Office of Sponsored Projects

Federal Update and Reminders

ROUNDTABLE
DECEMBER 6, 2016
CAMPUS
NIH Applications Exceed $500,000 Direct Costs


- Unsolicited applications
- No change in policy- new optional submission process
- New option to submit request through the eRA Commons
- To initiate a $500k request, please contact your Program Officer (PO)
- If PO wishes to receive the request via Commons they will initiate an invitation to the PI which will open up a request in the new Prior Approval Module
- PI completes
- PI submits or Grants Officer submits

Instructions for how to use this new system can be found in the Prior Approval User Guide
$500K Requests

Any applicant planning to submit a grant application with $500,000 or more in direct costs in any one budget year (excluding consortium F & A costs) is required to contact their Program Official (PO) and obtain agreement from the funding agency six (6) weeks prior to their application submission.

If the PO determines that they wish to receive the request through an electronic process, they will initiate an invitation to the PI which will open up a request in the Prior Approval module. The PI and the Notice of Award email of the organization on the invitation will receive an email notifying them of the invitation.

NOTE: The option to submit a $500K request will not be visible in the Prior Approval module of eRA Commons until the PO has initiated the invitation.

Select the Prior Approval tab in eRA Commons to begin the process.

▼ Respond to $500K Request from PO

1. On the Prior Approval landing page, under the Existing Prior Approval Requests section, click on the List My Requests button (PI), or Search for Requests button (SO). ▼ (click to view)

   NOTE: Signing Officials will be taken to a search screen and will have the option to search for requests in their institution using a variety of search criteria. If the request is in the status of "In Progress SO", the SO may proceed to modify the request. However, if the request is in another status, the SO will need to perform a recall in order to modify it.

2. For PIs, the next screen will show a hit list of Prior Approval requests that are available to modify. Select the "Modify" link in the Action column. The Request Type will be "500K" and the Prior Approval Status will be "In Progress PI".
For SOs to modify the request, they will need to be the current reviewer or they will need to perform a recall as noted above in order to become the current reviewer. Once the request is in the "In Progress SO" status, the SO will be able to modify the request. ▶ (click to view)

- PI
- SO

3. When finished, click the appropriate button at the bottom of the $500K - Modify Request screen for the next action.

Submiting the $500K Request

All required (*) fields must be populated before submission.

- The PI may now submit the request.
- If the PI chooses to do so, they may route the request to an SO for review and final submission.
- Upon a successful submission, the system will send an email notification the submitter, as well as to the associated PI, informing them that the request was submitted to the Agency.

1. Click Submit.
   ▶ The Submit Confirmation screen will appear.

2. Click Yes and a Success notification will appear at the top of the screen.
As you’re preparing your application for due dates on or after January 25, 2017, be sure to consult the recently updated NIH application guide, which reflects two important changes in submission guidelines.

As announced earlier this year, you may only include certain materials as an appendix to your application.

NIH also simplified the types of materials that can be submitted due to unforeseen events after submission of the grant application but prior to the initial peer review.
Post-submission Material Policy Change in 2017

grants.nih.gov/grants/guide/notice-files/NOT-OD-16-130.html

- NIH, AHRQ, NIOSH
- January 25, 2017 due date or after
- NIH Guide has been updated!
- Materials resulting from unforeseen event
- Guidelines for All Applications (incl. RFAs)
- Application-specific Guidelines
  - Training, Fellowships, Career Development, Conference Grant
New Policy Eliminates Most Appendix Material for NIH/ AHRQ/ NIOSH Applications

grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html

- January 25, 2017 due date or after
- NIH Guide has been updated!
- Rectify inequities in peer review process
- Clinical Trial & All Application guidelines
- Consequences = withdrawn & not reviewed
The use of NIH application appendices has been decreasing for some time, but they still create problems, which led NIH to further limit the types of materials that can be put in them starting January 25, 2017.

Many applications containing appendices have had to be withdrawn because the appendices contained noncompliant materials (such as unpublished manuscripts, figures, tables and other data, or experimental methods). If appendices with such materials somehow made it to review, they could give the applicants an unfair advantage over other applicants who followed the rules. The new appendix policy was designed to make the rules more simple and clear, to make the review process more fair for everyone, and to decrease the number of applications withdrawn for noncompliance.

**Significant Change**

*Accepted manuscripts and non-publicly available papers (or publications of any kind) will no longer be allowed in an appendix, but news of an article accepted for publication since submission of the application will be allowed as post-submission materials.*

**Other Important Things to Know**

- Applications may still include appendices with informed consent/assent forms and blank surveys, forms, and other data collection instruments (as appropriate). In addition, applications containing clinical trials may include the clinical trial protocol and Investigator’s Brochure from an IND application, as appropriate — unless alternate instructions are provided in the funding opportunity announcement (FOA).
- Unless a FOA requires certain information to be included in the appendix, reviewers are not required to consider the material in their review.
**What This Means for You**

If you have a final progress report due, and you wish to use the old FPR format of an uploaded document, you must submit the FPR before January 1, 2017. **NIH will no longer accept any of the old format FPRs on or after January 1, 2017.**

**FAQs and additional information pertaining to NIH's implementation of the F-RPPR will be available on the NIH RPPR website.**

New! Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 17-1) - effective for proposals submitted or due on or after January 30, 2017, and awards made on or after January 30, 2017

The PAPPG has been modified in its entirety, to remove all references to the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG). The document will now be referred to solely as the NSF Proposal & Award Policies & Procedures Guide (PAPPG).
NSF: Summary of Changes

- NSF Summary of Changes
  https://www.nsf.gov/pubs/policydocs/pappg17_1/sigchanges.jsp

- NSF PAPPG Webinar
Thank you for your time.

We will post the presentation slides on the OSP web site.