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UTIA INSTITUTE OF AGRICULTURE
THE UNIVERSITY OF TENNESSEE

University of Tennessee Institute of Agriculture Sponsored Programs Office

2016 January

Office of Sponsored Programs Newsletter

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Message from the Director

Happy New Year!
January brings a fresh start and new opportunities. December 28, PAMS was replaced by an upgraded version Evisions Cayuse SP. As with all new software program rollouts we are busy discovering inconsistencies, glitches, oddities, etc. and working through them with our counterparts across the state. You can link to Evisions by going to the Office of Sponsored Programs website http://agriculture.tennessee.edu/sponsoredprograms/, then clicking "Evisions Log-in" at the Quick Links box . Log in with your UT net ID and password. Please help us improve service by letting us know if you encounter problems, have questions or suggestions.

New opportunities. NIH and NSF have both issued revised proposal guides. Both agencies have made a few significant changes to the proposal submission process. In this issue you will find articles addressing these changes and where to find help. Check out Will's article titled "Changes to DHHS SF424 Forms Version C Application Guide (for NIH)", and my article titled "New NSF Grant Proposal Guide effective January 25, 2016". In addition, see Will's article on NIH's increased salary cap.

Jane has included some compliance tips on Export Control red flags and IRB updates on her Compliance Corner. Rumira has included information on how to process Confidentiality Agreements. In order for you to get to know us, we are including an OSP staff member bio in each newsletter. This month Karin Langan is sharing hers.

Hope to see you all at the Grants Workshop on Feb 3!

The Office of Sponsored Programs wishes each of you a healthy and productive new year.

Thank you,
Debbie Hampstead

Changes to DHHS SF424 Forms Version C Application Guide >>> *by Will Helmrath*

> Effective for applications due on and after January 25th, 2016, the Department of Health and Human Services (DHHS) has released revised guidelines for the content of several documents needed in their SF424 (R&R) Forms Version C application packages for applications to the National Institutes of Health and other Public Health Service agencies.

Below are excerpts from the application guidelines of some the key additions (highlighted in bold & italics) of the required documents and some additional review requirements (follow this link to a PDF of the revised guidelines: http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_VerC.pdf). Additionally, DHHS plans to release new guidelines for the new Forms Version D application packages in March, which will be effective for applications due on or after May 24th, 2016.

Research Strategy (Unless otherwise stated in the Funding Opportunity Announcement):

Significance

- Explain the importance of the problem or critical barrier to progress in the field that the proposed project addresses.
- ***Describe the scientific premise for the proposed project, including consideration of the strengths and weaknesses of published research or preliminary data crucial to the support of your application.***
- Explain the project's potential to lead to a marketable product, process or service.

  For Phase II, Fast-Track, and Phase IIB Competing Renewals, explain how the commercialization plan demonstrates a high probability of commercialization.

Innovation (Unchanged)

- Explain how the application challenges and seeks to shift current research or clinical practice paradigms.
- Describe any novel theoretical concepts, approaches or methodologies, instrumentation or interventions to be developed or used, and any advantage over existing methodologies, instrumentation, or interventions.

  Explain any refinements, improvements, or new applications of theoretical concepts, approaches or methodologies, instrumentation, or interventions.

Approach

- Describe the overall strategy, methodology, and analyses to be used to accomplish the specific aims of the project. ***Describe the experimental design and methods proposed and how they will achieve robust and unbiased results.*** Unless addressed separately in Item 15 (Resource Sharing Plan), include how the data will be collected, analyzed, and interpreted as well as any resource sharing plans as appropriate.
- Discuss potential problems, alternative strategies, and benchmarks for success anticipated to achieve the aims.
- If the project is in the early stages of development, describe any strategy to establish feasibility, and address the management of any high risk aspects of the proposed work.
- ***Explain how relevant biological variables, such as sex, are factored into research designs and analyses for studies in vertebrate animals and humans. For example, strong justification from the scientific literature, preliminary data, or other relevant considerations, must be provided for applications proposing to study only one sex.***
- ***If your study(s) involves human subjects, you are expected to explain how relevant biological variables are important to the proposed experimental design and analyses. The sections on the Inclusion of Women and Minorities and Inclusion of Children can be used to expand your discussion on inclusion and justify the proposed proportions of individuals (such as males and females) in the sample.***
- ***Please refer to NOT-OD*-15-102 for further consideration of NIH expectations about sex as a biological variable.**

Vertebrate Animals:

Failure to address the following criteria will result in the application being designated as incomplete ***and it will not be considered***.

The criteria are as follows:

1. ***Description of Procedures. Provide a concise description of the proposed procedures to be used that involve vertebrate animals in the work outlined in the "Research Strategy" section. Identify the species, strains, ages, sex, and total numbers of animals by species, to be used in the proposed work. If dogs or cats are proposed provide the source of the animals.***
2. ***Justifications: Provide justification that the species are appropriate for the proposed research. Explain why the research goals cannot be accomplished using an alternative model (e.g. computational, human, invertebrate, in vitro).***
3. ***Minimization of Pain and Distress: Describe the interventions including analgesia, anesthesia, sedation, palliative care and humane endpoints to minimize discomfort, distress, pain, and injury.***
4. ***Euthanasia: State whether the method of euthanasia is consistent with the recommendations of the American Veterinary Medical Association (AVMA) Guidelines for the Euthanasia of Animals. If not, describe the method and provide a scientific justification.***

Resource Sharing Plan(s):

1. Data Sharing Plan (Unchanged)
2. Sharing Model Organisms (Unchanged)
3. ***Genomic Data Sharing: Applicants seeking funding forresearch that generates large-scale human or non-human genomic data are expected to provide a plan for sharing of these data in the Resource Sharing Plan section of the funding application. Examples of large-scale genomic data include genome-wide association studies (GWAS), single nucleotide polymorphisms (SNP) arrays, and genome sequence, transcriptomic, epigenomic, and gene expression data. Supplemental Information to the NIH Genomic Data Sharing policy (GDS), provides examples of genomic research projects that are subject to the Policy. For further information see the NIH GDS Policy, NIH Guide NOT-OD-14-124, and the GDS website at http://gds.nih.gov/.***

Note that, for proposed studies generating human genomic data under the scope of the GDS Policy, an Institutional Certification may be submitted at the time of application submission, but it is not required at that time; the Institutional Certification however, will be requested as Just-in-Time (JIT) information prior to award. The Institutional Certification, or in some cases, a Provisional Institutional Certification, must be submitted and accepted before the award can be issued.

Changes to Appendix:

For videos, including those demonstrating devices, see information in Post-Submission Application Materials section and NOT-OD-12-141. When submitting a video as part of the application the cover letter must include information about the intent to submit it, if this is not done, a video will not be accepted.

Additions to Review Criteria

Added to Significance:

- Is there a strong scientific premise for the project?

Added to Approach:

- Have the investigators presented strategies to ensure a robust and unbiased approach, as appropriate for the work proposed?
- Have the investigators presented adequate plans to address relevant biological variables, such as sex, for studies in vertebrate animals or human subjects?

Added to Vertebrate Animals:

- Have the investigators followed the new criteria and is each criteria adequately described? (Paraphrased)

COMPLIANCE CORNER >>>

by Jane Burns

> EXPORT CONTROL RED FLAGS - You've heard about export control, but when might you need to worry about it? Here are a few red flags that export control may be a concern:

- Your project involves **foreign travel** (including to attend a conference)
- You are working with a **foreign collaborator**, including (but not limited to) a visiting scholar or student
- A sponsor of your project places **limits** on:
  - **Publication rights**
  - **Personnel**, particularly based on citizenship
- A sponsor or collaborator needs to send **Confidential/Proprietary Information** to you, even if results of research fall under fundamental research
- You plan to **ship anything internationally**, such as data, software, parts, equipment, etc.
- Your work involves chemicals, equipment, or technical data that may be on the federal **export control lists** – CCL list of military use items or ECCN list with dual-use (civilian and military) – including certain:

Drones	Fibers
GPS Units	Bacteria
Lasers	Viruses
Sensors	Software containing encryption and the applicable source code
Semi-conductors	

- A **sponsor or collaborator suggests** export-controlled items or technology may be involved

Red flags may or may not mean export-control licenses are needed. They **do** mean you need to properly mark the Export Control page of Evisions Cayuse SP and, as needed, contact Jane Burns 865-974-7375 to discuss.

NEW NSF Grant Proposal Guide effective January 25th >>>

by Debbie Hampstead

> The National Science Foundation released its 2016 Proposal and Award Policies and Procedures Guide, including the Grant Proposal Guide (GPG) and the Award & Administration Guide (AAG) that will take effect January 25, 2016. Topics covered from the guidelines will be crucial for compliant proposal submission (BioSketches, Current & Pending, etc.) and award management (Technical Reporting requirements, Public Access policy, etc.) in the 2016 calendar year.

Use this link to see a full listing of significant changes to the Proposal & Award Policies & Procedures Guide: http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/sigchanges.jsp

A few noteworthy proposal changes:

Chapter II.C.2.f, Biographical Sketch(es), It is no longer allowable for the biographical sketches of all senior personnel to be grouped together in a single PDF file. Biographical sketches must now be uploaded separately for each individual identified on the proposal as senior personnel. Biographical sketches for Other Personnel and for Equipment proposals (Chapter II.C.2.f(ii) and (iii) respectively), however, should be uploaded as a single PDF file in the Other Supplementary Documents section of the proposal.

Chapter II.C.2.h, Current and Pending Support, has been revised to reflect that all current project support should be listed in this section of the proposal, including internal funds allocated toward specific projects. Current and pending support must now be uploaded as a single PDF file or inserted as text for all senior personnel. It is no longer allowable for the current and pending support of all senior personnel to be grouped together in a single PDF file.

Chapter II.C.1.e, Collaborators & Other Affiliations Information, is a new single-copy document that requires each senior project personnel to provide information regarding collaborators and other affiliations. This information used to be provided as part of the Biographical Sketch. The new format no longer requires proposers to identify the total number of collaborators and other affiliations when providing this information.

NIH Salary Cap Increases to $185,100 >>>

by Will Helmrath

> Effective January 10th, 2016, the NIH salary cap has been increased from $183,300 to $185,100.

The NIH uses the Executive Level II pay scale to limit the amount of direct salary that an individual may receive under an NIH grant. This cap does not limit the amount of compensation an individual may receive from an institution. It simply limits how much can be charged to NIH awards.

For any new or competing continuation proposals, the new cap amount should be used on budgets when determining salary for individuals that exceed the cap in any year of the proposal budget.

What does the increase mean for existing awards and proposals that were submitted prior to Jan. 10 that used the old cap?

- No adjustments will be made to any existing awards, i.e. no additional funding will be provided; however, rebudgets are allowed to align salaries to the new cap amount if there are sufficient funds to do so.
- Awards made from proposals submitted prior to January 10th that used categorical budgets (not modular grant applications) will be adjusted, as applicable, to reflect the new salary cap. Modular grant applications will not be adjusted; however, upon award, rebudgets are allowed.
- If you have questions regarding the applicability, calculation methodology or possible impact on salary cost distribution, please contact UTIA OSP aggrant@utk.edu or extensiongrants@utk.edu for more information.

> Office of Sponsored Programs spotlight is on Karin Langan

Hi, I am Karin Langan. I joined the Office of Sponsored Programs team 4 years ago. I monitor the aggrant@utk.edu and extensiongrant@utk.edu email accounts, send out funding opportunities, handle some proposals, and help out with any formatting or graphics you may need for your proposals.

I grew up in Knoxville, graduated from UT, and love the area! I'm married to Bob and have two teenage sons, Jake and Max. In my spare time, I enjoy gardening, photography, running and an occasional obstacle race.

> SAVE THE DATE:

Grant Workshop

Grant Writers' Seminar and Workshops LLC will present a one-day grantsmanship seminar:

Write Winning Grant Proposals

February 3, 2016

8:00 am to 5:00 pm in Hollingsworth Auditorium

Grant Writers' Seminar and Workshops LLC (http://www.grantcentral.com/) will present a one-day grantsmanship seminar (Write Winning Grants) on February 3, 2016 from 8:00 am to 5:00 pm in Hollingsworth Auditorium.

Please visit the Grant Writers' Seminar and Workshops LLC website (http://www.grantcentral.com/) for additional information. This is a great opportunity that we hope you will take advantage of. We encourage you to make your schedules available to attend and please register as soon as possible.

If interested in attending, please contact Micki Heatherly (mheather@utk.edu).

Contracts >>>

by Rumira Xhaferaj

> Confidentiality Agreements - A confidentiality disclosure agreement (CDA), also known as a *non-disclosure agreement* (NDA) or a *confidential agreement* (CA), helps protect sensitive or non-public information of either party from being released to the public. As an instrumentality of the State of Tennessee, The University of Tennessee may not be able to agree to all of the provisions in the CDA and it will require revisions to the confidentiality language consistent with Tennessee law and University policies.

If you have been provided with a draft CDA by a company, etc. please forward it to aggrant@utk.edu . The Office of Sponsored Programs (OSP) will review any CDA-s provided by outside parties, make revisions, negotiate as necessary and obtain authorized signatures. Faculty are not authorized to sign agreements on behalf of the University. The CDA should be in place and fully executed ***before*** the talks take place, and information is exchanged between the parties.

Please allow for adequate time for review, and negotiation by OSP. One way to shorten this process is by using one of the University templates which may be accessed at the following link, under **Standard Contracts and Agreements**: http://agriculture.tennessee.edu/sponsoredprograms/forms.asp

There are two templates available: "Two party agreement", and "Three party agreement". Please use the "Two party agreement". The "Three party agreement" is to be used by UT Research Foundation (UTRF) when the subject of the discussion involves an invention disclosure that is on file with UTRF.

Please contact aggrant@utk.edu or Rumira Xhaferaj or Debbie Hampstead with questions.

COMPLIANCE INFO >>>

Human Subjects and Institutional Review Board (IRB)

The Knoxville-area UT Human Research Protection Program (HRPP) has been working to improve transparency and IRB turnaround time. See the December 2015 HRPP Newsletter for more information.

FUNDING OPPORTUNITIES >>>

- **NIH:** http://grants.nih.gov/grants/funding/funding_program.htm
- **USDA AFRI:** http://nifa.usda.gov/afri-request-applications
- **NSF:** http://www.nsf.gov/funding/index.jsp
- **Grants.gov:** http://www.grants.gov/
- **Rural Assistance Center:** Various TNFunding Opportunities at http://www.raconline.org/states/tennessee/funding
- **Philanthropy News Digest (Foundation Center):** http://philanthropynewsdigest.org/
- **Morris Animal Foundation:** http://www.morrisanimalfoundation.org/researchers/

UTIA Office of Sponsored Programs Facebook & Twitters pages are avenues we use to keep you up to date with the ever changing events in Research Administration.

An additional source of information is our web page. (link)

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