Research Administrator Meeting Tuesday,
October 15, 2019 10:00-12:00
Big Ten Theater (348) IMU

Agenda:

1. DSP Updates
2. International Research and Related Guidance
3. SciENcv
4. Roles and Responsibilities
5. GAO Updates
6. Guidelines for Charging Travel to Sponsored Projects
7. EFR – Grant Summary Reports – Overview
8. Meet DSP and GAO staff – immediately following in the lobby area

Research Administrator Meeting

Division of Sponsored Programs

October 15, 2019

Agenda

► DSP Updates

► International Research and Related Guidance

► SciENcv

► Roles and Responsibilities

► Presented by Wendy Beaver

- DSP Updates

DSP Staff Updates

- Administrative Associate: Megan Phillips
- Administrative Services Coordinator: Karla Duwa
- Sponsored Research Coordinators – Grant Focus:

  Mei-ling Joiner, Lisa Lammey, Archana Shah
- Sponsored Research Coordinator – Contract Focus:

  Tyler Brodell, TBN (Search opening soon)
- Sponsored Research Specialist – Grant Reviewer: Dan Benton
- Sponsored Research Specialists – Contract Reviewers: Aaron Ries, TBN (Search in progress)

- DSP Staff Directory: https://dsp.research.uiowa.edu/dsp-staff-directory

Proposal Routing Policy

▶ https://dsp.research.uiowa.edu/ui-routing-policy-procedure

▶ *Five business days prior to sponsor's submission deadline*

▶ The University of Iowa requires its faculty, staff, and students to route external funding requests and related documents through departmental, collegiate, and institutional channels for review and approval prior to submission to an external funding source, reaching the Division of Sponsored Programs for review and handling **at least five working days in advance of the sponsor's submission deadline.** The Division of Sponsored Programs offers no exceptions to this internal routing policy. The Principal Investigator or Departmental Administrator should monitor any routing-in-progress to ensure compliance with the deadline.
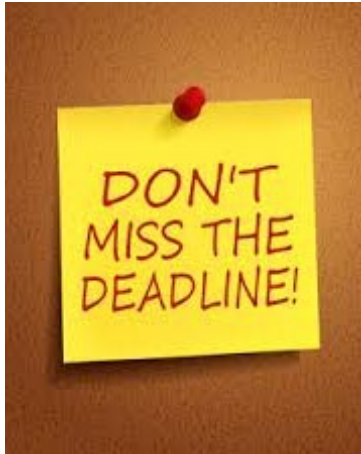
Proposal Routing Policy

Routing requirement applies to:

- **Preliminary applications** that include a budget or require an institutional signature

- **Full applications** that represent new, revised, competitive renewal, or supplemental funding requests

- **Non-competitive renewal applications/progress reports** that include a budget, require an institutional signature, or involve a significant project change that has not yet been reported to UI – i.e., a change in key personnel or corresponding salary, effort, or credit; a change in institutional resources, such as space or cost-sharing; or a change in relation to any compliance issue, including human subjects, vertebrate animals, rDNA, select agents/toxins, human pathogens, export controls, and/or conflicts of interest

- **New and renewal contracts**, including subawards and non-monetary agreements

- **Incremental-funding contract amendments** reflecting a change in the original estimated total cost or a change in the statement of work

- **Budget revisions, personnel changes, and all other pre- and post-award adjustments** involving a financial issue, a salary/effort/credit concern, the commitment of university resources, or any compliance issue

Proposal Routing

- ► More sponsor forms require DSP to reach out to other central offices for ad hoc review and information

  - ► May not be staffed to deal with short deadline turnarounds
  - ► May need to collect the data required to complete the form
  - ► Often requesting data as of the date of completion of the form

- ► Contact DSP early regarding unique sponsor forms

DSP eRA Updates

👉 DocuSign Integrated for Outgoing Subawards — Signature status appears in Research Tracker

📋 Proposal Routing Form Re-design in progress

🗄 Feedback on DAI (Data, Analytics & Insights; formerly Business Intelligence/BI) Reporting Solutions

📍 To access the DAI reporting solutions: https://login.uiowa.edu/uip/login.page?service=https://data.uiowa.edu/hawkid-login

NIMH Data Sharing Policy; Eff. 1/1/2020

▶ NOT-MH-19-033   Notice of Data Sharing Policy for the National Institute of Mental Health

▶ https://grants.nih.gov/grants/guide/notice-files/NOT-MH-19-033.html

▶ Researchers funded by NIMH are required to deposit all raw and analyzed data (including, but not limited to, clinical, genomic, imaging, and phenotypic data) from experiments involving human subjects into this infrastructure

▶ Applies to all grant applications and awards that involve **human subject research** (unless NIMH stipulates otherwise)

▶ Applies to all Funding Opportunity Announcements (FOAs) that NIMH participates in

▶ The Notice does not apply to following types of applications:

  ▶ Fellowship (F), Research Career Development (K),

  ▶ Training (T), Small Business (SBIR/STTR), Small Grants (R03),

  ▶ Education (R25), Awards related to AIDS applications

NIMH Data Sharing Policy
Plan in advance

▶ At proposal stage:

  ▶ Create a realistic and implementable data/resource sharing plan

  ▶ Include data management and curation costs in the budget

  ▶ Consider where data will be deposited for preservation and access

  ▶ Identify data dictionaries and common data elements

  ▶ Create consent forms that enable data sharing

▶ Review and document progress during and post-project

Data Sharing Questions

- Need assistance with
  - Data/resource sharing plans;
  - Data curation and metadata (data dictionaries, common data elements);
  - Repository selection and management; or
  - Data management during research?
- Contact Brian Westra, Data Services Manager for UI Libraries
  - brian-westra@uiowa.edu
  - https://guides.lib.uiowa.edu/brian-westra
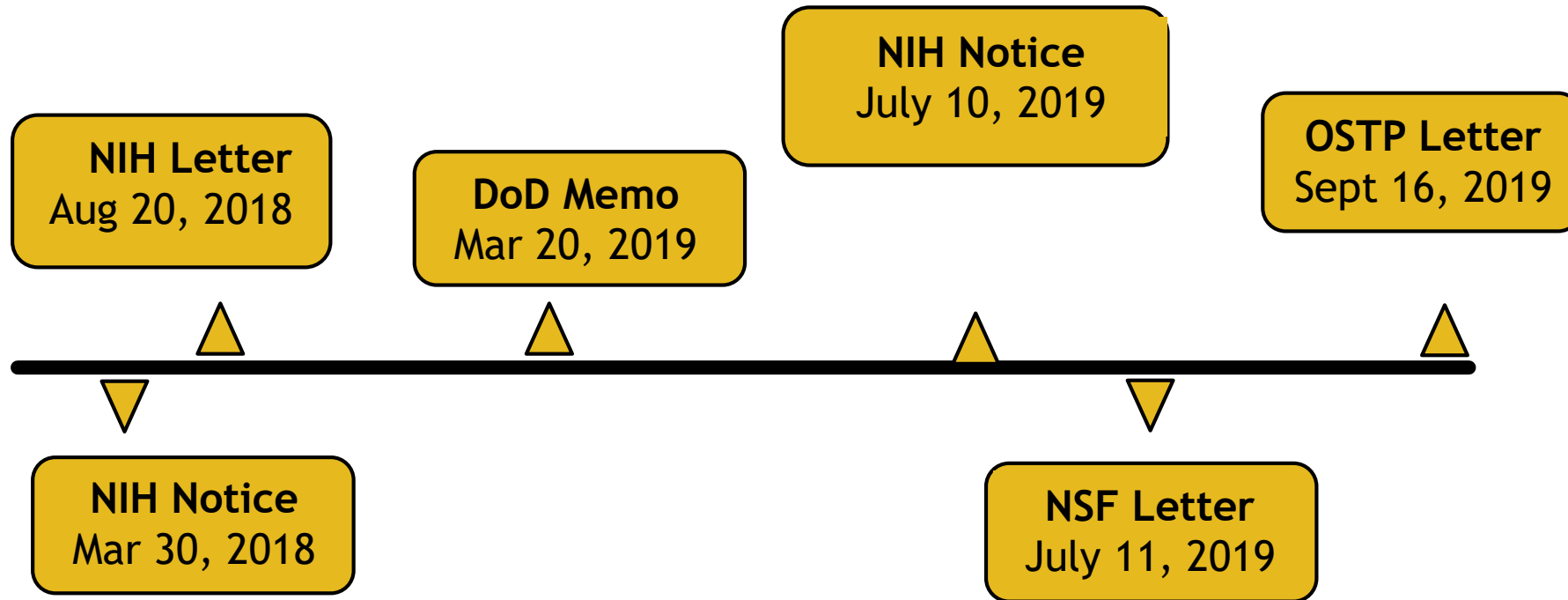
▶ # International Research
Background

International Research

- Excerpt from John Keller memo re foreign interests; Jan. 28, 2019

- https://research.uiowa.edu/impact/news/ovpr-publishes-memo-about-foreign-interests

- "The University of Iowa is committed to fostering dynamic research collaborations while also promoting full transparency surrounding all interactions with industry and foreign entities. We also expect all members of the research community to comply with all university and sponsor policies."

International Research

Selected timeline examples; not a comprehensive list

NIH Letter
Aug 20, 2018

DoD Memo
Mar 20, 2019

NIH Notice
July 10, 2019

OSTP Letter
Sept 16, 2019

NIH Notice
Mar 30, 2018

NSF Letter
July 11, 2019

NIH NOT-OD-18-160
Financial Conflict of Interest: Investigator Disclosures of Foreign Financial Interests
March 30, 2018

▶ Reminder to the NIH extramural research community that the requirements of 42 CFR Part 50, Subpart F, Objectivity of Research, apply to each institution, domestic and foreign, that applies for or receives NIH research funding in the form of grants or cooperative agreements

▶ Purpose of the regulation: To promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of NIH-funded research is free from bias resulting from Investigator financial conflicts of interest

NIH NOT-OD-18-160
Financial Conflict of Interest: Investigator Disclosures of Foreign Financial Interests

- "One such area of the FCOI regulation requiring clarity is Investigator disclosures with respect to foreign financial interests. The regulation refers to exclusions of Institutions of higher education as defined in 20 U.S.C. 1001(a) or a federal, state or local government agency when disclosing financial interests. However, these references refer to a U.S. Institution of higher education or a federal, state, or local government agency within the U.S. Therefore, Investigators, including subrecipient Investigators, must disclose all financial interests received from a foreign Institution of higher education or the government of another country (which includes local, provincial, or equivalent governments of another country)."

- See full text at: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-160.html

Francis Collins, NIH Director, Dear Colleague Letter
August 20, 2018

✓ Identified three areas of concern:

Improper diversion of intellectual property (IP) in grant applications or produced by NIH-supported biomedical research to other entities, including other countries;

Sharing of confidential information on grant application by NIH peer reviewers with others, including foreign entities, or otherwise attempting to influence funding decisions; and

Failure by some researchers to disclose substantial resources from other organizations, including foreign governments, which threaten to distort decisions about the appropriate use of NIH funds

https://www.insidehighered.com/sites/default/server_files/media/NIH%20Foreign%20Influence%20Letter%20to%20Grantees%2008-20-18.pdf

Under Secretary of Defense Memo
March 20, 2019

▶ National Defense Authorization Act (NDAA) for FY19

▶ To support protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security; and

▶ To limit undue influence, including through foreign talent programs, by countries to exploit United States technology within the Department of Defense research, science and technology, and innovation enterprise

▶ Disclosure requirements related to new DoD Notices of Funding Opportunities

▶ https://www.aau.edu/sites/default/files/Blind-Links/OUSDResearchProtectionMemo.pdf

NIH NOT-OD-19-114
Reminders of NIH Policies on Other Support and on Policies related to Financial Conflicts of Interest and Foreign Components
July 10, 2019

- Reminder to the extramural community about the need to report foreign activities through documentation of other support, foreign components, and financial conflict of interest to prevent scientific, budgetary, or commitment overlap

- NIH Goal: Facilitate the transparency of all research activities, both domestic and foreign not merely financial

- https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-114.html

NIH NOT-OD-19-114
Other Support

▶ Includes *all* resources made available to a researcher in support of and/or related to *all* of their research endeavors, regardless of monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant

▶ Includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.)

NIH NOT-OD-19-114
Foreign Components

▶ NIH requires recipients to determine whether activities it supports include a foreign component, defined as: The existence of any "significant scientific element or segment of a project" outside of the United States , in other words

▶ 1. performance of work by a researcher or recipient in a foreign location, whether or not NIH grant funds are expended and/or

▶ 2. performance of work by a researcher in a foreign location employed or paid for by a foreign organization, whether or not NIH grant funds are expended

▶ If a recipient determines that a portion of the project will be conducted outside of the U.S., the recipient then will need to determine if the activities are considered significant. If both criteria are met, then there is a foreign component

NIH NOT-OD-19-114
Foreign Components

▶ Is a portion of the project being conducted outside the US?

　　▶ No – not a foreign component

▶ Yes – are the activities being conducted outside of the US significant?

▶ Indicators include:

　　▶ Collaborations with investigators at a foreign site anticipated to result in co-authorship;

　　▶ Use of facilities or instrumentation at a foreign site; or

　　▶ Receipt of financial support or resources from a foreign entity

▶ Foreign components require NIH prior approval

▶ If an activity does not meet the definition of foreign component because all research is being conducted within the United States, but there is a non-U.S. resource that supports the research of an investigator and/or researcher, it must be reported as other support

NIH NOT-OD-19-114
Financial Conflict of Interest Disclosures

▶ This notice also reminds the extramural community of the requirements in 42 CFR Part 50, Subpart F, Objectivity of Research

▶ Investigators must disclose their significant financial interests to their institution

▶ This requirement includes financial interests received from a foreign entity

NIH NOT-OD-19-114 FAQs

? Frequently Asked Questions re Other Support and Foreign Components

📍 https://grants.nih.gov/grants/faq-other-support-foreign-components.htm

France Cordova, NSF Director
Dear Colleague Letter
July 11, 2019

"Since 1978, NSF has required senior project personnel on proposals to disclose all sources of support, both foreign and domestic. A renewed effort is now underway to ensure that existing requirements to disclose current and pending support information are known, understood, and followed. For example, in May, we published in the Federal Register a proposed clarification of our proposal disclosure requirements (open for public comment through July 29). Our draft NSF Proposal and Award Policies and Procedures Guide includes clarifications regarding reporting requirements for both current and pending support and professional appointments."

See full text at:
https://www.nsf.gov/pubs/2019/nsf19200/research_protection.jsp

Kevin Drogmeier, Director, Office of Science & Technology Policy
Letter to the U.S. Research Community
September 16, 2019

"

Breaches of research ethics, both within talent programs and more generally, include the failure to disclose required information such as foreign funding, unapproved parallel foreign laboratories (so-called shadow labs), affiliations and appointments, and conflicting financial interests. Other inappropriate behaviors include conducting undisclosed research for foreign governments or companies on United States agency time or with United States agency funding, diversion of intellectual property or other legal rights, and breaches of contract and confidentiality in or surreptitious gaming of the peer-review process.

As Director of The White House Office of Science and Technology Policy (OSTP), I see a significant opportunity for the Federal Government, research institutions, private companies, nonprofit organizations, and law enforcement to come together to ensure the integrity and security of the American research enterprise in light of increasing threats. Striking the right balance between openness and security, using a risk-based framework, is especially important.

With regard to research security, [the Joint Committee on the Research Environment] is organizing its work along the following four lines of effort:
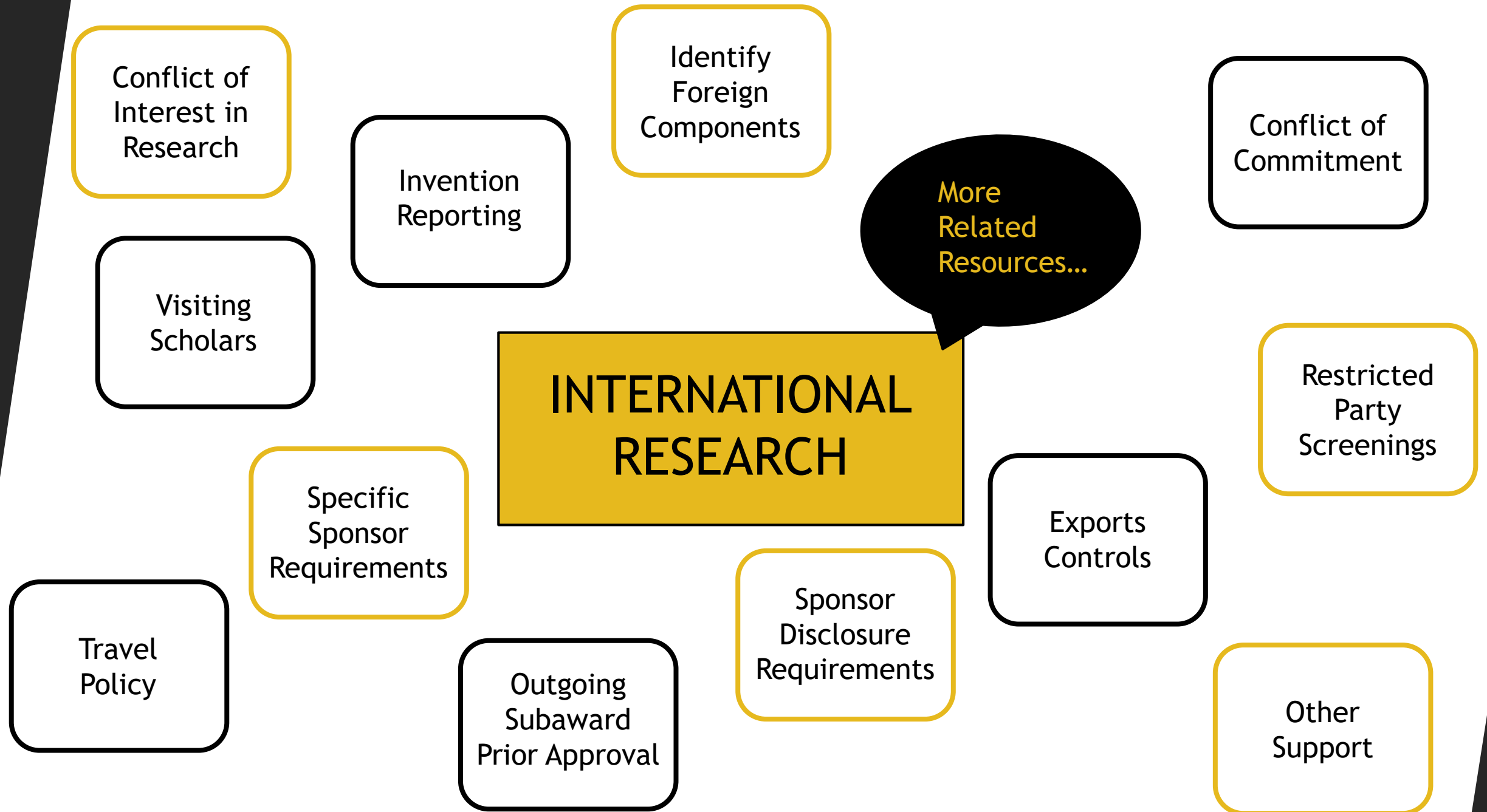
- **Coordinating outreach and engagement** with Federal agencies, academic research institutions, companies, non-governmental organizations, researchers, and students. In order to help relay the nature and scope of the challenges America faces, JCORE is assembling an array of examples in which our research enterprise was exploited or compromised.
- **Establishing and coordinating disclosure requirements** for participation in the federally funded research enterprise. Disclosure is a central tenet of research integrity and a key mechanism for ensuring compliance with applicable policies and laws.
- **Developing best practices for academic research institutions**, in collaboration with academia, professional societies, and other organizations.
- **Developing methods for identification, assessment, and management of risk** in the research enterprise.

Working together, we will ensure that our research environments are safe and inclusive; operate with maximum integrity; protect our research assets in a manner balanced with the openness and international collaboration that have been so critical to our success; and do not encumber researchers, agencies, or institutions with unnecessary administrative work In doing so, we will ensure America continues to lead the world in science and technology.

"

See full text at: https://www.whitehouse.gov/wp-content/uploads/2019/09/OSTP-letter-to-the-US-research-community-september-2019.pdf

International Research – Related Resources
Sponsor Reporting Requirements

▶ Identify Foreign Components

  ▶ NIH – "The performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended."

  "Activities that would meet this definition include, but are not limited to, (1) the involvement of human subjects or animals, (2) extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities, or (3) any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country. Examples of other grant-related activities that may be significant are: collaborations with investigators at a foreign site anticipated to result in co-authorship; use of facilities or instrumentation at a foreign site; or receipt of financial support or resources from a foreign entity."

  ▶ NSF – "For each proposal that describes an international activity, PIs should list the primary countries involved on the Cover Sheet. An international activity is defined as research, training, and/or education carried out in cooperation with foreign counterparts either overseas or in the US using virtual technologies."

▶ Check the requirements for your sponsoring agency

▶ Prior approval generally required for foreign collaborators/subawards

▶ Other Support/Current and Pending Support

International Research – Related Resources
Conflict of Interest and Commitment Policies

- Conflict of Interest in Research

  - University of Iowa Policy: https://opsmanual.uiowa.edu/community-policies/conflicts-commitment-and-interest#18.6

  - Conflict of Interest in Research Office: https://coi.research.uiowa.edu/

  - Martha Hedberg: martha-hedberg@uiowa.edu / 319-384-4256

- Conflict of Interest and Commitment Policies at the UI

- https://provost.uiowa.edu/conflicts-commitment-and-interest-policies

International Research – Related Resources
Export Controls

▶ University of Iowa Export Controls:
https://dsp.research.uiowa.edu/export-controls-home

▶ Studies involving export-controlled technology require additional review and compliance

▶ Restricted Party Screenings on foreign sponsors and subrecipients

▶ Export Control Coordinators: export-control@uiowa.edu

  ▶ Pat Cone-Fisher: patricia-cone-fisher@uiowa.edu / 319-335-3582

  ▶ Loren LeClair: loren-leclair@uiowa.edu / 319-335-2120

International Research – Related Resources Links to Other Resources

▶ UI Travel Policy (https://uiowa.edu/ap-purchasing/travel)

▶ Sponsor approval for foreign travel

▶ Visiting Scholars – International Programs (https://international.uiowa.edu/)

▶ Invention Reporting to UI Research Foundation (https://uirf.research.uiowa.edu/our-process/submit-invention)

▶ Specific Sponsor Requirements - review funding announcement for specific sponsor disclosure requirements

▶ Peer Review process – confidentiality and integrity requirements

  ▶ Core Values of NIH Peer Review: (1) expert assessment, (2) transparency, (3) impartiality, (4) fairness, (5) confidentiality, (6) security, (7) integrity, and (8) efficiency. (https://grants.nih.gov/grants/PeerReview22713webv2.pdf)

Links to Other Resources
International Research – Related Resources

▶ Outgoing Subawards - https://dsp.research.uiowa.edu/subawards-university-iowa

 ▶ Identify subawards at proposal stage

 ▶ Allow time for Conflict of Interest Form B* completion and review if needed

  ▶ (*Subrecipient Conflict of Interest compliance for PHS and NSF funded projects)

 ▶ Need sponsor approval

 ▶ At award stage allow additional time for issuing the subaward

  ▶ Restricted Party Screening

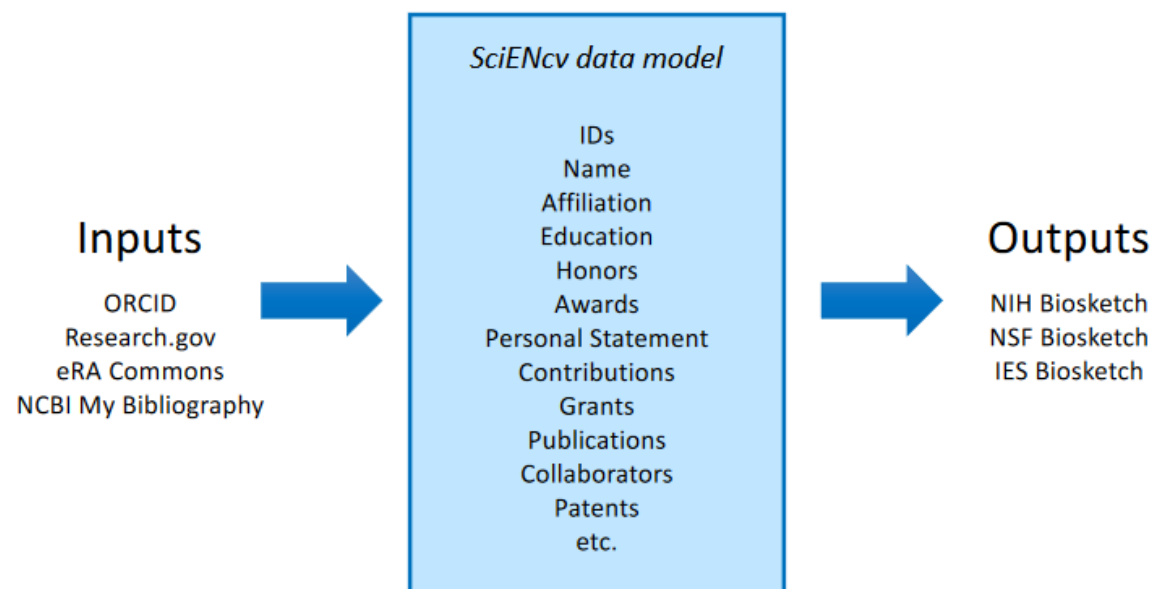 ▶ Time difference for negotiations

► **SciENcv**

NSF and SciENcv

▶ In the draft PAPPG (Proposal and Award Policies and Procedures Guide), NSF announced that it will only accept PDFs for the Biographical Sketch and Current and Pending Support that are generated through use of an NSF-approved format

▶ SciENcv was selected as an NSF-approved format and NSF encouraged faculty to begin using the NSF template in SciENcv

▶ There will not be an October 2019 posting of the PAPPG on the NSF website, and, there will not be a January 2020 PAPPG effective date

▶ PAPPG posting date and implementation date remain TBD

SciENcv:
Science Experts Network Curriculum Vitae

▶ https://www.ncbi.nlm.nih.gov/sciencv/

▶ Electronic system that helps researchers assemble the professional information needed for participation in federally funded research

▶ Provides biographical sketch information in NIH and NSF formats

▶ Anyone can use SciENcv

▶ Reduces the administrative burden associated with federal grant submission and reporting requirements

− | + | Automatic Zoom ⇕

SciENcv 2.18

Inputs

ORCID
Research.gov
eRA Commons
NCBI My Bibliography

SciENcv data model

IDs
Name
Affiliation
Education
Honors
Awards
Personal Statement
Contributions
Grants
Publications
Collaborators
Patents
etc.

Outputs

NIH Biosketch
NSF Biosketch
IES Biosketch

NIH U.S. National Library of Medicine
National Center for Biotechnology Information

NCBI

SciENcv

- Link External Accounts (profile info and awards)
  - eRA Commons
  - Research.gov
- Populate citations
  - ORCID (Open Researcher and Contributor ID)
  - NCBI My Bibliography
  - Manually
- Ability to assign delegates to edit biosketch or bibliography
  - (Note: Delegate status for NCBI My Bibliography carries over into SciENcv; eRA Commons requires separate delegation management)
- Eliminates the need to repeatedly enter biosketch information

SciENcv

- Questions re SciENcv profile and linkages?
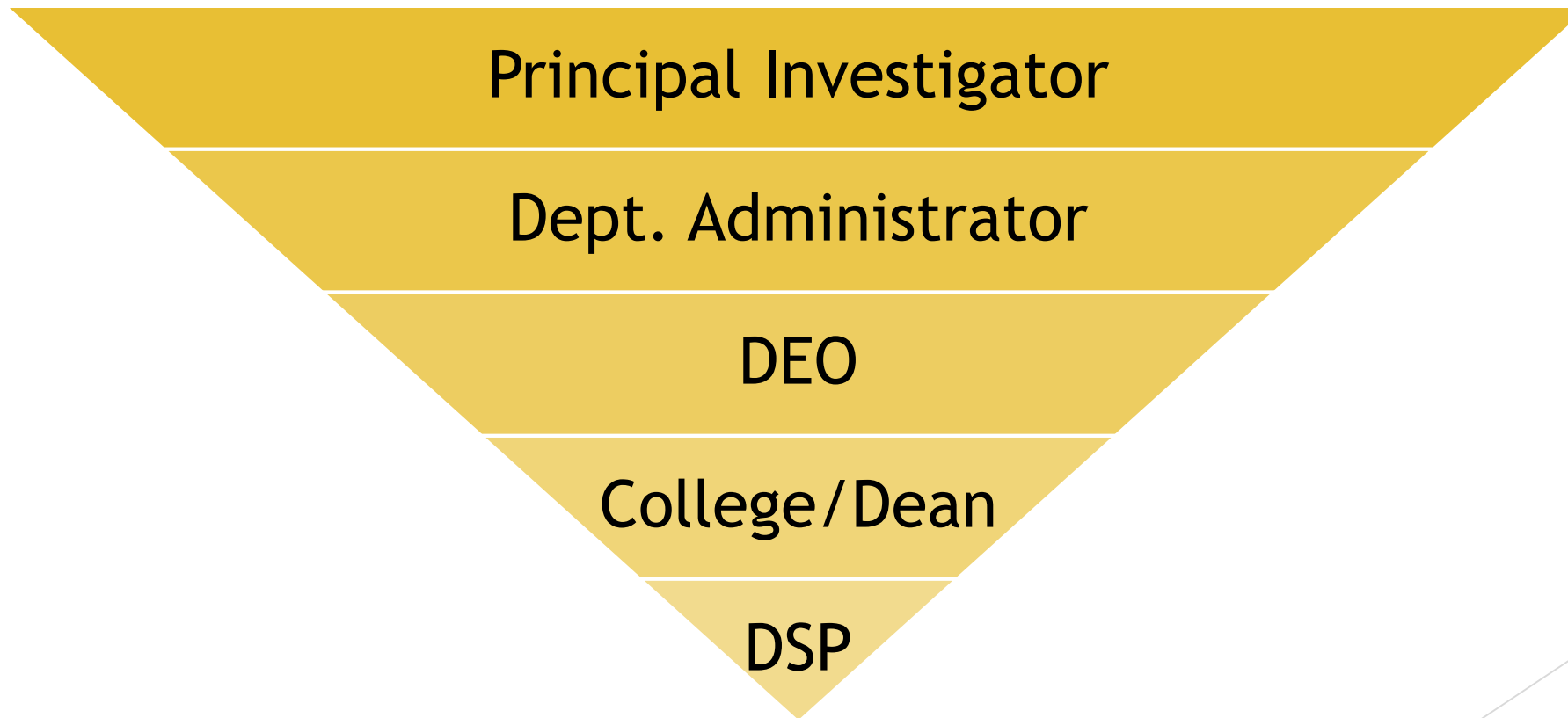
- Contact Oliva Smith with DSP
- Oliva-smith@uiowa.edu

Roles & Responsibilities
Proposal Preparation & Submission

Principal Investigator

Dept. Administrator

DEO

College/Dean

DSP

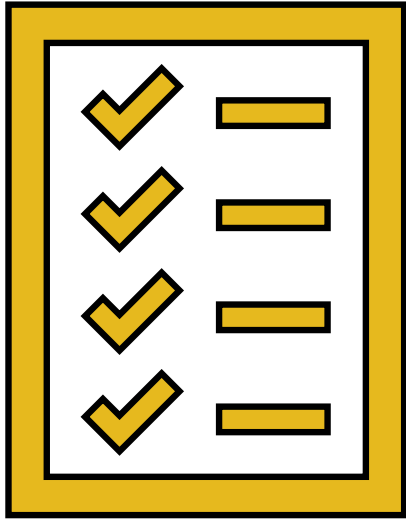# Roles & Responsibilities
Proposal Preparation & Submission

- Principal Investigator & Dept Admin:
  - Draft project proposal and initiate UI Proposal Routing Form
  - Develop budget to meet project needs
  - Request appropriate F&A cost reimbursement
  - Comply with sponsor general requirements and funding announcement
  - Submit complete proposal and UI Proposal Routing Form to DSP at least five business days prior to sponsor's submission deadline

- https://dsp.research.uiowa.edu/proposal-preparation-and-submission-roles-and-responsibilities

Roles & Responsibilities
Proposal Preparation & Submission

- ▶ DEO and College/Dean:
  - ▶ Review routing form and related proposal
  - ▶ Ensure budget is accurate and adequate to support the project
  - ▶ Verify that project aligns with department/collegiate objectives
  - ▶ Ensure adequate facilities and equipment to support the project

Roles & Responsibilities
Proposal Preparation & Submission

▶ DSP:

- ▶ Provide guidance and assistance throughout preparation and authorization process

- ▶ Upon receipt of completed proposal and routing form, initiate review

- ▶ Review proposal for compliance with sponsor requirements and UI policies and procedures

- ▶ Review budget for accuracy and inclusion of allowable costs, including F&A

- ▶ Authorize the proposal for submission to sponsor

Questions?

Quick Guide to the External Funding Process

https://dsp.research.uiowa.edu/quick-guide-external-funding-process

Contact DSP for

- One-on-one or smaller group sessions
- Topics of your choice
- Questions related to sponsor requirements in advance of proposal submission deadline

Division of Sponsored Programs

- **319-335-2123**
- dsp@uiowa.edu (General Questions)
- nih@uiowa.edu (NIH related questions)
- era@uiowa.edu (Grant-related questions other than NIH)
- dsp-contracts@uiowa.edu (Contract related questions)
- 2 Gilmore Hall

October 15, 2019

Research Administrator Meeting

Agenda

- GAO Updates
- Guidelines for Charging Travel to Sponsored Projects
- EFR – Grant Reports – Overview

GAO Updates

- Program Income reminder
https://gao.fo.uiowa.edu/program-income-%E2%80%93-annual-reminder

- Upcoming FY19 Single Audit

GAO Updates

- Staffing
  - Wendy Han, Accountant, Other Federal Team, August 2019
  - Active searches:
    - Accountant
    - Financial Analyst

http://gao.fo.uiowa.edu/contact-us

Charging Travel to Sponsored Projects

New Guidance available:
https://gao.fo.uiowa.edu/travel-sponsored-projects
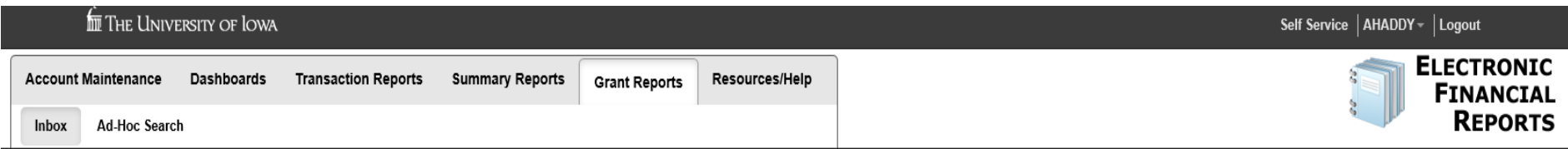
General Considerations:
- Travel costs must be reasonable and consistent with UI Travel Policy
- Travel must provide a direct benefit to the project
- Persons traveling should normally have an active HR appointment on the award
- Travel must be completed within the period of performance (budget period) of the award

Charging Travel to Sponsored Projects

Items that may require additional information or consideration to determine allowability:

- International Travel/Fly America
- Prior Approval
- Additional Sponsor Restrictions
- Business Meals
- Economy Upgrades
- Cancelled Travel Costs or Change Fees

EFR – Grant Reports – Overview

- Access
  - Inbox – based on roles
    - EFR – Grant Reports Distribution Role Definitions
      https://gao.fo.uiowa.edu/efr-%E2%80%93-grant-reports-distribution-role-definitions
  - Ad-Hoc Search
- Two versions of Inbox – **Grant Inbox** or **Free Balance**

EFR – Grant Reports – Overview

- **Financial Summary** – Budget Category budget/revenue to expense comparison
  - Expand Budget Categories to see current & cumulative expenditures and encumbrances, payroll, and subawardees
  - Show current month only OR up to 12 months at same time
  - Move between different accounting period/fiscal years with reporting period drop down
- **IACT Recap** – MFK summary for combined or every WhoKey (incl. cost share)
- **TDR** – links directly to EFR – TDR reports
- **Payroll Summary** – payroll with pay periods
- **Subaward Summary** – POs information, payment information, and link directly to AP/PO Purchase Order
- **Cost Share Summary** – cumulative summary for all cost share accounts
- **Award Information** – miscellaneous attributes of the award, including contact information

EFR – Grant Reports – Upcoming Enhancements

- Adding Effort Commitments for Key Personnel – by the end of January 2020
- Adding Invoicing information – next calendar year

Other Grant Reporting

- Grant DSS Online Reports & Grant DSS Data Warehouse tables will be eliminated
- Replacements are being developed
  - Tabular Model Post Award Data
  - SSRS Reports

Thank you for attending today!

Meet DSP and GAO staff – immediately following in the lobby area