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 NIH: ADDITIONAL PRIOR APPROVAL REQUESTS MADE AVAILABLE IN ERA COMMONS

After a release scheduled for March 2, 2017, NIH will make available the following two new features for requesting prior approval requests in eRA Commons: 1) Requests for a No Cost Extension requiring prior approval and 2) request for a change of PD/PI. Both new features currently only apply to NIH awards and are an optional method. Look for details and screenshots in the eRA Commons Online Help following the release.

I. Prior Approval Request for No Cost Extension (NCE)- Requests for No Cost Extensions (NCEs) may only be initiated by a Signing Official (SO)
   o When is a grant eligible for a NCE through Prior Approval?
     ▪ When a NCE has already been used and the grant is within 90 days of the project end date.
     ▪ When the project end date has expired, and has not been closed or has not entered unilateral closeout, whichever comes first.
   o When is a grant NOT eligible for a NCE through Prior Approval?
     ▪ When a NCE has never been requested and the grant is within 90 days of the project end date. In this case, the NCE will be processed normally through the Extension link in eRA Commons Status.
     ▪ When the grant is closed.
     ▪ When the grant is a fellowship grant.
   o What information will an SO need to provide?
     ▪ The NCE request form includes:
       • Request Detail – Here you will be asked such things as the number of months you wish to extend the project end date; the amount of unobligated money still available, etc.
       • Three PDF upload fields: Progress Report, Budget Document, Justification Document
II. Prior Approval Request for Change of PD/PI

- The following conditions must be met for a grant to be eligible for a Change of PD/PI Request:
  - The grant is awarded, and the Project Period End Date has not passed.
  - The grant is not a Fellowship or Career Award.
- The details for the request require some basic information:
  - Who is being replaced, removed or added to the grant?
  - What will their level of effort be?
  - What is the effective start date for the requested changes?
- Additionally, some files will need to be uploaded as an attachment to the request.
  - Biosketch for any new PD/PI
  - Other Support for any new PD/PI
  - Justification Document for the request

NIH introduced the Prior Approval tab to eRA Commons in September 2016 to initially provide an electronic option for executing a request for application withdrawal (see Guide Notice NOT-OD-143). In October 2016, NIH added the ability to request to submit an unsolicited application with $500K or more in direct costs to the Prior Approval section (see Guide Notice NOT-OD-17-005).

NOTE: Principal Investigators cannot see Change of PD/PI Requests. Please contact your OSP Award Manager with questions.

2 SAMHSA 2017 GRANTEE WEBINARS

As displayed in the table below, the Substance Abuse and Mental Health Services Administration (SAMHSA) will be offering a series of monthly webinars starting in March 2017 through December 2017. The webinars are intended to provide grantees with specific information about how to effectively manage and maintain proper oversight of their grants. Pre-registration is NOT required. Specific information about how to access the webinars will be e-mailed to grantees 2 weeks prior to the training date.
### SAMHSA 2017 GRANTEE WEBINARS

<table>
<thead>
<tr>
<th>Course Title</th>
<th>Topics to be Covered</th>
<th>Recommended Attendees</th>
<th>Date</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants 101</td>
<td>Grant fundamentals, roles and responsibilities, and impact of 2 CFR 200.</td>
<td>All grantees</td>
<td>3/2/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>How to Submit a Clean Budget</td>
<td>Budget reviews, budget narrative, allowable costs, and indirect costs.</td>
<td>All grantees</td>
<td>4/4/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Changes to Awards/Prior Approval</td>
<td>Amendment types, key staff, budget revisions, scope, no cost extension, and prior approval requirements.</td>
<td>All grantees</td>
<td>5/3/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Reporting Requirements</td>
<td>Performance Reports, FFRs, Audits, and FAPIIS.</td>
<td>All grantees</td>
<td>6/1/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Grantee Financial Management Requirements: Sub-recipient Monitoring, Extramural Policies, Internal Controls</td>
<td>Direct recipient requirements related to sub-recipients, review of SAMHSA extramural policies (such as food, incentives), and A-123 Testing.</td>
<td>All grantees</td>
<td>7/6/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Fraud, Waste and Abuse</td>
<td>Evidence of fraud, allegations, restricted status, and termination processes.</td>
<td>All grantees</td>
<td>8/1/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Topic</td>
<td>Description</td>
<td>Participants</td>
<td>Date</td>
<td>Time</td>
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<tr>
<td>How to Avoid Being Placed on Restricted Status</td>
<td>SAMHSA determination of restricted status, and impact on award performance.</td>
<td>All grantees</td>
<td>9/6/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Matching Requirements</td>
<td>Matching requirements, including recording, tracking and reporting.</td>
<td>DFC, PPW, Children's Mental Health, PATH grantees</td>
<td>10/3/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Carryovers and Offsets</td>
<td>Carryovers, offsets, and no cost extensions.</td>
<td>All grantees</td>
<td>11/2/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
<tr>
<td>Closeout</td>
<td>Final reports, reconciliation, closeout, and records retention.</td>
<td>All grantees</td>
<td>12/5/2017</td>
<td>2:00 - 3:30 pm (ET)</td>
</tr>
</tbody>
</table>

### 3 Additional Information from NIH Regarding the Interim RPPR

As mentioned in the [February 1, 2017 edition of OSP News & Updates](#), the Interim Research Performance Progress Report (IRPPR) is used when submitting a Competing Renewal application (Type 2). Since the Type 2 application is a competing application, there is no guarantee it will be awarded. If you decide not to apply for a Competing Renewal, then completion of the Final RPPR is required as usual within 120 days of the project end date. When completing a Renewal application (Type 2), or if one has already been submitted, then an Interim RPPR must be submitted within 120 days of the project end date.

The Progress Report delegation permits any user with the ASST role the ability to complete progress report information for a specified PI, but they cannot route or submit the report. The Submit delegation permits a specified PI the ability to submit the progress report to NIH listing the PI as Signing Official for that submission.

### 4 February 2017 RAG Meetings Well Attended

We are pleased to announce that more than 150 individuals involved in the administration of sponsored projects attended the recently held Research Administrators Group (RAG) meetings in February. Topics
that were discussed included: 1) award management including Multi-PI Awards focusing on the NIH requirements for prior approvals, Cost-Sharing and reporting to the sponsor; 2) gentle reminders from the financial management group regarding the upcoming A-133 audit (including prior approval requirements and period of availability) and the State of Connecticut audit (reminders about State Agency approval for re-budgeting); 3) an overview of OSP’s new Campus Collaborative Training Committee (CCTC) and their charter; 4) proper use of OSP’s GCAT mailboxes; 5) navigating tips for the OSP website in “It’s Your Yale” and 6) introductions of new hires into OSP.

To view a copy of the presentation materials from the February sessions, please click on the following link: Research Administrators Group (RAG) Meeting Feb_2017.

Didn’t receive an invitation to our last RAG meeting? Be sure to subscribe to our mailing list for future sessions: http://messages.yale.edu/subscribe/home/subscribechangeentry/Research-Admin/2137604.

5 WHAT IS CCTC?

It’s not just another acronym: CCTC stands for Campus Collaborative Training Committee and was formed in October 2016 in direct response to proposal recommendations from the Workday Sponsored Awards Management Service Group in its Service Improvement Proposal.

The Committee’s executive sponsorship includes:

- **Carrie Capezzone**, Associate Dean of Finance, YSM and Business Operations Leadership Team (BOLT)
- **Cynthia Kane**, Director, OSP Business Operations
- **Tracy Guarnieri**, Compliance Officer, Office of Research Administration

Reporting to the executive sponsors, the CCTC, a 15-member group of research administration and education specialists comprised of campus-wide department and central representatives, was formed to coordinate training efforts of the research administration community at Yale.

**Co-Chairs:**

- Hannah Carroll (Lead Administrator for Astronomy and Physics)
- Tracy Coston (Assistant Director, OSP Business Operations)

**Current Members:**

- Kathi Goodfriend (OSP Training)
- Deb Apuzzo (Pharmacology)
- Pam Buonocore (Geology & Geophysics)
- Michele Deschino (Internal Med – Pre-Award)
- Jacky Fields (FRMS – Pre-Award)
- Kathy Fisher (YSPH)
Darlene Jones (FES)
Andrea Lozano (OSP Award Management)
John Maloney (OSP Financial Management) – joined CCTC Jan 2017
Keith McGibbon (YSM Financial Operations)
Michelle Montana (FRMS – Post Award)
Erlyn Neri (Neurobiology)
Natalie Speranza (Internal Medicine – Post Award)

The scope of the CCTC’s work is to:

- Identify issues, opportunities and projects where the CCTC can work together to satisfy respective training needs and further interests.
  - Identification of local level training needs and create consistency amongst departments
- Jointly develop, implement, sustain, evaluate, and enhance university-wide training offerings.
  - Participation in delivery of existing training programs (Introduction to Sponsored Projects Administration, etc.)
  - Development of online training programs and articulate storyline vignettes as needed

At present, the CCTC is completing a gap analysis to identify areas of training that need to be addressed and discussing onboarding efforts in departments.

Now is the time to be heard. We’re interested in your feedback. Please use the [CCTC Feedback form](https://your.yale.edu/research-support/office-sponsored-projects/osp-educational-opportunities/cctc) to let us know what training improvements can be made to support the work of those involved with the administration of sponsored projects.

For more information about the CCTC, please visit the OSP website at [https://your.yale.edu/research-support/office-sponsored-projects/osp-educational-opportunities/cctc](https://your.yale.edu/research-support/office-sponsored-projects/osp-educational-opportunities/cctc).