

Research Administration and Compliance Meeting

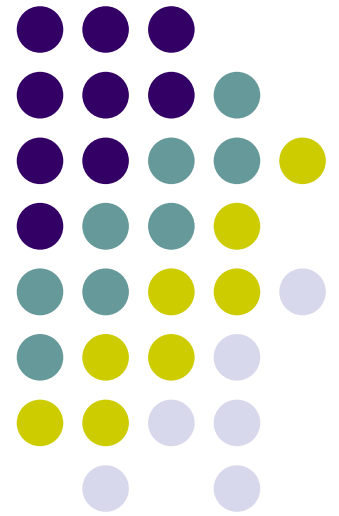
January 21, 2010

Agenda

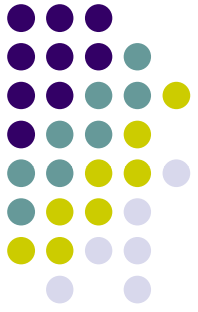
- Reorganization of Grants and Contracts Accounting (Trisha Perkins)
- New Banner Reports (Trisha Perkins)
 - Cash Balances
- Clinical Trial Office Update (Quincy Byrdsong)
- VCUeRA Workflow Updates (Annie Publow)
 - OSP Life Cycle
 - Cart-before-Horse Process (CBH)
 - VCUeRA Workflow Update and Demonstration
 - VCUeRA Training for Department-Level Grants Administrators
- Effort Reporting Update (Trisha Perkins/Presepine Fleming)
- Updated Internal Approval Form (Sue Robb)
- NSF/NIH Responsible Conduct of Research Training Requirements (Sue Robb)
- E-Verify Implementation (Sue Robb)
- Update on ARRA Funding and Reporting (Sue Robb/Jason Withers)
- New NIH Form Sets (Annie Publow)
- NIH Salary Cap (Sue Robb)
- Future RACM dates
 - May 27, 2010 – Monroe Park Campus
 - September 16, 2010 – MCV Campus

Grants and Contracts Accounting Update

Research Administration and
Compliance Meeting
January 21, 2010

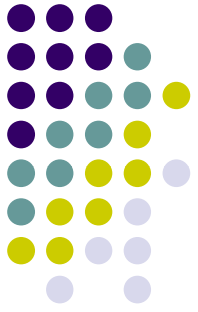


Reorganization



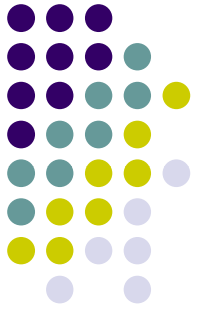
- Margie Booker retired in December, 2009
- Search process for a new director is on-going
- Gloria Foote will be the Acting Director until a new director is hired

Reorganization



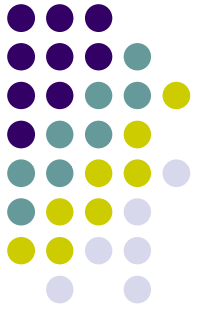
- Staff has reorganized into four teams
- Teams are organized to service our customers by department rather than type of award

Reorganization

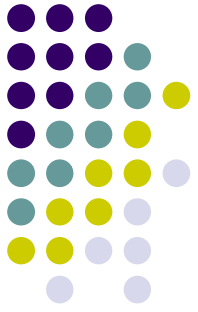


- Alpha – Monroe Park Campus
 - Joyce Carpenter - Team Leader
 - Tiffany Mason
 - Leon Brown
 - Irvin Halter
- Beta – Health Sciences
 - David Plunkett - Team Leader
 - Patricia Dunlap
 - Danielle Wilson
 - Vaishali Naphade

Reorganization



- Gamma - Health Sciences
 - Rebecca Bockus - Team Leader
 - Shavonda Gravely
 - Vanessa Byrd
 - Felicia Harris
- Delta – Centers and Massey Cancer Center
 - Crystal Monroe - Team Leader
 - Deborah Adams
 - Joe Roach
 - Nancy Nicholson

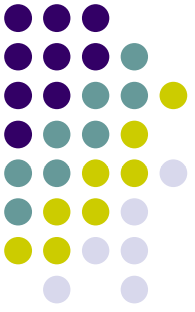


Reorganization

- Organizational chart and a list of departments assigned to each team is located on our web site:

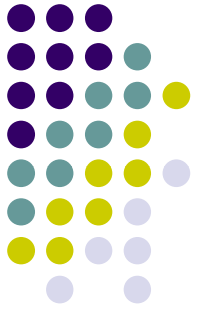
<http://www.controller.vcu.edu/grants/grantsstaff.htm>

- We will probably shift some departments again after the Federal Stimulus money has been spent



Grant Report

- Committee on Administration of Research (CAR) requested a report that lists grants with a cash balances, but no expenses
- Draft report contains the following information:
 - Grant ID and title, department, PI name, cash balance
 - Is there other information you need?



Grant Report

- Report is still in the testing phase due to another high priority project that had to be completed prior to Winter Break.
- Report will be available in the Finance folder on the Web Reporting Studio by February 8.

Overview of the VCU Clinical Trials Office

A Partnership between VCU and VCU Health System

Overview

- Background
- Mission
- Organizational Structure
- Administrative Components and Services
- Clinical Trials Implementation

Background: AAMC Clinical Trials Discussion and Milestones

- 1999: The National Clinical Research Summit- *A National Call to Action*
- 2002: Expansion of Information Technology in Clinical Research
- 2005: Discussion of Alternate IRB Models
- 2006: **CONDUCT AND REPORTING OF CLINICAL TRIALS**
- 2008: Task Force on Industry Funding and a Call for institutional Conflict of Interest policies by 2010



Background: VCU Milestones

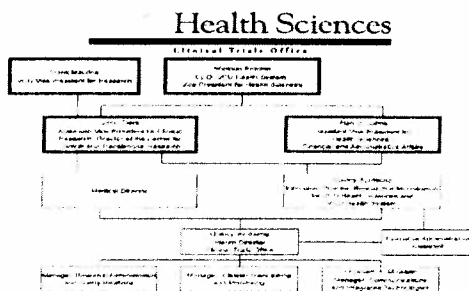


- 2006: EMR Roadmap begins
- 2007: Office of Clinical Transformation-VCUHS
- 2007: Office of Industry Partnerships merges with the Office of Sponsored Programs
- 2008: Assessment of Clinical Trials in the VCU Health System
- 2008: Formation of the VCU Medical Center Task Force on Industry Relations
- 2009: Funding and Framework for the VCU Clinical Trials Office

Mission

- Grow the clinical trials enterprise at VCU
- Strengthen compliance, business procedures, and efficiencies
- Provide unified leadership to all VCU Health Sciences schools and Massey Cancer Center
- Maximize appropriate resource recovery and strengthen oversight of clinical trials conducted in the VCU Health System
- Strengthen the scientific/research partnership between VCU Health Sciences and VCU System

Organization Chart





Services

- Pre-Award Research Management and Industry Relations
- Strategic Finance and Budget Development
- Billing and Compliance
- Marketing and Clinical Trials Management
 - System/Technology Integration

Pre-Award Research Administration



Research Administration

- VCUeRA Submission
- Clinical Trial Agreement Preparation in conjunction with Industry Partners
- Logistics and Feasibility Analysis
- Progress Reports

Regulatory Assistance

- WIRB Submission
- Review Informed Consent language for consistency with Clinical Trial Agreement
- Creating protocol-specific quality improvement tools

Strategic Finance and Budget Development



Financial Management

- Budget Development
- Incorporating Budget to the Clinical Trial Agreement
- Budget Negotiation with Sponsor
- Centralized Bookkeeping
- Subject Tracking relative to invoicing and payments from sponsors

Billing and Compliance

- Medicare Coverage Analysis
- Review of research-related documents, financial records, and clinical trial agreements to ensure compliance with regulatory agencies
- Review research subject charges for:
 - Study vs. non-study related
 - Study-related and non-study-related billed to the appropriate entity
 - Double billing
 - Correct coding





Marketing and Clinical Trial Management

Marketing

- Provide information for researchers and potential research subjects
- Increase awareness of clinical trial opportunities at VCU
- Conduct post-marketing analyses for metrics of marketing effectiveness

Clinical Trial Management

- Provide and maintain a streamlined management process for study coordinators
- Provide a single point-of-entry for all clinical trial activity
- Screen electronic medical record (EMR) for potential research subjects
- Automate billing, charge capture delineation

Clinical Trial Implementation for the VCU Health System

- In 2008, a Clinical Trials Task Force chaired by Cynthia Earnhardt, Chief Compliance and Privacy Officer, was formed to review the challenges currently facing the clinical trial enterprise at VCU and VCUHS. The major challenges noted were in regard to a lack of centralization and business processes to mitigate compliance risks.
- In June 2009, an implementation group, co-chaired by Quincy Byrdson, Executive Director of Research Administration and Cynthia Earnhardt, was assembled to address clinical trial barriers at VCU and draft an implementation plan in response to recommendations of the Clinical Trials Task Force



Areas of Implementation

- Compliance-Cynthia Earnhardt (VCUHS)
- Research Administration-Melanie Wiggins (VCU)
- Billing-Greg Strickland (MCVP)
- Finance-Terry Bolt (VCUHS)
- Technology-Elizabeth Micalizzi (VCU)
- Logistics-Quincy Byrdsong (VCU/VCUHS)



Outstanding Implementation Items

- Hire CTO Staff
- Actualize Electronic Medical Record Roadmap Milestones
- Activate Flagging Systems in Cerner and IDX for clinical trial subjects
- Finalize Fee Schedule for VCU Health System services
- Database for Clinical Trials
- Finalize Clinical Trials Management System (CTMS) Analysis and PowerScreen Implementation of PowerTrials



PowerTrials

- Facilitates clinical trials and prospective research studies
- Promotes subject safety and protocol compliance through its connection to the Electronic Medical Record (EMR)
- Two components: PowerTrials Manager and PowerTrials Screener
- Currently, seven (7) clinical trials in conjunction with VCUHS CIS Staff are being piloted in PowerScreen for Proof of Concept

Human Protections Considerations



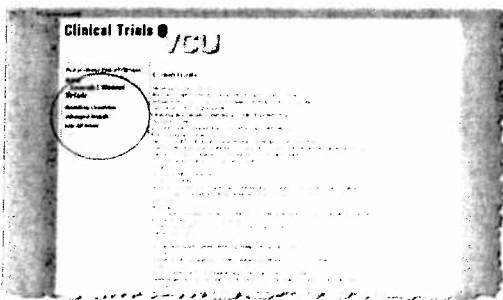
- Access to Protected Health Information
- Contact with potential research subjects
- Confidentiality of subjects' participation in clinical trials
- Database roles and privileges

Next Steps

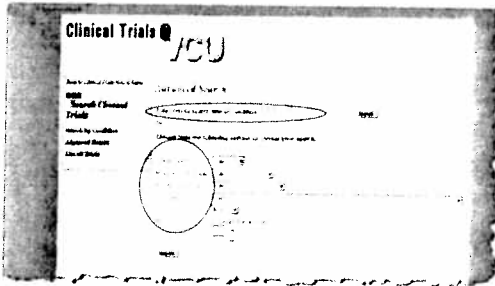


- Clinical Research Staff Council and Study Coordinator Pool
- Volunteer Clinical Trial Registry
- Tissue Repository & Biobank
- Comprehensive web-based resource for potential research participants and researchers
- Other needs of the VCU research community

Clinical Trials @ VCU



Clinical Trials @ VCU



Contact Information

Quincy J. Byrdsong, EdS, CIM, CIP, CCRP
Executive Director of Research Administration for
Health Sciences and VCU Health System

Phone: 804-628-3343

Email: qbyrdsong@vcu.edu

Elizabeth Micalizzi

Manager, Marketing, Communications, and
Integrative Technologies

Clinical Trials Office

Phone: 804-827-9964

Email: eamicalizzi@vcu.edu

Questions



VCU
Office of Sponsored Programs
Office of Research



Committee on the Administration of Research's
Research Administration and Compliance Meeting
Update on OSP Electronic Systems including
"Workflow"

January 21, 2010

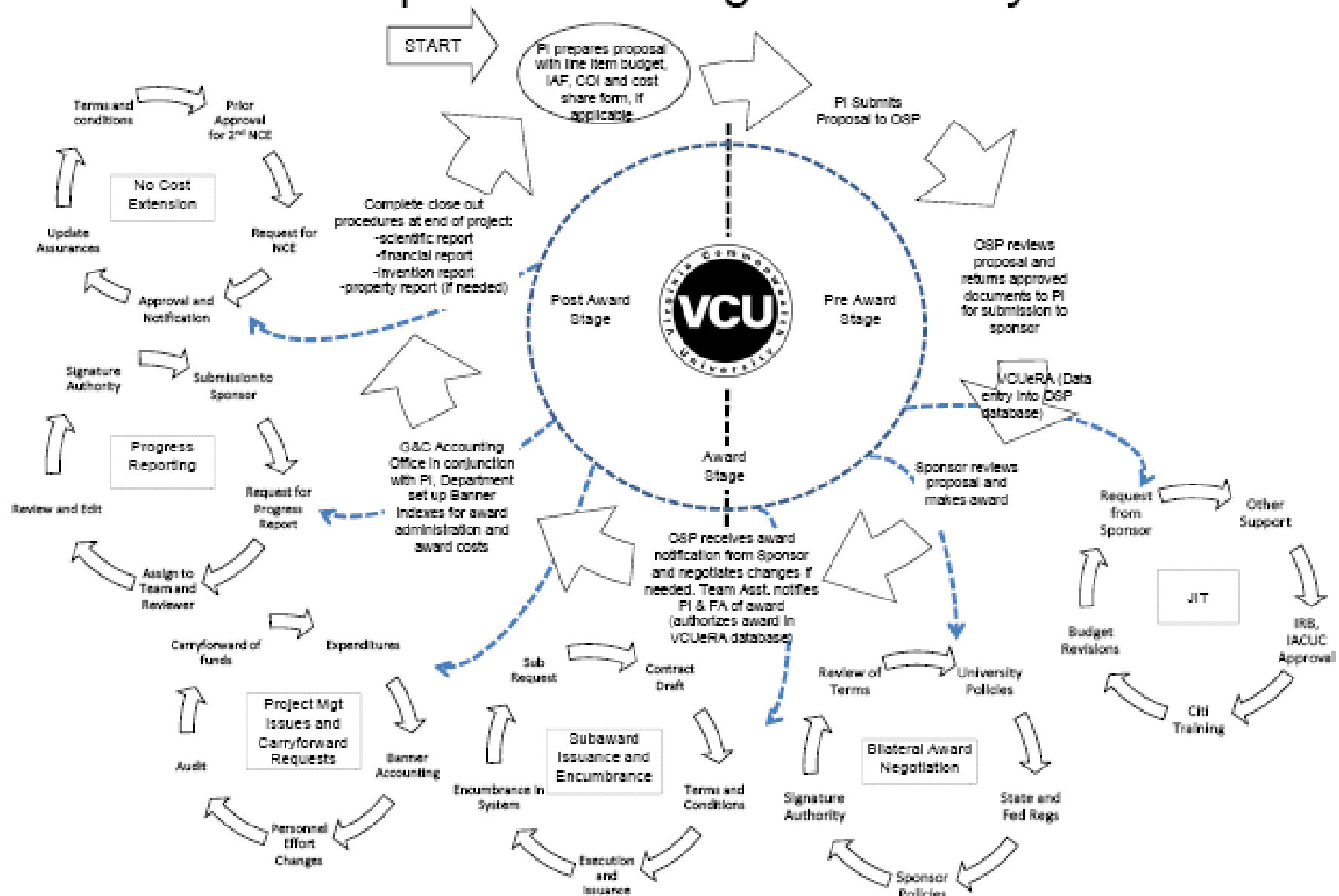
©VCU 2010 Office of Sponsored
Programs/Office of Research

VCUeRA Workflow Updates

Presentation Topics:

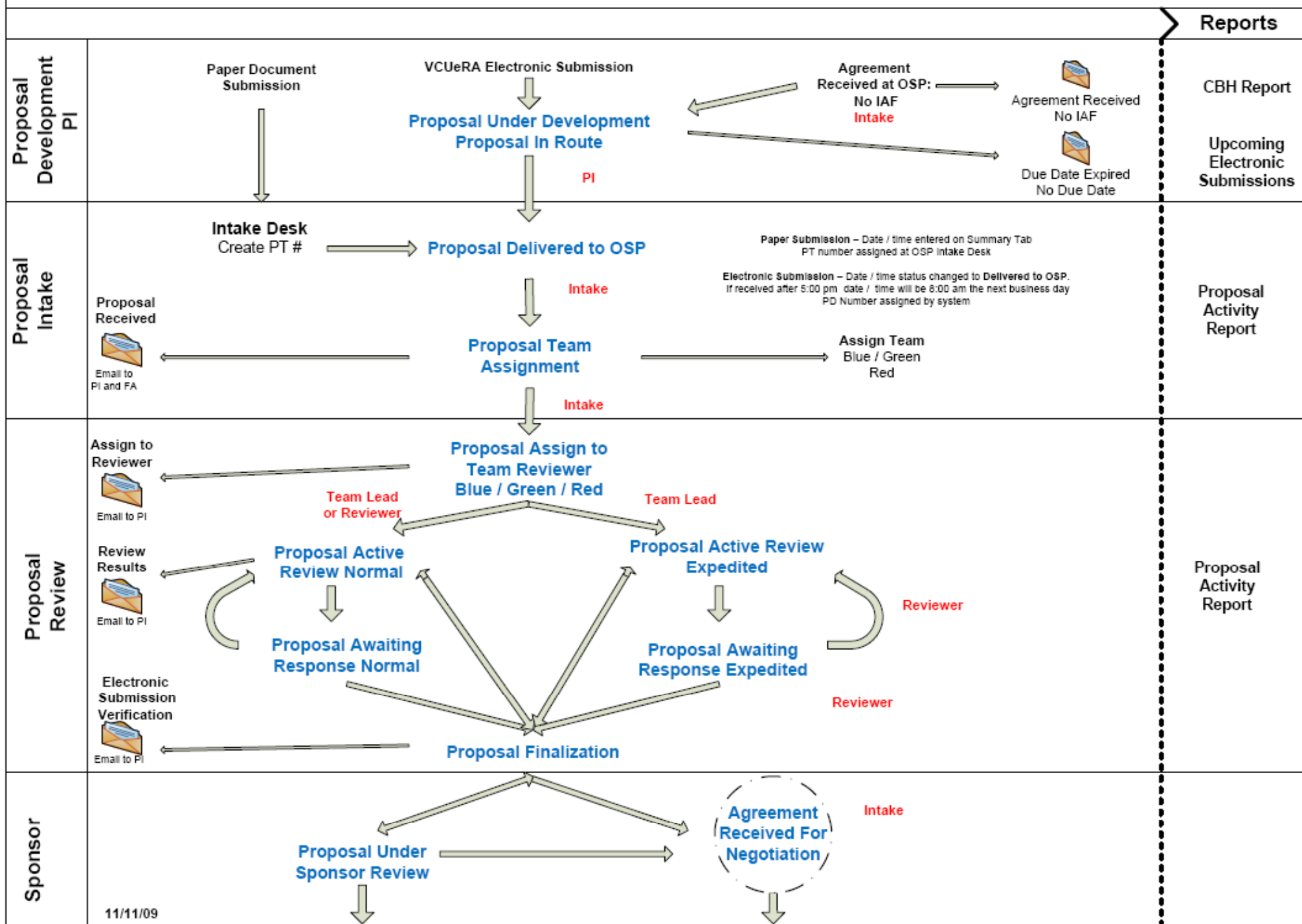
- Workflow Diagrams:
 - Phase One – Proposal Process (implemented August 2009)
 - Phase Two – Pre Award Process (implemented January 2010)
 - Phase Three – Award Process (anticipated implementation February 2010)
- Workflow Status Definitions
- Workflow Communications
 - Agreement Received No Documentation-“CBH”
- Status Inquiries

Overview of Sponsored Program Life-Cycle at VCU



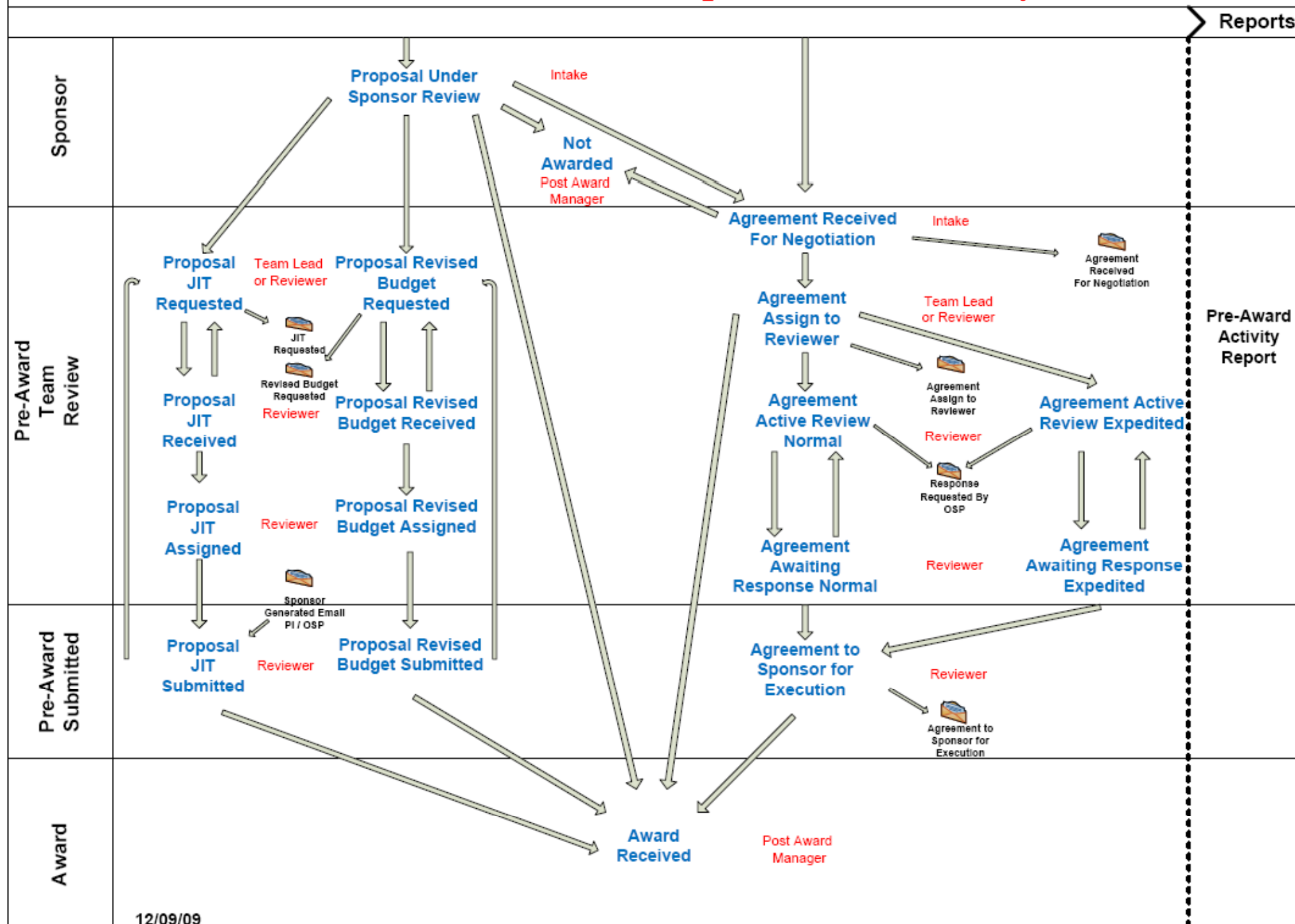
Office of Sponsored Programs Proposal Process

Implemented August 2009



Updated Statuses: OSP Proposal Workflow

Current Statuses July 2009	Future Statuses August 2009	Future Statuses December 2009	Description of Status
Under Development	Proposal Under Development		The proposal is being developed by the PI. At this point the proposal is a work in progress.
Under Department Review	Proposal In Route		The proposal has been submitted by the PI to be reviewed by the Deans of all schools who have Key personnel on the proposal. The Chair of any key personnel are informed that the proposal is routing but do not have to approve the proposal.
Delivered to OSP	Proposal Delivered to OSP		The proposal has finished routing through schools and OSP has been notified that the proposal is delivered and ready for university level review.
	Proposal Team Assignment		The proposal has been logged into OSP by date and time and is in the process of being assigned to the Blue, Green or Red Team for review.
	Proposal Assign to Team Reviewer - Blue		The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Blue Team was Assigned and a specific Blue Team Reviewer has been assigned responsibility for review.
	Proposal Assign to Team Reviewer - Green		The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Green Team was Assigned and a specific Green Team Reviewer has been assigned responsibility for review.
	Proposal Assign to Team Reviewer - Red		The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Red Team was Assigned and a specific Red Team Reviewer has been assigned responsibility for review.
Under Institution Review	Proposal Active Review Normal		The proposal is in the process of being reviewed. The proposal is being reviewed on the normal first-come, first-served basis.
	Proposal Awaiting Response Normal		The proposal has been reviewed. The reviewer has requested information from someone and is awaiting response. The proposal is being reviewed on the normal first-come, first-served basis.
	Proposal Active Review Expedited		The proposal is in the process of being reviewed. The proposal is being reviewed outside of the normal first-come, first-served basis.
	Proposal Awaiting Response Expedited		The proposal has been reviewed. The reviewer has requested information from someone and is awaiting response. The proposal is being reviewed outside of the normal first-come, first-served basis.
Logged In Under Sponsor Review	Proposal Finalization Proposal Under Sponsor Review		The proposal has been approved by OSP and either submitted to the sponsor or returned to the PI for transmission to the sponsor. OSP's copy of the proposal is with the Intake Specialist for the final system data input.
			The proposal is under consideration by the sponsor.



Updated Statuses: OSP Pre Award Workflow

Just-In-Time Requested	Proposal Just-In-Time Requested	Proposal Just-In-Time Requested Proposal Just-In-Time Received Proposal Just-In-Time Assigned Proposal Just-In-Time Submitted	The sponsor has formally requested just-in-time information, i.e. by fax or email request. Just-in-time information received by OSP from PI Just-in-time assigned to reviewer for review and approval Just-in-time information submitted to sponsor
Revised Budget Requested	Proposal Revised Budget Requested	Proposal Revised Budget Requested Proposal Revised Budget Received Proposal Revised Budget Assigned Proposal Revised Budget Submitted	Sponsor has requested a revised budget. Revised budget information received by OSP from PI Revised budget assigned to reviewer for review and approval Revised budget information submitted to sponsor
In Negotiation	Award Received for Negotiation	Agreement Under Negotiation Agreement Assign to Reviewer Agreement Active Review Normal Agreement Awaiting Response Normal Agreement Active Review Expedited Agreement Awaiting Response Expedited	Prospective award under review by OSP and/or terms and conditions are being negotiated with the sponsor. Prospective award agreement assigned to reviewer for review The agreement is in the process of being reviewed. The agreement is being reviewed on the normal first-come, first-served basis. The agreement has been reviewed. The reviewer has requested information from sponsor, PI, or FA and is awaiting response. The agreement is being reviewed outside of the normal first-come, first-served basis. The agreement is in the process of being reviewed. The agreement is being reviewed outside of the normal first-come, first-served basis. The agreement has been reviewed. The reviewer has requested information from sponsor, PI, or FA and is awaiting response. The agreement is being reviewed outside of the normal first-come, first-served basis.
	Award to Sponsor for Execution	Agreement to Sponsor for Execution	OSP has signed the agreement and returned it to sponsor for countersignature. Award cannot be processed and finalized until fully executed copy is received.
		Award Received	Award notification has been received from the sponsor and the award is being processed by OSP

Proposal Workflow Communications

Phase 2: Pre Award Process

JIT Requested

VCU Memo

Virginia Commonwealth University

A "Just-in-Time" report has been formally requested by the sponsor in connection with your submitted application.

- Principal Investigator: **Spivey, James We**
- Project Title: **test f31 # 4 prod 2**
- OSP Proposal Development/Tracking number assigned: **PD301472**
- Date JIT Request Received by OSP: **14-Dec-2009**

Please upload the required elements of the JIT into the eraCommons system and notify the VCU OSP team email address OSPBLUE@vcu.edu when you've completed your upload. At that time we will review your Just-in-Time report, correspond with you if we have any questions or identify issues to resolve, and subsequently submit the JIT to the sponsor on behalf of the institution. The NIH eraCommons system will generate an email confirmation to you once the JIT has been submitted.

Let us know if you have additional questions. While the JIT does not represent a commitment of funding on behalf of the sponsor, we congratulate you on scoring in the range where the JIT is now requested.

Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: OSPBLUE@vcu.edu

Revised Budget Requested

VCU Memo

Virginia Commonwealth University

A "Revised Budget" has been formally requested by the sponsor in connection with your submitted application.

- Principal Investigator: **Spivey, James We**
- Project Title: **test f31 # 4 prod 2**
- OSP Proposal Development/Tracking number assigned: **PD301472**
- Date Revised Budget Request Received by OSP: **02-Dec-2009**

Please prepare the requested budget revision per the sponsor's request. Forward the revised budget to OSP and/or upload it into the sponsor's grants system (if applicable) and notify the VCU OSP team email address OSPBLUE@vcu.edu when you've completed your upload. At that time we will review your Revised Budget, correspond with you if we have any questions or identify issues to resolve, and subsequently submit the revised budget to the sponsor on behalf of the institution (copying you with our transmission.) If you are uploading to the sponsor's electronic system, you will likely receive an email confirmation once the revised budget has been submitted. If you prefer to transmit the hard copy revised budget to the sponsor, please let us know.

Let us know if you have additional questions.

Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: OSPBLUE@vcu.edu

These emails will be stored within the Communications Tab of the VCUera record

Proposal Workflow Communications

Phase 2: Pre Award Process

Agreement Received for Negotiation

VCU Memo

Virginia Commonwealth University

Your sponsor has forwarded an agreement to the VCU Office of Sponsored Programs for review and negotiation in connection with the submitted application referenced below.

- Principal Investigator: **Spivey, James We**
- Project Title: **test f31 # 4 prod 2**
- OSP Proposal Development/Tracking number assigned: **PD301472**
- Date Agreement Received by OSP: **15-Dec-2009**

OSP is responsible for reviewing, negotiating and executing agreements on behalf of the university. The negotiation of acceptable terms and conditions is a normal and necessary part of the awarding process and most terms needing to be negotiated result from VCU's status as a public university and instrumentality of the Commonwealth of Virginia. The negotiation process typically takes between 2-6 weeks.

You will next be notified when an OSP reviewer on the BLUE Team is available and has been assigned to review this agreement.

Please let us know if you have any questions.

Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: OSPBLUE@vcu.edu

Agreement Assigned to Reviewer

VCU Memo

Virginia Commonwealth University

Your sponsor has forwarded an agreement to the VCU Office of Sponsored Programs for review and negotiation in connection with the submitted application referenced below. On behalf of VCU OSP's BLUE Team, I will be reviewing and negotiating this agreement.

- Principal Investigator: **Spivey, James We**
- Project Title: **test f31 # 4 prod 2**
- OSP Proposal Development/Tracking number assigned: **PD301472**
- Date Agreement Received by OSP: **15-Dec-2009**

If I have additional questions or comments for you, I will contact you by email or phone. If there is any additional information you need to forward to me in connection with this agreement review, please forward to me in a single email at this time. Please utilize the OSP team email address OSPBLUE@vcu.edu.

As PI, you are also responsible for reviewing the agreement and confirming that the scope of work is accurate and that you understand the terms and conditions in so far as they apply to your fiscal and scientific management of this project for VCU. The agreement is attached for your reference and review. If, upon review of the agreement, you have any concerns or questions, please direct them to me.

Once I have completed my review of this agreement I will follow up with the sponsor directly on any terms needing negotiation. Following completion of negotiations, we will proceed to the execution of documents process after which the award can be recorded in the VCUeRA database.

Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: OSPBLUE@vcu.edu

These emails will be stored within the Communications Tab of the VCUera record

Proposal Workflow Communications

Phase 2: Pre Award Process

(Agreement) Response Requested by OSP

VCU Memo

Virginia Commonwealth University

On behalf of Virginia Commonwealth University (VCU), the Office of Sponsored Programs (OSP) is responsible for review and negotiation of all sponsored project agreements. I am the assigned reviewer for OSP's BLUE Team and I have reviewed the terms and conditions of the agreement associated with the project referenced below

- Principal Investigator: **Spivey, James We**
- Project Title: **test f31 # 4 prod 2**
- OSP Proposal Development/Tracking number assigned: **PD301472**
- Date Agreement Received by OSP: **15-Dec-2009**

As a public university and instrumentality of the Commonwealth of Virginia, VCU sometimes needs to request amendment of certain terms and conditions. Please review the attached document for our specific requested changes.

Thank you for your attention to this matter. We look forward to successfully completing our negotiation so that the work of the project can get underway.

.....
Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: OSPBLUE@vcu.edu
.....

Agreement to Sponsor for Execution

VCU Memo

Virginia Commonwealth University

We have completed our negotiations in connection with this agreement. A partially executed agreement in connection with the project referenced below has been sent by Virginia Commonwealth University for sponsor full execution.

- Principal Investigator: **Spivey, James We**
- Project Title: **test f31 # 4 prod 2**
- OSP Proposal Development/Tracking number assigned: **PD301472**
- Date Agreement Received by OSP: **15-Dec-2009**

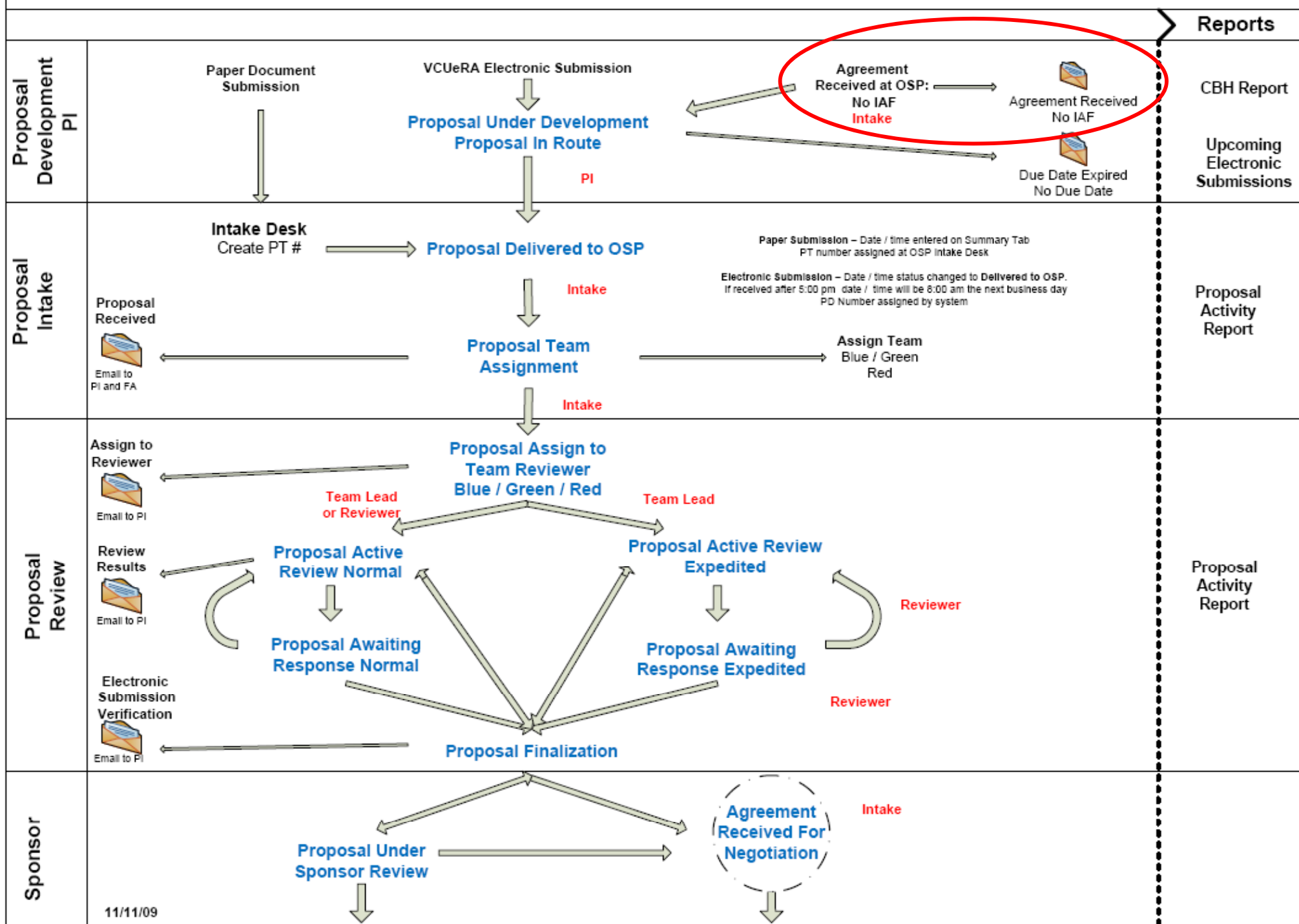
Once a fully executed document is returned to VCU's Office of Sponsored Programs, we will be able to award the project in our VCUeRA database.

.....
Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: OSPBLUE@vcu.edu
.....

These emails will be stored within the Communications Tab of the VCUera record

Office of Sponsored Programs Proposal Process

Implemented August 2009



Proposal Workflow Communications

Agreement Received No Documentation
aka “CBH” or “Cart Before the Horse”

VCU Memo

V i r g i n i a C o m m o n w e a l t h U n i v e r s i t y

- Principal Investigator: **Spivey, James We**
- Project Title: **1st production test F31 11/20/09**
- OSP Proposal Development/Tracking number assigned: **PD301469**
- Sponsor Name: **National Institute on Aging/NIH/DHHS**

The Office of Sponsored Programs has received the attached award documents from the sponsor listed above. OSP has no record of the required Internal Approval Paperwork.

Please prepare and submit an Internal Approval Form, internal budget, scope of work, COI forms and any other appropriate documentation so that we can process this award. All paperwork should be submitted simultaneously and be identified with the OSP Proposal Development Tracking number indicated above. Processing will be delayed if this number is not included.

If this request has been forwarded to you in error, please contact the Office of Sponsored Programs intake desk at 828-6772.

Office of Sponsored Programs
Government/Non-Profit Support
Virginia Commonwealth University
T: 804.828.6772; F: 804.828.2521
Email: dirospa@vcu.edu

Status Inquiries:

First Check VCUeRA PT/PD record

The screenshot displays the VCUeRA PT/PD record status inquiry interface. A red arrow points to the 'Proposal PD301504' header. The interface includes a sidebar with a tree view of the proposal structure, a top navigation bar, and a main content area with a form for proposal details.

Proposal PD301504

Submissions (1)

- Competing Continuation (PD)
 - Summary
 - Sponsor
 - Personnel (12)
 - Budget
 - SubContracts (1)
 - SubProjects (0)
 - Attachments (13)
 - Status History (9)
 - Snapshot
 - Add New PT
 - Add New PD

Done Save Help History Support Access Show

Dr. Hongjie Liu - Epidemiology and Community Health (National Institute on Drug Abuse/NIH/DHHS)

Proposal **PD301504**

Edit Mode

Last Updated: 07-Jan-2010 4:35:39 PM

Status: Proposal Under Sponsor Review

Proposal Type	Institution Number	Account Number	Ref Acct
Competing Continuation	PD301504 Edit		

Processed Date	Submitted	Initial Notif.	Other	Disapproved
07-Jan-2010 Alert	1/7/2010 12:24:46 PM Alert	Alert	Alert	Alert

Deadline Date	Deadline Type	Deadline Time	Previous Prop No
07-Jan-2010 Alert	On Receipt	5:00 PM	

Time Zone	Password
(GMT-5:00) Eastern Standard Time	

Campus	Conflict of Interest	Recovery
<input checked="" type="checkbox"/> On <input type="checkbox"/> Off	<input checked="" type="radio"/> Yes <input type="radio"/> No	Full Recovery

Cost Share Type

Status Inquiries:

First Check VCUeRA PT/PD record

Dr. Hongjie Liu - Epidemiology and Community Health (National Institute on Drug Abuse/NIH/DHHS)

Proposal PD301504

Done Save Help History Support Access Show

Edit Mode

Proposal PD301504

- Submissions (1)
 - Competing Continuation (PD)
 - Summary
 - Sponsor
 - Personnel (12)
 - Budget
 - SubContracts (1)
 - SubProjects (0)
 - Attachments (13)
 - Status History (9)
 - Snapshot
 - Add New PT
 - Add New PD
- Awards (0)
- Approvals (1)
- Related Proposals (0)
- Communications (3)
- Attachments (13)
- Contacts (7)

Status History

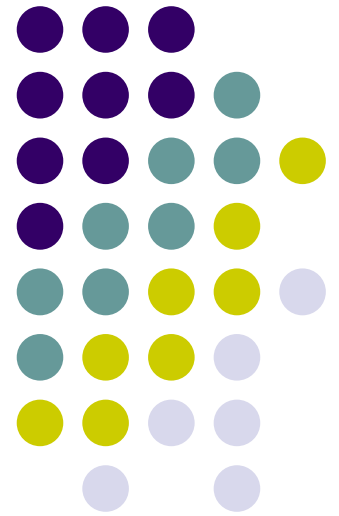
Status	Date	Recorded Date	Recorded By	Delete
Proposal Under Sponsor Review	07-Jan-2010	07-Jan-2010 04:35:39 PM	Ms. Eleanor S Sharp	
Comments:				
Proposal Finalization	07-Jan-2010	07-Jan-2010 02:30:08 PM	Kathleen P Gabriel	
Comments:				
Proposal Active Review Normal	06-Jan-2010	06-Jan-2010 11:10:45 AM	Kathleen P Gabriel	
Comments:				
Proposal Assign to Team Reviewer - Green	05-Jan-2010	05-Jan-2010 02:14:17 PM	Kathleen P Gabriel	
Comments:				
Proposal Team Assignment	18-Dec-2009	18-Dec-2009 12:59:01 PM	Seneca Er Settle	
Comments:				
Proposal Delivered to OSP	18-Dec-2009	18-Dec-2009 12:56:58 PM	Stephen T Sawyer	
Comments:				
Proposal In Route	18-Dec-2009	18-Dec-2009 12:46:52 PM	Dr. Hongjie Liu	
Comments:				
Proposal Under Development	14-Dec-2009	14-Dec-2009 03:37:05 PM	Katharine Young	
Comments:				
Proposal Under Development	14-Dec-2009	14-Dec-2009 03:37:04 PM	Katharine Young	
Comments: Proposal Created				

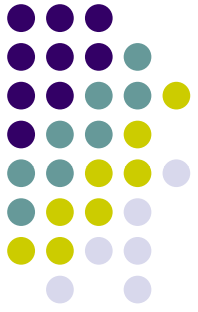
Workflow is “big news”

- Open invitation to schedule Training Sessions for departmental faculty and staff
- We'll come to your regularly scheduled staff meeting and give ~15 minute presentation on OSP Workflow
- Contact Melinda Gills-Becks in OSP at 828-6772 to schedule (first come, first served)

Effort Reporting Update

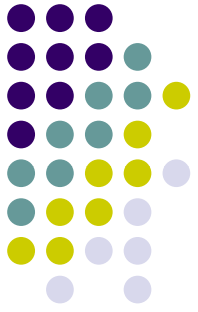
Research Administration and
Compliance Meeting
January 21, 2010
Presepine Fleming
Effort Reporting





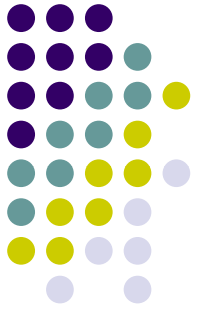
Important Dates

- Quarterly ECRT Period 09-10-09 to 12-09-09
 - Due by 03-14-10
- Monroe Park Campus
 - ECRT Period 08-10-09 to 12-24-09
 - Scheduled to be released on January 22, 2010
 - Due by March 21, 2010
- MCV Campus
 - ECRT Period 06-10-09 to 12-09-09
 - Scheduled to be released on February 22, 2010
 - Due by April 21, 2010



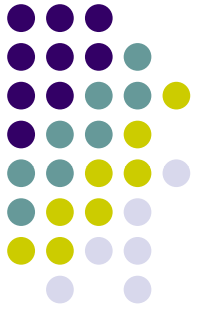
Released Certifications

- Past due periods need to be certified and processed
- Quarterly ECRT Period 09-10-09 to 12-09-09
- ECRT Schedule:
<http://www.controller.vcu.edu/grants/ECRTschedule.pdf>
- Certification Status Report



Process Improvements

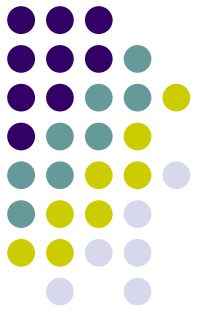
- Communication
 - System Generated Notifications
 - Certification Status Report
 - Email: effortreport@vcu.edu
- Effort Reporting Website
 - Frequently Asked Questions
 - Helpful Tools



Reminders

- Actual (expended) effort should be certified and not payroll or budgeted effort
- Corrections to payroll and budgeted effort should be completed prior to the certification period
- Cost Transfers should be completed following the Cost Transfer Policy (within 60 days)
- Cost sharing org codes should be created and used when necessary
- A responsible person must have direct knowledge of the certifier's expended effort when certifying on their behalf

Effort Reporting Contact and Links



- Elaine Squire, Effort Reporting Coordinator
 - (804) 828-0743, esquire@vcu.edu
- Patrick Knightly, Analyst
 - (804) 828-5667, pjknighly@vcu.edu
- Presepine Fleming, Effort Reporting Supervisor
 - (804) 828-2056, email: flemingpm@vcu.edu
- Effort Reporting Email: effortreport@vcu.edu
- Effort Reporting Website <http://www.controller.vcu.edu/grants/effort.htm>
- ECRT Schedule <http://www.controller.vcu.edu/grants/ECRTschedule.pdf>
- ECRT: <https://effort.ts.vcu.edu/ecrt/initLogin.do>



Virginia Commonwealth University
Office of Sponsored Programs

Internal Approval Form

For OSP Office Use Only

Date & Time: _____
OSP# _____
Copy Received: Yes ☐ No ☐
COI Form: Yes ☐ No ☐
Reviewer: _____

PRINCIPAL INVESTIGATOR INFORMATION

Principal Investigator _____ (PI Name as it exists in HRS)
Last Name First Name MI

E-mail: _____ Note: This department will receive credit for the award unless alternate department is listed below.

PI Phone # _____ PI Fax # _____ PO Box _____ Department _____

FA Name/FA# _____ FA E-mail _____ FA Phone # _____

Contact for Proposal _____ Contact E-mail _____ Contact Phone # _____
Pickup _____ mail _____

Is the department listed above also managing the project's fiscal responsibilities? Yes: ☐ No: ☐ If no, please list the department responsible for fiscal management which will receive credit for award.

Dept. for Fiscal Administration _____ FA Name _____

Fiscal FA E-mail _____ FA Phone # _____

Study Coordinator Name _____ E-mail _____

Study Coordinator Phone # _____ Fax # _____

Distribution List – Indicate email addresses to distribute documentation related to this proposal:

SPONSOR/AGENCY INFORMATION

Sponsor Name _____

Contact Name _____

Phone # _____ E-mail: _____

No Acronyms

Due Date: _____
Receipt Date ☐ Postmark ☐
E-Submission* ☐

Research ☐ Training ☐ Fellowship ☐ _____ Clinical Trial ☐ Other ☐ _____
(Name of Fellow) OSP/OIP Use Only

Does the project involve Federal Funds? Yes: ☐ No: ☐ _____
(Originating sponsor, if applicable)

Solicitation/RFA/RFP/Award Number: _____

*For proposals requiring Electronic Submission, the complete proposal needs to be in the OSP office no later than **FIVE** days before the due date.

PROPOSAL INFORMATION

Proposal Title: _____ No Acronyms

☐ New ☐ Competing Renewal of (OSP#) _____ ☐ Continuation of (OSP#) _____
☐ Preproposal ☐ Revision of (OSP#) _____ ☐ Supplement of (OSP#) _____

Project Period	Begin:	End:
Budget Period	Begin:	End:

F&A Rate:	%
Nature:	CR <input type="checkbox"/> TFP <input type="checkbox"/> FUP <input type="checkbox"/>

Budget Information

	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Direct	0	0	0	0	0	\$ 0
Indirect	0	0	0	0	0	0
Subtotal						
Sponsor	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Cost Share *	0	0	0	0	0	\$ 0
Total	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

*For Proposals with Cost Sharing, complete the Cost Share form at <http://www.vcu.edu/finance/costsharingauthorization.pdf>

*For Industry-Sponsored agreements, cost sharing of Principal Investigator's salary is not permitted without the approval of the V.P. for Research.

OSP Jan. 2010.

PI: _____ Title: _____ Sponsor: _____

Is this project being conducted through a Center or Institute? Yes: ☐ No: ☐ If "YES", please indicate the Center or Institute below:

☐ Center for Clinical and Translational Research ☐ Institute for Drug and Alcohol Studies

☐ Institute for Structural Biology and Drug Discovery ☐ Institute for Women's Health ☐ Massey Cancer Center

☐ Philips Institute of Oral & Craniofacial Molecular Biology ☐ Virginia Institute for Psychiatric and Behavioral Genetics

☐ Other: _____

PERCENT EFFORT AND PERCENT RESPONSIBILITY ON PROJECT

Current Period Amounts:

Name	% Effort	% Salary	Cost Share Amount	% Responsibility
	%	%		%
	%	%		%
	%	%		%
	%	%		%
	%	%		%
	%	%		%

[*Please use the Continuation Page for additional Co PI listings](#) (click here to link to the Continuation Page)

COMPLIANCE DATA

The proposal enclosed involves the following:

Yes	No	Don't Know		Yes	No	Don't Know		Yes	No	Don't Know	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Human Subjects Research ¹ (If yes, complete table below)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Radioactive Materials ^{4,5}	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Clinical Trial
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Animal Use ² (If yes, complete table below)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Recombinant DNA, Select Agents or other biohazards ^{4,5}	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Research is subject to export controls
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Foreign Nationals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Company Confidential Information will be provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sponsor is foreign- owned company or foreign government
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Restrictions on Publication or Intellectual Property Rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	International Program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Program Income
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Retired faculty participation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Subcontracts or subrecipients ⁶ (external)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Wet lab space
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Rented off campus facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Subaccounts (internal) ⁶	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Additional/New space
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Delivery of anything more than technical report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	NSF Funds- RCR Training Required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	NIH Funds- RCR Training Required
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	HIPPA Covered Data ³								

1. For further information on human subjects research refer to: <http://www.research.vcu.edu/irb/activities.htm>

2. For further information on animal research refer to: <http://www.research.vcu.edu/iacuc/index.htm>

3. Contact contact VCUHS Compliance Services at <http://www.vcuhealth.org/?id=865&sid=1> or 828-0500

4. For more information on environmental health requirements refer to <http://www.vcu.edu/oehs/>

5. For more information on chemical and biosafety requirements refer to <http://www.vcu.edu/oehs/chemical/biosafe/IBChome.pdf>

6. If Yes, complete Internal Approval Form Proposal Budget Detail

Principal Investigator / Co PI(s)	IRB/IACUC No.	Approval Date

PI: _____ Title: _____ Sponsor: _____

PRINCIPAL INVESTIGATOR CERTIFICATIONS, DISCLOSURES AND ASSURANCES

By signing below I certify that I have read and understand the statements below and those contained in this *Internal Approval Form* and further certify that the statements contained herein are accurate and truthful to the best of my knowledge and belief:

- | Yes | No | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | All applicable items contained in the Compliance Data section have been identified. Investigator agrees to abide by any obligations applicable under VCU policies or other legal requirements (e.g., obtaining protocol approvals, adhering to export control laws, maintaining confidentiality, etc.). |
| <input type="checkbox"/> | <input type="checkbox"/> | Investigator has read and understands VCU's Conflict of Interest and Researcher Financial Conflict of Interest policies, has made any required disclosures, and prior to the expenditure of any awarded funds, if applicable, shall have reached an agreement with VCU for conditions or restrictions to reduce, manage or eliminate any conflicts of interest under University policy. |
| <input type="checkbox"/> | <input type="checkbox"/> | The enclosed proposal is complete in technical content, adheres to norms of proper scholarship and responsible conduct of research, including proper citation and attribution for all text and graphics, complies with federal guidance on research integrity (e.g., see VCU policy on responsible conduct in research), and is in accordance with all specifications from the sponsoring agency. |
| <input type="checkbox"/> | <input type="checkbox"/> | The space/facilities and other VCU resources necessary to conduct the proposed project are currently available to the investigators and if not currently available, arrangements will be made with the Department/School/Division to make all necessary resources available in the event an award is made by the sponsor. |
| <input type="checkbox"/> | <input type="checkbox"/> | If the proposal enclosed is funded and accepted by VCU, Investigator agrees to conduct the project in accordance with all terms and conditions stipulated by the sponsoring agency and all applicable VCU policies and procedures; furthermore, Investigator agrees to be fully responsible in meeting the requirements of the award, including but not limited to, proper and ethical stewardship of funds, timely submission of all required technical reports and deliverables, proper disclosure of all inventions to VCU's Technology Transfer Office, and also adhering to all federal compliance requirements (e.g., Export Control, HIPAA, IRB, IACUC, other Human Research protections, etc.). |
| <input type="checkbox"/> | <input type="checkbox"/> | Investigator acknowledges that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. |

PI Signature**Date**

*The Conflict of Interest Disclosure form is available at <http://www.research.vcu.edu/forms/ConflictofInterestDisclosureForm.doc>.

REQUIRED SIGNATURES

We, the undersigned, do certify to the best of our knowledge and behalf that 1) the designated faculty will be released for the effort indicated; 2) personnel costs are correctly estimated; 3) adequate and suitable space is/will be provided for completion of the project; 4) no named participant is debarred from this application; and 5) this project is consistent with the educational and research objectives of the University.

[For additional signature areas, please see the Continuation Page.](#)

Principal Investigator/Date

- ☐
- A copy of this proposal has been delivered to my Department Chair for review.
-
- (Check Box)

Dean/Date

Co-Investigator/Date

- ☐
- A copy of this proposal has been delivered to my Department Chair for review.
-
- (Check Box)

Dean/Date

Co-Investigator/Date

- ☐
- A copy of this proposal has been delivered to my Department Chair for review.
-
- (Check Box)

Dean/Date

Services Investigator/Date

**Appropriate approvals obtained (see above).
Approved on behalf of the University:**

Dean/Date

Clinical Trials Office/Date*
(*Only if Clinical Trial)

University Official/Date

PI: Pi name is entered here **PT/PD Number:** PD number **Team:** Team Name
Department Responsible for Administering /Fiscal Management of Project
SPONSOR: Sponsor Name Goes Here

PI: Pi name is entered here **PT/PD Number:** PD number **Team:** Team Name
Department Responsible for Administering /Fiscal Management of Project
SPONSOR: Sponsor Name Goes Here

PI:	<u>Pi name is entered here</u>	PT/PD Number:	<u>PD number</u>	Team:	<u>Team Name</u>
Department Responsible for Administering /Fiscal Management of Project					
SPONSOR:	<u>Sponsor Name Goes Here</u>				

SUBAWARD/SUBCONTRACT #1 (External to VCU): Subcontractor Name is entered here						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Consortium Direct Costs						0
Consortium Indirect Costs						0
Subtotal of Consortium DC-IDC	0	0	0	0	0	0
Consortium Cost Share						0
Consortium Total Costs	0	0	0	0	0	0
SUBAWARD/SUBCONTRACT #2 (External to VCU): Subcontractor Name is entered here						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Consortium Direct Costs						0
Consortium Indirect Costs						0
Subtotal of Consortium DC-IDC	0	0	0	0	0	0
Consortium Cost Share						0
Consortium Total Costs	0	0	0	0	0	0
SUBAWARD/SUBCONTRACT #3 (External to VCU): Subcontractor Name is entered here						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Consortium Direct Costs						0
Consortium Indirect Costs						0
Subtotal of Consortium DC-IDC	0	0	0	0	0	0
Consortium Cost Share						0
Consortium Total Costs	0	0	0	0	0	0
SUBAWARD/SUBCONTRACT #4 (External to VCU): Subcontractor Name is entered here						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Consortium Direct Costs						0
Consortium Indirect Costs						0
Subtotal of Consortium DC-IDC	0	0	0	0	0	0
Consortium Cost Share						0
Consortium Total Costs	0	0	0	0	0	0
SUBAWARD/SUBCONTRACT #5 (External to VCU): Subcontractor Name is entered here						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Consortium Direct Costs						0
Consortium Indirect Costs						0
Subtotal of Consortium DC-IDC	0	0	0	0	0	0
Consortium Cost Share						0
Consortium Total Costs	0	0	0	0	0	0
SUBAWARD/SUBCONTRACT #6 (External to VCU): Subcontractor Name is entered here						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Consortium Direct Costs						0
Consortium Indirect Costs						0
Subtotal of Consortium DC-IDC	0	0	0	0	0	0
Consortium Cost Share						0
Consortium Total Costs	0	0	0	0	0	0
TOTAL PROJECT COSTS						
	Year One	Year Two	Year Three	Year Four	Year Five	Project Total
Direct Costs (includes consortia indirect)	0	0	0	0	0	0
VCU Indirect Costs	0	0	0	0	0	0
Subtotal of DC-IDC	0	0	0	0	0	0
Cost Share	0	0	0	0	0	0
Total Costs	0	0	0	0	0	0



Virginia Commonwealth University
Office of Sponsored Programs

Transaction Routing Form

PD/PT# _____
PI _____
Dept. _____

For OSP Use Only:

Date & Time _____

PROPOSAL TRANSACTIONS

- ☐ New Proposal – Include completed and signed IAF, COI, cost share authorization, line item budget, sponsor program announcement and complete proposal as requested by sponsor
- ☐ Confidentiality Disclosure Agreement
- ☐ Request for Continuation and/or Supplemental Funds – Include completed and signed IAF, COI, cost share authorization, line item budget, etc.
- ☐ Change of Institution Request (transfer in to VCU) – Include completed and signed Grant Transfer Between Institutions form, IAF, COI, cost share authorization, line item budget as well all sponsor-required documentation

PRE-AWARD TRANSACTIONS

- ☐ Just In Time – Include completed JIT report for review and submission by OSP staff. Check here ☐ if JIT documentation has been uploaded to eRACommons.
- ☐ Revised Budget Request – Include revised budget
- ☐ Award for Negotiation/Process – Include award to be reviewed

POST-AWARD TRANSACTIONS

- ☐ Subaward Request or Subaward Modification Request – Include completed Subaward Request or Subaward Modification Request Form and required attachments
- ☐ Progress Report/Non-Competing Continuation – Include completed Progress Report Routing Form
- ☐ Carryforward Request – Include Carry-forward letter
- ☐ No-Cost Extension Request – Include completed No-Cost Extension Request Form and attachments
- ☐ Change of PI Request – Include completed IAF and COI with PI Change Request letter for sponsor and new PI biosketch
- ☐ Change of Institution Request (Transfer Out of VCU) – Complete Grant Transfer Between Institutions form as well as all sponsor-required documentation
- ☐ Modification – Decrease of Funds
- ☐ Modification – Increase of Funds not reported on initial IAF – Include completed and signed IAF, COI, cost share authorization, line item budget, etc.
- ☐ Other Prior Approval Request: Type: _____
- ☐ Other: _____

NSF/NIH RCR Training Requirements

Compliance with the America COMPETES Act

- **The America COMPETES Act, signed into law in 2007, mandates training in the Responsible Conduct of Research (Section 7009). Both NSF and NIH have published regulations implementing this requirement.**

America Competes Act

- Effective January 4, 2010, the Authorized Organizational Representative must certify that the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research.
- As of January 4, 2010, all undergraduate students, graduate students and postdoctoral researchers supported by NSF to conduct research must complete Responsible Conduct of Research education.
- Beginning with applications submitted to NSF on January 4, 2010, each PI will certify on the Internal Approval Form that all undergraduate students, graduate students and postdoctoral researchers to be supported by an NSF award will complete the VCU program of education in RCR.

NSF Requirements and Implementation

- NIH requires that all trainees, fellows, participants, and scholars receive support through any NIH training, career development award (individual or institutional) research education grant, and dissertation research grant must receive instruction in responsible conduct of research. This requirement will take effect for all new and renewal applications submitted on or after January 25, 2010, and all continuation applications with deadlines on or after January 1, 2011. This applies to the following programs: **D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R.** This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that require instruction in responsible conduct of research as stated in the relevant funding opportunity announcements.
- **As of January 25, 2010, all** trainees, fellows, participants, and scholars supported through any NIH training, career development award (individual or institutional), research education grant, or dissertation research grant must complete Responsible Conduct of Research education as a part of their program.
- Each PI will certify on the Internal Approval Form that all individuals to be supported by a NIH training, career development, research education grant, or dissertation research grant award will complete an appropriate program in Responsible Conduct of Research in accordance with the NIH guidelines.

NIH Requirements and Implementation

- Introduction to the Responsible Conduct of Research
- Research Misconduct
- Data Acquisition and Management
- Responsible Authorship and Publication
- Peer Review
- Mentoring
- Conflicts of Interest
- Collaborative Research
- Human Subjects, Live Vertebrate Animal Subjects and Safe Laboratory Practices
- The Scientist as a Responsible Member of Society

Responsible Conduct of Research Curriculum

- All undergraduate students, graduate students, and postdoctoral researchers supported by a NSF grant or supported by one of NIH's training, career development, research education, or dissertation research grants must complete the web-based (CITI) training.

VCU Plan

- Graduate Students and Post-Doctoral Researchers appointed on NIH training, career development, research education, or dissertation research grants must also complete one of the following courses in addition to the CITI training to meet the NIH RCR education requirement.
- **MICR510:** Scientific Integrity (1 credit; fall semester)
- **CCTR690:** Research Seminars in Clinical and Translational Sciences: Responsible Conduct of Research (1 credit; any semester depending on need)

**Additional Training Requirements
for NIH Trainees, etc.**

- The required monitoring program to ensure compliance with this requirement will be established by the Research Development Advisory Council (ReDAC) at their next meeting on January 26, 2010
- OSP will announce and publicize that plan following completion

Monitoring Program

EVerify

- Does not eliminate the Form I9
- VCU will be required to begin using E-Verify September 8, 2009
 - Required only for employees assigned to covered federal contracts
 - Current employees – only if notified by federal agency that requirement has been added
 - New Hires

Proposed Process:

- **Form I-9 and E-Verify MUST BE COMPLETED PRE-EMPLOYMENT FOR ALL EMPLOYEES WORKING ON FEDERAL CONTRACTS.**

Step 1: Sponsored Programs will:

- Include in award notification to department, a statement that employees working on this contract must have a Form I-9 and EVerify completed **PRIOR** to working on the covered federal contract.
- Notify departments if request to amend contract is received by issuing federal agency.
- Renee Wilson in HR Compliance (HRC) will be copied on all emails.

Step 2: HRC will follow up with the department's Personnel Administrator (PA) for a list of employee's working on the contract.

- PAs must notify HRC when new employees are hired or reassigned to work on the covered federal contract.

Step 3: For classified employees, the PA must ensure that the employee's work profile (EWP) is updated in eJobs to include EVerify is a condition of employment (will be confirmed by HRC).

Step 3: Once the Form I-9 has been completed, HRC will request the EVerify check through HireRight.

Step 4: If nonconfirmation received, HRC will work with the employee, Department of Homeland Security, and the Social Security Administration to resolve the discrepancy.

- Nonconfirmations do not disqualify employee from working
- HRC will notify the PA and HR Employee Relations if nonconfirmation cannot be resolved.
 - May result in termination of employment.

American Recovery and Reinvestment Act (ARRA)

Funding and Reporting Updates

VCU's ARRA Statistics

- To date, we have 63 ARRA funded awards totaling \$28.6 million.
- 54 NIH awards
- 5 NSF awards
- 2 vendor contracts
- 1 HRSA award (Health Resources and Services Administration)
- 1 Dept. of Education award
- 5 awards have subcontracts

Job Estimates

- On December 18, 2009, OMB issued new guidance for reporting job estimates, effective for the quarter ending December 31, 2009, based on issues identified during the first reporting period.
- Recipients will now report job estimates on a **quarterly**, rather than cumulative, basis.
- Jobs are to be reported as hours worked and paid for with Recovery Act funds; translated into FTEs (Full-Time Equivalents).
- Jobs no longer need to be categorized as “created” or “retained.”

Job Estimates (cont'd)

- What we've changed as a result of the new guidance:
 - Principal Investigators will no longer be required to report numbers of jobs created/retained. OSP is obtaining hours paid on ARRA accounts from payroll, calculating the FTE and submitting.
- Payroll changes on ARRA grants should be minimal to ensure accurate reporting to FederalReporting.gov

Principal Investigator Reporting

- Principal Investigators will still be required to provide a narrative on:
 - Quarterly activities/Project Description
 - Description of Jobs Created (quarterly, not cumulative)
 - Number of jobs from subawardees
- Principal Investigators will be required to select one of the following as project status:
 - Not Started, Less than 50% Completed, More than 50% Completed, Fully Completed

Description of Jobs Created

- A narrative description of the employment impact of the Recovery Act funded work. This narrative **is for each calendar quarter** and at a minimum, will address the impact on the recipient's or federal contractor's workforce (for grants and loans, recipients shall also include the **impact on the workforces of sub recipients and vendors**). Provide a brief narrative description of the types of jobs created and jobs retained in the United States and outlying areas. This description may rely on job titles, broader labor categories, or the recipient's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work.

VCU
Office of Sponsored Programs
Office of Research



Committee on the Administration of Research's
Research Administration and Compliance Meeting
Update on NIH Form sets
January 21, 2010

Updates to NIH Form Sets

Presentation Topics:

- NIH Update: Applications Submitted on or after January 25, 2010
- Updates to VCUERA system
- NIH Update: PHS 2590 (Progress Reports)

Challenges and Opportunities in Peer Review

A Vision for Ensuring Its Strategic National Value

toni scarpa

scarpat@csr.nih.gov
301-435-1109



center for
scientific review

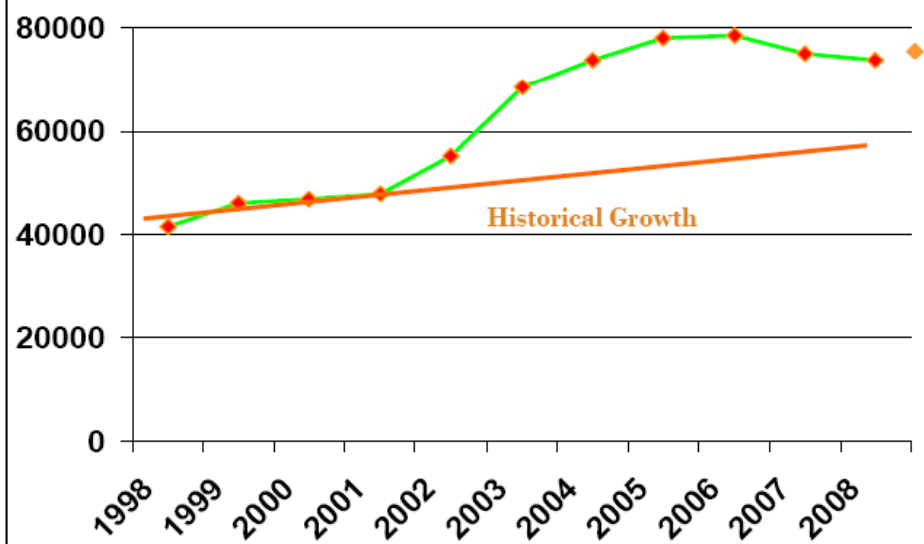
Virginia Commonwealth University
Richmond, VA
January 13, 2010

National Institutes of Health
U.S. Department of Health and Human Services

CSR Peer Review: 2009

- 115,000
- ~~77,000~~ applications received
- ~~16,000~~ reviewers 38,000
- ~~1,600~~ review meetings 1,800
- 240 Scientific Review Officers

2nd Driver: Number of Applications



Summary of Recommendations

- Engage the Best Reviewers
- Improve Quality and Transparency of Review
- Ensure Balance Across Scientific Fields and Career Stages
- Continuous Review of Peer Review

3. Improve Quality and Transparency of the Peer Review Process

Changes occurred at the last meetings (July 2009):

- Scores 1-9
- Assigned reviewers score each criterion
- Shorter summary statement, with boxes for each criterion
- Clustering new investigators
- Scores of individual criteria given to all applicants
- Discussed applications receive additional overall impact score

Changes occurring in 2010:

- Shorter application (12 pages for R01) designed to match scoring criteria

Restructured Application Forms and Instructions for Submissions for FY2011 Funding

Notice Number: NOT-OD-09-149

Update: The following update relating to this announcement has been issued:

- [January 21, 2010](#) - See Notice NOT-OD-10-050 Clarification on the Extended Error Correction Window and Format of the Research Strategy Section for Restructured Applications Intended for Due Dates on or After January 25, 2010.
- [January 8, 2010](#) - See Notice NOT-OD-10-042 Error-Correction Window Extended for Electronic Applications Intended for Submission Deadlines On and Between January 25 and May 7, 2010.
- [December 22, 2009](#) - See Notice NOT-HS-10-002 AHRQ Announces Changes to Peer Review Processes, Evaluation Review Criteria, and New Application Forms for Grant Applications.
- [December 17, 2009](#) - See Notice NOT-OD-10-031 Availability of Reissued Parent Announcements for Due Dates on or after January 25, 2010.
- [November 24, 2009](#) - See Notice NOT-OD-10-016 Now Available: Restructured Application Forms and Instructions for Application Due Dates on or after January 25, 2010.
- [October 26, 2009](#) - See Notice NOT-OD-10-008 Announcing the Transition of Institutional Training and Institutional Career Development Programs to Electronic Submission for due dates on/after January 25, 2010.
- [October 8, 2009](#) - See Notice NOT-OD-10-002 Clarification on Timing and Page Limits for Restructured Application Forms and Instructions that are required for Due Dates on or after January 25, 2010.
- [September 28, 2009](#) - See Notice NOT-GM-09-030 Clarification of New Page Limits and Restructuring of Application Submissions.

Purpose

This notice announces that new, restructured versions of the paper PHS 398 and electronic SF 424 (R&R) application packages and instructions will be available by December 2009.

Applicants must download and use the new application packages for submissions targeting due dates on or after January 25, 2010 (funding for fiscal year (FY) 2011 and beyond). Changes include significantly shorter page limits and restructured application packages. These changes will affect all competing applications submitted to NIH, as follows:

- all applications (including individual Career Awards) electronically submitted using application packages that combine the SF 424 (R&R) with PHS 398 components (e.g, PHS 398 Research Plan Component and PHS 398 Career Development Supplement Form);
- all electronically submitted Individual NRSA Fellowship applications using application packages that combine the SF 424 (R&R) with the PHS Fellowship Supplemental Form; and
- all applications using the paper PHS 398 application package.

Forms &
Deadlines

Forms &
Applications

Submission
Dates /
Deadlines

Submitting
Your
Application

Global OER
Resources

Glossary &
Acronyms

Frequently
Used Links

Frequent
Questions

NIH Forms & Applications

On This Page: Quick Links to Sections on this Page

Research Grants and Fellowships		
Forms / Applications / Instructions	Revision Dates	Description / Comments
SF424 (R&R)	01/2010	Standard Form 424 (Research & Related) Grant Application Forms – For use with applications intended for due dates on or after January 25, 2010. <i>Includes application guides and forms to be used with all competing applications for Research, Career Development, Institutional Training awards, and SBIR/STTR Awards.</i> See Electronic Submission Page and Related NIH Guide Notices .
	08/2009	Standard Form 424 (Research & Related) Grant Application Forms – For use with applications intended for due dates before January 25, 2010. <i>Includes application guides and forms to be used with all competing applications for Research grants, Fellowships, Career Development Awards, and SBIR/STTR Awards.</i> See Electronic Submission Page and Related NIH Guide Notices .
PHS 398	06/2009	Competing – Public Health Service Grant Application – For use with applications intended for due dates on or after January 25, 2010. <i>Includes application guides and forms to be used with all competing applications for Cooperative Agreements and Complex Mechanisms that do not use the SF424 (R&R) application package.</i> See 11/23/2009 NIH Guide Notice .
PHS 398	11/2007	Competing – Public Health Service Grant Application – For use with applications intended for due dates before January 25, 2010. <i>Includes application guides and forms to be used with all competing applications for Training grants, Cooperative Agreements, and Complex Mechanisms that do not use the SF424 (R&R) application package.</i> See 11/23/2009 NIH Guide Notice .

Related Resources

- [Unsolicited Applications \(Parent Announcements\)](#)

- [Standard Due Dates for Competing Applications](#)

- [Archive of Selected Policy Notices](#) (1993 - Present)

Important Notices:

- [NEW 01/14/2010](#)
Delays In Grant Application Submission due to Earthquake in Haiti January 2010
- [01/08/2010](#)
Error-Correction Window Extended for Electronic Applications Intended for Submission Deadlines On and Between January 25 and May 7, 2010
- [12/22/2009](#)
Delays In Grant Application Submission due to Record Snow December 2009
- [12/17/2009](#)
Availability of Reissued Parent Announcements for Due Dates on or after January 25, 2010
- [12/09/2009](#)
Delays In Grant Application Submission due to Record Snow December 2009

NIH SUBMISSION SCHEDULE: Standard Deadlines

REVISED NIH DEADLINES: 9/25/08	Receipt Cycle I	Receipt Cycle II	Receipt Cycle III
Program Project Grants and Center Grants – all P Series <i>new, renewal, resubmission, revision*</i>	January 25	May 25	September 25
Research Grants – R10, R18, R24, R25 <i>new, renewal, resubmission, revision*</i>	January 25	May 25	September 25
Research-Related and Other Programs – all S and G Series, C06, M01 <i>new, renewal, resubmission, revision*</i>	January 25	May 25	September 25
Institutional Ruth L. Kirschstein National Research Service Awards - T Series (Training)** <i>new, renewal, resubmission, revision*</i>	January 25	May 25	September 25
Research Grants - R01 <i>new</i>	February 5	June 5	October 5
Research Career Development – all K series <i>new</i>	Feb 12	June 12	October 12
Research Grants - R03, R21, R33, R21/R33, R34, R36 <i>new</i>	February 16	June 16	October 16
Academic Research Enhancement Award (AREA) - R15 <i>new, renewal, resubmission, revision*</i>	February 25	June 25	October 25
Research Grants - R01 <i>renewal, resubmission, revision*</i>	March 5	July 5	November 5
Research Career Development – all K series <i>renewal, resubmission, revision*</i>	March 12	July 12	November 12
Research Grants - R03, R21, R33, R21/R33, R34, R36 <i>renewal, resubmission, revision*</i>	March 16	July 16	November 16
New Investigator – R01 <i>resubmission* for those applications involved in pilot ONLY (http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-060.html)</i>	March 20	July 20	November 20
Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR) Grants - R43, R44, R41 and R42 <i>new, renewal, resubmission, revision*</i>	April 5	August 5	December 5
Individual Ruth L. Kirschstein National Research Service Awards (Standard) – all F series Fellowships. <i>new, renewal, resubmission</i>	April 8	August 8	December 8
Conference Grants and Conference Cooperative Agreements- R13,U13 <i>new, renewal, resubmission, revision*</i>	April 12	August 12	December 12
AIDS and AIDS-Related Grants ALL of the mechanisms cited above <i>new, renewal, resubmission, revision*</i>	May 7	September 7	January 7
Earliest Possible Start	December	April	July

•The move to electronic applications has brought a change in terminology. The new Grants.gov terminology (included in the table above) corresponds to traditional NIH terms as follows:

- **New** = new
- **Revision** = Competing Supplement
- **Resubmission** = a revised or amended application
- **Renewal** = Competing Continuation
- **Continuation** = Noncompeting Progress Report

NIH Table for Mechanism Transition

Activity Code	Final Due Date for Current Forms	First Due Date for New Forms
P (Program Project and Center)	9/25/2009	1/25/2010
T (Training)	9/25/2009	1/25/2010
C06/UC6, R18/U18, R24/U24, R25, G07, G08, G11, G13, G20, D71/U2R, M01, S06, S11, S21, S22, SC1, SC2, SC3, U19, U45, U54, U56	9/25/2009	1/25/2010
R15	10/25/2009	2/25/2010
R01, U01	11/5/2009	2/5/2010
K (Career Development)	11/12/2009	2/12/2010
R03, R21, R33, R21/R33, R34, R36	11/16/2009	2/16/2010
R41, R42, R43, R44	12/5/2009	4/5/2010
F (Individual NRSA Fellowship)	12/8/2009	4/8/2010
R13/U13	12/12/2009	4/12/2010
F31 Diversity Fellowship	12/13/2009	4/13/2010
AIDS and AIDS-Related Applications (supersedes ALL dates shown above)	1/7/2010	5/7/2010

Important Items to Note

- New SF424 form will be identified as “ADOBE_FORMS_B” (replacing “ADOBE_FORMS_A”)
- New PHS 398 form will be dated June 2009
- Parent Announcements have been updated
- Updates to Research, Biosketches and Resources
- Significant reduction to page limits for Research Section
- New forms and page limits apply to new applications AND revisions

Parent Announcement Update

The following Parent Announcements are available (sorted by Activity Code):

[[Research \(R\)](#) | [Research Training \(T\)](#) | [Career Development \(K\)](#) | [Fellowships \(F\)](#)]

*** Alert:** NIH is in the process of reissuing all parent announcements. If you intend to apply for a due date of January 25 or beyond, please be sure to use the parent announcement that has a release date of December 2009 or beyond, as marked with a red asterisk. If you don't see a new announcement for the type of grant application you're considering – check back, it may be posted soon. See Notice [NOT-OD-10-031](#) for more information.

Research (R) Announcements

Activity Code(s)	Title	Announcement Number	Issuing Organization	Release Date	Opening Date (SF424 Only) ?	Expiration Date
R01 *	Research Project Grant (Parent R01)	PA-10-067	NIH	12/17/2009	01/05/2010	01/08/2013
R03 *	NIH Small Research Grant Program (Parent R03)	PA-10-064	NIH	12/17/2009	01/16/2010	01/08/2013
R13,U13 *	NIH Support for Conferences and Scientific Meetings (Parent R13/U13)	PA-10-071	NIH	01/04/2010	03/12/2010	01/08/2013
R15 *	Academic Research Enhancement Award (Parent R15)	PA-10-070	NIH	12/24/2009	01/25/2010	01/08/2013
R21 *	NIH Exploratory Developmental Research Grant Program (Parent R21)	PA-10-069	NIH	12/24/2009	01/16/2010	01/08/2013
R41,R42 *	PHS 2010-02 Omnibus Solicitation of the NIH, CDC, FDA and ACF for Small Business Innovation Research Grant Applications (Parent SBIR [R43/R44])	PA-10-051	NIH	01/15/2010	03/05/2010	01/08/2011
R43,R44 *	PHS 2010-02 Omnibus Solicitation of the NIH, CDC, FDA and ACF for Small Business Innovation Research Grant Applications (Parent SBIR [R43/R44])	PA-10-050	NIH	01/15/2010	03/05/2010	01/08/2011

Research Training (T) Announcements

Activity Code(s)	Title	Announcement Number	Issuing Organization	Release Date	Opening Date (SF424 Only) ?	Expiration Date
T32 *	Ruth L. Kirschstein National Research Service Award (NRSA) Institutional Research Training Grants (T32)	PA-10-036	NIH	11/25/2009	01/05/2010	01/08/2013
T35 *	Ruth L. Kirschstein National Research Service Award Short-Term Institutional Research Training Grants (T35)	PA-10-037				

Career Development (K) Announcements

Activity Code(s)	Title	Announcement Number	Issuing Organization	Release Date	Opening Date (SF424 Only) ?	Expiration Date
K01 *	Mentored Research Scientist Development Award (Parent K01)	PA-10-056	NIH	12/16/2009	01/12/2010	05/08/2012
K02 *	Independent Scientist Award (Parent K02)	PA-10-057	NIH	12/16/2009	01/12/2010	01/08/2013
K07 *	Academic Career Award (Parent K07)	PA-10-058	NIH	12/16/2009	01/12/2010	01/08/2013
K08 *	Mentored Clinical Research Career Development Award (Parent K08)	PA-10-059	NIH	12/16/2009	01/12/2010	01/08/2013
K23 *	Mentored Patient-Oriented Research Career Development Award (Parent K23)	PA-10-060	NIH	12/17/2009	01/12/2010	01/08/2013
K24 *	Midcareer Investigator Award in Patient-Oriented Research (Parent K24)	PA-10-061	NIH	12/16/2009	01/12/2010	01/08/2013
K25 *	Mentored Quantitative Research Development Award (Parent K25)	PA-10-062	NIH	12/17/2009	01/12/2010	01/08/2012
K99/R00 *	NIH Pathway to Independence Award (Parent K99/R00)	PA-10-063	NIH	12/16/2009	01/12/2010	01/08/2013

Summary of New Page Limitations (by Mechanism)

Table of Page Limits

Changes effective for due dates on or after January 25, 2010
Updated on December 18, 2009

Section of Application	Activity Codes	Page Limits *
Introduction to Revision Application	For all Activity Codes	1 page
Introduction to Resubmission Application	For all Activity Codes, EXCEPT Training (T) , D43 , D71 , K12 , and R25 applications	1 page
	For institutional Training (T) , International Training (D43 , D71), Institutional Career Awards (K12), and Research Education Applications (R25)	3 pages
Introduction to Revision or Resubmission Applications	For each project and core of multi-component applications	1 page
Specific Aims	For all Activity Codes that use an application form with the Specific Aims section	1 page
Research Strategy	For Activity Codes R03 , R13/U13 , R21 , R36 , R41 , R43 , Fellowships (F) , SC2 , SC3 , X01	6 pages
	For Activity Codes R01 , single project U01 , R10 , R15 , R18 , U18 , R21/R33 , R24 , R33 , R34 , U34 , R42 , R44 , DP3 , G08 , G11 , G13 , UH2 , UH3 , SC1 , X01	12 pages
	For each project and core of multi-component applications, such as Program Project/Center (P)	Generally 6 or 12 pages**
	For all other Activity Codes	Follow FOA instructions
Research Education Program Plan (uploaded via the Research Strategy)	For Research Education Grant Applications (R25)	25 pages
Combined: First four items of Candidate Information (Candidate's Background, Career Goals and Objectives, Career Development/Training Activities During Award Period, and Training in the Responsible Conduct of Research) and Research Strategy	For Individual Career Development Award (K) Applications	12 pages
Combined: Items 2-5 of Research Training Program Plan	For Institutional Career Development and Research Training Applications, including K12 , T , D43 , and D71	25 pages
Commercialization Plan	For R42 and R44	12 pages
Biographical Sketch	For all Activity Codes except DP1 and DP2	4 pages
	For DP1 and DP2	2 pages

Research Plan Update

Alignment of the Application with Peer Review Criteria. To coordinate with the enhanced peer review criteria, changes will be made to the following sections of the application forms and instructions: 1) Research Plan, 2) Resources, and 3) Biographical Sketch.

- Research Plan.** Three sections of the current Research Plan (Background and Significance, Preliminary Studies/Progress Report, and Research Design and Methods) will be consolidated into a new single section within the Research Plan entitled Research Strategy. The new Research Strategy section (a single PDF upload in the PHS 398 Research Plan Component of the SF 424 (R&R)), will be sub-divided into three parts: Significance, Innovation, and Approach. The Approach sub-section will include both Preliminary Studies for New Applications and Progress Report for Renewal/Revision Applications.

Current Research Plan (Section 5.5)	Restructured Research Plan (Section 5.5)
1. Introduction to Application (Resubmission or Revision Applications only)	1. Introduction to Application (Resubmission or Revision Applications only)
2. Specific Aims	2. Specific Aims
3. Background and Significance	3. Research Strategy a. Significance b. Innovation c. Approach • Preliminary Studies for New Applications • Progress Report for Renewal/Revision Applications
4. Preliminary Studies/Progress Report	
5. Research Design and Methods	
6. to 12.	4. to 10. (renumbered)
13. Select Agent Research	11. Select Agent Research (modified)
14. to 17.	12. to 15. (renumbered)

Biographical Sketch Update

BIOGRAPHICAL SKETCH			
Provide the following information for the Biographical personnel and other significant contributors. Follow this format for each person. DO NOT EXCEED FOUR PAGES.			
NAME Hunt, Virginia Lively	POSITION TITLE Associate Professor of Psychology		
eRA COMMONS USER NAME (credential, e.g., agency login) huntvl			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing; include postdoctoral training and residency training if applicable.)			
INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY
University of California, Berkeley	B.S.	05/90	Psychology
University of Vermont	Ph.D.	05/96	Experimental Psychology
University of California, Berkeley	Postdoctoral	08/98	Public Health and Epidemiology

A. Personal Statement

The goal of the proposed research is to investigate the interaction between processes. Specifically, we plan to measure changes in cognitive ability across a five-year period in a group of older drug users and matched controls and motivation necessary to successfully carry out the proposed work. I have psychology, with specific training and expertise in key research areas for the fellow at Berkeley, I carried out ethnographic and survey research and social psychological aspects of drug addiction. At the Division of Intramural Research Drug Abuse (NIDA), I expanded my research to include neuropsychological As PI or co-investigator on several previous university- and NIH-funded grant proposed research by developing effective measures of disability, depression relevant to the aging substance abuser, and by establishing strong ties with make it possible to recruit and track participants over time. In addition, I supervised (e.g. staffing, research protections, budget), collaborated with other research reviewed publications from each project. As a result of these previous experience importance of frequent communication among project members and of consistent timeline, and budget. The current application builds logically on my prior work investigators (Drs. Gryczynski and Newlin) who provide additional expertise geriatrics. In summary, I have a demonstrated record of successful and productive area of high relevance for our aging population, and my expertise and experience the proposed project.

B. Positions and Honors

Positions and Employment

1998-2000	Fellow, Division of Intramural Research, National Institute on Drug Abuse
2000-2002	Lecturer, Department of Psychology, Middlebury College
2001-	Consultant, Coastal Psychological Services, San Francisco
2002-2005	Assistant Professor, Department of Psychology, Washington State University
2005-	Associate Professor, Department of Psychology, Washington State University

Other Experience and Professional Memberships

1995-	Member, American Psychological Association
1998-	Member, Gerontological Society of America
1998-	Member, American Geriatrics Society
2000-	Associate Editor, Psychology and Aging
2003-	Board of Advisors, Senior Services of Eastern Missouri
2003-04	NIH Peer Review Committee: Psychobiology of Aging, ad hoc reviewer
2005-09	NIH Risk, Adult Addictions Study Section, member

Honors

2003	Outstanding Young Faculty Award, Washington University, St. Louis, MO
2005	Excellence in Teaching, Washington University, St. Louis, MO
2008	Award for Best in Interdisciplinary Ethnography, International Ethnographic Society

C. Selected Peer-reviewed Publications (Selected from 42 peer-reviewed publications)

Most relevant to the current application

- Merryle, R.J. & Hunt, V.L. (2004). Independent living, physical disability and substance abuse among the elderly. *Psychology and Aging*, 23(4), 10-22.
- Hunt, V.L., Jensen, J.L. & Crenshaw, W. (2007). Substance abuse and mental health among community-dwelling elderly. *International Journal of Geriatric Psychiatry*, 24(9), 1124-1135.
- Hunt, V.L., Wiechelt, S.A. & Merryle, R. (2008). Predicting the substance-abuse treatment needs of an aging population. *American Journal of Public Health*, 45(2), 236-245. PMID: PMC9162292
- Hunt, V.L., Newlin, D.B. & Fishbein, D. (2009). Brain imaging in methamphetamine abusers across the life-span. *Gerontology*, 45(3), 122-145.
- Hunt, V.L. & Sher, K.A. (2009). Successful intervention models for older drug-abusers: Research across the life-span. *American Psychologist*, in press. PMID: NIHMS99135

Additional recent publications of importance to the field (in chronological order)

- Gryczynski, J., Shaft, B.M., Merryle, R., & Hunt, V.L. (2002). Community based participatory research with late-life addicts. *American Journal of Alcohol and Drug Abuse*, 15(3), 222-238.
- Shaft, B.M., Hunt, V.L., Merryle, R., & Venturi, R. (2003). Policy implications of genetic transmission of alcohol and drug abuse in female nonusers. *International Journal of Drug Policy*, 30(5), 46-58.
- Hunt, V.L., Marks, A.E., Shaft, B.M., Merryle, R., & Jensen, J.L. (2004). Early-life family and community characteristics and late-life substance abuse. *Journal of Applied Gerontology*, 28(2), 26-37.
- Hunt, V.L., Merryle, R., & Jensen, J.L. (2005). The effect of social support networks on mortality among elderly substance abusers. *Journal of the American Geriatrics Society*, 53(4), 15-23.
- Hunt, V.L., Pour, B., Marks, A.E., Merryle, R., & Jensen, J.L. (2005). Aging out of methadone treatment. *American Journal of Alcohol and Drug Abuse*, 15(6), 134-149.
- Hunt, V.L., Marks, A.E., Venturi, R., Crenshaw, W., & Ratonian, A. (2006). Community-based intervention strategies for reducing alcohol and drug abuse in the elderly. *Addiction*, 104(9), 1436-1456. PMID: PMC9000292
- Merryle, R. & Hunt, V.L. (2006). Randomized clinical trial of cotinine in older nicotine addicts. *Age and Ageing*, 35(2), 9-23. PMID: PMC9002364
- Hunt, V.L., Jensen, J.L. & Merryle, R. (2008). The aging addict: ethnographic profiles of the elderly drug user. NY, NY: W. W. Norton & Company.
- Hunt, V.L. (2009). Contrasting ethnicity with race in the older alcoholic. *The Journals of Gerontology Series B: Psychological Sciences and Social Sciences*, in press. PMID: PMC Journal - In Process.
- Hunt, V.L. (2009). Intervening successfully with the older methadone patient. *Journal of Applied Gerontology*, 13(4), 67-79.

• Biographical Sketch

- A new Personal Statement will be incorporated as Part A, changing the parts formerly called A, B, and C to Parts B, C, and D.
- Applicants should limit the list of selected peer-reviewed publications to no more than 15. These 15 publications should be chosen on the basis of recency, importance to the field, and relevance to the proposed research.

D. Research Support

Ongoing Research Support

R01 DA942367-03	Hunt (PI)	09/01/07-08/31/12
Health trajectories and behavioral interventions among older substance abusers		
The goal of this study is to compare the effects of two substance abuse interventions on health outcomes in an urban population of older opiate addicts.		
Role: PI		

R01 MH922731-05	Merryle (PI)	07/15/05-06/30/10
Physical disability, depression and substance abuse in the elderly		
The goal of this study is to identify disability and depression trajectories and demographic factors associated with substance abuse in an independently-living elderly population.		
Role: Co-investigator		

Faculty Resources Grant, Washington University	08/15/09-08/14/11
Opiate Addiction Database	
The goal of this project is to create an integrated database of demographic, social and biomedical information for homeless opiate abusers in two urban Missouri locations, using a number of state and local data sources.	

Completed Research Support

K02 AG442898	Hunt (PI)	09/01/06-08/31/09
Drug Abuse in the Elderly		
Independent Scientist Award: to develop a drug addiction research program with a focus on substance abuse among the elderly.		
Role: PI		

R21 AA998075	Hunt (PI)	01/01/04-12/31/06
Community-based intervention for alcohol abuse		
The goal of this project was to assess a community-based strategy for reducing alcohol abuse among older individuals.		
Role: PI		

Resource Plan Update

- **Resources.** The Facilities and Other Resources section will be changed to require a description of how the scientific environment will contribute to the probability of success of the project, unique features of the environment, and for Early Stage Investigators, the institutional investment in the success of the investigator (e.g. resources, classes, etc.).
The Facilities and Other Resources section is part of the R&R Other Project Information in the SF 424 (R&R) application, and part of the Resources Format Page in the paper PHS 398 application.

Using old forms after 1/25/10 transition...at NIH's discretion



eRA Update: Grace Period for Submissions After Opportunities Expire

eRA Communications Office to: ERA_COMMONS_ADMIN-L

01/13/2010 04:57 PM

Sent by: ESubmission Update to Organization Officials
<ERA_COMMONS_ADMIN-L@LIST.NIH.GOV>

Please respond to eRA Communications Office

History:

This message has been forwarded.

eRA Update: Grace Period for Submissions After Opportunities Expire

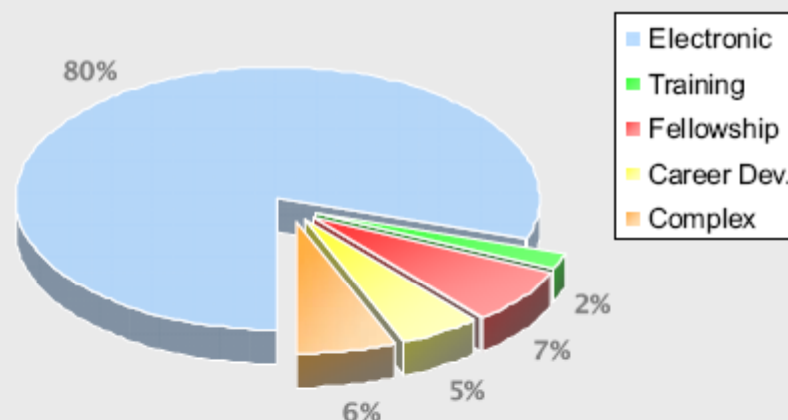
January 13, 2010

We would like to take this opportunity to remind you that while many of NIH's funding opportunities expire the day after the submission deadline, NIH posts all opportunities in a way that allows submissions through Grants.gov to continue for a short period of time following the expiration date. This grace period accommodates corrective submissions during the "error-correction window," late submissions allowed under NIH's late policy (when applicable), and submissions made under NIH's Continuous Submission policy. The grace period also provides NIH with the flexibility to institute contingency plans (e.g. extending deadlines or the error-correction window).

Please note that while the grace period allows for the submission of applications to Grants.gov, applications submitted during the grace period are accepted only at the discretion of NIH.

*eRA Communications
Division of Communications and Outreach
NIH Office of Extramural Research*

NIH Planned Transition Dates of Mechanisms for Electronic Submission using the SF424 (R&R)

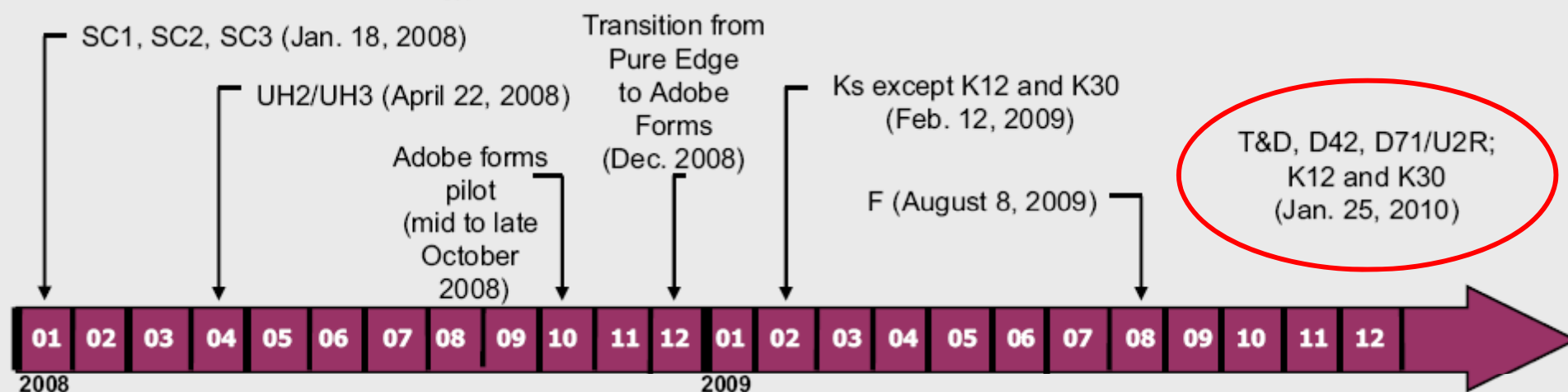


Transitions on Hold:

•Complex - Project/Center, (P), G12, M01, R10/U10, R24/U24, S06, U01, U19, U45,

To view transitions from 2005 – 2007 visit:

http://era.nih.gov/ElectronicReceipt/files/Electronic_Receipt_Timeline_Ext.pdf



Mechanism Abbreviation Key:

D71/U2R International Training Cooperative Agreement/
Phase 2 of FIC mechanism D71

G Resource Program

P Research Program Projects and Centers

R10/U10 Cooperative Clinical Research Grants

R24/U24 Resource Related Research Projects

S06, S10, S11 Biomedical Research

SC1, SC2, SC3 Indiv. Investigator Initiated Research for Minority Serving Inst.
Faculty Cooperative Agreement Awards

UH2/UH3 Exploratory/Developmental Cooperative Agreement Phase I/
Phase II

F
K
T & D

Individual National Research Service Awards
Research Career Development
Institutional National Research Service Awards and Other Training
Grants

History of Changes in Timeline 2008-2009

Updated June 25, 2009

VCUeRA

- Upgrade of VCUeRA system software from Base 9 to Base 12 occurred September 18, 2009
- Vendor system patch to VCUeRA on January 8, 2010 to support change to NIH form sets
- Our eraHelp staff has tested the updates and worked with the vendor to resolve minor issues
- We are seeing some problems with F and T mechanisms in VCUeRA—contact eraHELP@vcu.edu if this affects you.
- The ability to create new proposals in VCUeRA turned on January 11, 2010
- Remember to select updated parent announcement (to ensure correct form set is used)

PHS 2590 Progress Report Updates

- Changes to Biosketch apply to progress report

The Biographical Sketch changes are also implemented for the [PHS 2590](#) Noncompeting Continuation Progress Report ([Notice OD-09-139](#)), effective October 1, 2009. Although not immediately required in competing applications, institutions may begin to include a Personal Statement and 15 or fewer publications in Biographical Sketches (as described in this Policy Announcement) prior to January 25, 2010 due dates, if desired.

- All Personnel Report: Effective October 1, 2009

Clarification of All Personnel Report in the Revised PHS 2590 (DHHS Public Health Service Noncompeting Continuation Progress Report)

Notice Number: NOT-OD-09-150

Key Dates

Release Date: September 22, 2009

Purpose

On August 28, 2009, the National Institutes of Health (NIH) issued the revised [PHS 2590](#) (DHHS Public Health Service Noncompeting Continuation Progress Report). The purpose of this Notice is to clarify the information that is to be reported on the All Personnel Report.

The instructions for the All Personnel Report, and the All Personnel Report form, have been modified to clarify that:

- the PD/PI(s) should always be listed on the form;
- regardless of the source of compensation, all personnel who participated in the project for at least one person month should be listed on the form; and
- one person month equals approximately 160 hours or 8.3% of annualized effort.

The All Personnel Report was previously a Senior/Key Personnel Report. However, Senior/key personnel should only be reported on the new All Personnel Report if they participated in the project for at least one person month. All senior/key personnel will continue to be listed on competing grant applications.

The instructions for the All Personnel Report are also clarified to indicate that grantees should not report personnel if they have submitted a 2271 Appointment form for those individuals (e.g., participants on R25 or R90 awards).

End of Sponsored Programs Presentation



Thank you and good luck.


www.hhs.gov

[Contact Us](#) | [Print Version](#)

Search:

Go

[Advanced Search](#) | [Site Map](#)
[Home](#) | [About Grants](#) | [Funding](#) | [Forms & Deadlines](#) | [Grants Policy](#) | [News & Events](#) | [About OER](#) | [NIH Home](#)

Grants Policy

[Policy & Guidance](#)
[Compliance & Oversight](#)
[Research Involving Human Subjects](#)
[Office of Laboratory Animal Welfare \(OLAW\)](#)
[Animals in Research](#)
[Peer Review Policies & Practices](#)
[Intellectual Property Policy](#)
[Invention Reporting \(iEdison\)](#)
[NIH Public Access](#)

Global OER Resources

[Glossary & Acronyms](#)
[Frequently Used Links](#)
[Frequent Questions](#)

Salary Cap Summary (FY 1990 - FY 2010)

Updated: January 6, 2010

[FY 2010 Awards](#) (Executive Level I)

October 1, 2009 through December 31, 2009	\$196,700
January 1, 2010 through December 31, 2010	\$199,700

[FY 2009 Awards](#) (Executive Level I)

October 1, 2008 through December 31, 2008	\$191,300
January 1, 2009 through December 31, 2009	\$196,700

[FY 2008 Awards](#) (Executive Level I)

October 1, 2007 through December 31, 2007	\$186,600
January 1, 2008 through December 31, 2008	\$191,300

[FY 2007 Awards](#) (Executive Level I)

October 1, 2006 through December 31, 2006	\$183,500
January 1, 2007 through December 31, 2007	\$186,600

[FY 2006 Awards](#) (Executive Level I)

October 1, 2005 through December 31, 2005	\$180,100
January 1, 2006 through December 31, 2006	\$183,500

[FY 2005 Awards](#) (Executive Level I)

October 1, 2004 through December 31, 2004	\$175,700
January 1, 2005 through December 31, 2005	\$180,100

[FY 2004 Awards](#) (Executive Level I)

October 1, 2003 through December 31, 2003	\$171,900
January 1, 2004 through December 31, 2004	\$175,700 *

* \$174,500 used for calculation from 1/1/04 - 3/2/04; \$175,700 approved 3/3/2004.

[FY 2003 Awards](#) (Executive Level I)

October 1, 2002 through December 31, 2002	\$166,700
January 1, 2003 through December 31, 2003	\$171,900

[FY 2002 Awards](#) (Executive Level I)

October 1, 2001 through December 31, 2001	\$161,200
January 1, 2002 through December 31, 2002	\$166,700

[FY 2001 Awards](#) (Executive Level I)

October 1, 2000 through December 31, 2000	\$157,000
January 1, 2001 through December 31, 2001	\$161,200
January 1, 2002 through December 31, 2002	\$166,700

[FY 2000 Awards](#) (Executive Level II)

October 1, 1999 through December 31, 1999	\$136,700
January 1, 2000 through December 31, 2000	\$141,300
January 1, 2001 through December 31, 2001	\$145,100

FY 1999 Awards (Executive Level III)

October 1, 1998 through December 31, 1999	\$125,900
January 1, 2000 through December 31, 2000	\$130,200

FY 1992 - FY 1998 Awards (\$125,000 - Not Tied to Executive Level)

October 1, 1991 through September 30, 1998	\$125,000
--	-----------

FY 1990 - FY 1991 Awards (\$120,000 - Not Tied to Executive Level)

October 1, 1989 through September 30, 1991	\$120,000
--	-----------

Send Questions or Comments to [NIH Grants Policy Help E-mail Address](#).

[Home](#) | [Contact Us](#) | [Site Map](#) | [Search](#) | [Help Downloading Files](#)
[Disclaimer](#) | [Privacy Notice](#) | [Accessibility](#) | [FOIA](#) | [Print Version](#) [Top of Page](#)

Page Last Reviewed: January 6, 2010
 Content Manager:
GrantsPolicy@od.nih.gov
 Technical Issues: [E-mail OER](#)
[Webmaster](#)



Ruth L. Kirschstein National Research Service Award (NRSA) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2010

Notice Number: NOT-OD-10-047

Key Dates

Release Date: January 13, 2010

Issued by

National Institutes of Health (NIH), (<http://www.nih.gov/>)

Agency for Healthcare Research and Quality (AHRQ), (<http://www.ahrq.gov/>)

Health Resources Services Administration (HRSA), (<http://www.hrsa.gov/>)

This Notice supersedes [NOT-OD-09-075](#), [NOT-OD-06-093](#), and [NOT-OD-09-066](#), and establishes new stipend levels for fiscal year (FY) 2010 Kirschstein-NRSA awards for undergraduate, predoctoral and postdoctoral trainees and fellows, as shown in the table below. The Tuition and Fees, Training Related Expenses for trainees and the Institutional Allowance for individual fellows remain unchanged, and are also provided below.

The budgetary categories described in this Notice are effective only for Kirschstein-NRSA awards made with FY 2010 funds. All FY 2010 awards issued using FY 2009 stipend levels will be revised to increase the stipend category to the FY 2010 level. Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2009 are not permitted.

Stipends

Effective with all Kirschstein-NRSA awards made on or after October 1, 2009, the following annual stipend levels apply to all individuals receiving support through institutional research training grants or individual fellowships, including the Minority Access to Research Career (MARC) and Career Opportunities in Research (COR) programs.

Career Level		Stipend for FY 2010
Undergraduates in the MARC and COR Programs:		
Freshmen/Sophomores		\$7,980
Juniors/Seniors		\$11,172
Predoctoral		\$21,180
Postdoctoral		
Years of Experience:		
	0	\$37,740
	1	\$39,756
	2	\$42,624
	3	\$44,304
	4	\$45,960
	5	\$47,940
	6	\$49,836
	7 or more	\$52,068

These stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

NRSA support is limited to 5 years for predoctoral trainees, and 3 years for postdoctoral fellows. The NIH provides eight levels of postdoctoral stipends to accommodate individuals who complete other forms of health-related training prior to accepting a Kirschstein-NRSA supported position. (The presence of eight discrete levels of experience, however, does not constitute an endorsement of extended periods of postdoctoral research training.)

It should be noted that the maximum amount that NIH will award to support the compensation package for a graduate student research assistant remains at the zero level postdoctoral stipend, as described in [NOT-OD-02-017](#).

Tuition and Fees, Training Related Expenses, and Institutional Allowances for Kirschstein-NRSA Recipients

For new and competing renewal institutional and individual NRSA awards made in FY 2007 or later, and for non-competing awards in FY 2007 for programs that received competing awards in FY 2006, the NIH will provide funds for tuition, fees, health insurance, and training related expenses, as detailed below.

A. Tuition and Fees

- **Predoctoral Trainees and Fellows:** For institutional training grants (**T32, T34, T35, T90, TL1**) and individual fellowships (**F30, F31**), an amount per predoctoral trainee equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided. If the trainee or fellow is enrolled in a program that supports formally combined dual-degree training (e.g., M.D.-Ph.D, D.D.S.-Ph.D.), the amount provided per trainee or fellow will be 60% of the level requested up to \$21,000 per year.
- **Postdoctoral Trainees and Fellows:** For institutional training grants (**T32, T35, T90, TL1**) and individual fellowships (**F32, F33**), an amount per postdoctoral trainee or fellow equal to 60% of the level requested by the applicant institution, up to \$4,500 per year, will be provided. If the trainee or fellow is enrolled in a program that supports postdoctoral individuals in formal degree-granting training, an amount per postdoctoral trainee or fellow equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided.

B. Training Related Expenses on Institutional Training Grants

- For institutional training grants (**T32, T34, T35, T90, TL1**), these expenses (including health insurance costs) for predoctoral and postdoctoral trainees will be paid at the amounts shown below for all competing awards made with FY 2010 funds. These amounts also apply to non-competing awards issued in FY 2010 for programs that received competing awards in FY 2006 or beyond:
 - **Predoctoral Trainees:** \$4,200
 - **Postdoctoral Trainees:** \$7,850
 - Further information about the implementation of Kirschstein-NRSA policies for tuition, fees, and health insurance can be found in [Questions and Answers Related to Related to NRSA Tuition, Fees, and Health Insurance Policy](#).

C. Institutional Allowance for Individual Fellows

This allowance for predoctoral and postdoctoral fellows will be paid at the amounts shown below for all competing awards made with FY 2010 funds.

- Institutional Allowance for individual fellows (**F30, F31, F32, F33**) sponsored by non-Federal Public, Private, and Non-Profit Institutions (Domestic & Foreign, including health insurance):
 - **Predoctoral Fellows:** \$4,200
 - **Postdoctoral Fellows:** \$7,850
- Institutional Allowance for Individual fellows (**F30, F31, F32, F33**) Sponsored by Federal and For-Profit Institutions (including health insurance):
 - **Predoctoral Fellows:** \$3,100
 - **Postdoctoral Fellows:** \$6,750

Inquiries

Specific questions concerning this notice or other policies relating to training grants or fellowships should be directed to the grants management office in the appropriate NIH Institute or Center, AHRQ, or HRSA. General inquiries concerning NRSA stipend and tuition policies should be directed to:

Rodney Ulane, Ph.D.
NIH Research Training Officer
National Institutes of Health
6705 Rockledge Drive, Room 3516
Bethesda, Maryland 20892-7963

Phone: (301) 451-4225
FAX: (301) 480-0146
Email: NIHTrain@mail.nih.gov

[Weekly TOC for this Announcement](#)
[NIH Funding Opportunities and Notices](#)



Office of
Extramural
Research
(OER)



National Institutes of
Health (NIH)
9000 Rockville Pike
Bethesda, Maryland
20892



Department of
Health
and Human
Services (HHS)



Note: For help accessing PDF, RTF, MS Word, Excel, PowerPoint, RealPlayer, Video or Flash files, see [Help Downloading Files](#).