

December 13, 2012

- Grant Accounting Announcements
- Grant Financial Reports - Demo/Implementation Plan
- New NIH Procedures for Change of Grantee Organization (Sue Holtkamp & Paul Below) Relinquishment Form
- DSP Announcements
- PI Portal Update (Jose Jimenez)
- PHS Subrecipient Conflict of Interest Policy Update
- New IP Options in Research Agreements (Zev Sunleaf)

December 13, 2012

Research Administrator Meeting

Agenda

- Grant Accounting Announcements
- New Electronic Grant Financial Reports - Demo/Implementation Plan
- New NIH Procedures for Change of Grantee Organization (Sue Holtkamp & Paul Below)
- DSP Announcements
- PI Portal Update (Jose Jimenez)
- PHS Subrecipient Conflict of Interest Policy Update
- New IP Options in Research Agreements (Zev Sunleaf)



GAO Announcements

- Staff Announcements:
 - Sherry Roe hired as Administrative Services Coordinator, May 2012
 - Jodi Kennedy promoted to Assistant Director, August 2012
 - Henry Montag promoted to Senior Accountant, September 2012
 - Boyd James hired as Accountant, November 2012
 - Molly Weston hired as Accountant, November 2012



GAO Announcements

- Annual A-133 Audit-FY12 Single Audit
 - Work will begin early 2013
- Grant Accounting web site
 - To provide feedback, go to:
<http://www.uiowa.edu/~fusga/> and select:

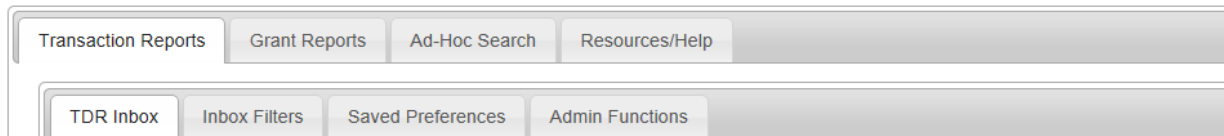
Website Feedback

Replacement of Grant Paper Reports

- Changes to EFR Inbox – new tabs
 - Transaction Reports (TDR)
 - Grant Reports
 - Ad-Hoc Search
 - Resources/Help

Accounting & Financial Reporting

Electronic Financial Reports - **Testing**



Replacement of Grant Paper Reports

Who will have automatic access to Grant Reports?

- Owner/PI
- PI Administrator
- Co-I
- Co-I Administrator
- Alternate Administrative Contact
- Reviewer
- Secondary Reviewer #1
- Secondary Reviewer #2

Replacement of Grant Paper Reports

- Grant Reports tab
 - Lists awards available based on role(s)
 - Reports can be viewed by selecting one of the report buttons:



Replacement of Grant Paper Reports

- Ad Hoc Search

Accounting & Financial Reporting
Electronic Financial Reports - Testing

TESTING SERVER [EFR Home](#) [Self Service](#) [Admin](#) [log off](#) Hawk ID: AKLEIN

Grant Report Ad-Hoc Search

Period-FY	UNIVID	Grant-BRF
03 / 2013		121031 - 01

[Back to Top](#)

Replacement of Grant Paper Reports

Implementation Plan:

December 2012

- User testing
- Continue Training & Finalize User Documentation

January 2013

- Parallel Reporting
- Additional Training

February 2013

- Last printed reports distributed (for January accounting)

NIH CHANGE OF GRANTEE ORGANIZATION

PA-12-270

<http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html>

INCOMING APPLICATION TYPES

- ✘ TYPE7-RR-BUDGET-OTHER-B2 Use For U34, UC4, U01, UH2/UH3, UT1, UT2, U43, U44, UP5, G08, G11, G13
- ✘ TYPE7-ENDOWMENTPROGRAM-B2 Use for S21, S22
- ✘ TYPE7-SBIR-B2 Use for SBIR
- ✘ TYPE7-STTR-B2 Use for STTR
- ✘ TYPE7-INSTRUMENTATION-B2 Use for S10
- ✘ TYPE7-DIRECTOR-B2 Use for DP1, DP2
- ✘ TYPE7-CAREERDEV-B2 Use for all Ks (Except K12, KL2 and KM1)
- ✘ TYPE7-FELLOWSHIP-B2 Use for all Fs
- ✘ TYPE7-TRAINING-BUDGET-B2 Use for T15, T32, T34, T35, T36
- ✘ TYPE7-TRAINING-RRBUDGET-B2 Use for K12, T37, KM1, D43, D71, U2R
- ✘ TYPE7-TRAINING-DUALBUDGETS-B2 Use for T01, T02, T03, T14, T42, T90, TU2
- ✘ TYPE7-TARGETRESEARCH-B2 Use for DP3
- ✘ TYPE7-RESEARCH-B2 Use for all R's (except SBIR/STTR), S07, S11, SC1, SC2, SC3, DP4, DP5, UA5

UI GUIDANCE FOR ALL GRANT AND CONTRACT TRANSFERS

- <http://dsp.research.uiowa.edu/transferring-grants-and-contracts-and-ui>

OUTGOING AWARDS

- ✘ UI Transfer form
- ✘ Grant Accounting NIH Projected Expenses form
- ✘ Relinquishing Statement (completed by DSP)

QUESTIONS

- ✘ Grant Accounting Office
 - + 335-3801

- ✘ Division of Sponsored Programs
 - + 335-2123
 - + dsp@uiowa.edu

Projected Cumulative Direct Costs on NIH Award being Relinquished

Grant/Program #: _____

NIH Grant #: _____

PI: _____

Award End Date at the Univ. of Iowa: _____

(generally the PI's last day)

CALCULATION OF TOTAL PROJECTED DIRECT COSTS*

- 1) Cumulative Total Direct Costs shown on most recent Financial Management Summary (FMS) \$ _____
Indicate the month and year of the FMS used: _____

- 2) Direct Costs Subject to F&A still to post to the award after most recent FMS \$ _____
Consider: Salaries, Wages, Fringe Benefits, Consultant Costs, Supplies, Animals Costs, Travel, Other, Subawards subject to F&A

- 3) Direct Costs **NOT** Subject to F&A still to post to the award after most recent FMS \$ _____
Consider: Subawards NOT subject to F&A, Equipment, Patient Care Costs, Tuition
NOTE: We would expect to see equipment purchased at the new institution rather than within the last few months at the University of Iowa.

- Total Direct Costs** \$ _____

**Grant Accounting will calculate the appropriate amount of F&A based on the Direct Costs Subject to F&A (#2 above) and the F&A Rate for the award.*

Form prepared by:

Signature

Date

Name (Type or Print)

Title

If there are questions or concerns regarding this form or the expenses for this award, please contact the appropriate Health and Human Services contact in Grant Accounting: <http://www.uiowa.edu/~fusqa/sponsorcontact.html>

DSP UPDATES

Research Administrator Meeting

Dec 2012

ANNOUNCEMENTS

- ✘ NIH and NSF Updates

 - + NCURA Presentations available on DSP website

- ✘ eRA – Non-Monetary Routing

 - + Electronic routing through workflow Spring 2013

- ✘ Routing Policies

 - + <http://dsp.research.uiowa.edu/ui-routing-policy-procedure>

- ✘ F&A Rates – expanded definitions and guidance

 - + <http://dsp.research.uiowa.edu/facilities-administrative-fa-costs>

CHARGING F&A TO GRANTS AND CONTRACTS

UI Policy

<http://dsp.research.uiowa.edu/charging-facilities-and-administrative-fa-costs-grants-and-contracts>

F&A WAIVERS THAT WILL NORMALLY BE DENIED

- ✘ Waivers to cover expenses not paid for by the award sponsor, such as overdrafts, disallowed costs
- ✘ Waivers requested solely because an award does not provide adequate direct costs for completion of the full scope of the project
- ✘ Waivers that will not provide equitable treatment to all University researchers applying to the same sponsor
- ✘ Waivers based solely on precedent.

NIH ASSIST (APPLICATION SUBMISSION SYSTEM AND INTERFACE FOR SUBMISSION TRACKING) NOT-OD-12-161

- ✘ Implementation timeline
 - + September 2013 - P01, P20, P50, R24, U24, U19
 - + January 2013 – remaining multi-project mechanisms
- ✘ Cayuse 424 will be prepared for September implementation
- ✘ Please Let DSP know immediately if you are submitting an application to one of the pilot FOAs
 - + P42: RFA-ES-13-001
 - + P50: RFA-NS-13-006
 - + P30: RFA-ES-13-002
 - + U19: NOT-MH-13-008
 - + UM1: NOT-MH-13-007
 - + P50: NOT-AG-12-019

PERSONNEL ON ROUTING FORM

- ✘ **Principal Investigator(s)**
- ✘ **Co-Investigator(s)** – used for COI, effort and shared credit
 - + List ALL faculty with measurable effort, whether or not salary is requested in the budget
 - + Include P&S staff meeting the definition of key personnel
 - + It is not necessary to assign intellectual credit to all individuals in this category
- ✘ **Other Key Personnel**
 - + Do *NOT* list faculty with measurable effort

QUESTIONS

- ✘ Division of Sponsored Programs

 - + 335-2123

 - + dsp@uiowa.edu

- ✘ Jennifer Lassner

 - + 335-3710

 - + Jennifer-lassner@uiowa.edu

PI RESEARCH PORTAL PROJECT STATUS UPDATE

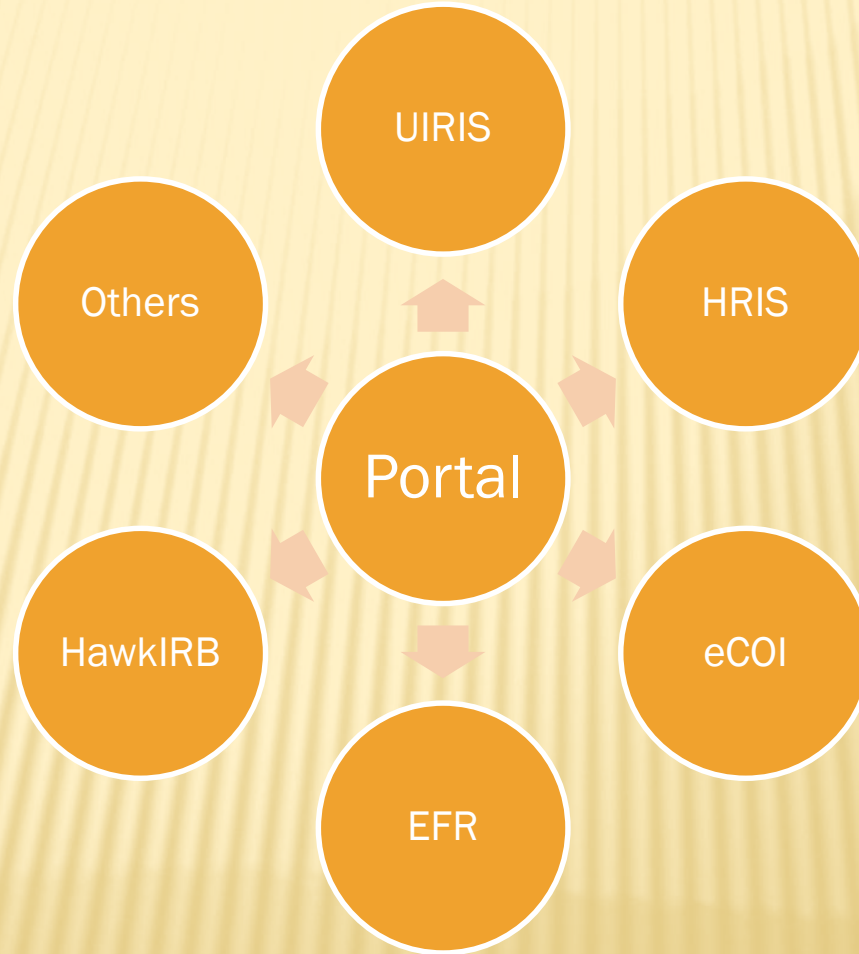
Research Administrator Meeting

Dec 2012

PHASE I DELIVERABLES: TABS & LINKS

- ✘ Links grouped into tabs to applications necessary for research administration
- ✘ Will help researchers get to the *right place* from *one place*

PHASE I DELIVERABLES: SINGLE SIGN ON



PHASE I DELIVERABLES: ANNOUNCEMENTS

- ✘ Public, non-targeted announcements
- ✘ Collected from multiple Research Administration Units
- ✘ Presented all in one place

PHASE I DELIVERABLES: ACTION ITEMS

- ✘ Research Related Workflow Items
 - + Proposal Routing Forms
 - + Advance MFK Routing
- ✘ Improved based on feedback from you

PHASE I DELIVERABLES: MY PROJECTS

- ✘ Goal: Deliver a quick look at a researchers projects including information related to
 - + Pre-Award
 - + Financials
 - + Compliance
- ✘ All in one spot
- ✘ Links from this view provide additional detail and access to related systems

PHASE I DEVELOPMENT STATUS

Completed

- Tabs and Links

In Progress

- Announcements
- Single Sign On

Up Next

- Action Items
- My Projects

Target
Delivery

- March 2013

QUESTIONS

- ✘ JJ (Jose Jimenez)
- ✘ jose-jimenez@uiowa.edu
- ✘ 335-3205

More Information Available at

- ✘ <http://research.uiowa.edu/era-portal>

REVISED COIR PROCESS FOR SUBRECIPIENTS UNDER PHS APPLICATIONS

Research Administrator Meeting

Dec 2012

PRIOR TO APPLICATION/PROPOSAL ROUTING AND SUBMISSION

- ✘ Federal regulation requires that all investigators disclose prior to applying for PHS funding
- ✘ Investigator: responsible for the design, conduct, or reporting of research
- ✘ Includes proposed investigators at subrecipient sites

PRIOR TO APPLICATION/PROPOSAL ROUTING AND SUBMISSION

- ✘ UI changes effective for submissions for the Jan 25, 2013, deadline
- ✘ Applicable to new and renewal applications
- ✘ DSP cannot submit UI application unless subrecipient has a compliant policy or investigators following UI policy have disclosed

FDP CLEARINGHOUSE

- ✘ Provides a list of Public Health Service entities
- ✘ Organizations can certify that they have a compliant policy
- ✘ The University of Iowa will accept this certification of compliance
- ✘ http://sites.nationalacademies.org/PGA/fdp/PGA_070596

SUBAWARD CONFLICT OF INTEREST FORMS

✘ All forms can be found at

<http://dsp.research.uiowa.edu/subawards-university-iowa>

The University of Iowa
OUTGOING SUBAWARD CONFLICT OF INTEREST QUESTIONNAIRE – FORM A
Complete this form only for PHS funded proposals

Name of UI Principal Investigator: _____
Project Title: _____

Please list ALL subrecipients associated with this proposal and follow instructions below (see Form A-2 if proposal contains more than five subrecipients).

Subrecipient Organization	Is Subrecipient on FDP Clearinghouse*	Subrecipient Questionnaire*
1.	Y <input type="radio"/> N <input type="radio"/>	
2.	Y <input type="radio"/> N <input type="radio"/>	
3.	Y <input type="radio"/> N <input type="radio"/>	
4.	Y <input type="radio"/> N <input type="radio"/>	
5.	Y <input type="radio"/> N <input type="radio"/>	

A – FDP Clearinghouse – The Federal Demonstration Partnership (FDP) has created a clearinghouse website where institutions can certify that they have a conflict of interest policy that complies with federal regulations. Please search for the subrecipient organization on the FDP clearinghouse website at http://www.subrecipientclearinghouse.org/565/567565_570725. If the subrecipient organization has certified their policy on the website, the University of Iowa will accept that the organization takes responsibility for its own compliance.

B – If you have identified that the subrecipient organization IS NOT listed on the FDP Clearinghouse a button will appear for "Form B". This button links to a blank copy of the form required to be completed by the subrecipient.

Steps for submitting this form:

- Complete the appropriate fields for all subrecipients associated with the proposal (all fields will print). If the Subrecipient(s) are certified on the FDP Clearinghouse, sign and attach this page to the routing form before submitting.
- If one or more subrecipients ARE NOT listed on the FDP Clearinghouse, send each unlisted organization a copy of Form B. Complete the fields in the gray boxes at the top and bottom of the form before sending it to the subrecipient's authorized official (be sure to indicate the Key Personnel* at the subrecipient site). The subrecipient should then indicate whether or not their organization has a policy that complies with the FCOI regulation, add their contact information, sign and return the form to you. For subrecipients indicating that they have a compliant policy, attach this form and the returned Form B to the routing form before submission.

For Subrecipients indicating that they DO NOT have a compliant policy, forward the returned Form B by email to the University of Iowa Conflict of Interest in Research Office (conflict@uiowa.edu & uiowaconflict@uiowa.edu). The COIR office will obtain all appropriate documentation from the subrecipient Key Personnel and email you confirmation when this is completed. Once you have received the necessary documentation for ALL subrecipients, attach this form as well as the returned Form B and COIR confirmation email to the routing form for each applicable (non-FDP certified) subrecipient before submission.

* Key Personnel – any individual who will be conducting a substantive portion of the research and who has the authority to make independent decisions about the direction of the research and the subrecipient conclusions about the results. This includes individuals who are likely to be authors on manuscripts or to present research findings at national conferences. It does not include administrative personnel or individuals who perform routine, pre-defined, or incidental tasks related to this project.

Completed By: _____ Email: _____
Signature: _____ Date: _____

FORM A

The University of Iowa
OUTGOING SUBAWARD CONFLICT OF INTEREST QUESTIONNAIRE – FORM A-2

Name of UI Principal Investigator: _____
Project Title: _____

Please use this form in addition to Form A for projects with more than five subrecipient. Attach this form along with the completed and signed Form A prior to submission.

Subrecipient Organization	Is Subrecipient on FDP Clearinghouse*	Subrecipient Questionnaire*
6.	Y <input type="radio"/> N <input type="radio"/>	
7.	Y <input type="radio"/> N <input type="radio"/>	
8.	Y <input type="radio"/> N <input type="radio"/>	
9.	Y <input type="radio"/> N <input type="radio"/>	
10.	Y <input type="radio"/> N <input type="radio"/>	
11.	Y <input type="radio"/> N <input type="radio"/>	
12.	Y <input type="radio"/> N <input type="radio"/>	
13.	Y <input type="radio"/> N <input type="radio"/>	
14.	Y <input type="radio"/> N <input type="radio"/>	
15.	Y <input type="radio"/> N <input type="radio"/>	
16.	Y <input type="radio"/> N <input type="radio"/>	
17.	Y <input type="radio"/> N <input type="radio"/>	
18.	Y <input type="radio"/> N <input type="radio"/>	
19.	Y <input type="radio"/> N <input type="radio"/>	
20.	Y <input type="radio"/> N <input type="radio"/>	
21.	Y <input type="radio"/> N <input type="radio"/>	
22.	Y <input type="radio"/> N <input type="radio"/>	
23.	Y <input type="radio"/> N <input type="radio"/>	
24.	Y <input type="radio"/> N <input type="radio"/>	
25.	Y <input type="radio"/> N <input type="radio"/>	
26.	Y <input type="radio"/> N <input type="radio"/>	
27.	Y <input type="radio"/> N <input type="radio"/>	
28.	Y <input type="radio"/> N <input type="radio"/>	
29.	Y <input type="radio"/> N <input type="radio"/>	
30.	Y <input type="radio"/> N <input type="radio"/>	

FORM A-2

The University of Iowa
OUTGOING SUBAWARD CONFLICT OF INTEREST QUESTIONNAIRE – FORM B

UI Principal Investigator: _____ Project Title: _____
Subrecipient Organization: _____
Subrecipient Key Personnel*: 1. _____ 2. _____

* Key Personnel – any individual who will be conducting a substantive portion of the research and who has the authority to make independent decisions about the direction of the research and the subrecipient conclusions about the results. This includes individuals who are likely to be authors on manuscripts or to present research findings at national conferences. It does not include administrative personnel or individuals who perform routine, pre-defined, or incidental tasks related to this project.

Instructions for an authorized signing official of the Subrecipient Organization:

Which of the following applies to your organization* (check one):

Your organization **has a policy** that complies with the 2011 Public Health Service (PHS) regulation on financial conflict of interest in research, 42 CFR Part 50. <http://www.gpo.gov/34723plg/FR-2011-08-23.pdf> 22651.pdf. By checking this box, you are certifying your organization's compliance. Please do not send your organization's conflict of interest policy to The University of Iowa as it will not be reviewed for compliance. The University of Iowa encourages you to list your organization on the Federal Demonstration Partnership's clearinghouse of organizations that have policies that comply with the federal regulation. You can register at http://www.federalclearinghouse.org/FDA/4p/PDA_070508.

Your organization **does not have a policy** that complies with 42 CFR Part 50, and will therefore follow the financial conflict of interest policy of The University of Iowa (UI) with regard to the research conducted under your subaward agreement with UI. In this case, each individual listed as key personnel will be required to:

- complete a Financial Interest Disclosure Form, even if there are no financial interests to disclose
- complete a Conflict of Interest Training Module and provide a certificate of completion

The University of Iowa Conflict of Interest in Research Office will send the Financial Interest Disclosure form and the Conflict of Interest Training Module to your researcher(s) after you have returned this questionnaire.

If you are interested in developing your own conflict of interest policy and financial interest disclosure form, you can find helpful information at: http://www.subrecipientclearinghouse.org/PDA/4p/PDA_061011
http://grants.uiowa.gov/grants/policy/coi/checklist_policy_dec_20120412.pdf

Completed By (Subrecipient Authorized Official): Name: _____
Phone: _____ Email: _____
Signature: _____ Date: _____

Please return to (University of Iowa contact): _____
Email: _____
Campus Address: _____

FORM B
The University of Iowa
Iowa City, Iowa 52242

SUBRECIPIENTS FOLLOWING UI FCOI POLICY

- ✘ On FDP Clearinghouse – NO
- ✘ Certifies that they have a compliant policy of their own on Form B – NO
- ✘ Email Form B to martha-hedberg@uiowa.edu & charlotte-talman@uiowa.edu

WHAT IF:

- ✘ The subrecipient does not respond prior to UI application submission? The UI must remove the subrecipient from the application (project narrative and budget).
- ✘ I completed the Subrecipient Questionnaire for a subrecipient for one project. Do I need to complete the Questionnaire for the same subrecipient for a different project? Yes

INFORMATIONAL MEETINGS

- ✘ Thursday, Jan. 10, 2013; 2:00 p.m.
 - + 2520D UCC

- ✘ Thursday, Jan. 17, 2013; 1:00 p.m.
 - + 1502 JCP, Ziffren Conference Room

- ✘ Wednesday, Jan. 23; 9:00 a.m.
 - + 1502 JCP, Ziffren Conference Room

QUESTIONS

- ✘ UI Conflict of Interest in Research Office
 - + 384-4256
 - + Charlotte-Talman@uiowa.edu
 - + Martha-Hedberg@uiowa.edu

- ✘ Division of Sponsored Programs
 - + 335-2123 (Mike Weaver; Wendy Beaver)
 - + dsp-contracts@uiowa.edu

SUBRECIPIENT FINANCIAL MONITORING

Research Administrator Meeting

Dec 2012

SUBRECIPIENT FINANCIAL MONITORING

✘ Subrecipient F&A costs

- + Must be within the limit allowed by prime sponsor
- + Federally funded projects require federally negotiated F&A rate
 - or
- + The UI will allow a maximum of 8% F&A for subrecipients without a federally negotiated rate

SUBRECIPIENT FINANCIAL MONITORING

- ✘ Subrecipient fringe benefit costs
 - + Federally negotiated rate
 - or
 - + The UI will allow fringe benefits based on supporting documentation/detail included with the budget

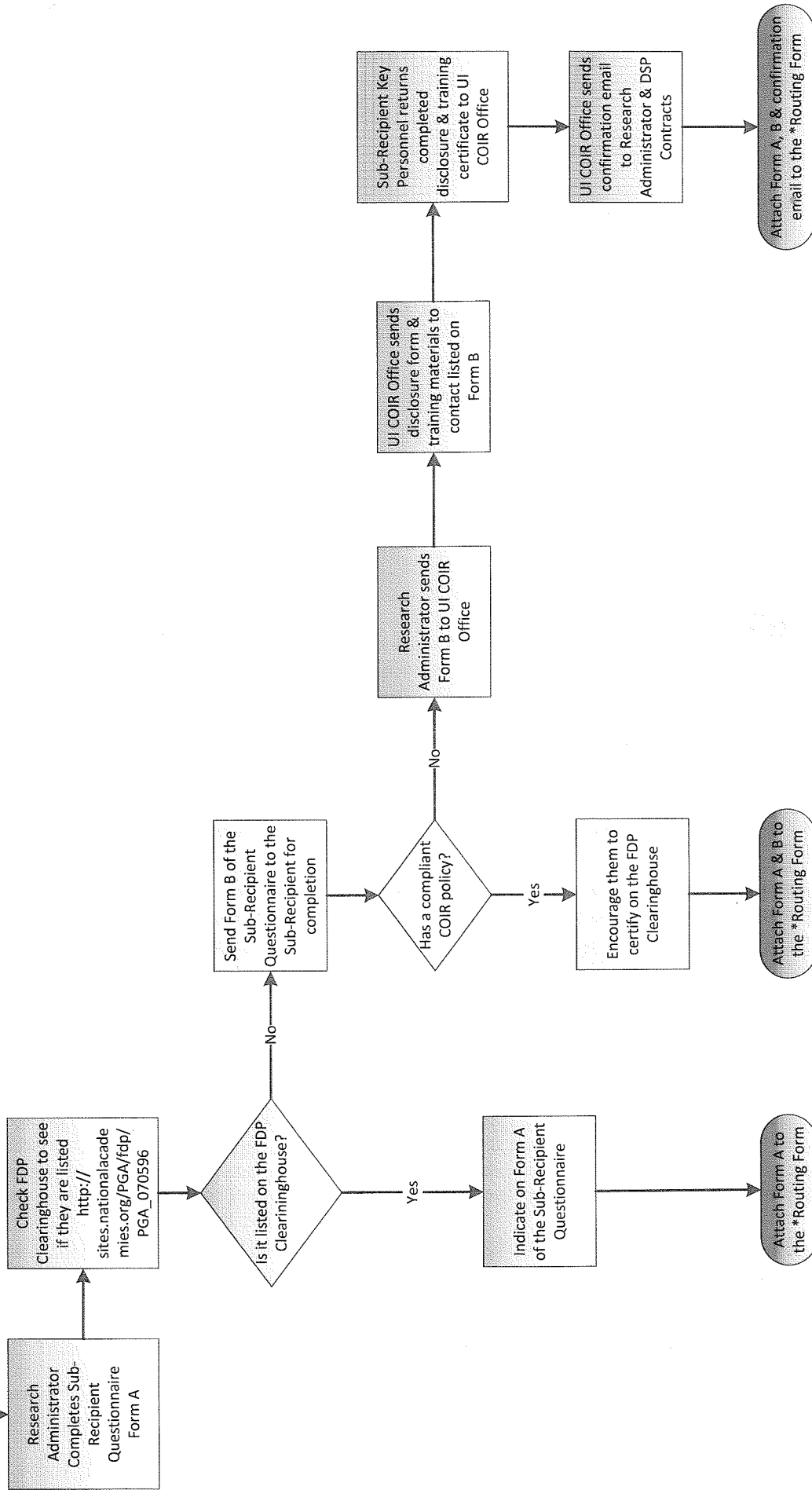
- ✘ Collaborating with individuals – use a Professional Services Agreement

QUESTIONS

- ✘ Wendy Beaver
- ✘ wendy-beaver@uiowa.edu
- ✘ 335-2122

- ✘ <http://dsp.research.uiowa.edu/subawards-university-iowa>

Sub-Recipient Named on PHS Application by UI Investigator



*if you have multiple subrecipients on your application, you will need to attach a copy of Form A, all signed and returned Form B's, and copies of each confirmation email from the COIR office (when required).

The University of Iowa
OUTGOING SUBAWARD CONFLICT OF INTEREST QUESTIONNAIRE – FORM A

*Complete this form only for applications to Public Health Service agencies**

* A complete list of PHS agencies can be found at URL: http://sites.nationalacademies.org/PGA/fdp/PGA_070596

Name of UI Principal Investigator: _____

Project Title: _____

PHS Grant No./Routing No. (if available): _____

Please list ALL subrecipients associated with this proposal and follow instructions below. If proposal contains more than five subrecipients, use Form A-2 in addition to this form. All outgoing subaward forms can be downloaded at URL: <http://dsp.research.uiowa.edu/subawards-university-iowa>. Links can be found at the bottom of the page.

Subrecipient Organization	Is Subrecipient on FDP Clearinghouse ^A	Subrecipient Questionnaire ^B
1. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
2. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
3. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
4. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
5. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B

A – FDP Clearinghouse - The Federal Demonstration Partnership (FDP) has created a clearinghouse website where institutions can certify that they have a conflict of interest policy that complies with federal regulations. Please search for the subrecipient organization on the FDP clearinghouse website at: http://sites.nationalacademies.org/PGA/fdp/PGA_070596. If the subrecipient organization has certified their policy on the website, the University of Iowa will accept that the organization takes responsibility for its own compliance.

B – If you have identified that the subrecipient organization IS NOT listed on the FDP Clearinghouse a button will appear for “Form B”. This button links to a blank copy of the form required to be completed by the subrecipient. All outgoing subaward forms can be downloaded at URL: <http://dsp.research.uiowa.edu/subawards-university-iowa>. Links can be found at the bottom of the page.

Steps for submitting this form:

1. Complete the appropriate fields for all subrecipients associated with the proposal (all fields will print). If the Subrecipient(s) are certified on the FDP Clearinghouse, sign and attach this page to the routing form before submitting.
2. If one or more subrecipients ARE NOT listed on the FDP Clearinghouse, send each unlisted organization a copy of Form B. Complete the fields in the gray boxes at the top and bottom of the form before sending it to the subrecipient’s authorized official (be sure to indicate the Key Personnel⁺ at the subrecipient site). The subrecipient should then indicate whether or not their organization has a policy that complies with the FCOI regulation, add their contact information, sign and return the form to you. For subrecipients indicating that they have a compliant policy, attach this form and the returned Form B to the routing form before submission.

For Subrecipients indicating that they DO NOT have a compliant policy, forward the returned Form B by email to the University of Iowa Conflict of Interest in Research Office (charlotte-talman@uiowa.edu & martha-hedberg@uiowa.edu). The COI-R office will obtain all appropriate documentation from the subrecipient Key Personnel and email you confirmation when this is completed. Once you have received the necessary documentation for ALL subrecipients, attach this form as well as the returned Form B and COI-R confirmation email to the routing form for each applicable (non-FDP certified) subrecipient before submission.

⁺ - Key Personnel - any individual who will be conducting a substantive portion of the research and who has the authority to make independent decisions about the direction of the research and the subsequent conclusions about the results. This includes individuals who are likely to be authors on manuscripts or to present research findings at national conferences. It does not include administrative personnel or individuals who perform routine, pre-defined, or incidental tasks related to this project.

Completed By: _____ Email: _____
UI Dept. Admin./PI

Signature: _____ Date: _____

The University of Iowa
OUTGOING SUBAWARD CONFLICT OF INTEREST QUESTIONNAIRE – FORM A-2

Name of UI Principal Investigator: _____

Project Title: _____

PHS Grant No./Routing No. (if available): _____

Please use this form in addition to Form A for projects with more than five subrecipients. Attach this form along with the completed and signed Form-A prior to submission.

Subrecipient Organization	Is Subrecipient on FDP Clearinghouse ^A	Subrecipient Questionnaire ^B
6. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
7. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
8. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
9. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
10. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
11. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
12. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
13. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
14. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
15. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
16. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
17. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
18. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
19. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
20. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
21. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
22. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
23. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
24. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
25. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
26. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
27. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
28. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
29. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B
30. _____	Y <input type="radio"/> NO <input type="radio"/>	New Form B

The University of Iowa
OUTGOING SUBAWARD CONFLICT OF INTEREST QUESTIONNAIRE – FORM B

UI Principal Investigator: Project Title:

Subrecipient Organization:

Subrecipient Key Personnel*: 1. 2.

* - Key Personnel –any individual who will be conducting a substantive portion of the research and who has the authority to make independent decisions about the direction of the research and the subsequent conclusions about the results. This includes individuals who are likely to be authors on manuscripts or to present research findings at national conferences. It does not include administrative personnel or individuals who perform routine, pre-defined, or incidental tasks related to this project.

Instructions for an authorized signing official of the Subrecipient Organization:

Which of the following applies to your organization? (check one):

Your organization **has a policy** that complies with the 2011 Public Health Service (PHS) regulation on financial conflict of interest in research, 42 CFR Part 50. <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>. By checking this box, you are certifying your organization's compliance. **Please do not send your organization's conflict of interest policy to The University of Iowa as it will not be reviewed for compliance.** The University of Iowa encourages you to list your organization on the Federal Demonstration Partnership's clearinghouse of organizations that have policies that comply with the federal regulation. You can register at http://sites.nationalacademies.org/PGA/fdp/PGA_070596.

Your organization **does not have a policy** that complies with 42 CFR Part 50, and will therefore follow the financial conflict of interest policy of The University of Iowa (UI) with regards to the research conducted under your subaward agreement with UI. In this case, each individual listed as key personnel will be required to:

- complete a Financial Interest Disclosure Form, even if there are no financial interests to disclose
- complete a Conflict of Interest Training Module and provide a certificate of completion

The University of Iowa Conflict of Interest in Research Office will send the Financial Interest Disclosure form and the Conflict of Interest Training Module to you after you have returned this questionnaire.

If you are interested in developing your own conflict of interest policy and financial interest disclosure form, you can find helpful information at: http://sites.nationalacademies.org/PGA/fdp/PGA_061001

http://grants.nih.gov/grants/policy/coi/checklist_policy_dev_20120412.pdf

Completed By (Subrecipient Authorized Official): Name: _____

Phone: _____ Email: _____

Signature: _____ Date: _____

Please return to (University of Iowa contact):

Email:

Campus Address:

The University of Iowa
Subrecipient Questionnaire – Conflict of Interest
Frequently Asked Questions
Last updated: 12-7-12

Does the subrecipient process apply just to applications for NEW funding?

It applies to applications for new funding as well as renewals submitted for the January 25, 2013, deadline or later.

How and when should I use the Conflict of Interest Subrecipient Questionnaire?

The Subrecipient Questionnaire should be completed EARLY, as soon as the department knows that one of its investigators is going to submit a proposal for PHS-funded research that involves subrecipient organizations. Departmental personnel are responsible for determining whether a subrecipient organization has its own policy that complies with the federal regulations on conflict of interest. This determination can be done by searching the Federal Demonstration Partnership (FDP) Clearinghouse at http://sites.nationalacademies.org/PGA/fdp/PGA_070596.

If the subrecipient site is not listed on the FDP Clearinghouse, then the departmental personnel must ask the subrecipient to complete and return Form B of the Subrecipient Questionnaire. **Note: If the subrecipient organization is listed on the Federal Demonstration Partnership (FDP) Clearinghouse, departmental personnel are not required to send Form B of the Questionnaire to the subrecipient.**

The completed Form A, and if applicable, Form B of the Subrecipient Questionnaire must be attached to the routing form.

What should I do if I can't find the exact name of the subrecipient organization on the FDP Clearinghouse, but I can find what I think is the "parent organization?" (For example: Penn State University vs. Hershey Medical Center)

You should contact the authorized official at the subrecipient organization for clarification. Alternately, you can confirm by sending Form B of the Subrecipient Questionnaire to the subrecipient organization.

Who will review the Conflict of Interest Subrecipient Questionnaire?

Staff in the Division of Sponsored Programs and the UI Conflict of Interest in Research Office will be responsible for reviewing the Subrecipient Questionnaire before approving the application for submission to the PHS funding agency.

Does a researcher at the subrecipient organization need to complete a financial interest disclosure form for UI?

Yes, if all of the following are true:

- the research is funded by the PHS
- the subrecipient researcher is designated by the UI PI as “key personnel”
- the subrecipient organization does not have its own conflict of interest policy that complies with the federal regulation (and therefore, the organization must follow UI’s policy)

How does the subrecipient “key person” do a financial interest disclosure form?

The UI Conflict of Interest in Research Office will send the disclosure form to the contact person listed on Form B of the Subrecipient Questionnaire. The subrecipient contact person should instruct their investigator to complete the disclosure form and return it directly to the COIR Office. Also, the COIR Office will send the individual the University’s conflict of interest training module that must be completed, signed and returned to the UI at the same time as the financial interest disclosure form.

If a department is working with the same subrecipient for more than one research project, is it necessary to have them complete a Subrecipient Questionnaire each time?

Yes. The questions are applicable to each PHS project; therefore the Subrecipient Questionnaire must be completed for each grant proposal. In addition, the UI PI must name the key personnel at the subrecipient site.

Who will answer questions for subrecipients about the PHS Financial Conflict of Interest regulations?

The UI Conflict of Interest in Research Office will follow up with subrecipients based on answers on Forms A and B of the Subrecipient Questionnaire, and can also answer questions. Questions may be directed to Martha Hedberg, martha-hedberg@uiowa.edu, 319-384-4256, or Charlotte Talman, charlotte-talman@uiowa.edu, 319-335-8892.

The University of Iowa-Your Research Partner

The University of Iowa provides the following options on intellectual property rights for for-profit entities that would like to sponsor research at the University of Iowa. All of the Options below share the following characteristics:

- The University of Iowa and inventors retain the right to use any intellectual property developed for research and teaching.
- Sponsor retains rights, free of charge, to use data arising from sponsored research even if there are no patentable inventions.

Option 1: Standard

This option is the traditional approach to IP rights in industry-sponsored research agreements.

- The laws of inventorship determine ownership;
- No upfront fees for a one year option;
- No pre-set license terms;
- Sponsor and UI negotiate in good faith for commercial rights to UI IP created under the agreement once IP has been developed.

Option 2: Exclusive License at up-front fixed rates

The UI offers this option to remove uncertainty and financial concerns that often surround industry-funded research.

- The laws of inventorship determine ownership;
- Sponsor pre-pays an Option fee of the greater of 10% of total cost of sponsored research agreement^{1,2,3,4} or \$15,000;
- Sponsor receives exclusive, perpetual, worldwide rights to all inventions (patentable or not), and software arising from and funded by the sponsored research project;
- Sponsor pays 1% royalties on net sales of licensed intellectual property (IP) when sales using IP exceed \$20 million;
- There are no annual minimums or other technology commercialization fees, time limits or milestones;
- Sponsor is free to sublicense/cross-license inventions;
- Sponsor fully manages and directs all patenting activities, including choosing patent counsel (while collaborating with the University on patent claims), and directly pays all costs associated with patent prosecution;
- University-owned background IP is not automatically included; however, UI will consider licensing background IP;

Option 3: Clinical Trial Agreements: Intellectual Property Assigned to Sponsor

- For Clinical Trials under which the industry Sponsor provides the protocol, the drug or device, and pays the total cost of the trial^{1,5}, UI will assign all intellectual property developed under the trial related to the drug/device and new uses thereof to Sponsor.

Option 4: Fee for Service Agreements: Intellectual Property Assigned to Sponsor

- For service agreements that meet the following criteria, and for which the Sponsor pays the total cost of the work, UI will assign all results and intellectual property developed in performance of the work to Sponsor⁶.
 - The project does not involve the use of human subjects;
 - The nature of the work is service-oriented [performing known scientific or experimental testing] rather than traditional academic research;

- The compound, product or method being tested was not developed by, and is not owned by the UI or a UI employee;
- The compound, product or method being tested is being provided by the sponsor;
- Inventions or discoveries are unlikely as a result of the work;
- No federal funding is involved in performing this project or the UI is considered as a vendor (not subject to A-21 or A-133); and
- The project does not utilize funds, materials, protocols or other background intellectual property provided by a third party other than the sponsor.

Footnotes:

1. Option 2-4 are not available for research awards from government, non-profit, or other types of non-commercial sponsors, consortia agreements, or awards for public service or testing.
2. This fee is calculated based on the entire project budget including standard University overhead fees that must be paid at the full federal research F&A rate.
3. The fee is applied based on funds obligated in the agreement. If the sponsor pays the \$15,000 because the initial obligation of funds is <\$150,000, they will not be charged the 10% on future obligations until after the \$150,000 threshold in obligated funds is reached.
4. The full amount of the fee will be due within 30 days of billing. Failure to pay the fee will result in the revocation of Option A and implementation of Option B.
5. The F&A rate for corporate funded clinical trials is 25% Total Direct Costs (TDC).
6. Total costs include F&A costs at the "Other Sponsored Activities" F&A rate.

Distribution policy for Option Fee:

- 25% to PI's lab
- 15% to PI's Department
- 15% to PI's College
- 20% to OVPR
- 25% to UIRF
- Any royalties received as part of 1% of nets sales shall be distributed as per UI Intellectual Property Policy