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 website:
  
  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

Health Sciences

[Diagram of 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

<table>
<thead>
<tr>
<th>Research Administration</th>
<th>Regulatory Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>VCUERA Submission</td>
<td>WIRB Submission</td>
</tr>
<tr>
<td>Clinical Trial Agreement</td>
<td>Review Informed Consent language for</td>
</tr>
<tr>
<td>Preparation in conjunction with</td>
<td>consistency with Clinical Trial</td>
</tr>
<tr>
<td>Industry Partners</td>
<td>Agreement</td>
</tr>
<tr>
<td>Logistics and Feasibility</td>
<td>Creating protocol-specific quality</td>
</tr>
<tr>
<td>Analysis</td>
<td>improvement tools</td>
</tr>
<tr>
<td>Progress Reports</td>
<td></td>
</tr>
</tbody>
</table>

Strategic Finance and Budget Development

<table>
<thead>
<tr>
<th>Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Development</td>
</tr>
<tr>
<td>Incorporating Budget to the</td>
</tr>
<tr>
<td>Clinical Trial Agreement</td>
</tr>
<tr>
<td>Budget Negotiation with Sponsor</td>
</tr>
<tr>
<td>Centralized Bookkeeping</td>
</tr>
<tr>
<td>Subject Tracking relative to</td>
</tr>
<tr>
<td>invoicing and payments from</td>
</tr>
<tr>
<td>sponsors</td>
</tr>
</tbody>
</table>
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 Byrdsong, 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 Syedsong (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 & Bobank
- 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: 804-627-9964
Email: eamicalizzi@vcu.edu

Questions
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

©VCU 2010 Office of Sponsored Programs/Office of Research
# Updated Statuses: OSP Proposal Workflow

<table>
<thead>
<tr>
<th>Current Statuses July 2009</th>
<th>Future Statuses August 2009</th>
<th>Future Statuses December 2009</th>
<th>Description of Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under Development</td>
<td>Proposal Under Development</td>
<td>OSP</td>
<td>The proposal is being developed by the PI. At this point the proposal is a work in progress.</td>
</tr>
<tr>
<td>Under Department Review</td>
<td>Proposal in Route</td>
<td>OSP</td>
<td>The proposal has been submitted by the PI to be reviewed by the Dean's Office and other personnel on the proposal. The Chair of the key personnel is informed that the proposal is routing but not for approval.</td>
</tr>
<tr>
<td>Delivered to OSP</td>
<td>Proposal Delivered to OSP</td>
<td>OSP</td>
<td>The proposal has finished routing through schools and OSP has been notified that this proposal is delivered and ready for university level review.</td>
</tr>
<tr>
<td>Proposal Team Assigned</td>
<td></td>
<td>OSP</td>
<td>The proposal has been logged into OSP by data and time and is in the process of being assigned to the Blue, Green or Red Team for review.</td>
</tr>
<tr>
<td>Proposal Assign to Team Reviewer - Blue</td>
<td></td>
<td>OSP</td>
<td>The proposal has been assigned to the OSP team responsible for this department and sponsor type, the Blue Team was assigned. A specific Blue Team Reviewer has been assigned responsibility for review.</td>
</tr>
<tr>
<td>Proposal Assign to Team Reviewer - Green</td>
<td></td>
<td>OSP</td>
<td>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.</td>
</tr>
<tr>
<td>Proposal Assign to Team Reviewer - Red</td>
<td></td>
<td>OSP</td>
<td>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.</td>
</tr>
<tr>
<td>Under Institution Review</td>
<td>Proposal Active Review Normal</td>
<td>OSP</td>
<td>The proposal is in the process of being reviewed. The proposal is being reviewed on the normal first-come, first-served basis.</td>
</tr>
<tr>
<td>Proposal Awaiting Response Normal</td>
<td></td>
<td>OSP</td>
<td>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.</td>
</tr>
<tr>
<td>Proposal Active Review Expedited</td>
<td></td>
<td>OSP</td>
<td>The proposal is in the process of being reviewed. The proposal is being reviewed outside of the normal first-come, first-served basis.</td>
</tr>
<tr>
<td>Proposal Awaiting Response Expedited</td>
<td></td>
<td>OSP</td>
<td>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.</td>
</tr>
<tr>
<td>Locked in Under Sponsor Review</td>
<td>Proposal Final Review</td>
<td>OSP</td>
<td>The proposal is under consideration by the sponsor.</td>
</tr>
</tbody>
</table>
## Updated Statuses: OSP Pre Award Workflow

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

©VCU 2010 Office of Sponsored Programs/Office of Research
Proposal Workflow Communications

Phase 2: Pre Award Process

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

©VCU 2010 Office of Sponsored Programs/Office of Research
Proposal Workflow Communications

Phase 2: Pre Award Process

Agreement Received for Negotiation

Agreement Assigned to Reviewer

VCU Memo

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 I 31 # 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

--------------------------------------------------------------------------------

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

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 131 # 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.

I 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

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 131 # 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

©VCU 2010 Office of Sponsored Programs/Office of Research
Office of Sponsored Programs Proposal Process

Implemented August 2009

Proposal Development

- PI
- Paper Document Submission
- VCUeRA Electronic Submission
- Proposal Under Development
- Proposal In Route
- PI

Proposal Intake

- Intake Desk
- Create PI #
- Proposal Received
- Email to PI and FA
- Proposal Delivered to OSP
- Intake
- Proposal Team Assignment
- Intake
- Assign Team Blue / Green / Red

Proposal Review

- Assign to Reviewer
- Email to PI
- Proposal Active Review Normal
- Team Lead or Reviewer
- Proposal Active Review Expedited
- Team Lead
- Proposal Awaiting Response Normal
- Proposal Awaiting Response Expedited
- Proposal Finalization
- Proposal Under Sponsor Review
- Agreement Received For Negotiation

Reports

- CBH Report
- Upcoming Electronic Submissions
- Proposal Activity Report

Paper Submission - Date / time entered on Summary Tab
PT number assigned at OSP Intake Desk
Electronic Submission - Date / time status changed to Delivered to OSP.
If received after 5:00 pm, date / time will be 8:00 am the next business day.
FD Number assigned by system

11/11/09

© VCU 2010 Office of Sponsored Programs/Office of Research
Proposal Workflow Communications

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

---

**VCU Memo**

**Virginia Commonwealth University**

- 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

-------------------------------------------------------------------------------------------------------------------------------------  
© VCU 2010 Office of Sponsored Programs/Office of Research
Status Inquiries:
First Check VCUeRA PT/PD record
Status Inquiries:
First Check VCUeRA PT/PD record

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

Proposal PD301504

Status History

<table>
<thead>
<tr>
<th>Status</th>
<th>Date</th>
<th>Recorded Date</th>
<th>Recorded By</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Under Sponsor Review</td>
<td>07-Jan-2010</td>
<td>07-Jan-2010 04:35:39 PM</td>
<td>Ms. Eleanor S Sharp</td>
<td></td>
</tr>
<tr>
<td>Proposal Finalization</td>
<td>07-Jan-2010</td>
<td>07-Jan-2010 02:30:08 PM</td>
<td>Kathleen P Gabriel</td>
<td></td>
</tr>
<tr>
<td>Proposal Active Review Normal</td>
<td>06-Jan-2010</td>
<td>06-Jan-2010 11:18:45 AM</td>
<td>Kathleen P Gabriel</td>
<td></td>
</tr>
<tr>
<td>Proposal Assign to Team Reviewer - Green</td>
<td>05-Jan-2010</td>
<td>05-Jan-2010 02:14:17 PM</td>
<td>Kathleen P Gabriel</td>
<td></td>
</tr>
<tr>
<td>Proposal Team Assignment</td>
<td>18-Dec-2009</td>
<td>18-Dec-2009 12:59:01 PM</td>
<td>Seneca Er Settle</td>
<td></td>
</tr>
<tr>
<td>Proposal In Route</td>
<td>18-Dec-2009</td>
<td>18-Dec-2009 12:46:22 PM</td>
<td>Dr. Hongjie Liu</td>
<td></td>
</tr>
<tr>
<td>Proposal Under Development</td>
<td>14-Dec-2009</td>
<td>14-Dec-2009 03:37:05 PM</td>
<td>Katherine Young</td>
<td></td>
</tr>
<tr>
<td>Proposal Under Development</td>
<td>14-Dec-2009</td>
<td>14-Dec-2009 03:37:04 PM</td>
<td>Katherine Young</td>
<td></td>
</tr>
</tbody>
</table>
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](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, pjknightly@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](http://www.controller.vcu.edu/grants/effort.htm)
- ECRT Schedule [http://www.controller.vcu.edu/grants/ECRTschedule.pdf](http://www.controller.vcu.edu/grants/ECRTschedule.pdf)
- ECRT: [https://effort.ts.vcu.edu/ecrt/initLogin.do](https://effort.ts.vcu.edu/ecrt/initLogin.do)
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: ___________________________

Pickup: ___________ Contact Phone: ___________

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 Name: ___________________________

Due Date: ___________________________

Contact Name: ___________________________

Receipt Date: [ ] Postmark [ ]

Phone #: ___________________________

E-mail: ___________________________

E-Submission*: [ ]

Research [ ] Training [ ] Fellowship [ ] (Name of Fellow) Clinical Trial [ ] Other [ ]

OSP/OIP Use Only

Does the project involve Federal Funds?

Yes: [ ] No: [ ]

(Sponsoring organization, 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 Title: ___________________________

No Acronyms

[ ] New [ ] Preproposal

[ ] Competing Renewal of (OSP#) [ ] Continuation of (OSP#)

[ ] Revision of (OSP#) [ ] Supplement of (OSP#)

Project Period: Begin: _________ End: _________

Budget Period: Begin: _________ End: _________

F&A Rate: _________%

Nature: CR [ ] TFP [ ] FUP [ ]

Budget Information:

<table>
<thead>
<tr>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>$ 0</td>
</tr>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
</tr>
<tr>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
<td>$ 0</td>
</tr>
</tbody>
</table>

Total $ 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.
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

<table>
<thead>
<tr>
<th>Name</th>
<th>% Effort</th>
<th>% Salary</th>
<th>Cost Share Amount</th>
<th>% Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td></td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td></td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td></td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td></td>
<td>%</td>
</tr>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td></td>
<td>%</td>
</tr>
</tbody>
</table>

*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:

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Human Subjects Research[^1] (If yes, complete table below)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Radioactive Materials[^4,5]</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Recombinant DNA, Select Agents or other biohazards[^4,5]</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>International Program</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Clinical Trial</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Research is subject to export controls</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Sponsor is foreign-owned company or foreign government</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Foreign Nationals</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Restrictions on Publication or Intellectual Property Rights</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Retired faculty participation</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Rented off campus facility</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>Delivery of anything more than technical report</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Don’t Know</th>
<th>HIPPA Covered Data[^3]</th>
</tr>
</thead>
</table>

[^1]: For further information on human subjects research refer to: [http://www.research.vcu.edu/irb/activities.htm](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](http://www.research.vcu.edu/iacuc/index.htm)

[^3]: Contact contact VCUHS Compliance Services at [http://www.vcuhealth.org/?id=865&sid=1](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/](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](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

---

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

☐ ☐ 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.).

☐ ☐ 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.

☐ ☐ 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.

☐ ☐ 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.

☐ ☐ 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.).

☐ ☐ Investigator acknowledges that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

[Signature]

[Date]

*The Conflict of Interest Disclosure form is available at [http://www.research.vcu.edu/forms/ConflictofInterestDisclosureForm.doc](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)

☐ Appropriate approvals obtained (see above). Approved on behalf of the University: University Official/Date

Co-Investigator/Date

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

Co-Investigator/Date

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

Services Investigator/Date

☐ Appropriate approvals obtained (see above). Approved on behalf of the University: University Official/Date

Clinical Trials Office/Date*

(*Only if Clinical Trial)

☐ [ ]

☐ [ ]

☐ [ ]

## INTERNAL APPROVAL FORM PROPOSAL BUDGET DETAIL
(or REVISED BUDGET DETAIL)

### Department Responsible for Administering/Fiscal Management of Project

**SPONSOR:** Sponsor Name Goes Here

### VCU DEPARTMENT FOR FISCAL MANAGEMENT BUDGET:

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### VCU SUBACCOUNT #1 Department Name: Department Name is entered here

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### VCU SUBACCOUNT #2 Department Name: Department Name is entered here

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### VCU SUBACCOUNT #3 Department Name: Department Name is entered here

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### VCU SUBACCOUNT #4 Department Name: Department Name is entered here

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### VCU SUBACCOUNT #5 Department Name: Department Name is entered here

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### VCU SUBACCOUNT #6 Department Name: Department Name is entered here

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (no consortium DC or IDC)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Costs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs (no sub$)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Subaward/Subcontract</td>
<td>Year One</td>
<td>Year Two</td>
<td>Year Three</td>
<td>Year Four</td>
<td>Year Five</td>
<td>Project Total</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------</td>
<td>----------</td>
<td>------------</td>
<td>-----------</td>
<td>-----------</td>
<td>---------------</td>
</tr>
<tr>
<td>Consortium Direct</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Consortium Indirect</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Subtotal of Consortium DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Consortium Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Consortium Total Costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**TOTAL PROJECT COSTS**

<table>
<thead>
<tr>
<th></th>
<th>Year One</th>
<th>Year Two</th>
<th>Year Three</th>
<th>Year Four</th>
<th>Year Five</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Costs (includes consortia indirect)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>VCU Indirect Costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Subtotal of DC+IDC</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cost Share</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
Virginia Commonwealth University
Office of Sponsored Programs
Transaction Routing Form

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.
• 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.
• 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 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

©VCU 2010 Office of Sponsored Programs/Office of Research
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
National Institutes of Health
U.S. Department of Health and Human Services

Virginia Commonwealth University
Richmond, VA
January 13, 2010

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

Historical Growth

©VCU 2010 Office of Sponsored Programs/Office of Research
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:

- **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.
# NIH Forms & Applications

## Related Resources
- Unsolicited Applications (Parent Announcements)
- Standard Due Date & 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

## Research Grants and Fellowships

<table>
<thead>
<tr>
<th>Forms / Applications / Instructions</th>
<th>Revision Dates</th>
<th>Description / Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>SF424 (R&amp;R)</td>
<td>01/2010</td>
<td>Standard Form 424 (Research &amp; Related) Grant Application Forms – For use with applications intended for due dates on or after January 25, 2010. Includes application guides and forms to be used with all competing applications for Research, Career Development, Institutional Training awards, and SBIR/STR Awards. See Electronic Submission Page and Related NIH Guide Notices.</td>
</tr>
<tr>
<td></td>
<td>08/2009</td>
<td>Standard Form 424 (Research &amp; Related) Grant Application Forms – For use with applications intended for due dates before January 25, 2010. Includes application guides and forms to be used with all competing applications for Research, Career Development, Institutional Training awards, and SBIR/STR Awards. See Electronic Submission Page and Related NIH Guide Notices.</td>
</tr>
<tr>
<td>PHS 398</td>
<td>06/2009</td>
<td>Competing - Public Health Service Grant Application – For use with applications intended for due dates on or after January 25, 2010. 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&amp;R) application package. See 11/23/2009 NIH Guide Notice.</td>
</tr>
</tbody>
</table>

© VCU 2010 Office of Sponsored Programs/Office of Research
# NIH SUBMISSION SCHEDULE: Standard Deadlines

<table>
<thead>
<tr>
<th>Type of Grant</th>
<th>Receipt Cycle I</th>
<th>Receipt Cycle II</th>
<th>Receipt Cycle III</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Project Grants and Center Grants – all P Series new, renewal, resubmission, revision*</td>
<td>January 25</td>
<td>May 25</td>
<td>September 25</td>
</tr>
<tr>
<td>Research-Related and Other Programs – all S and G Series, C06, M01 new, renewal, resubmission, revision*</td>
<td>January 25</td>
<td>May 25</td>
<td>September 25</td>
</tr>
<tr>
<td>Institutional Ruth L. Kirschstein National Research Service Awards - T Series (Training)** new, renewal, resubmission, revision*</td>
<td>January 25</td>
<td>May 25</td>
<td>September 25</td>
</tr>
<tr>
<td>Research Grants - R01 new</td>
<td>February 5</td>
<td>June 5</td>
<td>October 5</td>
</tr>
<tr>
<td>Research Career Development – all K series new</td>
<td>Feb 12</td>
<td>June 12</td>
<td>October 12</td>
</tr>
<tr>
<td>Research Grants - R03, R21, R33, R21/R33, R34, R36 new</td>
<td>February 16</td>
<td>June 16</td>
<td>October 16</td>
</tr>
<tr>
<td>Academic Research Enhancement Award (AREA) - R15 new, renewal, resubmission, revision*</td>
<td>February 25</td>
<td>June 25</td>
<td>October 25</td>
</tr>
<tr>
<td>Research Grants - R01 renewal, resubmission, revision*</td>
<td>March 5</td>
<td>July 5</td>
<td>November 5</td>
</tr>
<tr>
<td>Research Career Development – all K series renewal, resubmission, revision*</td>
<td>March 12</td>
<td>July 12</td>
<td>November 12</td>
</tr>
<tr>
<td>Research Grants - R03, R21, R33, R21/R33, R34, R36 renewal, resubmission, revision*</td>
<td>March 16</td>
<td>July 16</td>
<td>November 16</td>
</tr>
<tr>
<td>Small Business Innovation Research (SBIR), Small Business Technology Transfer (STTR) Grants - R43, R44, R41 and R42 new, renewal, resubmission, revision*</td>
<td>April 5</td>
<td>August 5</td>
<td>December 5</td>
</tr>
<tr>
<td>Individual Ruth L. Kirschstein National Research Service Awards (Standard) – all F series Fellowships new, renewal, resubmission</td>
<td>April 8</td>
<td>August 8</td>
<td>December 8</td>
</tr>
<tr>
<td>Conference Grants and Conference Cooperative Agreements - R13,U13 new, renewal, resubmission, revision*</td>
<td>April 12</td>
<td>August 12</td>
<td>December 12</td>
</tr>
<tr>
<td>AIDS and AIDS-Related Grants ALL of the mechanisms cited above new, renewal, resubmission, revision*</td>
<td>May 7</td>
<td>September 7</td>
<td>January 7</td>
</tr>
</tbody>
</table>

**Earliest Possible Start**

- December (Program Project Grants and Center Grants)  
- April (Research Grants)  
- July (Research-Related and Other Programs)

---

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

---

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

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Final Due Date for Current Forms</th>
<th>First Due Date for New Forms</th>
</tr>
</thead>
<tbody>
<tr>
<td>P (Program Project and Center)</td>
<td>9/25/2009</td>
<td>1/25/2010</td>
</tr>
<tr>
<td>T (Training)</td>
<td>9/25/2009</td>
<td>1/25/2010</td>
</tr>
<tr>
<td>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</td>
<td>9/25/2009</td>
<td>1/25/2010</td>
</tr>
<tr>
<td>R15</td>
<td>10/25/2009</td>
<td>2/25/2010</td>
</tr>
<tr>
<td>R01, U01</td>
<td>11/5/2009</td>
<td>2/5/2010</td>
</tr>
<tr>
<td>K (Career Development)</td>
<td>11/12/2009</td>
<td>2/12/2010</td>
</tr>
<tr>
<td>R03, R21, R33, R21/R33, R34, R36</td>
<td>11/16/2009</td>
<td>2/16/2010</td>
</tr>
<tr>
<td>R13/U13</td>
<td>12/12/2009</td>
<td>4/12/2010</td>
</tr>
<tr>
<td>F31 Diversity Fellowship</td>
<td>12/13/2009</td>
<td>4/13/2010</td>
</tr>
<tr>
<td>AIDS and AIDS-Related Applications (supersedes ALL dates shown above)</td>
<td>1/7/2010</td>
<td>5/7/2010</td>
</tr>
</tbody>
</table>
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 releasing 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 [R02-02-10-011] for more information.

### Research (R) Announcements

<table>
<thead>
<tr>
<th>Activity Code(s)</th>
<th>Title</th>
<th>Announcement Number</th>
<th>Issuing Organization</th>
<th>Release Date (30-day window)</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>R01</td>
<td>Research Project Grant (Parent K01)</td>
<td>PA-10-067</td>
<td>NIH</td>
<td>12/17/2009</td>
<td>01/05/2010</td>
</tr>
<tr>
<td>R03</td>
<td>NIH Small Research Grant Program (Parent R03)</td>
<td>PA-10-064</td>
<td>NIH</td>
<td>12/17/2009</td>
<td>01/16/2010</td>
</tr>
<tr>
<td>R13,K03</td>
<td>NIH Support for Conferences and Scientific Meetings (Parent K13/K03)</td>
<td>PA-10-071</td>
<td>NIH</td>
<td>01/04/2010</td>
<td>03/12/2010</td>
</tr>
<tr>
<td>R15</td>
<td>Academic Research Enhancement Award (Parent K15)</td>
<td>PA-10-078</td>
<td>NIH</td>
<td>12/24/2009</td>
<td>01/25/2010</td>
</tr>
<tr>
<td>R21</td>
<td>NIH Exploratory Developmental Research Grant Program (Parent R21)</td>
<td>PA-10-069</td>
<td>NIH</td>
<td>12/24/2009</td>
<td>01/16/2010</td>
</tr>
<tr>
<td>R41,R42</td>
<td>R4S 2010-02 Omnibus Submission of the NIH, CDC, FDA and ACF for Small Business Innovation Research Grant Applications (Parent SEIR) [PA41,PA42]</td>
<td>PA-10-051</td>
<td>NIH</td>
<td>01/15/2010</td>
<td>03/05/2010</td>
</tr>
<tr>
<td>R43,R44</td>
<td>R4S 2010-02 Omnibus Submission of the NIH, CDC, FDA and ACF for Small Business Innovation Research Grant Applications (Parent SEIR) [PA43,PA44]</td>
<td>PA-10-050</td>
<td>NIH</td>
<td>01/15/2010</td>
<td>03/05/2010</td>
</tr>
</tbody>
</table>

### Research Training (T) Announcements

<table>
<thead>
<tr>
<th>Activity Code(s)</th>
<th>Title</th>
<th>Announcement Number</th>
<th>Issuing Organization</th>
<th>Release Date (30-day window)</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>T32</td>
<td>Ruth L. Kirschstein National Research Service Award (NRSA): Institutional Research Training Grants (T32)</td>
<td>PA-10-038</td>
<td>NIH</td>
<td>12/25/2009</td>
<td>01/05/2010</td>
</tr>
<tr>
<td>T35</td>
<td>Ruth L. Kirschstein National Research Service Award Short-Term Institutional Research Training Grants (T35)</td>
<td>PA-10-037</td>
<td>NIH</td>
<td>12/25/2009</td>
<td>01/05/2010</td>
</tr>
</tbody>
</table>

### Career Development (K) Announcements

<table>
<thead>
<tr>
<th>Activity Code(s)</th>
<th>Title</th>
<th>Announcement Number</th>
<th>Issuing Organization</th>
<th>Release Date (30-day window)</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>K01</td>
<td>Mentored Research Scientist Development Award (Parent K01)</td>
<td>PA-10-056</td>
<td>NIH</td>
<td>12/16/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K02</td>
<td>Independent Scientist Award (Parent K02)</td>
<td>PA-10-057</td>
<td>NIH</td>
<td>12/16/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K07</td>
<td>Academic Career Award (Parent K07)</td>
<td>PA-10-058</td>
<td>NIH</td>
<td>12/16/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K08</td>
<td>Mentored Research Scientist Development Award (Parent K08)</td>
<td>PA-10-056</td>
<td>NIH</td>
<td>12/16/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K23</td>
<td>Mentored Patient-Oriented Research Career Development Award (Parent K23)</td>
<td>PA-10-060</td>
<td>NIH</td>
<td>12/17/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K34</td>
<td>Midcareer Investigator Award in Patient-Oriented Research (Parent K34)</td>
<td>PA-10-061</td>
<td>NIH</td>
<td>12/16/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K25</td>
<td>Mentored Quantitative Research Development Award (Parent K25)</td>
<td>PA-10-062</td>
<td>NIH</td>
<td>12/17/2009</td>
<td>01/12/2010</td>
</tr>
<tr>
<td>K000/R00</td>
<td>NIH Pathway to Independence Award (Parent K000/R00)</td>
<td>PA-10-063</td>
<td>NIH</td>
<td>11/14/2009</td>
<td>11/14/2010</td>
</tr>
</tbody>
</table>

© VCU 2010 Office of Sponsored Programs/Office of Research
<table>
<thead>
<tr>
<th>Section of Application</th>
<th>Activity Codes</th>
<th>Page Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction to Revision Application</td>
<td>For all Activity Codes, EXCEPT Training T, D43, D71, K12, and R25 applications</td>
<td>1 page</td>
</tr>
<tr>
<td>Introduction to Resubmission Application</td>
<td>For institutional Training (T), International Training (D43, D71), Institutional Career Awards (K12), and Research Education Applications (R25)</td>
<td>3 pages</td>
</tr>
<tr>
<td>Introduction to Revision or Resubmission Applications</td>
<td>For each project and core of multi-component applications</td>
<td>1 page</td>
</tr>
<tr>
<td>Specific Aims</td>
<td>For all Activity Codes that use an application form with the Specific Aims section</td>
<td>1 page</td>
</tr>
<tr>
<td>Research Strategy</td>
<td>For Activity Codes R03, R10/U13, R21, R36, R41, R43, Fellowships (F), SC2, SC3, XR1</td>
<td>6 pages</td>
</tr>
<tr>
<td>Research Education Program Plan (uploaded via the Research Strategy)</td>
<td>For Program Project Center (P1)</td>
<td>12 pages**</td>
</tr>
<tr>
<td>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</td>
<td>For Research Education Grant Applications (R25)</td>
<td>25 pages</td>
</tr>
<tr>
<td>Combined: Items 2-5 of Research Training Program Plan</td>
<td>For Institutional Career Development and Research Training Applications, including K12, T, D43, and D71</td>
<td>25 pages</td>
</tr>
<tr>
<td>Commercialization Plan</td>
<td>For R42 and R44</td>
<td>12 pages</td>
</tr>
<tr>
<td>Biographical Sketch</td>
<td>For all Activity Codes except DP1 and DP2</td>
<td>4 pages</td>
</tr>
<tr>
<td></td>
<td>For DP1 and DP2</td>
<td>2 pages</td>
</tr>
</tbody>
</table>
### 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.

<table>
<thead>
<tr>
<th>Current Research Plan (Section 5.5)</th>
<th>Restructured Research Plan (Section 5.5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Introduction to Application (Resubmission or Revision Applications only)</td>
<td>1. Introduction to Application (Resubmission or Revision Applications only)</td>
</tr>
<tr>
<td>2. Specific Aims</td>
<td>2. Specific Aims</td>
</tr>
</tbody>
</table>
| 3. Background and Significance | 3. Research Strategy  
   a. Significance  
   b. Innovation  
   c. Approach |
| 4. Preliminary Studies/Progress Report | • Preliminary Studies for New Applications  
   • Progress Report for Renewal/Revision Applications |
| 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

- 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.

A. Personal Statement

The goal of the proposed research is to investigate the relationship between processes. Specifically, we plan to measure changes in cognitive ability and activity in a group of older adults in a mental health and motor control and motivation research on training and exercise. In addition, research on exercise and mental health, especially among older adults, has been proposed and is being conducted by the laboratory directed by Dr. John O. O. (JOO). This project aims to identify the mechanisms underlying the benefits of exercise and motor control in older adults.

B. Positions and Employment

1980-2000 Fellow, Division of Geriatric Research, National Institute on Aging
2001-2002 Baylor University, Department of Psychology, Senior Lecturer
2003-2005 Assistant Professor, Department of Psychology, University of California, San Diego

Other Professional and Research Affiliations

- Member, American Psychological Association
- Member, Gerontological Society of America
- Member, American Geriatric Society
- Associate Editor, Psychology and Aging
- Board of Directors, Gerontological Society of America

Selected Peer-Reviewed Publications


D. Research Support

- Ongoing Research Support
  - R01 DA026630-03 (PI: Hunt) 09/01/04-08/30/06
  - National Institute on Drug Abuse (NIDA) 09/01/04-08/31/06

- Completed Research Support
  - K24 AA077089 (PI: Hunt) 09/01/04-08/31/05
  - National Institute on Drug Abuse (NIDA) 09/01/04-08/31/05

- Community-Based Intervention for Alcohol Abuse
  - The goal of this project is to assess the effectiveness of a community-based strategy for reducing alcohol abuse among older adults.
  - R01 AA026630 (PI: Hunt) 09/01/04-08/31/06

© VCU 2010 Office of Sponsored Programs/Office of Research
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**

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/Centor, (P), G12, M01, R10/U10, R24/U24, S06, U01, U19, U45,

To view transitions from 2005 – 2007 visit:

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.
## Salary Cap Summary (FY 1990 - FY 2010)

**Updated: January 6, 2010**

### FY 2010 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2009 through December 31, 2009</td>
<td>$196,700</td>
</tr>
<tr>
<td>January 1, 2010 through December 31, 2010</td>
<td>$199,700</td>
</tr>
</tbody>
</table>

### FY 2009 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2008 through December 31, 2008</td>
<td>$191,300</td>
</tr>
<tr>
<td>January 1, 2009 through December 31, 2009</td>
<td>$196,700</td>
</tr>
</tbody>
</table>

### FY 2008 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2007 through December 31, 2007</td>
<td>$186,600</td>
</tr>
<tr>
<td>January 1, 2008 through December 31, 2008</td>
<td>$191,300</td>
</tr>
</tbody>
</table>

### FY 2007 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2006 through December 31, 2006</td>
<td>$183,500</td>
</tr>
<tr>
<td>January 1, 2007 through December 31, 2007</td>
<td>$186,600</td>
</tr>
</tbody>
</table>

### FY 2006 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2005 through December 31, 2005</td>
<td>$180,100</td>
</tr>
<tr>
<td>January 1, 2006 through December 31, 2006</td>
<td>$183,500</td>
</tr>
</tbody>
</table>

### FY 2005 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2004 through December 31, 2004</td>
<td>$175,700</td>
</tr>
<tr>
<td>January 1, 2005 through December 31, 2005</td>
<td>$180,100</td>
</tr>
</tbody>
</table>

### FY 2004 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2003 through December 31, 2003</td>
<td>$171,900</td>
</tr>
<tr>
<td>January 1, 2004 through December 31, 2004</td>
<td>$175,700 *</td>
</tr>
</tbody>
</table>

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

### FY 2003 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2002 through December 31, 2002</td>
<td>$166,700</td>
</tr>
<tr>
<td>January 1, 2003 through December 31, 2003</td>
<td>$171,900</td>
</tr>
</tbody>
</table>

### FY 2002 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2001 through December 31, 2001</td>
<td>$161,200</td>
</tr>
<tr>
<td>January 1, 2002 through December 31, 2002</td>
<td>$166,700</td>
</tr>
</tbody>
</table>

### FY 2001 Awards (Executive Level I)

<table>
<thead>
<tr>
<th>Period</th>
<th>Salary Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 2000 through December 31, 2000</td>
<td>$157,000</td>
</tr>
<tr>
<td>January 1, 2001 through December 31, 2001</td>
<td>$161,200</td>
</tr>
<tr>
<td>January 1, 2002 through December 31, 2002</td>
<td>$166,700</td>
</tr>
</tbody>
</table>

### FY 2000 Awards (Executive Level II)
### FY 1999 Awards (Executive Level III)

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 1999 through December 31, 1999</td>
<td>$136,700</td>
</tr>
<tr>
<td>January 1, 2000 through December 31, 2000</td>
<td>$141,300</td>
</tr>
<tr>
<td>January 1, 2001 through December 31, 2001</td>
<td>$145,100</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 1991 through September 30, 1998</td>
<td>$125,000</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 1, 1989 through September 30, 1991</td>
<td>$120,000</td>
</tr>
</tbody>
</table>

Send Questions or Comments to NIH Grants Policy Help E-mail Address.
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.

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

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](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-047.html).

**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

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.