Research Administration Lunch & Learn

October 2017

- Responsibilities within RA
- Funding Agency Updates
- ePAWS Best Practices
- Upcoming Learn More Sessions
- NSF Annual Training

Responsibilities

Research Administration

Task	Intake/Prep	Initial Review	Final Review/Approval
Proposal Review & Submission	ePAWS/Coeus	Grants Officers	Director, G&C (Eva)
Agreements & UPAF+ Misc E: (including industry if the prime is a federal agency).	GMAs/U#	Grants Officers	Director, G&C (Eva)
Award Acceptance	Temp (Madison)/A#	Compliance – Director AA (Amanda) Proposal Data/Budget – Grants Officers	Director, AA (Amanda)
Prior Approvals UPAF+ A-D Misc E: (JIT, ltrs to agency, etc.)	GMAs/U#	Grants Officers	Director, AA (Amanda)
Subawards – Outgoing	GMAs/U#	Manager (Dan)	Director, AA (Amanda)
Industry Agreements	GMA(Kelly)/C#	Senior Negotiator (Vacant)	AVP (Dana), CRI (Andy) & OGC (Rob)

http://www.northeastern.edu/research/raf/administrators-toolbox/

NIH Updates

NIH Grants Policy Statement – Updated Oct. 2017

NOT-OD-18-005

- **Sec. 2.3.5 Types of FOAs**: Applications submitted on or after 1/25/18 involving one or more clinical trials must be submitted through a FOA specifically designed for CTs.

- **Sec. 4.1.3 ClinicalTrials.gov and Dissemination of NIH-Funded Clinical Trial Information Requirements**: Applications submitted on or after 1/18/17 in support of a CT initiated on or after 1/18/17 must be registered at, and summary results information submitted to, ClinicalTrails.gov
  - *Contact Nan Regina with questions*

NIH Updates

National Institutes of Health
Turning Discovery Into Health

Clarification: Salary Supplementation and Compensation on Research Career Development ("K") Awards NOT-OD-17-094

Figure 1: Salary supplementation and compensation during the entire period of K award (up to 5 years)

Figure 2: Reduced effort during the final two years of a mentored K award
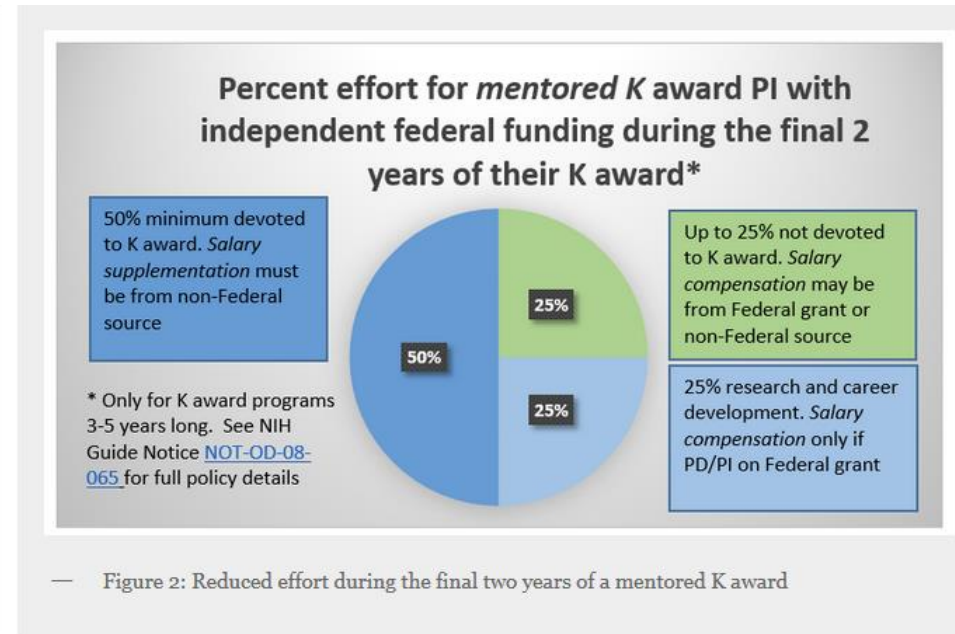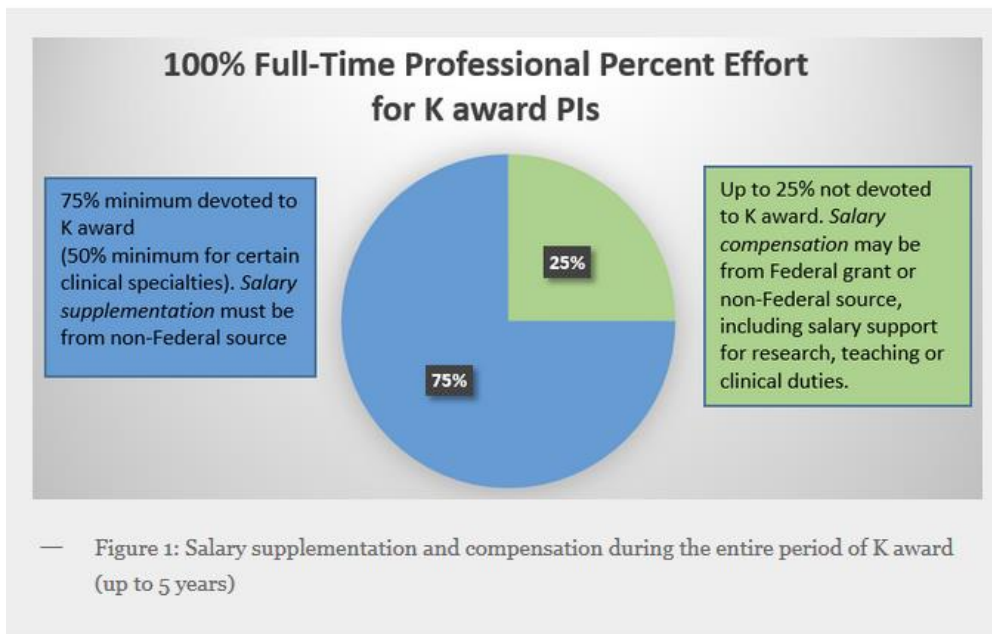
https://nexus.od.nih.gov/all/2017/10/11/clarifying-percent-effort-and-support-for-career-development-k-awardees/?utm_source=nexus&utm_medium=email&utm_content=nihupdate&utm_campaign=sep17

Research Terms and Conditions
Prior approval Matrix

Research Terms and Conditions Appendix A
Prior Approval Matrix
October 1, 2017

	Reference	RTC Overlay	NSF	DOE	NIH
Prior Written Approval (prior approval)*	200.407				
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	200.407(a)				
Changes in principal investigator (PI), project leader, project partner, or scope of effort.	200.201(b)(5)	Required	Required	Required	Required
Cost sharing or matching	200.407(b)				
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.	200.306(c)	Waived	Waived	Waived	Waived
Use of current fair market value to determine the value of non-Federal entity donations of services and property for the purposes of cost sharing or matching.	200.306(d)(2)	Waived	Waived	Waived	Waived
Costs of the fair market value of equipment or other capital assets and fair rental charges for land when the Federal award supports activities that require use of equipment, buildings or land.	200.306(h)(2)	Required	Required	Required	Required
Program Income	200.407(c)				
Use of program income during the period of performance (additive method).	200.307(e)(2)	Waived	Waived	Waived	Waived[5]
Revision of budget and program plans	200.407(d)				
Change in the scope or the objective of the project or program.	200.308(c)(1)(i)	Required	Required	Required	Required
Change in PI/PD specified in the application or Federal award.	200.308(c)(1)(ii)	Required	Required[14]	Required	Required
Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved PI/PD.	200.308(c)(1)(iii)	Required	Required[14]	Required	Required[6]
Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E -- Cost Principles.	200.308(c)(1)(iv)	Required	Waived[1]	Required	Waived[7]
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(c)(1)(v)	Required	Required[2]	Required	Waived[8]
Subawarding, transferring or contracting out any work under a Federal award. This provision does not apply to the acquisition of supplies, material, equipment or general purpose services.	200.308(c)(1)(vi)	Required	Required	Required	Waived[9]
Changes in the approved cost-sharing or matching provided by the non-Federal entity.	200.308(c)(1)(vii)	Required	Required	Required	Required

ePAWS Best Practcices

Northeastern University
Office of Research Administration and Finance

EPaws institutional record requirements:

1. Minimum requirements:
   a. Minimum fields: Research Theme, Title, FOA (or "none"), Lead Unit, Principal Investigator Name, Role
   b. All questions answered
   c. Attachments for institutional records required to approve college commitments include the budget, budget justification, and abstract, or alternatively, an export of the full proposal, as well as documentation supporting financial commitments (e.g. reduced F&A, tuition waivers, etc.)
2. For Subawards (incoming and outgoing):
   a. On incoming Subawards, list Prime PI name and admin contacts in the comments box
   b. On outgoing Subawards, list the names of the Subawardee(s) in the comments box
3. Required fields must be completed before the ePaws institutional record can be submitted for routing.

EPaws Best Practice Process:

1. Twice daily, Grant Officers (GOs) check ePaws for any institutional records associated with their portfolio:
   a. On tab "In Progress" they select "Assign to me;" As a result of "Assigning to GO", the GO will be alerted via email when an institutional record, with all requirements listed above, has been routed to the GO for review
   b. On tab "Pending Reviews" they select "Edit" and assign the record to themselves; they receive a confirming email that the record has been assigned to them
2. Within 2 business days of an institutional record being routed for review, the GO will review the institutional record, and provide a general review comments memo to the PI and department (which will be attached to the ePaws record)
   a. Institutional records may be returned for substantive changes
   b. When changes have been incorporated, or if there are no changes, GO will route the institutional record for college and PI approval
3. The department will alert the GO by email when the proposal application is ready for review (e.g. in Fastlane, ASSIST, or other method); GO will provide comments/corrections by return email to PI and college admin; GO will insert comment in ePaws when feedback is provided
4. Proposals applications will be submitted in accordance with the funding agency deadline, which if necessary, may be prior to obtaining all department/college approvals.
5. At the end of the workflow, when a final stamped version of the application from the sponsor system is available, the GO will upload it to the institutional record as an 'other attachment' with the description that tells what it is (e.g. the final submitted version), and will complete the record in the system.
6. Weekly, the GOs or GMAs will follow up on institutional records submitted the prior week and which have not been finalized in ePaws; escalate to Director after 1 week of follow up.

360 Huntington Avenue, 540-177, Boston, MA 02115-5000
Telephone: (617) 373-5600 **Fax:** (617) 373-4595 **E-mail:** oraf@northeastern.edu

Upcoming Learn More Sessions

Friday, October 27th: Level of Commitment on Research Proposals;
Salary Limitations & Cost Sharing
- 1-2pm 346 Curry

Tuesday, November 14th: IRB Changes Coming… the Common Rule and
Clinical Trials)
- 1-2pm 333 Curry

Monday, December 4th: Think Like an Auditor
- 1-2pm 346 Curry

NSF Annual Compliance Training

"Live" training for 2017...save the date!

Lunch will be provided, and space is limited!   To sign up for live training, send email with your chosen training date to NSFTraining@northeastern.edu

DATE	TIME	LOCATIONS
Tuesday, October 10, 2017	12 pm – 2:00 pm	333 Curry Student Center
Thursday, October 26, 2017	12 pm – 2:00 pm	333 Curry Student Center
Wednesday, November 1, 2017	12 pm – 2:00 pm	346 Curry Student Center

http://www.northeastern.edu/research/raf/compliance/nsf-compliance/nsf-training/