HS SPPO Contacts Meeting

January 11, 2018
Agenda

- HS SPPO Updates & Reminders
- NIH Updates & Reminders
- Guest Speakers:
  - OCGA: Jeff Warner, Grants.gov Workspace
  - OPAFS: Wella Garcia, IDC Rate Change Implementation
HS SPPO
Updates & Reminders
## New IDC Rates

<table>
<thead>
<tr>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Flow Through Sponsored Research</td>
<td>56%</td>
<td>57%</td>
<td>57.5%</td>
<td>57.5%</td>
<td>58%</td>
</tr>
<tr>
<td>or Clinical Trials</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Federally Funded Clinical Trials</td>
<td>56%</td>
<td>57%</td>
<td>57.5%</td>
<td>57.5%</td>
<td>58%</td>
</tr>
<tr>
<td>Off-Campus</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
</tr>
<tr>
<td>State of California Sponsors</td>
<td>25%</td>
<td>30%</td>
<td>35%</td>
<td>40%</td>
<td>40%</td>
</tr>
<tr>
<td>On-Campus</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
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<td>25%</td>
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<td>25%</td>
<td>25%</td>
<td>25%</td>
</tr>
<tr>
<td>Off-Campus</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Profit Sponsors</td>
<td>Based on sponsor written policy, please see the Non-profit IDC Blink page</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

UCSan Diego Health
### HS SPPO IDC Worksheet

**Example use of worksheet:**

- Modular Budget;
- Five Years;
- No exemptions; and
- Split rate
  - 6 months one rate;
  - 6 months the next rate

<table>
<thead>
<tr>
<th></th>
<th>FY 2019</th>
<th>FY 2020</th>
<th>FY 2021</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IDC Rate 1</strong></td>
<td>57.0%</td>
<td>57.5%</td>
<td>57.5%</td>
<td>58.0%</td>
<td>58.0%</td>
</tr>
<tr>
<td># of months at Rate</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td>12</td>
<td>12</td>
</tr>
<tr>
<td><strong>Base 1</strong></td>
<td>$125,000</td>
<td>$125,000</td>
<td>$125,000</td>
<td>$250,000</td>
<td>$250,000</td>
</tr>
<tr>
<td><strong>Rate1 total $ F&amp;A (IDC)</strong></td>
<td>$71,250</td>
<td>$71,875</td>
<td>$71,875</td>
<td>$145,000</td>
<td>$145,000</td>
</tr>
<tr>
<td><strong>IDC Rate 2</strong></td>
<td>57.5%</td>
<td>57.5%</td>
<td>58.0%</td>
<td>58.0%</td>
<td>58.0%</td>
</tr>
<tr>
<td># of months at Rate 2</td>
<td>6</td>
<td>6</td>
<td>6</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Base 2</strong></td>
<td>$125,000</td>
<td>$125,000</td>
<td>$125,000</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Rate2 total $ F&amp;A (IDC)</strong></td>
<td>$71,875</td>
<td>$71,875</td>
<td>$72,500</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

**F&A (IDC) $Amount**

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>YEAR 4</th>
<th>YEAR 5</th>
<th>TOTALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>$143,125</td>
<td>$143,750</td>
<td>$144,375</td>
<td>$145,000</td>
<td>$145,000</td>
<td>$721,250</td>
</tr>
</tbody>
</table>

**TOTAL COSTS**

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>YEAR 4</th>
<th>YEAR 5</th>
<th>TOTALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>$393,125</td>
<td>$393,750</td>
<td>$394,375</td>
<td>$395,000</td>
<td>$395,000</td>
<td>$1,971,250</td>
</tr>
</tbody>
</table>
HS SPPO IDC Worksheet

Use the following IDC cost worksheet forms for budgets that **begin on or after July 1, 2018 (FY 2019)**:

- HS SPPO IDC 2019 Form Rates
- HS SPPO IDC 2019 Form Rates for Composite with Subs
- HS SPPO IDC 2019 Form Rates for PPG

Use the following IDC cost worksheet forms for budgets that **begin on or before June 30, 2018 (FY 2018)**:

- HS SPPO IDC 2018 Form Rates
- HS SPPO IDC 2018 Form Rates for Composite with Subs
- HS SPPO IDC 2018 Form Rates for PPG

HS SPPO IDC Worksheets are located here: [https://healthsciences.ucsd.edu/vchs/research-services/hssppo/resources/Pages/Templates--Boilerplates.aspx](https://healthsciences.ucsd.edu/vchs/research-services/hssppo/resources/Pages/Templates--Boilerplates.aspx)
UC San Diego has completed negotiations with the Department of Health and Human Services (DHHS) resulting in multi-year increases to the on-campus research MTDC indirect cost (IDC) rate. The final approval date is still pending, but we have been given permission by DHHS to start using our new rates. Our new rates are effective July 1 of each Fiscal Year (FY) and are as follows:

- FY 2018 is 56.00% (July 1, 2017 to June 30, 2018)
- FY 2019 is 57.00% (July 1, 2018 to June 30, 2019)
- FY 2020 is 57.50% (July 1, 2019 to June 30, 2020)
- FY 2021 is 57.50% (July 1, 2020 to June 30, 2021)
- FY 2022, until amended, is 58.00% (July 1, 2021 to June 30, 2022)

Contact Janet Turner at DHHS Cost Allocation Services, Western Field Office, 415-437-7859 or CAS-SF@psc.hhs.gov, with questions about UC San Diego's F&A rate.

https://healthsciences.ucsd.edu/vchs/research-services/hssppo/resources/Pages/Templates--Boilerplates.aspx
UC San Diego's indirect costs are calculated based on Modified Total Direct Costs (MTDC) as defined in 2 CFR Part 200.68 using Facilities and Administration (F&A) rates approved by the U.S. Department of Health and Human Services (DHHS). MTDC is comprised of total direct costs less capital equipment, alterations and renovations, patient care costs, off-campus rent, tuition and fee remission, scholarships and fellowships, participant support costs, costs associated with cloud/shared computing services, and that portion of subcontract costs in excess of $25,000. Additionally, the total amount of subawards to other UC campuses are excluded. Proration is based on the number of days at the applicable rate.

This project will be located on-campus. UC San Diego's F&A rate agreement is pending final approval by DHHS, but we have been given permission by DHHS to start using our new rates. These new escalating rates are as follows:

- **FY 2018** is 56.00% (July 1, 2017 to June 30, 2018)
- **FY 2019** is 57.00% (July 1, 2018 to June 30, 2019)
- **FY 2020** is 57.50% (July 1, 2019 to June 30, 2020)
- **FY 2021** is 57.50% (July 1, 2020 to June 30, 2021)
- **FY 2022**, until amended, is 58.00% (July 1, 2021 to June 30, 2022)

Contact Janet Turner at DHHS Cost Allocation Services, Western Field Office, 415-437-7859 or CAS-SF@psc.hhs.gov, with questions about UC San Diego's F&A rate.
Reminder:
*Retirement of the Legacy PDF Application Packages

HS SPPO now requires all applications to NIH to be submitted via ASSIST. HS SPPO will not review or submit in Workspace*. 

UC San Diego Health
Reminder:
*Forms-E Applications due on January 25, 2018 and Beyond

<table>
<thead>
<tr>
<th>FOA Number</th>
<th>PA-18-484</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opportunity Title</td>
<td>NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)</td>
</tr>
<tr>
<td>Offering Agency</td>
<td>National Institutes of Health</td>
</tr>
<tr>
<td>CFDA Number</td>
<td></td>
</tr>
<tr>
<td>CFDA Description</td>
<td></td>
</tr>
<tr>
<td><strong>Competition ID:</strong></td>
<td><strong>FORMS-E</strong></td>
</tr>
<tr>
<td>Competition Title</td>
<td>Use for due dates on or after January 25, 2018</td>
</tr>
<tr>
<td>Opportunity Open Date</td>
<td>01/05/2018</td>
</tr>
<tr>
<td>Opportunity Close Date</td>
<td>01/07/2021</td>
</tr>
<tr>
<td>Agency Contact</td>
<td>eRA Service Desk Monday to Friday 7 am to 8 pm ET <a href="http://grants.nih.gov/support/">http://grants.nih.gov/support/</a></td>
</tr>
</tbody>
</table>
When do I still use Forms-D?  
…..When do I use Forms-E?

<table>
<thead>
<tr>
<th>If your due date is…</th>
<th>You must use…</th>
</tr>
</thead>
<tbody>
<tr>
<td>On or before January 24, 2018, including:</td>
<td>FORMS-D application package</td>
</tr>
<tr>
<td>• Applications submitted for due dates on or before January 24, 2018</td>
<td></td>
</tr>
<tr>
<td>• Applications submitted under <a href="https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-062.html">NIH Late Policy</a> 2-week window of consideration for intended due dates on or before January 24, 2018</td>
<td></td>
</tr>
<tr>
<td>• Applications submitted by February 7, 2018 under <a href="https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-062.html">NIH Continuous Submission Policy</a> for January 7, 2018 AIDS intended due date</td>
<td></td>
</tr>
<tr>
<td>On or after January 25, 2018, including:</td>
<td>FORMS-E application package</td>
</tr>
<tr>
<td>• Applications submitted for due dates on or after January 25, 2018</td>
<td></td>
</tr>
<tr>
<td>• All application types (New, Resubmission, Renewal, Revision)</td>
<td></td>
</tr>
<tr>
<td>• Applications submitted early for intended due dates on or after January 25, 2018</td>
<td></td>
</tr>
</tbody>
</table>
When can I still use Forms-D?  
…..When do I use Forms-E?

<table>
<thead>
<tr>
<th>FOA#</th>
<th>FOA Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>PA-16-285</td>
<td>Change of Grantee Organization (Type 7 Parent)</td>
</tr>
<tr>
<td>PA-16-287</td>
<td>Administrative Supplements to Existing NIH Grants and Cooperative Agreements (Admin Supp)</td>
</tr>
<tr>
<td>PA-16-288</td>
<td>Research Supplements to Promote Diversity in Health-Related Research (Admin Supp)</td>
</tr>
<tr>
<td>PA-16-289</td>
<td>Research Supplements to Promote Re-Entry into Biomedical and Behavioral Research Careers (Admin Supp)</td>
</tr>
</tbody>
</table>

- Parent announcements for administrative supplements and change of grantee organization (grant transfers) do not have set due dates, thus have a different timeline than other parent announcements.
- The FOAs listed above will be reissued with new FOA numbers, FORMS-E application packages, and instructions on January 25, 2018. Applications started on or after January 25, 2018 must use the new FOAs and FORMS-E application packages.
- These FOAs will expire on February 25, 2018 giving applicants one month to complete their initiated FORMS-D applications.

NOT-OD-18-106: NIH will require all applications involving one or more clinical trials be submitted through an FOA specifically designed and designated for clinical trials. This policy improves NIH’s ability to identify proposed clinical trials, ensure that key pieces of trial-specific information are submitted with each application, and uniformly apply trial-specific review criteria.

FOAs will have in their titles the following:

- Clinical Trial(s) Optional
- Clinical Trial(s) Required / Independent Clinical Trial Required (Ks)
- Clinical Trial Not Allowed(s) / Independent Clinical Trial Not Allowed (Ks)

Reminder
*Policy on FOAs & Clinical Trials effective January 25, 2018

Reminder:
*How Do I Know if My Research is Considered a Clinical Trial?

If you answer "yes" to each of these four questions, your research will be considered a clinical trial by NIH:

1. Does the study involve human participants?
2. Are the participants prospectively assigned to an intervention?
3. Is the study designed to evaluate the effect of the intervention on the participants?
4. Is the effect being evaluated a health-related biomedical or behavioral outcome?

Example of Most Common New Parents Announcements Issued Thus Far for use on January 25, 2018 and Beyond…

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Title</th>
<th>FOA #</th>
</tr>
</thead>
<tbody>
<tr>
<td>R01</td>
<td>NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)</td>
<td>PA-18-484</td>
</tr>
<tr>
<td>R01</td>
<td>NIH Research Project Grant (Parent R01 Clinical Trial Required)</td>
<td>PA-18-345</td>
</tr>
<tr>
<td>R21</td>
<td>NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Not Allowed)</td>
<td>PA-18-489</td>
</tr>
<tr>
<td>R21</td>
<td>NIH Exploratory/Developmental Research Grant Program (Parent R21 Clinical Trial Required)</td>
<td>PA-18-344</td>
</tr>
<tr>
<td>K01</td>
<td>Mentored Research Scientist Development Award (Parent K01 - Independent Clinical Trial Not Allowed)</td>
<td>PA-18-369</td>
</tr>
<tr>
<td>K01</td>
<td>Mentored Research Scientist Development Award (Parent K01 - Clinical Trial Required)</td>
<td>PA-18-363</td>
</tr>
<tr>
<td>K99/R00</td>
<td>NIH Pathway to Independence Award (Parent K99/R00 - Clinical Trial Required)</td>
<td>PA-18-397</td>
</tr>
<tr>
<td>K99/R00</td>
<td>NIH Pathway to Independence Award (Parent K99/R00 - Independent Clinical Trial Not Allowed)</td>
<td>PA-18-398</td>
</tr>
</tbody>
</table>

Read the new FOAs!
PA-18-484: NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)
PA-18-345: NIH Research Project Grant (Parent R01 Clinical Trial Required)

- Not all NIH Institutes and Centers (ICs) participate in Parent Announcements, this now includes the R01(s).
- Applicants should carefully note which ICs participate in this announcement and view their respective areas of research interest at the Funding Mechanism (ex. R01) IC-Specific Scientific Interests and Contact websites.
- Applicants should also carefully note which ICs accept only mechanistic trials by viewing the Related Notices. ICs that do not participate in these FOAs will not consider applications for funding.
- R01 Clinical Trial Required Participating Institutes and Centers Website: https://grants.nih.gov/grants/guide/contacts/Clinical-Trial-Parent-R01.html
- R01 Participating Institutes and Centers Website: https://grants.nih.gov/grants/guide/contacts/parent_R01.html
Retirement of the Legacy PDF Application Packages

• Legacy PDF Application Package were phased out on December 31, 2017.
• Applicants no longer are able to download the older, single PDF application packages.
• For any funding opportunities where applicants have downloaded the legacy PDF application package, they will be able to continue to submit that package until March 31, 2018.
Subject: GRANT12507795 Grants.gov Rejection Notice for Application

Dear Applicant:

Your submission was received on Oct 18, 2017 04:26:48 PM EDT and rejected on Oct 18, 2017 04:27:13 PM EDT. It contained errors and cannot be forwarded to the granting agency. The following errors were detected:

Error: Schema validation failed
DefaultValidationHandler found 153 problems:

153 Errors:
1: (line 2 column 63460) cvc-complex-type.2.4.d: Invalid content was found starting with element 'grant'
2: (line 2 column 63497) cvc-complex-type.2.4.a: Invalid content was found starting with element 'grant:
3: (line 2 column 65513) cvc-datatype-valid.1.2.1: " is not a valid value for 'integer'.
4: (line 2 column 65513) cvc-type.3.1.3: The value " of element 'RR.Budget.1.A"NumberOfPersonnel" is
Grants.gov Workspace

Workspace is a shared, online environment to collaboratively complete and submit grant applications.
Benefits of Workspace

- Multiple users can concurrently complete the application forms
- Reuse/copy prior Workspace forms to prepopulate a new Workspace
- Upfront validation allows applicants to correct application errors prior to submission thus drastically reducing the number of Grants.gov rejections
- Complete an application form using our online webforms or downloading/uploading the PDF form; applicants can seamlessly switch between online and offline
- Grantor changes to the Opportunity Package are immediately reflected in Workspace
Workspace Roles

- E-Business Point of Contact (EBiz POC): Delegates Grants.gov roles and access

- Authorized Organizational Representative (AOR) with MPIN: Submit any application on behalf of your Institute of Higher Education

- Workspace Owner: Point person for proposal development.

- Workspace Participant: All staff who complete or review any document or form that goes into the grant application.
Workspace Roles

- UC San Diego users can register at the following link, and OCGA (Ross Dammann) will add the Manage Workspace access.

- [https://apply07.grants.gov/apply/OrcRegister](https://apply07.grants.gov/apply/OrcRegister)
Workspace Process

Edit Forms Online or Download PDFs
All Participants in the workspace are able to complete forms, unless specific forms are locked by another Participant.

Save Online Forms or Upload Completed PDFs
Participants may also reuse forms from other workspaces, as long as the forms have the same name and version number.

Check Application
Perform validation checks on your application as needed, and fix any errors.
Workspace Process

Submit the Completed Application
All Participants with the AOR role are able to submit the completed application. Receiving a notification from the Workspace Owner is not required.

Complete Application & Notify AOR
The "Complete and Notify AOR" button is activated for the Workspace Owner after all the forms have passed validations. Additional validations are performed on the completed application.

Reopen the Workspace
Reopen the workspace to edit the application after it has been completed or submitted, then submit any changes.
What is Workspace?

Each workspace has 4 tabs: **Forms, Participants, Activity and Details**

Some have 2 more tabs based on grantor agency services (currently NIH-only): **Grantor Image and Preview Grantor Validation**

The top section of each workspace contains key information about the application status.
What is Workspace?

The **Forms** tab contains individual forms that are part of the workspace application package.

**Key Actions:**
- Edit online forms *(if available)*
- Lock/Unlock forms
- Download/Upload PDF forms
- Reuse a forms
What is Workspace?

The **Participants** tab lists the members, or “Participants,” of a workspace who work as a team to complete the required forms for a federal grant.
What is Workspace?

The Activity tab lists the actions that Participants have taken within the workspace.
What is Workspace?

The **Details** tab lists submission history, including links to download every submitted (and re-submitted) application.
Completing Online Webforms

More Features:
- Hover mouse over form fields for help
- Error messages explain how to fill out form fields
Grants.gov Workspace

- **Video: How to Create a Workspace**
  https://www.youtube.com/watch?v=oLvzOelLXec&index=3&list=PLNSNGxQE7NWlibdjPYGOsZaG-ol0pBsx3

- **Video: How to Complete Forms in a Workspace**
  https://www.youtube.com/watch?annotation_id=annotation_id=annotation_1958520933&feature=iv&src_vid=EICBESpvK8s&v=ztD-v_vUtutQ
Upcoming Workspace Enhancements

• Allow Applicants to be added to a Workspace regardless of Organization affiliation
• Forms-Level Access Control for applicants within Workspace
• Workspace Progress Bar
• Enhanced Workspace copy features
• Include PDF attachments in Application Preview
• One-Click Subscribe to Opportunity and Saved
• More streamlined registration process
Grants.gov Workspace Resources


- Grants.gov Community Blog article: “7 Tips for Transitioning Your Organization to Grants.gov Workspace” [https://blog.grants.gov/2016/10/18/7-tips-for-transitioning-your-organization-to-workspace/](https://blog.grants.gov/2016/10/18/7-tips-for-transitioning-your-organization-to-workspace/)

- Grants.gov Workspace Roles and Access Levels – Training video: [https://www.youtube.com/watch?v=4RnSfnZJB6w](https://www.youtube.com/watch?v=4RnSfnZJB6w)

IDC Rate Change Implementation

Wella Garcia
Associate Director, OPAFS
### New RESEARCH Rates – On-campus

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Dates</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>7/1/17-6/30/18</td>
<td>56%</td>
</tr>
<tr>
<td>2019</td>
<td>7/1/18-6/30/19</td>
<td>57%</td>
</tr>
<tr>
<td>2020</td>
<td>7/1/19-6/30/20</td>
<td>57.5%</td>
</tr>
<tr>
<td>2021</td>
<td>7/1/20-6/30/21</td>
<td>57.5%</td>
</tr>
<tr>
<td>2022</td>
<td>7/1/21-6/30/22</td>
<td>58%</td>
</tr>
</tbody>
</table>
As long as the rate is not over the federally negotiated rate for the fiscal period, OPAFS follows the rate based on the following precedence:

- NOA stating the IDC rate
- If NOA does not specify any rate, OPAFS will use the approved budget IDC rate in the proposal
- If NOA does not specify any rate but the approved budget proposal has a dollar amount for the IDC, OPAFS will calculate the applicable rate by determining the Modified Total Direct Cost (MTDC)
If NOA IDC escalates according to the newly negotiated rate – OPAFS will use the escalating rate using a variable IDC code in IFIS

If NOA uses a fixed IDC rate throughout the life of the project – OPAFS will use the fixed rate- as long as it is not over the negotiated rate

Non-federal awards not negotiated at federal rates will be charged the award rate even if they are higher than the federal negotiated rate

If current awards received a mod with the new rates, subfund will not be needed – OPAFS will change the rate in IFIS

Exception: Supplement award is received concurrently with an award with a different rate
Resources

- **STaRT - IDC Rate Change Policy**

- **Blink OCGA – Updated with new Indirect Cost Rates**
  (https://blink.ucsd.edu/research/preparing-proposals/proposal-development/budgets/indirect.html)
UC San Diego Health
Health Sciences SPO
T: 858.822.4109
vchsgants@ucsd.edu
Website: hssppp.ucsd.edu

UC San Diego
OCGA
Jeff Warner
T: 858-534.6721
jswarner@ucsd.edu
Blink: http://blink.ucsd.edu/sponsor/ocga/index.html
Staff Assignment Tool: http://blink.ucsd.edu/sponsor/ocga/staff-assignments.html

UC San Diego
OPAFS
Wella Garcia
T: 858.534.5945
r7garcia@ucsd.edu
Blink: https://blink.ucsd.edu/sponsor/BFS/divisions/opafs/index.html