

Research Administrator Meeting

Monday, May 22, 2017

2:00-4:00

Iowa Theater (166), IMU

1. GAO Announcements
2. Fixed Price, Capitation, & Fee For Service
 - Departmental Invoicing
 - Change to Monitoring & Closeout
3. Charging Salaries & Wages to Grants/Contracts
4. *GOLDrush*
5. DSP Announcements
6. Outgoing Subawards
7. Sponsor Updates
 - Federal
 - NIH
 - PCORI
 - NSF
8. Research Development Office
9. SBIR/STTR Funding

May 22, 2017

Research Administrator Meeting

Agenda

- GAO Announcements
- Fixed Price, Capitation, & Fee For Service
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 - NIH
 - PCORI
 - NSF
- Research Development Office
- SBIR/STTR Funding

GAO Announcements

Staff Announcements:

- Hailey James, hired as Accountant, DHHS Team, January 2017
- Joel Baker transferred to Billing Specialist, Billing Team, April 2017

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

GAO Announcements

- FY16 Single Audit
- [WhoKey Administration Application – Roles for Funds 500/510](#)
 - New column “Role allows TDR recon?”
 - Upcoming changes – allow PI Dept Research Admin, Co-I & Co-I Dept Research Admin to assign WhoKey Reviewers

Fixed Amount Awards

Fixed Amount Awards provide a specific level of support without regard to actual costs incurred under the award. The fixed amount is based on appropriate pricing information. Variations include:

- **Fixed Price**, based on total amount for work performed
- **Capitation**, based on case counts/patient enrollment
- **Fee for Service**, based on any other unit price basis

GAO is responsible for all invoicing, except for some Capitation awards.

Accountability is primarily based on performance. GAO monitoring & closeout review will be minimized:

- No longer use Universal Closeout Workbook
- Ask PI/Dept to verify work completed, all applicable expenses have been charged to the account & all reports/deliverables provided to the sponsor
 - If residual balance, info will be requested via a new workflow form before balance is transferred

Charging Salaries & Wages to Grants/Contracts - Overview

New GAO Guidance:

<https://gao.fo.uiowa.edu/managing-grants-contracts/costing-considerations/charging-salary-wages-externally-sponsored-projects>

Effort: amount of time spent on work-related activities (instruction, research, patient care, administration, etc.) for which the University compensates the individual.

- Assign as a % (time spent on project/total time spent on work related activities)
- Total effort will never exceed 100%

HR Appointments should reflect the anticipated effort that is expected to be devoted to a project.

- Process HR Change of Status as soon as possible for any significant change in work activity charged to projects

Personnel Activity Reports (PARs) annually certify how faculty and staff effort is distributed to Federal awards.

Charging Salaries & Wages to Grants/Contracts - Overview

Appointment Terms (most common):

Fiscal Year: 12-month appointment for a fiscal year (July 1 through June 30). The proportion of funding from sponsored projects is based on actual effort.

Academic Year: 9-month appointment for the University's academic year. The proportion of funding from sponsored projects is based on actual effort during the **academic year**.

Summer Session: part or full time appointment during summer months. The proportion of funding from sponsored projects is based on actual effort over the summer months & generally not provided on a full-time basis (3 full summer months).

- See [Guidance for Faculty Summer Appointments on Sponsored Projects](#) for more information.

Charging Salaries & Wages to Grants/Contracts - Overview

Calculating Base Salary for:

- For **Fiscal Year** appointment, use the current annual salary.
- For **Academic Year** appointment:
 - Academic year months (0 to 9 months), use the current academic year salary.
 - Summer months (0-3 months), one-ninth of preceding academic year salary times # summer months.
- For multiple effective appointments, all current annual salary should be included.
- For joint VA appointment, the amount of VA salary should also be included.
- For awards and individuals subject to a salary cap (e.g. DHHS Salary Cap), use the effective salary cap amount as the base salary when identifying the committed and sponsor funded effort.
 - To calculate the excess salary not allowed, take actual base salary less effective salary cap amount.

Charging Salaries & Wages to Grants/Contracts - Overview

Information on Different Employee/Compensation Types:

- **Principal Investigator & Other Key Personnel:** charged to sponsored projects in proportion to the amount of effort devoted to the project for the time period.
 - If less than the amount of effort that was committed, difference should be charged to a [cost share account](#).
 - If salary limitation for [DHHS Salary Cap](#), the amount that exceeds the allowed rate must be charged to a salary cap account.
 - For Federal awards, sponsor approval is required **in advance** for:
 - PI disengagement from project for more than three months
 - 25% reduction in time devoted to project by PI
 - Change in key person identified in the application or award

Charging Salaries & Wages to Grants/Contracts - Overview

- **Graduate Research Assistants**
 - Charged in proportion to the effort devoted to the project.
 - Unless the sponsor specifically restricts, tuition/fees can be directly charged to the project at the **same proportion of the total salary**.
- **Post Docs (FP01) and other Technical/Programmatic Staff**
 - Charged in proportion to the effort devoted to the project
- **Trainees, Fellowships, Participants**
 - Provided as stipends to support individuals to further education, professional development and/or participation in a recognized training or fellowship program. These individuals are not considered employees. For more information, see [University Human Resources - Fellowship Payments](#).

Charging Salaries & Wages to Grants/Contracts - Overview

- **Administrative and Clerical staff**
 - Not normally allowed on sponsored projects. See [Clerical & Administrative - Guidelines for Charging to Externally Sponsored Projects](#) for more information.
- **Biweekly students/non students and temporary employees**
 - Charged based on actual (hourly) time worked on the project as recorded on bi-weekly time records. For information about allowable benefits for temporary employees, see [University Human Resources – Temporary Employee Benefits](#).
- **Extra Compensation**
 - Faculty are not allowed to charge sponsored projects for additional/extra compensation that is above their base salary unless they are identified as a special exception in the UI Ops Manual and explicitly approved by the sponsoring agency.

GOLD
rush
CROWDFUNDING
FOR IOWA



The University of Iowa Foundation

Theresa Jubert

Digital Fundraising Strategist



What is GOLDrush?

- **GOLDrush** is the University of Iowa's crowdfunding site
 - A tool to support faculty, staff, and student groups in raising money for research and other academic-related activities



Benefits

- All gifts made through the GOLDrush site are tax deductible
- 100% of the money raised goes to your designated project



What kinds of projects are successful?

- Projects need:
 - Team
 - Assists in planning and executing the campaign
 - Quiet Phase (4-6 weeks of planning), Active Phase (28-30 days), Stewardship Phase (during campaign and 3 months to 1 year after)
 - Crowd
 - UIF does not provide email addresses
 - Must be willing to solicit own personal networks
 - Realistic goal
 - \$10,000 or less
 - Compelling story



How are projects selected?

- Complete crowdfunding application
- Crowdfunding committee reviews applications on a monthly basis
- Contact Theresa Jubert with questions

Site tour/ lessons learned

- <https://goldrush.uiowa.edu>



Contact

- Theresa Jubert, Digital Fundraising Strategist
 - Email: theresa-jubert@uiowa.edu
 - Phone: (319) 467-3659



DSP Updates

Research Administrators Meeting

May 22, 2017

DSP Updates

GOLDrush – Theresa Jubert

DSP Announcements - Wendy Beaver

Outgoing Subawards – Wendy Beaver

Sponsor Updates

Federal - Lynn Hudachek

NIH - Lynn Hudachek

PCORI - Lynn Hudachek

NSF - Paul Below

Research Development Office – Aaron Kline

SBIR/STTR Funding – Martha Hedberg



DSP Announcements

- DSP Staffing
 - Jessica Boyle, Associate Director/Contracts Team Lead
 - Search for Sr. Sponsored Research Specialist



Proposal Routing Form

PHS Proposals with Subawards

- Proposal Routing Form - for PHS funding with outgoing subawards
 - If a Subrecipient is not on the FDP Conflict of Interest Clearinghouse, complete and attach Form B to the routing form
 - Form B = Outgoing Subaward Conflict of Interest Questionnaire
 - If the subrecipient will follow UI's COI policy, send the completed Form B to COIR Office prior to proposal submission (i.e., before you submit Form B to DSP with the Proposal Routing Form)
 - Process Map – Outgoing Subaward Conflict of Interest:
<https://dsp.research.uiowa.edu/subawards-university-iowa>

Model Agreements

- List of Model Agreements

<https://dsp.research.uiowa.edu/types-contracts-and-model-contracts>

- Clinical & Translational Science Awards (CTSA) model agreements for industry sponsored clinical trials:
 - Accelerated Clinical Trial Agreement (ACTA)
 - Accelerated Confidential Disclosure Agreement (ACDA)



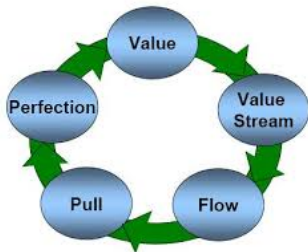
Data Use Agreements (DUAs)

- <https://dsp.research.uiowa.edu/data-use-agreements>
- Used to transfer non-public data that is subject to restriction on use
- When sharing UI data, refer to web page for DUA Guidance Document and Flowchart to determine:
 - Ability to share data
 - Required compliance approvals
- Contact DSP for DUAs related to research or economic development



Subaward Lean Update

- Completed since last RAMs meeting:
 - Auto email content revised
 - All subawards can be listed on Proposal Routing Form
 - Electronic Processing Payment of Invoices
 - Reviewed Outstanding POs



Subaward Lean Update

Ongoing development:

- New form to request subawards and amendments instead of Preq
 - Will be accessible via the DSP Research Tracker
 - Contact Nate Cook or Wendy Beaver if you would like to provide development feedback
- New Subrecipient/Project Information Form
 - Combines project and organization information currently collected on different forms and at different stages
 - PI's department will send the new form to all subrecipients prior to submitting the Preq
 - Attach the completed form to the Preq
 - Stay tuned to the RAD for implementation details
 - Implement by July 5, 2017

FDP Expanded Clearinghouse Pilot

- UI Go Live Date: July 5, 2017
- Repository for online entity profiles for pilot members
- Goal: reduce administrative burden associated with verifying standard information required for subaward issuance and monitoring



FDP Expanded Clearinghouse Pilot

- Still acceptable and expected to collect from Expanded Clearinghouse subrecipients:
 - Statement of Work
 - Budget
 - Other project specific information
- New UI Subrecipient Form reflects Subaward Lean Improvements and Expanded Clearinghouse Requirements



DSP Events

- Outgoing Subaward Series, Award Stage, Course #869
 - May 24, 2017, 9:00 – 10:30 a.m. 2520D UCC

Log in to *UI Self Service*

Under *Learning and Development* select *My Training*

Enroll in Courses (search by course title or number, click *View Course*, click *Enroll in This Course Session*)



- VPR Unit Compliance Carnival
 - Science Thursday, June 8, 11:00 a.m. - 1:00 p.m.
 - Courtyard between Medical Education Research Facility (MERF), Bowen Science Building (BSB), and Pappajohn Biomedical Discovery Building (PBDB)

Federal Updates

- Research Terms and Conditions
- Prior Approval Matrix
- Grants.gov Workspace
- Stevens Amendment



Federal Updates

Research Terms and Conditions (RTCs) - effective April 3, 2017

- Implement the requirements of the Uniform Guidance (UG), 2 CFR part 200.
- The RTCs apply to research and research-related grants made by the participating agencies to institutions of higher education and non-profit organizations.

Federal Updates

Research Terms and Conditions (RTCs) -

- Maintained on NSF website:

<https://www.nsf.gov/awards/managing/rtc.jsp>

- [Research Terms and Conditions Appendix A](#)
[Prior Approval Matrix](#) - April 26, 2017

Federal Updates

Research Terms and Conditions (RTCs) - Participating Agencies:

- Department of Agriculture: NIFA
- Department of Commerce: NIST/NOAA
- Department of Homeland Security
- Department of Energy
- Department of Transportation: FAA
- Environmental Protection Agency
- NASA
- NIH –co-Chair
- NSF –co-Chair

Federal Updates

Grants.gov Workspace - a shared, online environment to collaboratively complete & submit grant applications

- Multiple users can concurrently complete the application forms.
- Reuse/copy prior Workspace forms to pre-populate a new Workspace.
- Validation allows applicants to correct application errors prior to submission.
- Complete an application using new online webforms or downloading/uploading the PDF form; applicants can seamlessly switch between online and offline.
- Changes to the Opportunity Package are immediately reflected in Workspace.

Please call DSP if you are asked to use G.gov Workspace!



Federal Updates

Stevens Amendment - (Public Law 100.463, Section 8136) to give the federal government public credit for federally funded programs & projects. When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with federal money. The information must clearly state:


- Percentage of the total cost of the project/program financed with federal funds as well as the percentage of the total cost of the project/program financed by non-government sources.
- Dollar amount of federal funds used for the project/program.

- Forms E
- Biosketches
- SF424 Guide

NIH Updates

Revised SF424 (R&R) Application Guides and Supplemental Instructions - updated November 22, 2016

Some Key changes:

- How to Apply - Application Guide webpage: direct hyperlinks to data tables, reference letters, and biosketch format pages added.
- Plain language edits: implemented a new format and structure for application Instructions.
- Within the instructions, new instructions are marked with this symbol. 
- Biosketch clarifications in the instructions and format page.
- Appendix policy incorporated.

See [NOT-OD-17-023](#) for additional information.

- Also includes new Release Notes – For example, SF424 Release notes from March 24, 2017

NIH Updates

Application Form Instructions SF424 (R&R) - Version D <https://grants.nih.gov/grants/how-to-apply-application-guide.html>

Application Form Instructions [SF424 (R&R) -Version D]		
Need help selecting the right instructions?		
Application Instructions	Description	View/Download
G General Instructions	Comprehensive guidance for research, training, fellowship, career development, multi-project, and small business applications	HTML / PDF
Filtered Application Instructions	Description	View/Download
R Research Instructions	Guidance for research only	PDF
K Career Development Instructions	Guidance for career development only	PDF
T Training Instructions	Guidance for training only	PDF
F Fellowship Instructions	Guidance for fellowship only	PDF
M Multi-Project Instructions	Guidance for multi-project only	PDF
B SBIR/STTR Instructions	Guidance for small business only	PDF
Supplemental Instructions	Instructions on preparing the protection of human subjects section of the research plan and human subjects research policy, as well as additional policies, assurances, definitions, and other information	PDF

NIH Updates

- New "FORMS-E" Grant Application Forms and Instructions Coming for Due Dates On or After January 25, 2018
[\(NOT-OD-17-062\)](#)
- New AHRQ "FORMS-E" Grant Application Forms and Instructions Coming for Due Dates On or After January 25, 2018
[\(NOT-HS-17-015\)](#)

PCORI Updates

PCORI (Patient-Centered Outcomes Research Institute) funds large studies of comparative effectiveness research (CER). It is a 501(c)(1) private corporation; it is not part of the federal government, which means that its funding is **not** tied to Congressional appropriations. If PCORI makes an award, the budget will not be cut later. PCORI's trust fund allows for new two-year awards to be made through at least September 30, 2019.

PCORI Updates

PCORI Mega-Workshop (it's FREE!):

- July 2017 in Washington, D.C. The date is not set yet, but if you are interested in being contacted as soon as the date is known, please inform [Mary Blackwood](#) (319-335-3968).
- Attendees may request a 30-min session w/ a PCORI Science Officer.
- PCORI Training for UI faculty & staff – contact [Mary Blackwood](#) or [Diana Boeglin](#) in DSP.

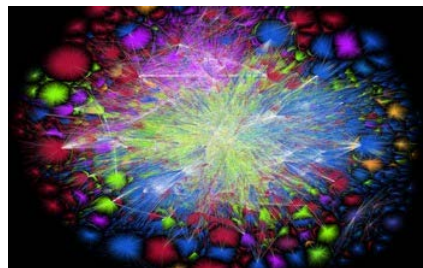
–Proposal Submission Modernization

- Replacing Fastlane
- Launch through Research.gov
- https://www.nsf.gov/bfa/dias/policy/era_forum.jsp

NSF Updates

Effective 4/24/2017 Spreadsheet for collaborators and other affiliates

- Must be saved in .xlsx or .xls format
- Will be converted by FastLane to PDF file
- Template and instructions can be found at <https://www.nsf.gov/bfa/dias/policy/coa.jsp>
- Feedback can be provided to NSF through research.gov feedback page



Division of Sponsored Programs



Division of Sponsored Programs

2 Gilmore Hall

Phone: 335-2123

Email: dsp@uiowa.edu (General)

nih@uiowa.edu (DHHS related emails)

era@uiowa.edu (other federal and non-federal grant emails)

dsp-contracts@uiowa.edu (contract emails)





Research Development Office

Concierge for Research

Topics

- ▶ What is the Research Development Office (RDO)?
- ▶ Why the RDO?
- ▶ What RDO Does
- ▶ Who to Call?

Research Development Office

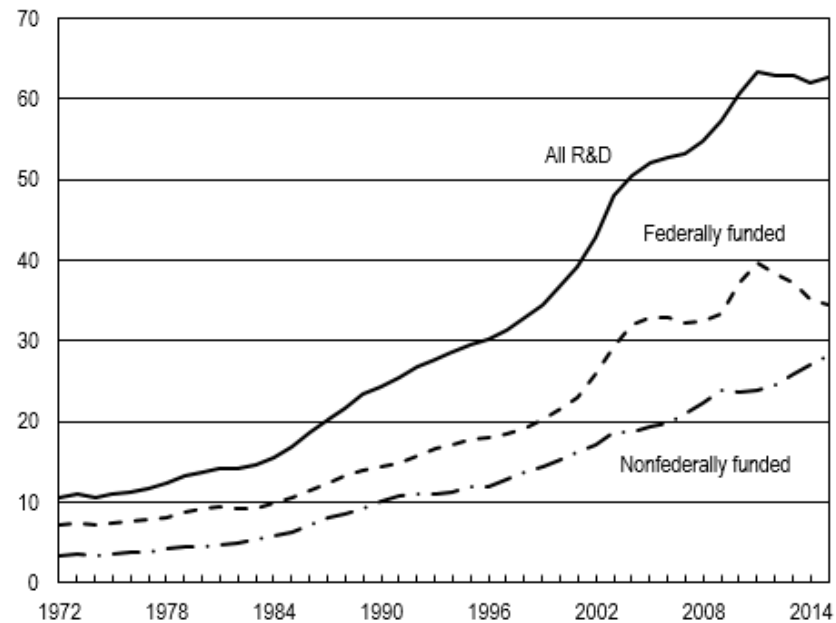
- ▶ New initiative in OVPR&ED
- ▶ Concierge service to help faculty submit...
 - ▶ More ambitious,
 - ▶ More collaborative, and
 - ▶ More successful research and scholarship project proposals
- ▶ “As the landscape for research and scholarship support becomes ever more competitive, our faculty need assistance as they develop creative, bold, and collaborative strategies for discovery and innovation. We’re here to help them do that.”

-Dan Reed, Vice President for Research and Economic Development

Why the RDO?

Higher Education R&D Expenditures, by Source

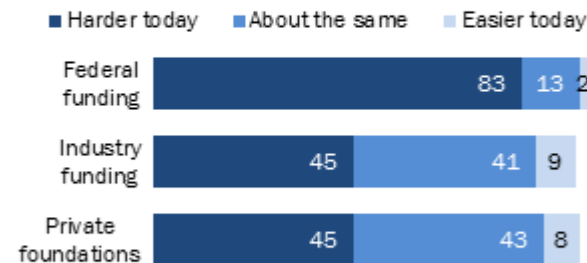
Billions of constant 2009 dollars



<https://www.nsf.gov/statistics/2017/nsf17303/>

Most Scientists Say Finding Federal Funding Harder Today

% of AAAS scientists saying that compared with five years ago funding in their specialty area from each source is ...



AAAS scientists survey Sept. 11 – Oct. 13, 2014. Q9-11. Those giving no response are not shown.

PEW RESEARCH CENTER

http://www.pewinternet.org/2015/01/29/public-and-scientists-views-on-science-and-society/pi_2015-01-29_science-and-society-00-12/

What RDO Does

- ▶ Umbrella for OVPR&ED Research Development Services
 - ▶ Strategic Research Leadership Program
 - ▶ Establish network of campus grant development professionals
 - ▶ Promote existing services
 - ▶ Division of Sponsored Programs' monthly *Grant Bulletin*
 - ▶ Limited Submissions
 - ▶ Faculty development activities
 - ▶ Communicating Ideas workshop

Strategic Research Leadership Program

- ▶ Proposal development
- ▶ Mentoring
- ▶ Ideation and formation of collaborative teams
- ▶ Intensive engagement with funding agencies
- ▶ Budget development
- ▶ Seed funding
- ▶ Other assistance

Network of Campus Grant Development Professionals

- ▶ Share best practices and expertise
 - ▶ Develop a resource library
 - ▶ Provide project management on select proposals
 - ▶ Connect faculty interested in forming cross-disciplinary teams
-
- ▶ **Relieve administrative burden on faculty**

General Questions

- ▶ If unsure of who to contact for your questions, RDO can help
 - ▶ The first point of contact
 - ▶ Answer general questions
 - ▶ Direct you to additional contacts, as needed
- ▶ Ask yourself...

**Who Ya
Gonna
Call?**



Who to Call?

▶ Aaron Kline



Aaron-kline@uiowa.edu
(319) 335-4142

▶ Marta Gomez



Marta-gomez@uiowa.edu
(319) 384-1291

▶ Cheryl Ridgeway



Cheryl-ridgeway@uiowa.edu
(319) 384-3332

Thank you!

SBIR/STTR

Small Business Innovation Research/
Small Business Technology Transfer
at the University of Iowa

May 22, 2017 RAMS Meeting

Martha Hedberg, MPA, COI Specialist

What is SBIR/STTR funding?

- Small Business Innovation Research
- Small Business Technology Transfer
- Eligible applications: Small Businesses
- UI can be a partner in an SBIR/STTR , but not prime applicant
- UI PI cannot be the PI for the company and the UI

Several UI
departments
assist with
SBIR/STTR
applications
and awards

- Division of Sponsored Programs
- UI Ventures
- UI Research Foundation
- Human Subjects Office
- Office of Animal Resources
- Conflict of Interest in Research

Has a UI PI been asked to collaborate (be a subcontractor) on a SBIR/STTR application?

- Contact SBIR-STTR@uiowa.edu as soon as you are aware
- <https://dsp.research.uiowa.edu/sbirsttr-small-business-innovation-researchsmall-business-technology-transfer>

Division of Sponsored Programs

- DSP assists with various requirements and procedures for requesting, accepting, and managing external research funding and conducting sponsored projects
- Contact if UI will be involved in the project as a partner or subcontractor
- Contact DSP early and route through DSP at proposal stage
- 319-335-2123
- dsp@uiowa.edu

UIVentures

- UIVentures assists university inventors in creating startup companies based on their research
- 319-384-3425
- Paul-Dymerski@uiowa.edu or
- Jordan-Kaufmann@uiowa.edu

UI Research Foundation

- UIRF assists research faculty with patents, copyrights, licenses, and other aspects of technology commercialization
- Contact if the project involves UI intellectual property or may lead to inventions
- 319-335-4486
- uirf@uiowa.edu

Human Subjects Office

- HSO provides administrative support for the IRBs (Institutional Review Boards) reviewing human subjects research at UI
- Contact if the project will include human subjects in the research
- 319-335-6564
- irb@uiowa.edu

Office of Animal Resources

- OAR oversees the care and use of animals in research at the UI
- Contact if the project will include animal studies at the UI
- 319-335-7985
- oar@uiowa.edu

Conflict of Interest in Research

- COIR Office facilitates compliance with federal regulations and UI policies associated with financial interests in research and institutional conflicts of interest
- If a PI has a financial interest in the small business or IP related to the application, the PI should contact the COIR office early in the process
- 319-384-4256
- coi-research@uiowa.edu

Potential Conflicts of Interest

- Individual Conflict of Interest in Research
- Institutional Conflict of Interest in Human Subjects Research
- Conflict of Commitment (Effort)

Hearing these
words?

A word cloud featuring various terms in different colors and orientations. The words include: licensing, technology, faculty, ip, startup, transfer, agreement, copyright, business, invention, patent, small, sbir, r41, r43, and sbc. The words are arranged in a dense, overlapping cluster.

licensing
technology
faculty
ip
startup
transfer
agreement
copyright
business
invention
patent
small
sbir
r41
r43
sbc

Questions?

- Contact SBIR-STTR@uiowa.edu
- <https://dsp.research.uiowa.edu/sbirsttr-small-business-innovation-researchsmall-business-technology-transfer>