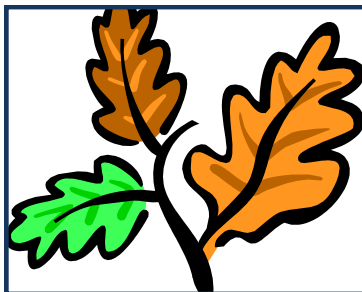


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NSF UPDATES

Enhancements to Research.gov Launched in August for NSF Project Reporting

Project reporting via Research.gov was transitioned October 1, 2012. Since that time, NSF has been working on improvements based on user feedback. As of August 2013, these are some of the changes that have been implemented:

- Check Report Completeness: Click a “check report completeness” link to easily determine the section(s) of a project report that are incomplete.
- Unlimited Products & Participants: Enter an unlimited number of products and/or participants to project reports.

Previously, Research.gov prevented the entering of more than 127 products and/or participants.

- Pre-Populated PI/co-PI Role: Research.gov will



no longer allow for the adding of new participants with the PI or co-PI role. It currently pre-populates the report with the PI and co-PIs based on the information from the award.

- Updated Publication Information: Publications listed as “published” will require the publication year only. Publications listed as “under review, awaiting publication, submitted, accepted, or other” will not require a date, and Research.gov no longer requires volume or page number entries.

Annual Report vs. Final Report: Please remember, final reports are not cumulative; they are considered the last annual report of the project, and should be written specifically for the most recently completed budget period.

Additional information about NSF project reporting can be found at <http://tinyurl.com/pcwb2gm>.

See **NSF UPDATES** page 2

NIH Extends eRA User IDs to Students

On October 18, 2013, NIH will begin a transition to require eRA Commons IDs for undergraduate and graduate students who participate in NIH-funded projects for at least one person month.

Starting in August, the roles of undergraduate, graduate and other project personnel (all project personnel listed in the All Personnel List in the PHS 2590 or in the Participant Section [D.1] of the RPPR) were scheduled to be available in the eRA Commons. Students should contact their departmental administrators to re-

quest an eRA User ID.

On *October 18, 2013*, the Progress Reports for PHS 2590 and RPPR will begin to prompt for the ID for students and fellows. A **warning** will be generated if the RPPR is submitted without the ID. In

October 2014, submissions lacking IDs will receive **an error message** and the RPPR will NOT be accepted until the information is available.

NIH Extends eRA User IDs to Students: Please note that these

new eRA Commons roles should NOT be used for individuals submitting Individual NRSA Fellowship applications. The PD/PI role should continue to be used for those submissions. For individuals being reported in xTrain or on a Statement of Appointment Form (PHS 2271); the Trainee Role should be used for that reporting requirement.

Refer to NIH Guide Notice - [NOT-OD-13-097](http://www.nih.gov/grants/notice-not-od-13-097) for additional information.



NIH LOAN REPAYMENT

When completing LRP applications, please note:

Authorized Official for PSOM = Marianne Achenbach

Authorized Official for all other schools = Heather Lewis

NIH Encourages Individual Development Plans for all Grad Students and Post-Docs

At the recommendation of the Biomedical Workforce Working Group of the NIH Director's Advisory Committee, NIH announced its "encouragement" of institutions to use **Individual Development Plans (IDPs)** for all graduate students and post-doctoral research fellows engaged in research supported by NIH. The goal of the IDPs is to better prepare graduate students and post-doctoral researchers – scholars, trainees, fellows, etc. – to participate in a broad-based and evolving biomedical economy. Dr. Sally Rockey, NIH's Deputy Director for Extramural Research notes that "IDPs are a useful tool to help graduate students and postdocs identify their career goals and what they need to accomplish to achieve those goals. Perhaps more importantly, the IDP process can facilitate communication between faculty mentors and their trainees."

Notice Regarding Sequestration as of 7/17/13

On March 1, 2013, as required by law, President Obama issued the sequestration order, under which NSF budgetary resources were reduced by \$356 million. NSF has since received its full-year FY 2013 appropriations. While sequestration does have a significant impact on NSF's budget, the impact on existing programs has been partially mitigated due to FY 2013 Congressional appropriations combined with choices including limits to new research that would have been initiated otherwise. After the sequestration reduction of \$356 million and two government-wide FY 2013 across-the-

board reductions, the NSF funding level of \$6.88 billion for FY 2013 represents a decrease of 2.1 percent from last year, with more significant reductions in the research accounts for new awards. **What does this mean to you?** NSF will fully fund all existing continuing grant increments in FY 2013;

- In the RPPR, grantees are encouraged to report the use of IDPs in *Section B. Accomplishments*, Question B.4 for all graduate students and/or postdoctoral researchers reported in *Section D. Participants* or on a

Statement of Appointment Form (PHS2271);

- Training grant recipients that use the PHS 2590 progress report should include information to document that IDPs are used to help manage the training for graduate student and postdoctoral researchers in the progress report under 5.1.6 Progress Report Summary.

For more information please refer to Notice [NOT-OD-13-093](#): *NIH Encourages Institutions to Develop Individual Development Plans for Graduate Students and Postdoctoral Researchers*. Please contact Heather Lewis if you have any questions about IDPs.

NSF UPDATES *Continued*

board reductions, the NSF funding level of \$6.88 billion for FY 2013 represents a decrease of 2.1 percent from last year, with more significant reductions in the research accounts for new awards.

What does this mean to you? NSF will fully fund all existing continuing grant increments in FY 2013;

- NSF directorates have now received full-year funding allocations, which will allow funding decisions to be made prior to the end of the fiscal year on September 30th;
- NSF expects to make fewer new awards in FY 2013;

- NSF will fully fund all FY 2013 major research equipment and facilities construction projects;

- Competitions for some programs and solicitations may not be conducted in FY 2013; and

- NSF staff will not be furloughed, allowing for no interruptions to the NSF proposal review and award decision making processes.

While the budgetary situation for FY 2013 for NSF has stabilized, the situation for next fiscal year remains somewhat uncertain. Additional information can be found at www.nsf.gov

New features of Research.gov include:

Check Report Completeness

Unlimited Products and Participants

Pre-populated PI/Co-PI Role

Updated Publication Information

Important Requirements for PennERA Child Records

In late August, the PennERA team rolled out the Non-Competing and Supplemental Proposal submissions modules in PennERA. The Non-Competing Child Submissions prompted a lot of questions about when to submit a PennERA Child record.

Most sponsors require technical project reports (progress reports) for assistance awards. These reports provide program officers and administrative offices with information on the progress of supported projects and the way these funds are used. Failure to submit complete, accurate, and timely progress reports may indicate the need for closer monitoring by agencies or may result in possible award delays or enforcement actions, including withholding awards, delays in proposal review, removal of expanded authorities, or conversion to a reimbursement payment method.

Is there a difference between a Non-competing Continuing Application and Other Types of Progress Reports?

Characteristics of Non-Competing Renewals/Continuations

- A period of continued support for a funded multi-period project
- Awarded one period at a time based on availability & prior award commitments
- Award may be contingent on submission of progress report
- PI provides progress information and notes any changes for *next* budget period
- Usually due prior to end of budget period
- New Notice of Grant Award issued for next budget period upon receipt and review by sponsor

Characteristics of Other Types of Progress Reports

- Funding level for entire project period is already set
- PI provides progress information on completed work
- Usually due after the end of a budget period (year)
- May contain *financial status* reporting section

Is a PennERA Child record needed for a Progress Report?

Yes, whether you are submitting a non-competing continuation or some other type of progress report, a PennERA Child record is required.

Why is a PennERA Child record required for a Progress Report?

The report/renewal is treated like an application submitted to the sponsor. Continuation information must be captured for reporting and approval purposes as well as to identify updates in compliance items such as FCOI, IACUC and IRB approvals.

My Progress Report does not require Institutional signature, do I still need to complete a PennERA Child record?

Yes, as the office charged with oversight and compliance for grant administration it is important that our records accurately reflect grant activity. A PennERA Child record will enable the University to properly monitor and improve accountability and reporting. In addition, this will also enable Schools/Departments/and Centers to identify and monitor progress reporting concerns.

If you have any questions about the use of Child Submissions please contact your Pre-award contact.

It's Coming! New GL Object Codes for Cost Sharing!

ORS and the Office of Research Support Services is working with the University's Comptroller's Office to establish new objects codes to be used with 5-ledger accounts to differentiate committed and uncommitted cost sharing. Currently, object code 4822 (Cost Share) is being used for multiple purposes, most commonly to record Mandatory and Voluntary Committed Cost Share, Voluntary Uncommitted Cost Sharing, Charge-back of unallowable Costs and Write-Off of disallowed costs. New GL object codes will be created to record Uncommitted Cost Share and Unallowable/

Disallowed costs. The use of separate object codes for these entries will enable the University to properly classify cost sharing, allocate overhead through an automatic process and provide better accountability and reporting of cost sharing for the institution. This will also enable Schools, Departments and Centers to identify and monitor cost sharing due to general cost overruns and cost disallowances. Additional details will be provided in the near future. Any questions can be directed to Keith Dixon at kdixon@upenn.edu or Kim Garrison at kimmq@upenn.edu.

Other occasions when a PennERA Child Record is required:

- ⇒ Submission of a supplementary proposal to the sponsor
- ⇒ Budget out-years were not originally proposed, but are being funded (similar to a supplement)

Recommendations for future newsletter articles or questions that you would like addressed can be sent to

Jessica Cote at
jcote@upenn.edu.

Subaward Generator FAQs

Special thanks to this quarter's contributors:

Beth Alioto - Corporate Contracts
 Sheila Atkins - Subawards
 Jessica Cote - Pre-Award
 Jim Clavin - Post Award
 Keith Dixon - Operations & Cash Management
 Kim Garrison - Post Award
 Heather Lewis - Pre-Award
 Missy Peloso - AVP
 Todd Swavely - PennERA
 Chris Ulad - Post-Award

1. Do I need to provide the subrecipient with the PI's Name and Institution number as passwords to access the request the subaward generator?

Answer: A password is no longer required to access a subaward request that is sent to the Subrecipient for completion. Subrecipient will receive a link within the email notification. Clicking on the link will take the subawardee directly to the request.

2. If the request is rejected by the subrecipient and returned to the BA, is the request re-routed to the PI again? Can this be skipped?

Answer: Yes, the request will be re-routed to the PI for approval; this step is not optional and cannot be skipped. Any change to the subrecipient's SOW or budget requires PI approval.

3. Who reminds the subrecipient when there is a pending request in the generator?

Answer: The RIS system will send an email notification directly to the subrecipient to inform them that "a request is pending approval by the subrecipient". This reminder email will be sent up to 3 times over the course of 21 days. After 21 days, the Office of Research Services will send an email directly to the UPENN BA, to request that she/he reach out to the subre-

ipient BA, to determine if there is a problem or reason for delay. Should the subrecipient state that they never received or are unable to locate the original email, the UPENN BA should notify the ORS via email, and the original notification can be resent.

4. If the subrecipient's IRB/IACUC approval is pending and there is no document available for the subrecipient to upload at the time of submission of the request, how should the subrecipient proceed?

Answer: While UPENN ORS would prefer to receive the appropriate document returned with the request, however, this is not always possible. We recognize that there may be delays in the approval process or that IRB/IACUC work may not begin immediately in the project. The subrecipient should upload an attachment, which simply states that the "IRB/IACUC approval is pending and forthcoming."

Once the agreement is processed by ORS, it will go out unsigned pending receipt of the IRB/IACUC approval.

5. If the subrecipient does not have a DUNS number and one is *not* required for this non-federal activity. How should they answer that question?

Answer: For any non-federal activity where your subrecipient does not have a DUNS number they may enter all zeros where DUNS is required.



From June 19 – September 4, 2013 the ORS completed a successful Cross Training Pilot Program. The program was an attempt to increase efficiency, improve internal and external customer service and increase engagement within our office and with the customers we serve. The curriculum for the pilot was designed to enhance ORS staff knowledge of processes, policies, and procedures related to other functional areas within the office including Pre-Award, Post Award and Operations using three case study based tracks with a total of 18 hours of instructor led training. We look forward to offering the program again next year as we continue to build professional skill sets to increase service and efficiency in ORS.

NIH Revised Grants Policy Statement

NIH has announced the publication of the revised Grants Policy Statement (http://grants.nih.gov/grants/policy/nihgps_2013/index.htm). This revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after **October 1, 2013**. This revision supersedes, in its entirety, the NIH Grants Policy Statement (10/2012) as a standard term and condition of award. However, the October 2012 NIHGPS continues to be the standard term and condition for all NIH

grants and cooperative agreements with budget periods that began between October 1, 2012 and September 30, 2013. Click the link below for more details.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-001.html>

If you have any questions please contact your Pre-Award representative.