May 19, 2011

- Shared credit for proposal activity – Richard Hichwa
  - Responsible Conduct of Research – Richard Hichwa
- Electronic signature on proposal routing form (through UI workflow) – Greg Schwartz
- Updates from Sponsored Programs – Twila Reighley
- Overview of DSP website – Lynn Hudachek
- Overview of Research Administrator Handbook (RAH) - Linda Meyer
- Updates from Grant Accounting – Audra Haddy
  - Post Award Advisory Committee – Audra Haddy
  - Audit Issues – Audra Haddy
Shared Credit

Richard Hichwa, PhD
Senior Associate Vice President for Research
Research Administrator Meeting
May 19, 2011
A mechanism to recognize, record and report individual contributions to sponsored projects that depend on two or more individuals to manage and complete the project aims. It is composed of two elements:

- Responsible Credit
- Intellectual Credit
Responsible Credit is allocated to individuals who lead, direct, and/or manage major segments or aspects of a proposed sponsored project, overseeing specific project aims, ensuring compliance with UI and federal regulations, recruiting key personnel, assuming fiscal responsibility, etc.
Individuals who manage and oversee project’s direction
Focused on team science or multidisciplinary projects
Must be eligible Principal Investigators
Multiple PIs (two or more)
Sum of RC for all participating PIs is 100%
Intellectual Credit is allocated to individuals who contribute to the scientific or scholarly aspects of the proposed activity by generating ideas, acquiring and/or analyzing data, conducting experiments, preparing manuscripts, preparing funding applications, mentoring students, etc.
Intellectual Credit - Summary

- Individuals who contribute to the project’s scientific or scholarly progress
- Applies to all types of applications
- Must be eligible *Investigators*
- Each PI is considered one of the Investigators
- Sum of IC for all participating investigators is 100%
Percent Effort is the fraction of professional time the individual will devote to the project. Percent Effort is used for budgetary purposes, coinciding with the salary compensation due the individual for their work on the project and influencing F & A cost reimbursement. The individual’s overall Percent Effort as committed to sponsored projects, teaching, and all other professional activities is expected to total, but may not exceed, 100%.
Percent Effort - Summary

- Professional time devoted to project
- Same definition as in routine use today
- Sum of all professional activities (time on grant, teaching, etc) should total 100%
## Participating Investigator

<table>
<thead>
<tr>
<th>Participating Investigator</th>
<th>Responsible Credit</th>
<th>Intellectual Credit</th>
<th>Percent Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Multiple PI #1</td>
<td>40%</td>
<td>25%</td>
<td>10%</td>
</tr>
<tr>
<td>Multiple PI #2</td>
<td>60%</td>
<td>25%</td>
<td>10%</td>
</tr>
<tr>
<td>Medicine Faculty Member</td>
<td>0%</td>
<td>10%</td>
<td>5%</td>
</tr>
<tr>
<td>Engineering Faculty Member</td>
<td>0%</td>
<td>20%</td>
<td>25%</td>
</tr>
<tr>
<td>Liberal Arts Research Scientist</td>
<td>0%</td>
<td>20%</td>
<td>100%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100%</td>
<td>100%</td>
<td>n/a</td>
</tr>
</tbody>
</table>
PIs determine distribution of Shared Credit and Percent Effort at the proposal stage
Department and college leadership review and approve Shared Credit distribution at proposal stage
If the distribution changes during the proposal stage, all who are part of the approval process are notified
Is part of the eRouting form
http://research.uiowa.edu/content/shared-credit
Responsible Conduct of Research (RCR)

Research Administrator Meeting
May 19, 2011
The conduct of research is varied. However, there are several key and accepted practices for the responsible conduct of research that embrace Honesty, Accuracy, Efficiency and Objectivity.
RCR Content

- Data Acquisition, Management, Sharing and Ownership
- Conflict of Interest (COI) and Commitment (COC)
- Human Subjects Research
- Animal Welfare
- Research Misconduct
- Publication Practices and Authorship
- Mentor and Trainee Responsibilities and Relationships
- Peer Review
- Collaborative Research
- Financial Management
- Research Safety
- Responsibility to Society
RCR Participation

- NSF mandated requirement for RCR training after 1/4/2010, includes flow down on subawards
- All NSF trainees (undergrads, predocs, postdocs) must participate
- Mandated RCR training for NIH trainees (T32 training grants and faculty K-awards)
- NIH requirement for 8 contact hours
- Requirements and reporting under flux but increasing
## Iowa RCR Training Requirements

<table>
<thead>
<tr>
<th>Oversight of Content Delivery</th>
<th>Undergrad Trainee</th>
<th>Predoc Trainee</th>
<th>Postdoc Trainee</th>
<th>NIH K-award Faculty</th>
<th>Professional Degree Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice President for Research</td>
<td>On-line CITI RCR Training*</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>On-line CITI RCR Training*</td>
</tr>
<tr>
<td>Graduate College</td>
<td>N/A</td>
<td>Didactic and Small Group Discussion course 650:270</td>
<td>Didactic and Small Group Discussion course 650:604</td>
<td>Didactic and Small Group Discussion course 650:614</td>
<td>N/A</td>
</tr>
</tbody>
</table>

* CITI Collaborative Institutional Training Initiative
http://research.uiowa.edu/content/responsible-conduct-research
Research Administrator Meeting
May 19, 2011

Update from DSP

Twila Fisher Reighley
Assistant Vice President for Research
Director of the Division of Sponsored Programs
DSP Update

- Staffing
- eRouting Pilot
- Clinical trials and Kaizen event
DSP Staffing

New staff in DSP filling vacancies:

- Contract administrators:
  - Adwin Hesseltine
  - Loren LeClair will join DSP June 13, 2011
- Financial Analyst - Nathan Cook

New departmental assignments for the DSP contract reviewers will be posted to web and shared via email in the next month or two.
eRouting Pilot

• Information on the eRouting project (electronic signatures through workflow) is at: https://research.uiowa.edu/dsp/erouting-ui. Site includes:
  – Overview and FAQs
  – Instructions for participation in eRouting – new and improved information
  – Implementation schedule
• Tips to making the pilot and ultimately eRouting work:
  – Attach required documents as outlined in the instructions and use appropriate labels
  – Track progress of routing form through workflow to DSP
  – Normal internal deadlines apply to e-routed proposals
• It will take a joint effort to make the pilot successful. Thanks to those already participating. Questions to:
  – Your workflow administrator if questions related to workflow
  – Resource identified for help in the eRouting application for technical questions
  – Other questions to: dsp@uiowa.edu
<table>
<thead>
<tr>
<th>Date</th>
<th>Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>February 2010: Initial Pilot</td>
<td>College of Public Health</td>
</tr>
<tr>
<td>February 2011: Expanded Pilot I</td>
<td>College of Liberal Arts &amp; Sciences department of Psychology, College of Nursing</td>
</tr>
<tr>
<td>March 2011: Expanded Pilot II</td>
<td>Office of the State Archaeologist, State Hygienic Laboratory</td>
</tr>
<tr>
<td>May 2011: Expanded Pilot III</td>
<td>College of Dentistry, College of Education, College of Engineering</td>
</tr>
<tr>
<td>College of Liberal Arts &amp; Sciences department of Physics and Astronomy, College of Pharmacy</td>
<td></td>
</tr>
<tr>
<td>June 2011: Expanded Pilot IV</td>
<td>College of Business, College of Law, Graduate College</td>
</tr>
<tr>
<td>Carver College of Medicine, College of Liberal Arts &amp; Sciences Other Administrative Units</td>
<td></td>
</tr>
</tbody>
</table>

Note: The Implementation date is tentative and will be solidified early to mid-June.
Proposal Tip

Please help us communicate that for electronic submissions, we still need a UIRIS routing form to initiate review:

• It is not enough to send the proposal to DSP through one of many electronic submission systems such as Cayuse or the eRA Commons.
• Both the routing form and the proposal need to be received by DSP by the internal deadline for assurance that a proposal will be reviewed and submitted by the sponsor deadline.
Kaizen for Corporate Funded Clinical Trial (CFCT) Contract Process

In April, a Kaizen review of the CFCT Contract Process was conducted with the support of the Vice President for Research.

Appreciation goes to the PIs and other research professionals who assisted in various ways with our review and to those who are continuing to participate in our work groups. We would also like to thank Dick See from Organizational Effectiveness, Tom Persoon and Jeff Vande Berg from UIHC Operational Improvement.

Thanks also to the Institute for Clinical and Translational Science for sharing office space with us. Linda Jones and Jeff Martin, CFCT contract reviewers, started holding office hours in the General Hospital Monday afternoon and Wednesday morning.
Kaizen for Corporate Funded Clinical Trial (CFCT) Contract Process

We have implemented some changes related to the CFCT contract processes and are exploring other improvements:

• Now reviewing CDAs upon submission of the electronic non-monetary routing form and receipt of the CDA. Signature held pending receipt of the fully signed routing form.

• Work groups are exploring ways to make the CFCT contract process more transparent to campus, including exploring ways to make status information and metrics available to campus electronically.

• Additional training materials and resources are being developed.

Questions related to the CFCT contract process review, may be directed to Wendy Beaver or Twila Reighley.
Questions?

Thanks to OVPR, ITS, and DSP, particularly Lynn Hudachek, Linda Meyer, and Jennifer Lassner for their commitment to complete the web upgrades. Next agenda items: Website and RAH

Contact information:
Twila Fisher Reighley
Division of Sponsored Programs
(319) 335.2123
twila-reighley@uiowa.edu
Overview of DSP Website

https://research.uiowa.edu/dsp/
May 19, 2011

Research Administrator Meeting
GAO Updates

- **Staff updates**
- **Year end close**
  - Timetable and Reminders for Closing Fiscal Year 2011
    (http://www.uiowa.edu/~fusas/campus_memo_FY11_EOY.pdf)
  - Fiscal Year-End Close Calendar–FY 2011 and Monthly Close for July-FY 2012
    (http://www.uiowa.edu/~fusas/FY11_CloseCalendar.pdf)
- **Cost Share Accounts**
  - Departments & collegiate units can fund cost share accounts throughout the year, but should be done by fiscal year end
    - Budget allocation for appropriated funds
    - Transfer in/revenue for other funds
    - Utilize fiscal year end Budget or Balance Close-Out options
  - Notify Grant Accounting to move funds between multiple Budget Reference Fields
Post Award Advisory Committee

- **Purpose:** Consider changes, provide information, and identify concerns related to policy, business process and information management for the post award administration of sponsored projects.

- **Meet monthly starting April 2011.**
COMMITTEE MEMBERS:

- Lori Bassler
- Mindy Bunn
- Emily Campbell
- Teresa Gaffey
- Audra Haddy
- John Hawkins
- Chuck Hession
- Sue Holtkamp
- Angie Klein
- Cindy Pierce
- Twila Reighley
- Lisa Ringen
- Angie Robertson
- Megan Smith
- Barb Spence
- Joel Steele
- Rose Sullivan
- Nancy Tate
- Wendy Walker
- Michelle Worrell
Current Topics:

- Replacement of grant specific University Wide Reports
- Costing Issues – reference document for allowability of specific costs
Audit Issues

- **FY10 Single Audit**
  - Effort commitments
  - Allowability of specific costs

- **American Recovery and Reinvestment Act (ARRA)**

- **HHS OIG Audit Work Plan**
  - Administrative & Clerical costs
  - Recharge centers
  - Supplemental compensation
  - Effort reporting

- **NSF OIG Audit Work Plan**
  - Effort/Labor systems
  - Internal controls & costs charged
    - Subrecipient monitoring
    - Cost Sharing
  - Oversight of A-133 audits