Coffee with ORPA: HOT TOPICS IN RESEARCH ADMINISTRATION

September 23, 2021

Presenters:
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Eszter Rudy (ORPA)
Francine Taylor (ORPA)
Introducing New Members of ORPA

Brian Collins, Export Control Manager

Lynn Crow, Contracts Manager

Caroline McHugh Sitren, Shared Grants Manager
Agenda

- Advance Spending Accounts
- Inappropriate Foreign Influence Reminders
- NIH Updates
- NSF Updates
- SciENcv and ORCID
- Upcoming Workshops and Training Opportunities
- Quiz
- Q&A
ADVANCE SPENDING ACCOUNTS

Courtney Kohut
What is an Advance Spending Account?

- Spending in advance of a Sponsored award (that does not fall under uniform guidance) – currently available for Departments to request via the OPAR form.

- Chartstring is established prior to an official award arriving to Princeton.

- Normally do **not** have a chartstring setup yet with an AWD #.

- Used for **new awards**, when an award notice has not yet arrived to Princeton and costs incurred prior to award arrival need to be incurred (example: equipment purchases). *Keep in mind these costs are at the risk of the Department, and a backup chartstring (non-sponsored) is provided as a funding source.*
What is an Advance Spending Account?

- Notified that an award is arriving very soon and may be delayed, and a PI wishes to begin working on the award as the official start date may have already begun.
- Different from 90-day pre-award spending (described in later slides), but may overlap in requirements if an award may be delayed that is not yet setup and is Federal.
- Does not have to go back 90 days – can be a shorter time period.
Benefits of Advanced Spending

- Allows a chartstring to be established early, without having to place expenses on a holding (A0014) chartstring. A0014 should be used in limited situations, and should be cleared out annually before year-end closeout.
  - A0014 is not encouraged to be used to 'park' expenses if advanced spending is an option.
  - Grad student salaries are an example of when you may need to use the A0014.
- Charges are not mixed with other unrelated expenses on a holding chartstring and can easily be identified/tracked.
- Reduce the number of journals and cost-transfer justifications once the actual award notice arrives – reducing the chance of incurring expenses that are deemed unallowable later, less administrative burden.
- Salaries & equipment with long lead times can be allocated and encumbered.
- Invoices are not issued to the sponsor prior to the official start – department is responsible for tracking all costs incurred prior to official award setup.
Things to Remember!

▷ Ask Questions! Discuss options with your GCA!

▷ While spending can be incurred, advanced spending chartstrings will not show up under a PI’s individual portfolio/award inventory report until the official award is activated in PeopleSoft.

▷ Department is responsible for tracking the expenses incurred prior to award start date – some sponsors limit the amount of advanced spending and will disallow expenses that exceed this amount.

▷ NOA only indicates pre-award (whether advanced spending or pre-award), however the start date remains the same at the top. Pre-award start date is noted lower on the NOA.
Examples of Advanced Spending

- Princeton is a subaward under another University and they received the award from the Prime Sponsor, but the other University is still setting up the award – verify that Princeton can go ahead and setup an advanced spending chartstring to begin their work prior to them issuing the award.

- A contract is being negotiated on a new award and the contract is complex and taking a while to finalize – an advanced spending chartstring may be needed to begin work in order to maintain the milestone timeline.

- Notification of a Federal award is pending has been sent to the PI and the PI wishes to begin working on the grant prior to an AWD being established.
How is this different from 90-day Pre-award?

- 90-day pre-award normally has a chartstring/AWD already setup.
- You need to capture expenses incurred prior to the start date, or a project phase (DARPA for example) – you may be waiting for a new increment of funding.
- 90-day pre-award is normally applicable to Federal grants under Uniform Guidance, but never assume it is automatic.
- If Princeton is a sub – we would need to request approval from the Prime institution as pre-award is not guaranteed, even under a Federal grant.
- This may overlap with advanced spending if it’s a sponsor that allows 90-day and an award may be delayed and spending needs to incur.
Requesting Advanced Spending

- Complete an OPAR form & submit to your GCA
- Verify Sponsor allows advanced/pre-award spending
- Obtain appropriate signatures on OPAR
- PI or designee must also sign the OPAR
- Provide justification for advanced spending
- Include written backup from Sponsor that an award is coming
- All requests must include a backup chartstring

Office of Research and Project Administration
OPAR Completion

- Fill out the top of the OPAR
- Check the Departmental Spending Authorization Box
- Check Spending Prior to Award Activation
- Appropriate signature is required, and a Dept. Chartstring (can be a PI discretionary)
A justification must be provided, as well as backup documentation that an award is anticipated from this sponsor. A PI or designee (Grants Manager) signature must accompany the OPAR.
Advanced Spending - Resources

▶ ORPA Website
  ▶ Award Management:
    https://orpa.princeton.edu/sponsored-project-lifecycle/award-management
  ▶ OPAR:

▶ External Resources
  ▶ Prior Approval Matrix
INAPPROPRIATE FOREIGN INFLUENCE REMINDERS

Eszter Rudy
Inappropriate Foreign Influence Reminders

➤ Recognize that there is new, ongoing, and ever changing attention to and scrutiny on the below:
  ➤ Biosketch
  ➤ Current & Pending / Other Support
  ➤ Facilities and Other Resources

➤ Use the resources made available to you
  ➤ Visit the ORPA IFI website
  ➤ Use the Quick Guide (log-in required) and the Disclosures Checklists posted on the IFI website
  ➤ Check with your GCA if you’re unsure
  ➤ ORPA, RIA and DOF are working on connecting systems, developing new reports and enhancing resources available to you
Your Role in Ensuring Appropriate Disclosures

- Learn and understand the requirements for reporting to sponsors (questions are encouraged!)
- Collect information from internal systems, PI websites, etc., for required documents to sponsors
- Open new conversations with researchers on outside activities in order to ensure all relevant information is externally disclosed to sponsors
- Serve as a resource to the PI on external disclosure requirements
- Flag possible inconsistencies or gaps to the PI or to ORPA
- Work together with your colleagues in ORPA, RIA, DOF, etc.: Nobody can do this alone!

You play a key role!
Tips for Disclosures

Become familiar with the latest agency guidance to which you are submitting:

- **Know WHO needs to disclose**
  - Senior personnel, key personnel and / or other significant contributors

- **Know WHAT needs to be disclosed**
  - External engagements, foreign activities, foreign component, resources domestic and foreign

- **Know WHERE to disclose**
  - Proposal components such as biosketch, C&P/OS, facilities/resources pages, etc.; NSF cover page

- **Know WHEN disclosures need to be made**
  - Proposal, just-in-time, award/progress report stages

When in doubt, encourage disclosure!
NIH UPDATES

Chi Chung
NIH: Significant Changes for applications due on or after 1/25/22. Are you ready?

- All Senior/Key Personnel must have eRA Commons IDs (NOT-OD-21-109).
- New NIH Forms-G will go into effect.
- Register for the free NIH Virtual Seminar Nov. 1-4.
NIH: Updates to Biosketch Form and Instructions

- **Section A:** May list ongoing and completed project for the past 3 years.

- **Section B:** Must include ALL active & current positions and scientific appointments; list most recent position first.

- **Section D:** Was used to report Research Support and is now deleted.

- Page limit remains 5

- Sample biosketch & FAQs available
NIH: Updates to Other Support Form and Instructions

For New and Renewal Applications – DO NOT SUBMIT UNLESS REQUESTED
PHS 398 OTHER SUPPORT

There is no "form page" for reporting Other Support. Information on Other Support should be provided in the format shown below.

*Name of Individual:
Commons ID:

*Title:
Major Goals:

*Status of Support:
Project Number:
Name of PD/PI:

*Source of Support:
*Primary Place of Performance:
Project/Proposal Start and End Date (MM/YYYY) (if available):

*Total Award Amount (including Indirect Costs):
*Person Months (Calendar/Academic/Summer) per budget period

*Summary of In-Kind Contribution:

*Status of Support:

*Primary Place of Performance:
Project/Proposal Start and End Date (MM/YYYY) (if available):

*Person Months (Calendar/Academic/Summer) per budget period

**Estimated Dollar Value of In-Kind Information:

*Overlap (summarized for each individual):

I, PD/PI or other senior key personnel, certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

*Signature:
Date:

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Office of Research and Project Administration

Princeton Research
NIH Other Support: Significant Clarifications and Changes

› All senior/key personnel with foreign appointments/employment must provide translated copies of contracts, grants, or agreement.

› Unique, high-value materials and data received within the past 3 years and that are still in use must be included as in-kind contributions in Other Support.

› Consulting must be reported in Other Support if it involves research; report estimate of amount paid as opposed to estimate of time and effort.

› Signature block added for PI or senior/key to electronically sign submissions to certify accuracy of information provided.

Mandatory requirement for immediate notification to NIH of undisclosed Other Support on JIT or RPPR!
NIH Other Support: Other Clarification/Changes

- For in-kind contributions intended for use on the project being proposed – Include information as part of the Facilities and Other Resources or Equipment section.
- For in-kind contributions NOT intended for use on the project being proposed – Include in Other Support form.
- Do not list *this* application or this award on Other Support form.
- For Active & Pending projects – List total award costs including IDC or total proposed costs.
- Indicate calendar OR a combination of academic/summer months for each project.
### NIH: Chart what to disclose and where

**Requirements for Disclosure of Other Support, Foreign Relationships and Activities, as well as Conflicts of Interest**

Full transparency in NIH applications and throughout the life of an NIH grant is critical. NIH requires the disclosure of all sources of research support, foreign components, and financial conflicts of interest. NIH uses this information when making its funding decisions to determine if the research being proposed is receiving other sources of funding that could be duplicative, has the necessary time allocation, or if financial interests may affect objectivity in the conduct of the research.

**Examples of What to Disclose to NIH about Senior/Key Personnel on Applications and Awards:**

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<tbody>
<tr>
<td>All positions and affiliations, including volunteer positions, relevant to the application</td>
<td>X</td>
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<td>Relevant appointments at foreign institutions - even if labeled as “guest,” “adjunct,” “honorary,” with or without salary support</td>
<td>X</td>
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<td>The number of person-months devoted to projects, even if there is no salary support or direct personal payments to the scientist</td>
<td>X</td>
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<tr>
<td>Income, salary, consulting fees, and honoraria in support of an individual’s research endeavors</td>
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<td>Participation in a foreign talent or similar-type programs</td>
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<td>Ongoing and completed research projects from the past three years that the applicant wishes to highlight</td>
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<td>All resources and other support, both domestic and foreign, for ongoing research projects, including those conducted at a different institution</td>
<td>X</td>
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<td>In-kind contributions from domestic and foreign institutions or governments that support research activities</td>
<td>X</td>
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<td>Performance of any significant part of an NIH project outside of the US, whether or not funds are expended</td>
<td>X</td>
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<td>Post-doc, student, or visiting scholar supported by a foreign government or institution</td>
<td>X</td>
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<tr>
<td>Travel paid by a foreign institution or government over $10,000 per year</td>
<td>X</td>
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<tr>
<td>Financial interests received from a foreign institution of higher education or a foreign government</td>
<td>X</td>
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NIH Resources

- NOT-OD-19-114
- NOT-OD-21-073
- NOT-OD-21-110
- FAQs on Other Support
- FAQs on Bio Sketch
- Protecting U.S. Biomedical Intellectual Innovation webpage (including chart listing Biosketch & Other Support disclosures)
- NIH Webpage on Biosketch
- NIH Webpage on Other Support
- COGR chart comparing Disclosure and Other Requirements among JCORE, NSPM-33, NDAA 2021, NSF & NIH
NSF UPDATES

Francine Taylor
Biosketch page limit increased to 3 pages

Travel and Conference Proposal—guidance regarding NSF review of policies and certifications addressing harassment

Current and Pending Support and Biosketch disclosures

Revised FAQ’s in addition to a table that references where these disclosures must be provided in proposals as well as in project reports.

C&P has been updated to require that information on objectives and overlap with other projects be provided, to help NSF and reviewers assess overlap/duplication.
Published guidance regarding [NSF-Approved Formats for Current and Pending Support](#) are available.

A table entitled [NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support](#), has been developed to provide helpful reference information regarding pre-award and post-award disclosure information in the biographical sketch and current and pending support proposal sections. The table identifies where these disclosures must be provided in proposals as well as in project reports.

An additional set of [frequently asked questions related to current and pending support](#) are also available.

NSF recorded a [webinar](#) on the use of NSF-approved formats.
NSF Current and Pending (C&P) FAQs

Selected Key Points

- C&P information is used to assess the capacity of the individual to carry out the research as proposed, as well as to help assess any potential overlap/duplication with the project being proposed.
- Person-month information included in C&P may differ from the person-months requested on the budget for a given project. The budget and C&P are separate and distinct.
- If a PI or co-PI or other Senior personnel is not requesting salary support, they should be removed from the budget and their name and the estimated amount of time to be devoted to the project should be identified in the Facilities, Equipment and Other Resources section of the proposal with the effort reported on the C&P.
1. A comprehensive listing of post-award notifications and requests for prior approval is contained in the general conditions incorporated by reference into each NSF award.

2. This table does not address disclosures submitted regarding Collaborators and Other Affiliations that are used to manage reviewer selection.

3. This table does not address disclosures to grantees of financial conflicts of interest under PAPPG Chapter IX.A.

4. Senior personnel must identify all current domestic or foreign professional appointments outside of the individual’s academic, professional, or institutional appointments at the proposing organization.
<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>Biographical Sketch</th>
<th>Current &amp; Pending Support</th>
<th>Facilities, Equipment &amp; Other Resources</th>
<th>Project Reports</th>
<th>Post-Award Information Term &amp; Condition</th>
<th>Disclosure Not Required</th>
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<tr>
<td>In-kind contributions not intended for use on the project/proposal being proposed to NSF and have an associated time commitment</td>
<td></td>
<td>✓</td>
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<td>Consulting that is permitted by an individual’s appointment and consistent with the proposing organization’s “Outside Activities” policies and procedures</td>
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<td>Consulting that falls outside of an individual’s appointment</td>
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<td>Travel supported/paid by an external entity to attend a conference or workshop</td>
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<td>Travel supported/paid by an external entity to perform research activities with an associated time commitment</td>
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<td>Teaching commitments</td>
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<td>Startup company based on organization-licensed intellectual Property (IP)</td>
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<td>✓</td>
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<td>Startup company based on non-organization-licensed IP</td>
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<td>Unrestricted Gifts</td>
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<td>Visiting scholars in labs</td>
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<td>Mentoring as part of appointment</td>
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<td>Graduate and postdoctoral researchers time on project</td>
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<td>Academic Year Salary</td>
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Revised Current and Pending Format

<table>
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<tr>
<th>Projects/Proposals</th>
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<tr>
<td><strong>Project/Proposal Title:</strong></td>
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<td><strong>Status of Support:</strong></td>
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<td>Proposal/Award Number (if available):</td>
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<td><strong>Source of Support:</strong></td>
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<td><strong>Primary Place of Performance:</strong></td>
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<td>Project/Proposal Start Date (MM/YY) <em>(if available):</em></td>
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<td>Project/Proposal End Date (MM/YY) <em>(if available):</em></td>
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<td><strong>Total Award Amount (including Indirect Costs):</strong> $</td>
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<td><strong>Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project</strong></td>
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<td><strong>Year (YYYY)</strong></td>
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<td>2.</td>
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<td>3.</td>
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<td><strong>Overall Objectives:</strong></td>
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<td><strong>Statement of Potential Overlaps:</strong></td>
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SCIENCV and ORCID

Neggin Keshavarzian
and
Zachary Kaado
NSF biosketch and Current & Pending Support format

- For all proposals as of **October 5, 2020**
  - Biosketch
  - Current and Pending Support

- **Two ways to produce the new required format:**
  - SciENcv: Science Experts Network Curriculum Vitae
    - Goal: Adoption of a single, common researcher profile system for Federal grants reduces administrative burden for researchers.
  - Fillable PDF for Biosketch and Current and Pending

- Applicants can leverage existing data from Research.gov, eRA Commons and ORCID when using SciENcv
What is ORCID?

- “Open Researcher and Contributor Identifier”
  - ORCID iD is a 16-digit **persistent, unique** identifier
  - Allows for researcher disambiguation
  - ORCID records can contain any of the information you’d expect to find in a CV
  - Associates researchers with their outputs (articles, data sets, profile) across their careers, regardless of changes in name and institutional affiliation

- ORCID is used around the world by
  - Publishers, Research organizations, Funders

- Your **ORCID iD stays the same!** (It’s persistent)
SciENcv and ORCID Poll Results

- 16 individuals responded

- General positive responses
  - SciENcv is easy to use and convenient to update
  - Easy to add publications

- General issues
  - Initial set up is time consuming
  - Need to edit citations
  - Difficulty in getting delegation access
A Grant Manager’s Perspective

Biosketches and Current and Pending in SciENcv

- Time savings! - no formatting required - Easy data entry and updating!
- Sponsor PDF forms can be glitchy - section sizes not adaptable and do not allow all allowable information to be included
- *Delegation feature* - centrally updated information
  - PIs, Grants Managers, Faculty Assistants, and more
  - Cross-departmental coordination
- Optional...for now.
  - Increasing oversight of these documents and potential foreign influence
  - Growing list of Sponsors taking advantage of ORCiD, SciENcv, and other tools to come.
UPCOMING WORKSHOPS AND TRAINING OPPORTUNITIES

Eszter Rudy
Upcoming Workshops and Training Opportunities

Register in the Employee Learning Center:

- SciENcv and ORCID Q&A Session
  - With Neggin Keshavarzian and Zack Kaado
  - Thursday, September 30th, 9:30-10:30am

- SciENcv and ORCID Workshops
  - With Neggin Keshavarzian and Zack Kaado
  - Thursday, October 14th, 9:30-10:30am AND/OR
  - Tuesday, October 26th, 1:30-2:30pm

Contact Eszter Rudy (erudy@princeton.edu) to schedule targeted workshops with ORPA on any topic discussed in today’s presentation.