBOs) are reminded to review all the terms and conditions of a sponsored award thoroughly. This includes the General Terms and Special Terms and Conditions of awards identified in the Notice of Award (NoA), and other award documents. In particular, DBOs must be aware of any terms noted in all award documents which pertain to changes in the PI or other senior/key personnel listed in the award notice, and the prior approval requirements for reduction of effort.

If there is a prior approval requirement for the reduction of effort, approval must be obtained in advance of any of these changes. All prior approval requests require submission to the sponsor by the Authorized Organizational Representative (AOR) for the University. The requests must be in writing, addressed to the sponsor, signed by the PI and sent to the appropriate OSP GCAT mailbox. All requests are assigned to the OSP award manager to review, countersign and submit to the sponsor.

After reviewing the award documents, if there are any questions regarding prior approval requirements, please consult with the assigned OSP award manager before making any changes to the effort.

2 IMPLEMENTATION OF THE INTERIM-RPPR WHILE A RENEWAL APPLICATION IS UNDER CONSIDERATION

The National Institutes of Health (NIH) will implement an Interim Research Performance Progress Report (Interim-RPPR) policy by not requiring an additional Final Research Performance Progress Report (Final-RPPR) if the renewal application is not funded. In NOT-OD-17-037, NIH states that effective February 9, 2017, if a renewal application was submitted on or before the date by which a Final-RPPR would be due for the current competitive segment, then submission of an Interim-RPPR via eRA Commons is required. Thus, NIH will discontinue the policy for renewal applications whereby, “whether funded or not,” the progress report contained in the renewal application may serve in lieu of a separate final progress report.

Like the Final-RPPR, recipients will be required to adhere to the new requirement to report on Project outcomes in the Interim-RPPR. An Interim-RPPR link for the grant will appear in the Status tab in eRA
Commons after the period of performance end date has passed. **In the event that the renewal application is funded,** NIH will treat the Interim-RPPR as the annual performance report for the final year of the **previous competitive segment.** If the renewal application is not funded, the Interim-RPPR will be treated by NIH staff as the institution’s Final-RPPR.

As stated in [NOT-OD-17-022](#), the Interim-RPPR must be submitted via the eRA Commons no later than 120 calendar days from the period of performance end date. If a recipient fails to comply with this reporting requirement, NIH may take one or more enforcement actions, such as a decision to withhold a non-competing continuation award, consistent with [NIHGPS Chapter 8.5.2](#).

Further guidance is provided through the scenarios below outlining the process of when to submit a Final or Interim-RPPR.

<table>
<thead>
<tr>
<th>Scenario</th>
<th>Status of Competing Renewal Application</th>
<th>Workflow Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Competing Renewal not submitted</td>
<td>Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.</td>
</tr>
<tr>
<td>2</td>
<td>Competing Renewal submitted</td>
<td>Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. <strong>If the competing renewal is funded,</strong> NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.</td>
</tr>
<tr>
<td>3</td>
<td>Competing Renewal submitted but not funded</td>
<td>Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. <strong>If the competing renewal is not funded,</strong> NIH will treat the Interim-RPPR as the institution’s Final-RPPR. NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.</td>
</tr>
</tbody>
</table>

Reminder: Effective January 2017, NIH requires recipients to report on Project Outcomes in Section I of the Interim and Final-RPPR. Therefore, in each scenario listed above, Project Outcomes must be provided by the recipient in order for the recipient to submit their final report in eRA Commons. Otherwise, eRA Commons will not allow recipients to submit the required report and recipients will be considered non-compliant.
ERA ENHANCEMENTS: eRA COMMONS RELEASE

The National Institutes of Health (NIH) took down the eRA Commons and ASSIST system on the evening of Wednesday, January 18 to add new features and functionality to the system.

New Features and Functionality of ASSIST

- Multi-Employment Functionality
  - Senior/Key Persons who are affiliated with multiple organizations will be able to select from their current employments so they can choose the most appropriate organization as it relates to their application.
  - When the user provides their eRA Commons User ID and multiple active employments are associated with the account, the system displays the organization, the state, the city or each employment organization. The user can select the appropriate appointment and click the “Select” button.

- A Warning if Appendix Material is Submitted in Applications
  - Per the policy outlined in NOT-OD-16-129, the submission of most appendix material has been eliminated from NIH applications.
  - If the system detects the submission of appendix materials, a new warning will advise the applicant to closely review the Funding Opportunity Announcement to confirm that these materials are requested as part of the application.

- Form Lock Message Includes User Name
  - When a user opens a form screen in ASSIST to edit or add information, the system locks that form so others cannot simultaneously edit the same form.
  - ASSIST displays a message indicating the form you are trying to access is locked by another user and now includes the name of the user who holds the lock.

New Features and Functionality of eRA Commons

- Final RPPR Section D.1 Added
  - As part of the transition to the use of the Final Research Performance Progress Report (Final-RPPR), Section D.1 of Participants is now included
    - Section D.1 asks “What individuals have worked on the project?” This information will be the list of people who have worked on the project since the previous progress report. It does not include all the individuals during the lifetime of the award.
• New Design of the Status Information Screen for PIs and SOs
  o The Status Information screen has a new look and feel. The screen is an important source of information for PIs and SOs for such things as scores, summary statements, NIH contacts, reference letter status, etc.
  o The new design is like other updated screens, such as the Personal Profile and the Institution Profile
  o Categories of information are organized into collapsible/expandable sections
    • Expand All (default view) and Collapse All buttons show and hide the information on the screen
  o New Text Filter
    • A new field will allow you to enter text and display the results on those sections with matches
    • Matching text will be highlighted, allowing you to quickly locate the information
  o Important information is displayed along the left side:
    • Warnings
    • Contact information
      • Scientific Review Officer (SRO)
      • Grants Management Specialist (GMS)
      • Program Official (PO)
    • Latest Updates
    • eRA Service Desk contact information
  o New Print Capabilities
    • New formatting capabilities allow you to print all the information with the click of a single button
    • Organized by category
    • Includes warnings
    • Includes NIH contacts

4 CHANGES MADE TO NSF PAPPG (17-1) AND AUTOMATED COMPLIANCE CHECKS IN EFFECT JANUARY 30TH

Effective January 30, 2017, the National Science Foundation (NSF) implemented the following changes to its Policy & Award Policies & Procedures Guide (PAPPG) (NSF 17-1) and automated proposal compliance checks in FastLane:
Proposal Submission

- Two new types of proposals have been incorporated into the Policy & Award Policies & Procedures Guide (PAPPG) with new required supporting documents and automated proposal compliance checks.
  
  o **Grant Opportunities for Academic Liaison with Industry (GOALI):** GOALI is a type of proposal that seeks to stimulate collaboration between academic research institutions and industry. The new GOALI automated compliance checks will require that at least one Co-Principal Investigator (PI) exists on the proposal and the “GOALI-Industrial PI Confirmation Letter” is uploaded at the time of proposal submission. All automated compliance checks applicable to Research proposals will apply to GOALI proposals. GOALI proposals were previously submitted via a program solicitation.

  o **Research Advanced by Interdisciplinary Science and Engineering (RAISE):** The RAISE proposal type supports bold, interdisciplinary projects. The new RAISE automated compliance checks will require that a “RAISE-Program Officer Concurrence Email” is uploaded at the time of proposal submission, the proposal award budget is less than or equal to $1 million, and the proposal duration is less than or equal to 5 years. All automated compliance checks applicable to Research proposals will apply to RAISE proposals.

- The Facilitation Awards for Scientists and Engineers with Disabilities (FASED) type of proposal will be included on the FastLane dropdown menu. All automated compliance checks applicable to Research proposals will apply to FASED proposals.

Deadline Submission

- Organizations that are unable to submit a proposal prior to a deadline due to a natural or anthropogenic disaster will be required to submit a new Single Copy Document, “Nature of Natural or Anthropogenic Event,” when attempting to submit a late proposal using the “Special Exception to the Deadline Date Policy” box on the NSF Cover Sheet.
Updated References and Terminology

- The PAPPG (NSF 17-1) has been modified in its entirety, to remove all references to the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG). The document will now be referred to solely as the NSF Proposal & Award Policies & Procedures Guide and is sequentially numbered from Chapter I-XII. All system references and links to the GPG and AAG will be updated to corresponding references and links in the PAPPG (NSF 17-1).
- “International Travel” type of proposals will be renamed to “Travel” and will be expanded to include domestic and international travel.
- “Facility/Center” type of proposals will be renamed to “Center/Research Infrastructure.”

Enhanced Automated Compliance Checks

- In addition to the new compliance checks for the GOALI, RAISE, and FASED types of proposals, FastLane will run enhanced automated compliance checks across several proposal types and will generate errors or warnings when the submission or deadline validation compliance checks are not met.
- Checks are run during “Check Proposal,” “Forward to SPO,” and “Submit Proposal.” The complete list of FastLane automated compliance checks effective January 30, 2017, is available here.

Note About Proposal File Update (PFU):

The automated compliance checks also apply when a PFU is performed on a proposal. The compliance checks will be run on all sections of the proposal, regardless of which section was updated during the PFU. Proposers should be aware that if a proposal was previously submitted successfully, a PFU performed on the proposal will be prevented from submission if the proposal does not comply with the compliance checks in effect at the time.

Note About Grants.gov:

Grants.gov-submitted proposals are not compliance-checked by the FastLane system and therefore do not undergo the same set of automated compliance checks at submission as those submitted directly via FastLane. If NSF receives a proposal via Grants.gov that is not compliant, it will be returned without review.
5 QUARTERLY RAG MEETINGS - BACK ON THE HORIZON FOR 2017!

By popular demand, we are pleased to announce the re-implementation of quarterly Research Administrators Group (RAG) meetings beginning February 2017. The impetus for RAG meetings is to have key representatives from the Office of Sponsored Projects and Department Business Offices share information about important updates and changes to processes as it relates to the administration of sponsored projects. As well, these sessions help to foster more collaborative efforts between our groups.

The February RAG meetings are scheduled for mid-day on February 15 (Science Park) and February 16 (YSPH Winslow Auditorium). Registration in Training Management System (TMS) is required. Visit the OSP website to view a copy of the proposed meeting agenda.

Please contact osp.trainings@yale.edu or Kathi Goodfriend at 203-785-3036 with any questions.

6 USE OSP GCAT MAILBOX TO SEND ACTIONABLE REQUESTS ONLY

When is it appropriate to send an email to an OSP GCAT mailbox? What does OSP mean when it says to send only actionable requests to the GCAT mailbox?

The purpose of an OSP GCAT mailbox (GCAT) is to collect actionable work requests (i.e. requests that are required to be entered into IRES PT (Proposal Tracking) and/or logged to the assigned reviewer/manager.)

When a valid actionable email request is received by a GCAT, it is entered into IRES and assigned to an OSP reviewer/manager in order of priority. Some of the items that are attended to more quickly than others include:

- JIT Requests
- Requests for New Sponsor Setups in IRES
- At Risk Requests
- No-Cost Extension Requests
- Sponsor-imposed deadline related requests
- Requests for new eRA Commons IDs
• Any urgent requests prominently called out in the subject line of an email

Please be aware that OSP does not consider inquiries regarding the status of a request with an already existing IRES log opened to an OSP manager/reviewer as an actionable request. When making a follow up inquiry related to the status of an award setup, when an agreement will be reviewed, etc., first check IRES PT to see if there is updated information on the status of the action. If you do not see activity, inquiries should be sent to the assigned OSP reviewer/manager directly. (There is no need to copy the GCAT unless you are uncertain about who to contact.)

Each email sent to a GCAT must be read to determine whether it needs to be logged to an OSP reviewer/manager. Therefore, it is important to only send actionable requests to the GCAT as non-actionable items could potentially delay the processing of valid, time-sensitive requests.

Please contact Tracy Coston at tracy.coston@yale.edu or 203-785-6033 with any questions regarding the appropriate use of GCAT boxes.

7 OSP STAFF UPDATES

Contracts Management

We are pleased to announce Jennifer Rawlings as the newest Contract Manager to the Contracts Team. Jennifer is a recent graduate of University of Massachusetts and has her law degree from Quinnipiac University Law School. She has experience reviewing legal documents, knowledge in preparing grant proposals, and has worked in the judicial system for the State of Connecticut.