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- Universal Workflow Project - Mike Kaplan & Ed Hill
- GAO Updates – Audra Haddy
  - Cost Transfers – Audra Haddy
  - Sub-recipient Monitoring – Audra Haddy
- Proposed new conflict of interest regulation – Charlotte Talman
- DSP Update – Twila Reighley
- Responsible Conduct of Research – Twila Reighley
- NIH Changes – Jennifer Lassner
- NSF Changes – John Massa
- Contracts Update – Wendy Beaver
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Research Administrator Meeting
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GAO Updates

- Staff updates
- RAM website changes
- Internal Audit – OMB A-21 Allowable Direct Charges
  - Finalized September 2010
- Annual A133 audit
- Upcoming changes in PeopleSoft to support Cost Share/BRF for budget allocations
- Reminder of new travel policy
  - University now requires submission of travel expense vouchers (TEVs) within 120 days of the completion of a trip. This change is to comply with Internal Revenue Service regulations regarding taxable income. The Operations Manual change is in V 22.1b Travel Policy.
Federal Financial Accountability and Transparency Act (also called FFATA or Transparency Act)
- Requires that information on federal awards be made available to the public via a single, searchable website.
- Data is reported through the Federal Subaward Reporting System (FSRS.gov) and viewable by the public through USASpending.gov

The reporting requirements apply to individual Federal grants and contracts, as follows:
- **Prime grant** awardees of Federal grants awarded on or after October 1, 2010, must report associated first-tier sub-grants issued for $25,000 or more.
- **Prime contract** awardees of Federal contracts must report associated first tier sub-contracts issued for $25,000 or more on a phased in approach:
  - Phase 1: Prime award greater than $20M, awarded on or after July 1, 2010
  - Phase 2: Prime award greater than $550K, awarded on or after October 1, 2010
  - Phase 3: Prime award greater than $25K, received on or after March 1, 2011

- Reporting due by the end of the month following the month the sub-award/sub-contract is fully executed (signed by the University of Iowa).
- Reporting will be done centrally
Transaction Detail Report (TDR)

- TDRs have been distributed since August 2010
- SA3 reports are no longer distributed via paper
- What about grant-specific reports?
  - TDS will continue to be printed and distributed until the FMS report is replaced with an electronic version
  - FMS development discussions have begun, but programming is not yet underway

FAQs (http://www.uiowa.edu/~fuscntrl/tdr_faqs.pdf)
Cost Transfers - Updates

- **Documentation Guidance**
  - Guidelines to describe what we are looking for by question
  - Examples of responses that are not appropriate along with suggestions to improve

- **Central Monitoring**
  - Monthly review of 1% of cost transfers
  - Preparer may be notified to provide:
    - Additional documentation
    - Explanation for justifications that do not clearly support the cost transfer

- **Shared Costs – Tracking and Documentation**
  - Finalizing guidelines for how to document these types of charges so that they will not require Cost Transfer Justification forms
  - Additions to FAQs

- **Reminders**
  - Complete cost transfer questions with adequate responses
  - Retain any additional documentation to support the cost transfer in your local file
  - Do not use identical cost transfer responses on every cost transfer submitted
  - Do not use GL JE for cost transfers
  - If the system does not require a cost transfer, retain a hard copy justification form in your file
  - Avoid cost transfers – particularly between sponsored projects
Sub-Recipient Monitoring

- Risk Assessment
  - Evaluate the likelihood that a subrecipient will fail to comply with the requirements of an award
  - Annually review subrecipients A-133 Audit reports
    - This only cover non-profits who have more than $500K/yr federal funding
- Developed a new Audit Certification and Financial Status Questionnaire
  - Effective January 1, 2011
  - Required for all individuals or entities that are not U.S. accredited institution of higher education
  - Questionnaire must be completed and returned to UI before a sub-award is issued
  - PIs department is responsible for ensuring that the form is sent to and returned from the sub-recipient
  - The completed questionnaire should accompany the PREQ
Conflict of Interest in Research
Charlotte Talman
Conflict of Interest in Research Office

Do Ask; Do Tell
Who?

"Investigator" = anyone involved in the design, conduct, reporting of research, regardless of title; CV included in proposal or listed on budget

Spouse, dependent children

Investigators at sub-recipient institutions
What?

**Personal Compensation > $10,000**

**Stock or Stock Options**
- Publicly-traded company >$10,000 or >5%
- Non publicly-traded company ANY equity

**Company Position**

**Issued Patent, Copyright, or Income Related to Such Rights**
Where?

UI Routing Form

IRB Application (for Human Subjects Research)
When?

For new research, at the time of submission of routing form

For ongoing research, within 30 days of changes in circumstances
How?

Financial Interest in Research Disclosure Form ("Forms" in UIRIS)
COI in PHS-Funded Research

• July 1995 current PHS regulation enacted
• May 2009 & May 2010 PHS sent notice of proposed changes and solicited comments
• July 2010 comment period closed
• ???? Regulation will be enacted
Proposed Changes in COI Regulation

• Annual disclosure process of all interests, including income for authorship, travel, and teaching, advisory committees, even if from public/nonprofit entities
• Institution will determine if interest is related to research
• Lower dollar threshold
• Web posting of interests related to research
• Much more information to be reported to PHS
• Required training every 2 years
DSP Update

• Staffing
• Electronic research administration
  – eRouting Pilot 2
  – Integrated system
• Web upgrade
• Fly America
DSP Staffing

• New to DSP:
  o Diana Boeglin, Contracts Administrator, UI department assignment TBD soon
  o Suzanne Doershuk, Professional Departmental Assistant, administrative support AVP for Research, triage of corporate-funded clinical trials agreements, maintain the clinical trials contract log and prepare associated award documentation.
  o Angela Roemeran, Professional Departmental Assistant, triage incoming funded and non-monetary contract agreements, maintain contract log and prepare award documentation.
DSP Staffing

- New roles in the office:
  - Jessica Stroud - incoming MTAs and CDAs
    - continuing to work with the outgoing subawards on projects with more than five subawards
  - Amanda O’Neill - budget review and selected incoming agreements
  - Kali Olson - outgoing subawards

- Financial Analyst vacancy to be filled

Current contacts are listed on the DSP Staff Directory accessed through the "About DSP" web page. A revised contract distribution list will be shared in a month or two.
Electronic research administration

• During the first pilot, we determined needed to address the processing and review issues within DSP in a manner that ensures the successful submission of a large volume of proposals by the sponsor deadline.

• The Research Information Systems team is pursuing improvements and I want to acknowledge the efforts of RIS and Jennifer Lassner.

• We plan to conduct a 2nd Pilot this Spring.
Electronic research administration

• UI VPR Jordan Cohen is committed to an integrated ERA system.
• The OVPR with support from ITS, GAO and others across campus:
  – are working with an outside consulting firm to obtain information on commercial and open source solutions relative to improving UI’s current systems.
  – Thanks to the research administrators and others that met with the consulting firm.
  – UI will also be completing an independent evaluation.
Web upgrade

- Updated web page expected soon.
- To be consistent with the new VPR pages.
- Changes to current pages primarily on hold.
- Thanks to Lynn Hudachek, Jennifer Lassner, Linda Meyer, and others in the office and in ITS for their commitment to complete that process.
- We’ll put out an announcement when it is complete and feedback is welcome.
Fly America Act

- The Fly America Act, which required traveling on US flag air carriers in most cases, was recently amended by various Open Skies Agreements.
- At first glance, these agreements would appear to allow the use of European carriers.
- However, the Open Skies Agreements are nullified if there is a city-pair agreement in effect for that city.
- The U.S. General Service Agency's site indicates there are now 5,000 city-pair agreements. It is highly likely that a U.S. flag air carrier will still be required.
- Questions about regulations at the proposal stage can be directed to dsp@uiowa.edu.
- Once we can make changes to our website, we will add additional links on this topic for reference.
Contact information:
Twila Reighley
Division of Sponsored Programs
(319) 335.2123
twila-reighley@uiowa.edu
Research Administrator Meeting
December 1, 2010

UI Implementation of Responsible Conduct of Research Requirements

Twila Fisher Reighley
Assistant Vice President for Research
Director of the Division of Sponsored Programs
Training in the Responsible Conduct of Research

New NIH- and NSF-specific requirements to ensure funded investigators are formally trained in the Responsible Conduct of Research (RCR)
All trainees, fellows, participants, and scholars receiving support through any NIH training grant, career-development award, research education grant, or dissertation research grant must receive instruction in the responsible conduct of research.
New Specifications

The NIH requirement for RCR training was in place prior to the release of NOT-OD-10-019, but this notice further specified the required training in terms of:

• Format
• Subject Matter
• Faculty Participation
• Duration
• Frequency
• Reporting
Award Mechanisms

- Institutional Research Training Grants (D43/D71/R90/U2R/T Series)
- Individual Fellowship Award (F Series)
- Career Development Awards, Institutional and Individual (K Series)
- Research Education Grants (R25)
- Dissertation Research Grants (R36)
- Other NIH grant programs that include a training component and, per the FOA, require instruction in responsible conduct of research.
NIH Implementation

RCR training:

• Must be outlined in new and renewal NIH applications submitted on or after January 25, 2010; and

• Must be reported within continuation (Type 5) NIH applications with deadlines on or after January 1, 2011.
NSF Requirements

- **At Proposal Submission:** The institution must have a plan to provide RCR training and oversight to undergraduate, graduate, and postdoctoral researchers receiving NSF support. The specific training plan is not included within the NSF application, but must be available for review upon request.

- **As a Condition of Award:** The institution must ensure all undergraduate students, graduate students, and postdoctoral researchers supported under NSF-funded research projects receive appropriate RCR training.
NSF has:

- Updated its *Proposal and Award Policies and Procedures Guide (PAPPG)* to reflect the RCR certification requirement.

- Modified its standard conditions of award to incorporate the RCR training requirement.
NSF Implementation

The NSF RCR requirements apply to new NSF proposals to conduct, submitted on, or due on or after, January 4, 2010.
UI Response: Iowa RCR Program

Developed under the joint sponsorship/responsibility of the:

• Graduate College; and

• Office of the Vice President for Research.
Groups of “Trainees”

1. Undergraduate Students and Professional Degree (e.g., AuD, DDS, DNP, MD, MHA, MPH, MSN, PharmD) Students participating in NIH- and/or NSF-funded research.

2. Predoctoral Students participating in NIH- and/or NSF-funded research.

3. Postdoctoral Research Scholars (FP01) and Postdoctoral Research Fellows (FP02) participating in NIH- and/or NSF-funded research.

4. Early-Career Faculty holding an NIH K Award.
Additional or Substitute Implementation Applies to T32s

NIH T32 Institutional Training Grant Programs

Short-Term Process
Any department/college/award-specific RCR programs defined in grant applications and approved in award documentation must be followed in lieu of the UI RCR training program.

Long-Term Goal
The UI RCR training program will be proposed in applications, responding to the NIH T32 requirements.
Undergraduate and Professional Students

Collaborative Institutional Training Initiative (CITI)
Web-based Training Course

• 10 topic-specific modules for the trainee to complete online.

• Trainees are expected to complete the CITI course before or within the first month of research participation/compensation.

• UI is developing a UI-specific portal to guide and record UI-trainee participation/completion.
Predoctoral Students: Master’s and Doctoral

UI Course 650:270 – Principles of Scholarly Integrity

• Master’s-degree students must complete a four-hour orientation and four 90-minute workshops, for a total of 10 contact hours. (0 semester hours)

• Doctoral-degree students must complete the four-hour orientation and eight 90-minute workshops, for a total of 16 contact hours. (1 semester hour)

Students -- master’s and doctoral -- are expected to complete the four-hour orientation within the first year and the workshops at the rate of two per semester, finishing within a one- or two-year period, respectively.
Postdoctoral Research Scholars (FP01)
Postdoctoral Research Fellows (FP02)

UI Course 650:604: *Principles of Scholarly Integrity*

- A four-hour orientation and four 90-minute workshops, for a total of 10 contact hours.

Trainees are expected to complete the workshops at the rate of two per semester, finishing within a one-year period.
Early-Career Faculty with NIH K-Awards

UI Course 650:614: *Principles of Scholarly Integrity*

- A four-hour orientation and four 90-minute workshops, for a total of 10 contact hours.

- Trainees are expected to complete the workshops at the rate of two per semester, finishing within a one-year period.

- Additional involvement of Early-Career Faculty in RCR training sessions to be determined.
Certification

1. Completion of the CITI modules will result in a certificate. Once the UI portal is fully completed, records of completion are expected to be electronic and automated.

2. Completion of UI course 650:270, 650:604, and/or 650:614 will be reflected on the trainee’s transcript or employment record, as appropriate. Trainee’s may track their progress through the University’s Iowa Courses Online (ICON) course-management system.
Transferring RCR Training

• If a trainee from another institution transfers to a lateral position at UI and can document successful and satisfactory completion of RCR training at the former institution, the trainee won’t be required to repeat RCR training at UI.

• If a trainee joins UI as a new phase in his/her career (e.g., completed predoctoral training elsewhere and enters UI as a postdoctoral scholar) the trainee must complete the UI RCR training consistent with the new UI position.

• If a trainee transfers from UI, the UI will, upon request, provide documentation of UI RCR training for the new institution.
Notes

• Trainees must complete the RCR program that aligns with their current positions and obtain additional RCR training as position levels change.

• Each department/program must identify faculty facilitator(s) to participate in 650:270/604 according to the number of students enrolled in these courses (approximately 1 faculty per 8-10 students). Faculty will work in a team to develop one 90-minute topical workshop per year and facilitate small-group discussions at four 90-minute topical workshops in an academic year (2 per semester).

• The UI RCR program is evolving and subject to revision. Please review the specific program options/content periodically.

• The latest program information will be available through an OVPR umbrella website: http://research.uiowa.edu/content/responsible-conduct-research.
Contacts

• Richard Hichwa, richard-hichwa@uiowa.edu, 335-2106. Questions/comments on the overall RCR Plan or the CITI online training.

• Minnetta Gardinier, m-gardinier@uiowa.edu, 335-2147. Questions/comments on the formal requirements under course 650:270, 650:604, or 650:614.

• Twila Reighley, twila-reighley@uiowa.edu, 335-2123. Questions on the NIH and NSF sponsor-specific training requirements.
NIH Updates

Jennifer Lassner
Sr. Associate Director
Division of Sponsored Programs
Non-competing grants under continuing Resolution

- NOT-OD-11-015
- Non-competing continuations awarded at 90% of committed level
- Funds may be reinstated after final appropriation
NIH Grants Policy Statement Revision - FY2011

• Effective 10/01/10, replaces December 2003 version
  – incorporates policy changes since 12/03, public policy changes, clarification of existing policies
  – Includes new chapters recommended by users (Career Awards, Multiple PD/PI), terminology changes as well as document enhancements.
  – Improves organization of existing chapters

New “B1” Forms Package

• Updated SF424 (R&R) application forms are currently issued with a competition ID of “ADOBE-FORMS-B1.”

• Training and career (K,F,T,D) applicants are required to use the Adobe B1 forms for due dates of January 25, 2011 and beyond.

• For all other submissions:
  • Applicants may use either the current ADOBE-FORMS-B or the new ADOBE-FORMS-B1 packages through May 7, 2011.
  • For deadlines after May 7, only applications submitted on ADOBE-FORMS-B1 will be accepted.

• Competition ID is part of the Opportunity Details in Cayuse
Resubmission Policy

- **NOT-OD-10-140** NIH will not accept a Resubmission that is submitted later than 37 months after the date of receipt (“receipt date”) of the initial New, Renewal, or Revision application

- **NOT-OD-10-080** Last Opportunity to submit A2 Resubmissions for AIDS-related research and applicants eligible for continuous review
Post-Submission of Application Materials, Prior to Peer Review

- **NOT-OD-10-115**
  - Acceptable post-submission materials allowed only if they result from unforeseen administrative issues
  - Page limits for supplemental information
  - Email materials to nih@uiowa.edu with SRA contact information

- **NOT-OD-10-104** NIH Training and Related applications
  - Updated information and data on the applicant pool, admissions, enrollment, appointments and/or achievements
  - Updated faculty research support
  - Email materials to nih@uiowa.edu with SRA contact information
Mandating eSNAP

- All SNAP progress reports must now be submitted electronically through the eRA Commons eSNAP module.
- Award must be subject to SNAP
  - Reports due 45 days instead of 60 days before anniversary.
- PHS 2590 Instructions updated: [http://grants.nih.gov/grants/funding/2590/2590.htm](http://grants.nih.gov/grants/funding/2590/2590.htm)
- Revised eSNAP User Guide posted at [http://era.nih.gov/docs/eSNAP_UG_v2.25.0.0_041210.pdf](http://era.nih.gov/docs/eSNAP_UG_v2.25.0.0_041210.pdf)
Proposal Preparation Costs Allowable as a Direct Charge for Mentored Career Development Awards

- NOT-OD-11-002
- Effort devoted to proposal preparation may be charged as a direct cost to mentored CDA
- Effort may be part of the effort commitment or an increase within allowable salary limitation
My NCBI Tool replaces eRA Commons for Bibliography Management

• eRA Commons linked to the National Center for Biotechnology Information’s personal online tool, “My NCBI.”

• As of 10/22/2010, citations that PD/PIs manually entered directly into eRA Commons (“PD/PI Entered”) are no longer available. PD/PIs must transfer these citations to a My NCBI account to retain them for future use (i.e. in a future progress report).

• Resources:
  – oliva-smith@uiowa.edu 335-3708
Funding Opportunity Announcement (FOA) Updates

• New FOA templates implemented:
  – Shorter FOAs
  – Use of consistent language

• All applications intended for due dates of September 25, 2010, and beyond must be submitted in response to an FOA.
  – Includes all applications still submitted on paper forms
xTrain Enhancements and 2011 Mandate

• Effective January 1, 2011, NIH will require electronic submission of appointment forms and termination notices for research training, fellowship, education and career development awards using xTrain. Paper forms will not be accepted.

• As of October 22, 2010, xTrain allows for the termination of Fellowship grants.

Jennifer Lassner

335-3710

jennifer-lassner@uiowa.edu
NSF Changes


John Massa

john-massa@uiowa.edu
Research Administrators Meeting

Wednesday, December 1, 2010

Contracts Update
Checklist for Including Outgoing Subawards in UI Proposals

- Email Wendy Beaver for a copy
- Checklist will be posted to new DSP website
National Laboratory User Agreements

- Current agreements with:
  - Brookhaven
  - Argonne
  - Pacific Northwest
  - Oak Ridge
  - Pending with Lawrence Berkeley

- Typical terms:
  - Restrictions – or lack thereof – on proprietary data
  - US Government rights in the work performed at the lab
National Laboratory User Agreements

- Foreign nationals may require additional documentation prior to entry

- Users must contact lab directly for requirements and to make use arrangements

- Call or email DSP if a PI is interested in using a national lab
DSP Contracts

Questions:

dsp-contracts@uiowa.edu
335-2123 (DSP main phone)

Wendy Beaver
Sr. Associate Director
335-2122
wendy-beaver@uiowa.edu
**Tennessee Professor Case**

- Air Force funded Research on drones. Funding Instrument a subcontract from a private company.
  - Shared information Iranian and Chinese graduate students
  - Shared information while visiting a Chinese University
  - Had a contract clause restricting foreign national access
- Convicted of:
  - 17 counts of conspiracy, violating export laws, and wire fraud
- Sentenced to:
  - 4 years imprisonment
Proposed changes to the Export Control Regulations

- The Obama Administration has announced that export control reform is a key priority

- The reform initiative is working towards the creation of a single set of export control regulations

- Currently, no changes have been made to the regulations

- But a recent Executive Order created an Export Coordination Enforcement Center within the Department of Homeland Security
Projects may implicate export controls if they include:

- Restrictions on foreign national participation in this research
- Restrictions on the publication or disclosure of the research results
- Restrictions on dissemination
- Shipping equipment to a foreign country
- Collaborating with foreign colleagues
- Training foreign nationals to use equipment
- Forms or documents which reference export controls, ITAR, EAR, OFAC
Projects may implicate export controls if they include:

- Working with a country subject to a US boycott
- Indication from the Sponsor or others that export controlled information will be furnished in the performance of this project
- The physical export of controlled technology or items
- Work with a select agent or toxin
- The Sponsor has mentioned any issues regarding export control
- The Sponsor or a Subcontractor is a foreign entity
Training

- Federal Agencies, including the FBI, are actively pursuing closer alignment with academia in order to address on-going national security challenges.

- Export Control Training is promoted as an excellent mechanism to avoid export control violations as well as being seen as a mitigating factor in the event of a violation.

- Training can be tailored to a particular lab or project.
Send an Email or Call Anytime

- patricia-cone-fisher@uiowa.edu
  - 335–3582

- export-control@uiowa.edu

- Our Website:
  - http://research.uiowa.edu/dsp/main/?get=export-controls