The field of Research Administration is changing almost as quickly as the leaves!

Revised NIH Grants Policy Statement Published

NIH has revised their Grants Policy statement and it will affect all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2012. While the revision does not introduce any new material, it incorporates new and modified requirements, clarifies certain policies, and implements changes in statutes and regulations from the previous version dated October 1, 2011.

Please note that the October 1, 2012 revision supersedes, in its entirety, the previous NIH Grants Policy Statement of October 1, 2011 as a standard term and condition of the award.

The October 1, 2011 NIHGPS continues to be the standard terms and conditions for budget periods that began between October 1, 2011 and September 30, 2012.

Documentation summarizing the changes can be found at: http://grants.nih.gov/grants/policy/nihgps_2012/significant_changes_NIHGPS_2012.doc
NSF Issues a New Proposal and Award Policies and Procedures Guide (PAPPG)

The National Science Foundation has issued the new version of the NSF Proposal & Award Policies & Procedures Guide, (NSF 13-1). The new policies and procedures are effective for proposals submitted or due on or after January 14, 2013.

Some of the significant changes to the Awards Administration Guide are as follows:

- Indirect Costs has been revised to clarify NSF’s policy on indirect cost recovery. Except as noted in AAG V.B.8 and VI.G.5, or in an NSF program solicitation, the applicable indirect cost rate(s) negotiated by the organization with the cognizant negotiating agency must be used in computing indirect costs (F&A) for a proposal. A statement has also been added stating that foreign grantees are not eligible for indirect cost rate recovery unless the foreign grantee has a previously negotiated rate agreement with a U.S. Federal agency that has a practice of negotiating rates with foreign entities.

- Participant Support Costs has been augmented with language explaining that an allowance for indirect costs associated with participant support costs may be established or negotiated in advance when circumstances indicate that the grantee could be expected to incur significant expenses in administering participant payments.

For more information please visit the following website:
http://www.nsf.gov/pubs/policydocs/pappguide/nsf13001/aag_index.jsp

A summary of the changes by chapter is provided at the beginning of both the Grant Proposal Guide and the Award & Administration Guide. Note that the revised version of the PAPPG becomes effective on January 14, 2013. In the interim, the guidelines contained in the current PAPPG (NSF 11-1) continue to apply.

NIH Operating Under a Continuing Resolution through March 27, 2013

The new fiscal year for government spending (FY2013) began on October 1. In order to continue operations in the absence of a FY 2013 budget appropriation, President Obama signed a continuing resolution (CR) on September 28, 2012 that applies the terms of the fiscal year 2012 budget appropriations through March 27, 2013. A CR is a type of legislation enacted by Congress as a temporary funding measure as the final funding levels for the entire fiscal year are unknown.

Until a final FY2013 appropriation is made into law, NIH will be issuing non-competing research grant awards at 90% of the previous committed level indicated on the most recent Notice of Award for your grant. The NIH institutes and centers (ICs) where you are funded will consider upward adjustments after the final appropriation is made.

We will keep you updated on budget matters as the year progresses.

NSF Two Month Rule for Compensation on Sponsored Projects

SPA has developed an internal policy and procedure for monitoring and auditing the National Science Foundation’s salary limitation for senior project personnel. NSF’s policy states that salary for senior project personnel on NSF sponsored project(s) is limited to two months each year; there is an exception that applies when compensation for such personnel in excess of two months was disclosed in the proposal budget, justified in the budget justification, and was specifically approved by NSF in the award notice.

Every Fall the Office of Sponsored Programs Accounting will post-audit the total salary charged to NSF-funded awards for each faculty member for the prior fiscal year, ended June 30th. We will work with the Investigator, Department Administration, and/or School Administration for any faculty who appear to be over the cap to determine if salary expenses in excess of the cap need to be moved to a non-sponsored account.

The full Policy, Procedure, and Guideline document, along with a calculator tool, can be found on our website at http://finance.tufts.edu/spa/nsf-salary-limitation/. As always, please contact us with any questions.

Lessons Learned from Audits at Other Institutions

The flood of research money from the 2009 federal stimulus act and the growing federal deficit have increased demands for accountability from recipients of taxpayer dollars. Recent audit findings cost a fellow institution approximately $3 million for not adhering to cost principles.

The issues raised in the audit report are broad but some notable items of disallowance included:

- Salaries for administrative and clerical type work such as cleaning glassware, ordering supplies, and supervising data collections, charged directly to grants.
- Salary charges made to a grant where documentation existed that did not corroborate the amount of effort charged to the award.
- General-use supplies, such as toner, directly charged to grants. (These items should have been treated as F&A costs and not charged directly to the award.)
- Expenses for lab supplies benefitting multiple projects were allocated to sponsored projects without reasonable allocation methodologies.
- Lack of sufficient documentation to support expenses charged to grants.
- Expenses related to two specialized service centers not charged in accordance with Federal regulations.

The full audit report can be found at: https://oig.hhs.gov/oas/reports/region4/41101095.asp

These findings serve as a reminder to follow the proper procedures when managing with sponsored projects. This audit illustrates the importance of having proper documentation for any potentially questionable items.

When justification requests for these types of expenditures are made, please remember that SPA is trying to be proactive in order to protect the interests of the researchers and the University.
Changes to Internal Grant Numbering

SPA would like to announce a change in the procedure for creating a new grant number versus keeping the same internal number in PeopleSoft for certain types of awards, effective November 1, 2012.

Due to the old reporting format (SF-269) for federal grants with annual financial reporting, Tufts was required to report each year of an award’s expenses separately. In order to clearly capture the expenses and report the accurate total of expenditures each year, a new internal grant number was assigned to every year of the award. As a result of the newer federal reporting template, the SF-425, the cumulative total expenditures for these grants are now reported annually. These types of awards no longer require a new internal grant number and the expenses can be housed in the same account for the life of the grant.

You will also see a difference in the way that carryover funds are reflected in PeopleSoft during the financial reporting process for these awards. When an award requires annual financial reporting and carryover approval from the sponsor, the award budget will be reduced by the carryover amount when the FSR is filed. When the carryover is approved by the sponsor, the budget will be increased by the approved carryover amount.

A new grant number will continue to be created for certain types of awards: training grants, new segments, and those grants that require a final invoice or financial report at the end of each year where expenditures cannot be reported cumulatively. Scope accounts will continue to be created for portions of awards that have terms & conditions that differ from the rest of the funding.

If you have any questions about this new process please contact your Post Award Financial Specialist.

Submitting Termination Notices

Termination notices are the basis for validating the total period of NRSA (Institutional Training Grants – T32s, T34s, and T35s) support and the amount of payback obligation, if any, for each NRSA trainee. The Program Director (PD/PI) is responsible for the submission of a termination notice for each trainee immediately upon the termination of his/her support.

Steps for submission at Tufts University are as follows:

1. The PD/PI initiates, reviews and makes any necessary updates/additions to the termination notice.
2. The PD/PI selects the Business Official (BO) who will later submit the form.

The BO for the Medford and Grafton campuses is Kathy Young – Associate Director, Sponsored Programs Accounting

The BO for the Boston campus is Cindy Matheson – Assistant Director, Sponsored Programs Accounting

3. The PD/PI clicks Save & Route to Trainee.

4. The Trainee completes appropriate form fields and clicks the Save button to retain changes.

5. Once complete the Trainee clicks the Save & Route to PI button to route the form back to the PD/PI.

6. The PD/PI reviews the form and clicks Save to retain any updates. When satisfied with the form, the PD/PI clicks the Save & Route to BO button to route the form to the Business Official for submission.

7. The BO reviews the termination notice and clicks the Save & Submit to Agency button when satisfied with the form.

8. The agency can accept the termination notice or return it to Tufts University with comments.

For more information please visit: 
Staffing Announcements

The Office of Sponsored Programs Accounting has recently seen some staffing changes in our Medford Office. Cathy Sohngen and Joan Sloan left Tufts University to pursue other opportunities. Graciously, we would like to take this opportunity to welcome our newest staff member, Doug Hurney to Tufts University.

Doug officially joined the Medford Sponsored Programs Accounting team on October 4. He will be overseeing the grants and contracts for the School of Engineering, Financial Aid and the Center for Science and Math Teaching in his new position as a Senior Post Award Financial Specialist.

Prior to joining our staff, Doug worked for Children's Hospital in the Research Finance Office as a Senior Financial Analyst for almost 7 years. Prior to that, Doug worked at the Beth Israel Deaconess Medical Center as a Senior Financial Analyst for over 4 years. Doug received his Bachelor of Science Degree in Finance and Economics from Babson College.

If you have not had the opportunity to meet Doug yet, please stop by our office to welcome him to Tufts and wish him well in his new position. Doug can be reached directly at extension 7-2694.

Did You Hear?

The Office of Sponsored Programs Accounting, in conjunction with Human Resources, conducted a review of job titles within Sponsored Programs Accounting.

Our goal was to refresh the titles to be more in line with the Research Administration industry and to better reflect each of the SPA team member’s area of responsibility.

Please see the “Our Staff” section of this newsletter on page 1 for our new titles.

SPA Word Search

AWARD  COST-TRANSFER
INVOICE  BUDGET
GRANT  SPA
NO-COST-EXTENSION
CONTRACT  COST-SHARING
POST-AWARD  SPONSOR
PROPOSAL  RESEARCH
SALARY-CAP  SUBAWARD

L A S O P O R P C N F E R D X
P V S P O N S O R O A E A R B
R O T V D I N M E I F Y W A G
B X S E V T T C Z S J B A W Y
F U O T R D I S N N W R A D
C N D A A O Z A K E W Q D B I
D G C G V W R L U T A P S U E
H T D N E T A A Y X S Q E S G
V C I O T T Y R Z E O B K R V
N C R S B B R Y D T I E A Z C
O K O A C M M C W S K N W Q P
A C Y Y F H D A D O T W G F I
O Q D R J S U P D C R T A N J
D P W E G X E K N O P W Q Z J
C O S T S H A R I N G R E N F
Training and Outreach

Sponsored Programs Accounting offers a *Grants Management* and a *Fundamentals of Post Award Research Administration* instructor-led training session to the Tufts Research Administration community. Visit TELD @ [http://go.tufts.edu/teld](http://go.tufts.edu/teld) for registration instructions and information.

The Learning Center at [http://learncenter.uit.tufts.edu](http://learncenter.uit.tufts.edu) provides self-enrollment opportunities in any of the web-based training courses (see list below) or register to attend an instructor-led class.

- A Grant Compliance Overview
- Effort Reporting at Tufts
- Expense Transfers on Grants
- The Grant Closeout Process

You may also contact Carol Liedes at [carol.liedes@tufts.edu](mailto:carol.liedes@tufts.edu) if you are interested in one of our training opportunities.

**T-32 ROUNDTABLE**

Do you manage an NIH Training Grant? Training grants are complex and can be challenging. Sponsored Programs Accounting is hosting a *NIH Training Grant Round Table discussion*.

Please contact Joyce Ferland, Director of Sponsored Programs Accounting, if interested.

**UPCOMING NCURA CONFERENCE**

**4 NCURA Workshops** ~ Save the Date! December 5-7, 2012 Orlando, FL ~ workshop titles:

- Departmental Research Administration
- Fundamentals of Sponsored Projects Administration
- Financial Research Administration
- Sponsored Projects Administration Level II.

For more information, visit: [http://www.ncura.edu/content/calendar/2012.php](http://www.ncura.edu/content/calendar/2012.php)

**NCURA Financial Research Administration Conference Meeting** ~ Save the Date! March 10 – 12, 2013 New Orleans, LA

**NCURA Pre-award Research Administration Conference** ~ Save the Date! March 13 – 15, 2013 New Orleans, LA

**NCURA Region 1 (New England) Conference** ~ Save the Date! April 30 – May 2, 2013 New Castle, NH

**NCURA National 55th Annual Meeting** ~ Save the Date! August 4-7, 2013 Washington, DC
For more information please visit: [http://www.ncura.edu/content/calendar/2013.php](http://www.ncura.edu/content/calendar/2013.php)

**NCURA "YouTube" TUESDAYS:** Check out NCURA's YouTube Tuesdays at [http://www.youtube.com/user/ncura1959](http://www.youtube.com/user/ncura1959) where each week your colleagues will be sharing tips and information on topics of interest to research administrators.

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This and past issues of the *SPA Today* Newsletter can be found by visiting our website at [http://finance.tufts.edu/spa/spa-today/](http://finance.tufts.edu/spa/spa-today/)

Do you have information that you’d like to share? Please direct any questions or comments about the newsletter to our SPA Director: Joyce Ferland [joyce.ferland@tufts.edu](mailto:joyce.ferland@tufts.edu)