The **OSP News & Updates**, published by the Office of Sponsored Projects, is a semi-monthly subscription-based newsletter that provides OSP and sponsor updates and reminders, quick facts, guidance and training in all aspects of sponsored projects administration. To subscribe, visit [https://messages.yale.edu/subscribe](https://messages.yale.edu/subscribe).

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### 1 Effort Reporting – Certification Deadline Extension & Additional Information

On March 16, 2018, the Office of Sponsored Projects announced extending the Effort Certification Statement (ECS) deadline for both the Fall 2017 and Graduate Fall 2017 periods to April 30, 2018.

The deadline is being extended to accommodate the community’s learning curve in understanding the Workday effort product and new effort processes. The need for this extension is evidenced by the number of questions OSP received and the ECS completion rate as compared to previous years. This deadline extension will help ensure that administrators and certifiers alike fully understand the new system and processes, the displayed information, and how to execute changes to payroll so that ECSs accurately reflect effort devoted to sponsored projects.

The more common ECS related questions and/or issues are addressed below.
We continue to encourage the community to contact OSP at effort.reports@yale.edu if a specific concern does not appear below. In addition, in the near future OSP will announce a Brown Bag devoted to ECS completion and certification challenges.

- **Payroll Accounting Adjustments (PAA) Resulting from Effort Certification**
  - In those situations where an effort percentage(s) is changed on an ECS, the affected pay periods and corresponding adjustments must match the changed effort percentage.
    - The Cost Center Payroll Accounting Adjustment Specialist should ensure that each adjusted pay period is included in the PAA only once. For some payroll adjustments, including retro pay activity adjustments, instances of duplicate pay period adjustments were identified. If a duplicate pay period adjustment appears in the PAA, remove the duplicate. This issue was reported to and discussed with Workday personnel who are actively working on a solution.

- **Validation Errors**
  - Users should be aware that the validation error message feature which is designed to display specific messages for specific errors is not properly working. Instead, a generic “Page Error - Validation Condition Error” message is displayed for all types of errors. This issue has been reported to and discussed with Workday personnel who are actively working on a solution.

  The following list represents the more common validation errors:

  - Temporary Charging Project – PJ028458 – **value must net zero.**
  - Suspense Program – PG999999 – **value must net zero.**
  - COA values within added journal lines are incomplete or do not agree. The Fund worktag and the funding source must match (e.g., FD28 Grants and Contracts – Non-Federal cannot be used when a Yale Designated worktag is included).

- **Changes to FACULTY Effort Certification Statements**
  - If a faculty member changes his/her ECS, the ECS will route back to the Effort Certification Reviewer(s) (similar to a post-review step). This “post-review” step exists **only** for an adjusted faculty ECS and helps to ensure changes are accurately reflected and the correct change reason code is selected. Though this step is called an “approval” step, the Effort Certification Reviewer is not approving the changes and can only accept the changes or send it back to the faculty member with questions. Effort Certification Reviewers do not have the authority to change a certified ECS.
Once the approval step of the ECS is completed, a pre-populated ‘Create Payroll Accounting Adjustment for Effort Certification’ task will route to the Workday Inbox of the Cost Center Payroll Accounting Adjustment Specialist(s) assigned to the employee’s home cost center in order to submit the PAA with required supporting documentation.

- **Treatment of Orphan Grants**
  - GR999999 and GR06 grants are considered ‘orphan’ grants since they were not linked to a Workday award at go-live. Therefore, all transactions impacted by the existence of an orphan grant must be addressed and corrected.
    - In order to identify the population of orphaned grants, access the Account Balances Summary – Yale report.
  - July 1, 2017 – December 31, 2017 Payroll charged to orphaned Historical Cost Share grants (grants beginning with GR06) must be converted to correct Workday COA values in accordance with the status of the ECS as described below:
    - If the impacted ECS is **pending administrative review**:
      - The Effort Certification Reviewer must reallocate effort in the ECS to the proper COA values.
    - If the impacted ECS is **pending certification**:
      - The Cost Center Payroll Accounting Adjustment Specialist must initiate and process a Payroll Accounting Adjustment after certification is complete. Since there is no change to the effort as certified, the reclassification of Workday COA values to represent the cost sharing or salary over the cap activity can be processed after certification.
    - If the impacted ECS is **certified**:
      - The Cost Center Payroll Accounting Adjustment Specialist must initiate and process a Payroll Accounting Adjustment. Since there is no change to the effort as certified, the reclassification of Workday COA values to represent the cost sharing or salary over the cap activity can be processed after certification.
  - July 1, 2017 – December 31, 2017 Payroll to orphaned Unmapped Grants (GR999999) must be converted to the correct Workday COA values in accordance with the status of the ECS as described below:
    - If the impacted ECS is **pending administrative review**:
      - The Effort Certification Reviewer must reallocate effort in the ECS to the proper COA values.
    - If the impacted ECS is **pending certification**:
      - The Effort Certification Reviewer should contact effort.reports@yale.edu for assistance.
If the impacted Effort Certification Statement is certified:

- The Effort Certification Reviewer should contact effort.reports@yale.edu for assistance.
  
  - Payroll charges effective January 1, 2018 to either orphaned grant type (GR999999 grants or grants beginning with GR06) must be adjusted to the correct Workday COA values.
  
- These orphaned grants must be corrected prior to the initiation of the Spring 2018 effort reporting period.
  
- The Cost Center Payroll Accounting Adjustment Specialist must begin processing a Payroll Accounting Adjustment.

- Terminated Faculty
  
  - When reviewing an ECS for a faculty member no longer at Yale, the Effort Certification Reviewer should upload and attach to the ECS the Effort Report the faculty member completed and signed prior to his/her departure. To access the attachment area of the ECS, click the “Change Effort” button. After attaching the signed effort report and completing the administrative review, email effort.reports@yale.edu informing the Effort Certification Manager of the situation. The Effort Certification Manager is responsible for routing the ECS in order for the certification process in Workday to be completed.

- Terminate Faculty

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2 Cost Transfers Involving Sponsored Projects Reminder

This is a reminder that all cost transfers must meet the requirements of the Cost Transfer Policy and be fully documented, whether they are being approved by the Departmental Business Office/Business Support Unit or routed for OSP review and approval. While the process for completing a Cost Transfer has changed with Workday, the requirements remain the same. The Workday@Yale site details the process on how to conduct journal entries and payroll accounting adjustments using Workday.

All cost transfers must be fully documented and include a completed Cost Justification Form explaining the reason for the error and an explanation of benefit to the receiving award. For all cost transfers that are greater than 90 days, an extenuating circumstance must be provided. Documentation to support the charge(s) and authorization to transfer the costs must also be included.

Refer to the Cost Transfer Policy for additional information on the requirements for completion of Cost Transfers involving sponsored projects. Additionally, the Cost Transfer Principles course can be located at the OSP Research Administrator Training site.

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3 NOTICE TO THE NIH SINGLE IRB (sIRB) REVIEW FOR MULTI-SITE RESEARCH REQUIREMENT

As previously announced on January 24, 2018 (view the full announcement), the Office of Human Research Protection Program (HRPP) would like to remind the research community that for applications with due dates on or after January 25, 2018, and contract solicitations published on or after January 25, 2018, NIH expects that all sites participating in multi-site studies, which involve non-exempt human subjects research funded by the NIH, will use a single Institutional Review Board (sIRB) to conduct the ethical review required for the protection of human subjects.

The NIH policy applies to all biomedical and behavioral studies that:

- Are funded through grants, cooperative agreements, or contracts submitted to NIH on or after January 25, 2018, and
- Involve non-exempt human subjects research, and
- Involve multiple domestic sites, all of which are conducting the same protocol.

Applicants are expected to include a plan for the use of a sIRB in the grant applications and contract proposals submitted to the NIH. When a Yale Investigator is the awardee of a multi-site grant, Yale plans to cede IRB oversight to one of 5 external IRBs to serve as the sIRB on Yale’s behalf.

A request to use an external IRB for the review of research conducted by a Yale investigator must be submitted to the HRPP Office through IRES IRB. A submission to an external IRB may not be made without prior authorization from the Yale HRPP.

NIH expects that many sIRBs will charge fees to serve as a single IRB. Therefore, the grant budget must include appropriate provisions for IRB review fees to avoid gaps in coverage.

The Yale Center for Clinical Investigation (YCCI) offers a Research Budget Development service and can help investigators with budgeting. Please contact clinical researchresources@yale.edu if you have questions.

If you have questions about the NIH policy or questions about choosing a single IRB for your upcoming grant applications, you may contact hrpp@yale.edu. Additional guidance is forthcoming. Training sessions regarding the use of external IRBs and reliance agreements will be offered soon.

NIH Resources

• NIH Notice: NOT-OD-16-109 Scenarios to Illustrate the Use of Direct and Indirect Costs for Single IRB Review under the NIH Policy on the Use of a Single IRB for Multi-site Research
• NIH Notice: NOT-OD-18-003 Guidance on Exceptions to the NIH Single IRB Policy
• Frequently Asked Questions: https://grants.nih.gov/grants/policy/faq_single_IRB_policy_research.htm###

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4 OSP BROWN BAG SESSIONS

March 2018 Brown Bag Sessions

The Brown Bag for Research Administrators session, originally scheduled at YSM for March 20, 2018, has been rescheduled for Wednesday, March 28th from 9:00-10:00am. We are pleased to announce that you will be able to attend this session either in-person at 25 Science Park (Room 125) or remotely using Zoom. Use this link to register for the session. Review all the registration options carefully. Those registering for the remote session will receive Zoom login instructions via email the day before the session.

If you are unable to attend the session either in person or via Zoom, please use the links below to the PowerPoint presentation and the OSP webpage where all archived editions of recorded sessions can be found. The video recordings from the March sessions will be posted soon.

• View PowerPoint presentation (PDF)
• Archived editions of recorded sessions

If you have questions, or have difficulty registering, please contact osp.training@yale.edu

April 2018 Brown Bag Sessions

OSP will be holding the April Brown Bag for Research Administrators sessions on Wednesday, April 18th and Wednesday, April 25th. Registration links and topics to be covered will be available in TMS soon.

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### Calendar of Upcoming OSP Communications and Educational Opportunities

Below are OSP’s upcoming communication and training events scheduled for the months of April and May 2018.

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<td>8:30 – 5:00 Intro to SPA 25SP, 125</td>
<td>3:00 – 4:30 Clinical Trials Budgeting 47 College, 206A</td>
<td>3:00 – 4:30 Brown Bag Session TAC, N107</td>
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<td>12:00 – 1:00 Brown Bag Session TAC, N107</td>
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<td>12:00 – 1:00 Brown Bag Session TAC, N107</td>
<td>8:30 – 12:00 Research Compliance Principles 47 College, 206A</td>
<td>1:30 – 2:30 Brown Bag Session 225 Prospect, SCL 160</td>
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<td>8:30 – 12:00 Research Compliance Principles 47 College, 206A</td>
<td>3:00 – 5:00 Fly America Act 47 College, 206A</td>
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6 STAFF UPDATES

6.1 CLINICAL TRIALS

The clinical trial team is happy to announce the addition of Linda Fitzpatrick to the team as a Contract Associate. Linda’s first day at Yale University was March 19th. Her primary focus is on negotiating and coordinating amendments to clinical trial agreements across all departments.

7 SPONSOR-RELATED UPDATES & REMINDERS

7.1 NATIONAL SCIENCE FOUNDATION

7.1.1 New NSF Account Management System Effective March 26, 2018

The National Science Foundation (NSF) is streamlining its account registration process. Effective March 26, 2018, NSF is introducing a new centralized and streamlined account registration process in Research.gov for the research community that will provide each user with a single profile and unique identifier (i.e., NSF ID) for signing into FastLane and Research.gov for proposal and award activities.

New Functionality

The new account management functionality will:

- Allow users to create and self-manage accounts, including personal information and role requests;
- Eliminate the need for organizational Administrators to create accounts and maintain profile information for their users, allowing Administrators to focus on managing roles for their organizations through a dashboard with functions to approve, disapprove, assign, and remove roles; and
- Replace the existing FastLane and Research.gov account management functions.

Existing NSF Accounts

- Existing NSF account holders, including Grants.gov and Application Submission Web Service (ASWS) users, will be migrated to the new account management system through a simple, one-time operation when initially signing in to FastLane or Research.gov after the
new functionality is released. Account holders will be required to verify information to transfer it to the new system. Each user will have one NSF ID per the Proposal & Award Policies & Procedures Guide (NSF 18-1), Chapter I.G.4.

- Users with existing NSF accounts can access the NSF ID Lookup page for their NSF ID. Use this link for forgotten passwords of established NSF accounts.

New NSF Accounts

- New users will be able to register directly with NSF through Research.gov on or after March 26, 2018, via this link: https://www.research.gov/accountmgmt/#/registration. Note that this link will not work until March 26, 2018.

Notes About Grants.gov and ASWS

- Beginning on March 26, 2018, the Principal Investigator (PI), all co-PIs, and the Authorized Organizational Representative (AOR) listed on a Grants.gov proposal must all be registered with NSF prior to proposal submission. NSF IDs for the PI, all co-PIs, and the AOR listed will need to be included in the proposal submission.
- When a proposal is submitted to NSF on or after March 26, 2018, through Grants.gov and ASWS, the NSF system will cross-check the DUNS number and organization name with NSF records.
  - If there is no match to the DUNS number and/or organization name, the proposal will be rejected and the PI/AOR listed on the proposal submission will receive an email notifying that the proposal submission was not accepted by NSF.
  - Currently, for proposals submitted via Grants.gov or ASWS, the NSF system registers organizations and will allow proposal submission in cases where there is a mismatch of the DUNS number and/or organization name with NSF records; however, this will no longer be possible effective March 26, 2018.

Planned Releases

- The new centralized account management functionality is being released first to the Administrator, PI, AOR, Sponsored Project Officer (SPO), Graduate Research Fellowship Program (GRFP) Coordinating Official and Financial Official, and Award Cash Management Service (ACM$) groups. NSF plans to eventually expand the new functionality in the future to additional groups including proposal reviewers, GRFP applicants, and NSF staff.
Training Resources

- NSF is currently finalizing new account management training resources such as job aids, Frequently Asked Questions (FAQs), and instructional videos. These materials will soon be available on an “About Account Management” page accessible on the Research.gov homepage.

1 We would like to extend a special “thank you” to the Office of Human Research and Protection Program (HRPP) for their contribution (Article 3 – Notice to the NIH Single IRB (sIRB) Review for Multi-site Research Requirement) to this issue of the OSP News & Updates. Questions about this newsletter should be directed to osp.communications@yale.edu. To unsubscribe, visit https://messages.yale.edu/subscribe. For archived issues, visit OSP News & Updates archives.