SPIN Newsletter November 2003 Volume 3, Number 10

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Hot Topics

Revised NIH Grants Policy Statement

The National Institutes of Health (NIH), the federal agency which sponsors the majority of OHSU’s research projects, has recently issued a revised “Grants Policy Statement.” The full text of the NIH revision announcement can be found online at http://grants.nih.gov/grants/policy/notices.htm.

The revised NIH Grants Policy Statement (NIHGPS) is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after December 1, 2003. This revision supersedes the previous NIHGPS from March 2001.

Newly implemented policy changes include revisions to the following:

- Closely-related work, Cost transfers, and Cost overruns

The revised NIHGPS also incorporates policy changes implemented since the previous NIHGPS, including changes regarding:

- Expanded authorities, Resubmission of application, Data sharing, Just-in-time procedures, and Audit

The following clarifications implemented since March 2001 are also included:

- Clinical practice compensation, Key personnel, Principal Investigator (PI) Eligibility, and Unallowability of patent costs

Document enhancements incorporated into the revised NIHGPS include:

- Glossary in table format, Cross referencing roles with eRA, and Standard usage of common abbreviations and acronyms

The revised NIH Grants Policy Statement will be addressed at future SPIN meetings and in SPIN Newsletters; however, all those involved in the stewardship of federal research funds are encouraged to do as much as possible to familiarize themselves with these revisions as soon as possible. As always, Sponsored Projects Administration (SPA) and the other Research and Development Administration (RDA) units will remain available to answer questions and assist with any program changes necessitated by these revisions.

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indicates they will not be requiring salary support. Stating that they will be participating on the project on an “as needed” basis will serve the same purpose.

Consultants
By OHSU definition, consultants are available on an “as needed” or other very limited basis to the project. They may assist in the design/conduct of the study or in the collection/analysis of data but not to any significant extent. Important notes:

- OHSU personnel can act as and be named as consultants; however, OHSU personnel CANNOT receive payment for these activities.
- If the sponsor’s definition of a “consultant” differs from the definition given above, use the sponsor definition and include an explanatory note with the application to RSO;
- The budget justification for a paid consultant must include: 1) an hourly or daily rate and 2) the number of hours or days the consultant will work;
- To include a consultant in a project proposal, obtain the following:
  - Reimbursement rate
  - Letter of Support
  - Biosketch
  - Conflict of Interest documentation (only if the consultant is listed as Key Personnel)
  - Responsible Conduct of Research certification (only if the project involves human subjects and the consultant will be involved in that portion of the study)

The formal agreement with a consultant is written after the Award is received from the sponsor by Logistics, in coordination with the department.

Equipment and Supplies
Equipment is defined as an article of tangible nonexpendable person property that has a useful life of more than 1 year and an acquisition cost per unit that equals or exceeds $3000. (Only in the case of computers can a composite total be used in defining the unit as “equipment.”) Allowable supplies are units costing less than $3000 dollars that are allocable to and directly benefit the individual project.

Patient Care, Travel, and Alterations/Renovations
Patient care affiliated with a research project is divided into two distinct categories. “Usual care” costs are those procedures that represent the “standard of care.” These costs are generally covered by insurance or the patient and are rarely allowed on any sponsor budget. “Research care” costs are those procedures that are only conducted for the research project. These costs are allowable on sponsor budgets. Note: Uninsured patients may have both their usual and research care costs included on a budget; however, there are many restrictions (i.e. hurdles) and the program officer should be contacted in advance of any such procedures.

Consortium and Contractual Agreements
A consortium (or subaward) must be proposed for an outside individual/group who will be assisting in the design or conduct of a project or the collection and analysis of data. A good general rule for defining a subawardee vs. a consultant is to remember that those individuals who would be listed as co-authors on publications should be proposed as subawardees while a consultant would not contribute enough to the project to be considered as a co-author. A subaward requires that a Statement of Intent (SOI) be submitted with the proposal to the sponsor. The SOI must include the following:

- The period of expected performance
- Total project costs
- Authorized signatures from officials at both participating institutions
- Any language required by the sponsor

A sample SOI, which includes the language required by NIH, is available on the RSO website at [link]. There is no problem with using the SOI forms of other universities, provided they also provide all key information regarding the consortium agreement. Such agreements are written by Lisa Simmons in RSO after the Award is received from the sponsor.

Facilities & Administrative Costs (F&A)
Facilities & Administrative (F&A, or “indirect”) costs are an essential part of OHSU’s operating budget. F&A charges follow carefully calculated rates that are negotiated with the federal government. RSO can accept applications to sponsors who have published F&A rates that are lower than OHSU’s negotiated rate, but only with department approval and only if the investigator provides appropriate documentation of the sponsors F&A restrictions.

To calculate F&A costs for the NIH checklist, subtract the following from the Total Direct Cost:

- Equipment
- Patient Care Costs
- Alterations and renovations
- Consortium and contractual agreements in excess of $25,000

The resulting figure is the Modified Total Direct Cost (MTDC). Multiply the MTDC by the appropriate, negotiated F&A rate to arrive at the F&A total for the project. View the NIH Checklist on the RSO website: [http://grants1.nih.gov/grants/funding/phs398/checklist.doc](http://grants1.nih.gov/grants/funding/phs398/checklist.doc)

Special Topics for National Institutes of Health (NIH)
Remember that modular budgets for NIH presuppose that a detailed budget has been calculated and transposed into the modular format.

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The allowable increase per year on multi-year budget is three percent (3%).

With non-modular subcontracts, a completed checklist must be submitted to NIH with the application.

Remember that even non-Key Personnel may be required to obtain Responsible Conduct of Research (RCR) certification if they are involved in collecting or managing data or patient information.

SPA Hot Topics
Cynthia Moore, Systems and Compliance Supervisor
Sponsored Projects Administration

Freight cost on capital equipment purchases is now considered part of acquisition cost.

As more administrative actions are done with sponsors via electronic systems, it is essential that department administrators and PIs remember to forward copies of all communications to SPA so that the appropriate analyst can be kept up to date with the project status, and information can be added to the institutional project file.

SPA has now begun sending PIs and/or Fiscal Managers of projects notification letters designed to assist departments in managing their sponsored projects more proactively. The following types of notification letters are now sent out as part of standard SPA practice:
• Notification of OGA Project Expiration Date pending within 30 days
• Notification of Expired OGA Projects with Outstanding Encumbrances
• Notification of Expired OGA Projects with Invoices on Hold
• Notification of OGA Project closure

RSO Hot Topics
Tom Marcussen, Director, Research Support Office

Tom has begun attending numerous departmental meetings to meet with administrators and PIs for open dialogue about proposal development and the application process. Anyone who would like to arrange for Tom to attend a future meeting should contact him directly at 503-418-4430 or marcusse@ohsu.edu.

Administrators should bear in mind that streamlined applications must still be accompanied by appropriate subcontract information.

Maintaining F&A rate recovery is essential to continued university operations. A recent meeting of the OHSU Deans reconfirmed institutional commitment to maintaining appropriate levels of F&A recovery.

Effort Reporting

We want to thank all department people who have worked so diligently on getting their Effort Certification Statements completed and turned in.

However, there are still a few departments that have not returned their signed Effort Statements. This creates a compliance risk situation for OHSU, so you are encouraged to submit them immediately.

Thank you for your cooperation with this process.

Revised New Project Status Form

Shortly, there will be a “new and improved” version of the Fixed Price Agreement Status Form available on our SPA website under Forms. The new form is titled “Project Status Form”.

We have reformatted the document to make it easier to distinguish a request for closing a project, as opposed to extending an end date. Other important changes are stressing that all expenses should be posted and no new expenses or new revenue are expected. We have also separated out Number of Subjects enrolled to date and added IRB Number to a space that is more noticeable.

Please note that for end date extensions, only the PI signature is necessary. For closing a project and balance transfers, signatures must be obtained from the PI, Department Chair and Division Head.

Miss the last SPIN Meeting?
Presentations and handouts from previous meetings are available on our website:
www.ohsu.edu/ra/spa

REMINDER
There will be no SPIN meeting for December. The next SPIN meeting is scheduled for January 15, 2004
Everyone involved in sponsored projects grants management is invited to attend an OGA training class. Classes are limited in size due to computer availability. Please join us in learning all areas of OGA.

Contact Juris Solovjovs at 494-9806 or email solovjovs@ohsu.edu to register.

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<thead>
<tr>
<th>OGA Training Classes</th>
<th>Oracle Drop-In Sessions</th>
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<tr>
<td><strong>Wednesday, December 17</strong></td>
<td>Here's an opportunity for end users who have already been trained in Oracle to get one-on-one help in the system. Both a Discoverer and an OGA Trainer will be present at each of these sessions to answer any specific Oracle Grants Accounting questions or to provide help designing your reports.</td>
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<td><strong>1:00-4:00</strong></td>
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<tr>
<td><strong>BICC 122</strong></td>
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<td><strong>Wednesday, January 21</strong></td>
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<td><strong>1:00-4:00</strong></td>
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<td><strong>BICC 122</strong></td>
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For more information on Oracle and Discoverer training schedules, please visit the Administrative Information Services (AIS) website at:

http://www.ohsu.edu/admin-asip/training.html
Coming Events

NCURA Video Workshop

“Cost Sharing Management”
Wednesday, January 21, 2004
8:30 am - 12:30 pm
Location: TBA

When an institution makes a commitment to share in the costs of a sponsored project it assumes an obligation to the sponsor and accepts certain responsibilities for tracking and reporting cost sharing expenditures. This live video workshop program will discuss the various aspects of cost sharing, from proposal to award through the project closeout. The session will also discuss the expectations of the project sponsor regarding the documentation and reporting of cost sharing commitments and will describe the cost sharing policy of the National Science Foundation (NSF). The presenters will describe several institutional systems for tracking cost sharing expenditures.

Pre-registration is recommended. Contact RDA Education, x4-1656 or rdaed@ohsu.edu.

FDP Phase IV

Federal Demonstration Partnership Phase IV
Monday and Tuesday
January 12-13, 2004
Hilton Palacio del Rio
San Antonio, TX

The University of Texas Health Science Center at San Antonio is proud to be the host for the January 2004 FDP Meeting. The conference will convene at the Hilton Palacio del Rio.

Online registration is available until Wednesday, December 17th, 2003. The cost for registration to attend this conference is $240.00.


For more information on other educational opportunities, meetings, and conferences, please see the Upcoming Events calendar on our website at: http://www.ohsu.edu/ra/spa/2003calendar.pdf