Research Administrator Meeting
Big Ten Theater (348 IMU)
5/14/2019
10:00-12:00

Agenda:
1. DSP Updates (Wendy Beaver)
2. Pivot (Oliva Smith)
3. Grant Updates (Lynn Hudacheck)
4. GAO Updates (Audra Haddy)
5. Upcoming changes – Universal Closeout Workbook (Audra Haddy)
• DSP Updates – Wendy Beaver
• Pivot – Oliva Smith
• Grant Updates – Lynn Hudachek
DSP Staff Updates

• Meet the new DSPers -
• Eric Ebner, Administrative Services Coordinator
• Tyler Brodell, Sponsored Research Coordinator; Budgets and Contracts
• Dan Benton and Archana Shah, Budget Reviewers
• Student Interns beginning May 20
  • Matt Mauser (budgets)
  • Austin Michel (contracts)
DSP Staff Updates

• DSP Staff in New Roles
  • Dave Myers - Lead Grant Reviewer for NSF in addition to other duties
  • Carrie Damon – Grant Reviewer
  • Erin Brothers – Grant Reviewer
  • Jessica Boyle, Contracts Team Lead – Outgoing Subaward Coordinator
  • Kurt Henderson – last day in DSP is May 21

• Searches
  • Administrative Services Coordinator – in progress
  • Contract Reviewers – in progress
  • Sponsored Research Coordinator (Grant Focused) - to be advertised soon

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

• Proposal Routing Form Re-design Project

• Recent Proposal Routing Form Changes
  • Export Control Questions
  • Select Agents or Toxins
7.4. Export Controls

Are you aware of any conditions that might subject this project to export controls, such as:

Help - Warning: Do not attach Export Controlled Documents!

If "Yes", select one or more of the following that apply:

- Restrictions on foreign national participation in this research
- Restrictions on the publication or disclosure of the research results
- Shipping equipment to a foreign country
- Collaborating with foreign colleagues in foreign countries
- Training foreign nationals to use equipment
- Working with a country subject to a US boycott (if unsure, see this link)
- 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 is expected
- The Sponsor has mentioned any issues regarding export control
- The Sponsor or a Subcontractor is a foreign entity
- There is a technology control plan in place for this project
- Other (if checked additional information below is required)

(7.4.2) Additional Information: test comment
Proposal Routing Form

7.2. Environmental Health & Safety

- Yes  - No  
(7.2.2) ✱ Will the project involve select agents or toxins?

List of Qualifying Toxins & Help

(7.2.2.1) Please list the select agents or toxins:
DSP Research Tracker

- DocuSign Integration
  - Completed for incoming awards and non-monetary agreements
  - Pending for Outgoing Subawards
- DSP Research Tracker
# DSP Research Tracker

## Advanced Search

Search Tracker for: [Enter search term]

(For best results when searching by a particular researcher, use the Investigator search box in the Advanced search)

[Export to Excel]

<table>
<thead>
<tr>
<th>DSP Item #</th>
<th>Status</th>
<th>College</th>
<th>Department</th>
<th>Contact PI</th>
<th>Title</th>
<th>Sponsor</th>
<th>Routing Form(s)</th>
<th>Req ID #</th>
<th>DSP Reviewer</th>
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<td>I494400-CG</td>
<td>Pending - Pending Sponsor Signature</td>
<td>Carver College of Medicine</td>
<td>Pediatrics</td>
<td>Tsakian, Eva</td>
<td>Year 4: Immune Tolerance Network ITN058AI Preserving Beta-Cell Function with Lowe, Hayes and Auferhar</td>
<td>Lowe, Hayes and Auferhar</td>
<td>R2019030311</td>
<td>Shriver, Melissa P</td>
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</table>

[DocuSign Details]
### DocuSign Signatures

<table>
<thead>
<tr>
<th>Subject/Recipient</th>
<th>Sent</th>
<th>Received</th>
<th>Status</th>
</tr>
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<tbody>
<tr>
<td>1487900-DUA, Fischer, NFA, IUA for PRR187</td>
<td>04/02/2019 04:20 PM</td>
<td>04/02/2019 05:08 PM</td>
<td>Completed</td>
</tr>
<tr>
<td>1. Anthony John Fischer - <a href="mailto:anthony-fischer@uiowa.edu">anthony-fischer@uiowa.edu</a> (Needs to Sign)</td>
<td></td>
<td></td>
<td>Signed on 04/02/2019 04:47 PM</td>
</tr>
<tr>
<td>2. Wendy Beaver - <a href="mailto:wendy-beaver@uiowa.edu">wendy-beaver@uiowa.edu</a> (Needs to Sign)</td>
<td></td>
<td></td>
<td>Signed on 04/02/2019 05:08 PM</td>
</tr>
<tr>
<td>3. Dee Loeffler - <a href="mailto:datarequests@cff.org">datarequests@cff.org</a> (Receives a Copy)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Close**
BISSC DSP Pre-award External Funding Data Reporting Solutions

- Pre-award External Funding Data BI Reports
- Request access: https://iowa.sharepoint.com/sites/bi/DSP/SitePages/Home.aspx
F&A Rates

- Current R&A Rate Agreement
- https://fa.fo.uiowa.edu/
F&A Rates

• **Policy Statement**

  • It is University of Iowa policy to charge the maximum, federally negotiated F&A cost rate on all sponsored projects, regardless of funding source, unless a sponsoring agency’s written policy will not allow full recovery of F&A costs. For-profit entities should always be charged full F&A costs, but, in relation to *not-for-profit* entities, UI will accept a lesser rate if the program solicitation or agency’s written guidelines specify a lower rate. When funding flows from the prime sponsor through an intermediary sponsor, as in the case of federal flow-through awards, budgets should charge the F&A rate applicable to the *prime* sponsor. All other sponsored projects should charge F&A costs in accordance with the F&A rate table available on the [Facilities & Administrative (F&A) Costs site](#).

• Fully burdened budgets are recommended when presenting to for-profit sponsors.
Iowagrants.gov Training

• Training: Iowagrants.gov and Working with DSP (Course #963)

• May 23, 2019, 9:15 - 10:30 am, 1117 MERF

• This session is intended for individuals who submit or manage State of Iowa projects in Iowagrants.gov. Participants will learn how to navigate Iowagrants.gov and the corresponding DSP procedures for reviews and approvals applicable to any State of Iowa agency, with focus on the IDPH, IEDA and the Office of the Iowa Attorney General.

• Login to UI Self Service. Under Learning & Development select My Training, and Course #963.
Science Thursday

• OVPR Compliance Units Present Science Thursday: The Big Bang Theory
• Sponsored by HSO, COIR, OAR, IACUC, EHS, UIRF, and DSP
• May 30, 2019
• Stop by, play Who Wants to Be a Millionaire Astronomer hosted by Dr. Ken Gayley of Physics and Astronomy, and enter the drawing for a grand prize.
Pivot

What Is Pivot?
Pivot
Grant Updates

PI Transfer/Departure Process: https://dsp.research.uiowa.edu/pi-transferdeparture

• Please note that for a PI Transfer/Departure it is a two-step process, the PI Transfer/Departure Form AND the Grant Transfer Form.

• This site also contains information and instructions for naming a new PI and requesting permission for faculty to serve as a PI in an Emeritus, Adjunct or Visiting Professor role.
Grant Updates

NIH Updates:

• The Executive Level II salary increased to $192,300 effective January 6, 2019.


• The University of Iowa Salary Cap Guidelines can be found at [http://gao.fo.uiowa.edu/dhhs-salary-cap-university-guidelines-and-procedures](http://gao.fo.uiowa.edu/dhhs-salary-cap-university-guidelines-and-procedures)
Grant Updates

NIH Updates:


Individuals of all ages, including children, must be included in all human subjects research conducted or supported by NIH, unless there are ethical reasons not to include them.
• Applies to all competing grant applications for due dates on or after January 25, 2019.
• Policy has been expanded to include individuals across the lifespan.
• Clinical research studies are expected to submit individual level data on sex/gender, race, ethnicity and age at enrollment with annual progress reports.

FAQS: https://grants.nih.gov/grants/funding/inclusion-across-the-lifespan-faq.htm
Grant Updates

NIH Foreign Component

• 8.1.2.10 Foreign Component Added to a Grant to a Domestic or Foreign Organization - Adding a foreign component under a grant to a domestic or foreign organization requires NIH prior approval – from NIH GPS https://grants.nih.gov/policy/nihgps/index.htm

At application stage, complete question 6. of the RR Other Project Information Form

6.a. * Does this project involve activities outside the U.S. or partnership with International Collaborators? ○ Yes ○ No

6.b. If yes, identify countries:

6.c. Optional Explanation:
Grant Updates

Per the SF424 Guide:

• If you have checked “Yes” to Question 6, you must include a “Foreign Justification” attachment in Field 12, Other Attachments. Describe special resources or characteristics of the research project (e.g., human subjects, animals, disease, equipment, and techniques), including the reasons why the facilities or other aspects of the proposed project are more appropriate than a domestic setting. In the body of the text, begin the section with a heading indicating “Foreign Justification” and name the file “Foreign Justification.”
Grant Updates

Adding or changing foreign component after award:

• Recipients adding or changing a foreign performance site within a funded grant award must obtain approval from the GMO before work can be performed at the added or changed foreign site.

• This requires writing and emailing the prior approval request (justification) to DSP. DSP will then make the request to the NIH GMS assigned to the award.
Grant Updates

Message from Interim Vice President John Keller - Importance of research integrity [Link]

https://universityofiowa.cmail19.com/t/ViewEmail/d/354192DB0C95D1512540EF23F30FEDED/09BA73D4A0E81852C68C6A341B5D209E
Grant Updates

NIH Updates:

• Sample Applications & More https://www.niaid.nih.gov/grants-contracts/sample-applications

With the gracious permission of successful investigators, the National Institute of Allergy and Infectious Diseases (NIAID) makes available examples of funded R01, R03, R15, R21, SBIR/STTR, K, and F applications, summary statements, sharing plans, leadership plans, and more.
Division of Sponsored Programs

- 2 Gilmore Hall
- Help Desk: 335-2123 dsp@uiowa.edu
- NIH@uiowa.edu - NIH/PHS related matters
- dsp-contracts@uiowa.edu - Contract related matters
- era@uiowa.edu - for non-NIH/PHS grant-related matters
Using Pivot at the UI

Funding Discovery

To keep pace with growing and evolving research fields, Pivot's expert editors continuously update an authoritative list of keywords that are carefully matched to each Pivot funding opportunity. Enter search terms above or browse by keyword to explore the latest funding opportunities and research trends.

Browse by Keyword

This chart is interactive. You can mouseover a section to see the total dollar amount available per keyword. Click a section to view the list of matching apps.

$61.86B of funding is available!
What Is Pivot?

Pivot is a database that finds funding opportunities and researcher expertise. Pivot used to be called COS Community of Science/Scholars.

Who can use Pivot?

• Pivot is available at https://pivot.proquest.com/ to subscribing organizations such as the University of Iowa.
• Anyone with the @uiowa.edu email can sign up & create a Pivot account: faculty, researchers, students, staff.

The launch of Pivot at the UI was a collaborative effort from the UI Libraries, the Research Development Office, and the Division of Sponsored Programs.
How do you get to **Pivot**?

Search *pivot* from the UI homepage or from the DSP landing page.
Funding Discovery

To keep pace with growing and evolving research fields, Pivot’s expert editors continuously update an authoritative list of keywords that are carefully matched to each Pivot funding opportunity. Enter search terms above or browse by keyword to explore the latest funding opportunities and research trends.

Browse by Keyword

$61.86B of funding is available!
What Does Pivot Do for Us?

- Provides a searchable source of **funding opportunities** from around the world;
- Emails **funding alerts** based on the search criteria and/or profile.
- Compiles pre-populated **researcher profiles** (via Pivot’s proprietary algorithm) to identify expertise for **collaborations** from within the UI or outside our organization.
- Helps scholars share research via the **Papers Invited** tab, with calls for papers and abstracts for upcoming conferences, etc.
SIGN UP: Create Your Account with password to Log in --- OR
https://pivot.proquest.com/funding_main

User name is always your @uiowa.edu email.
LOG IN to Your Pivot Account
https://pivot.proquest.com/funding_main

Or
Log in via UI HawkID (Single Sign-on)

You can SEARCH without logging in.

Must log in to SAVE search criteria and set up Funding Alerts.
Pivot “Funding” tab: Search by Text option

Search Tips:
- case insensitive
- Use “ ” for exact phrase.
- AND, OR, NOT

TEXT Search – finds that word/phrase anywhere in the record.
Cardio* for cardiology cardiovascular, etc. (use * to truncate).
435 Results. Can **filter** using Categories in left column. OR **Refine Search**

**Filter – Early Career**

Remember: Federals (NIH, CDC) and some non-federals award to **Institution**.
Can add additional terms

Exclude “European”

Remember a **Funding Search** is different than a Literature search; do not get too specific. Funding sponsors advertise their opportunities using general terms, which are the terms the databases will pick up.
Once you have set up criteria that suits you, Sign in and Save your query.
Save your search. Name the search. Check box to receive a weekly email with new or updated opps from this query => Funding Alerts
What You Can Do with Pivot

Saving Searches to generate Funding Alerts is the most powerful way you can use Pivot.

• The funding opportunities are emailed to you every week.

• The Funding Alert also includes results matched to information in your Pivot Profile (if you’ve claimed your Profile).
Your Pivot Profile

• Log in
• Click *Your Name* to view your Profile.
  • Claim your Profile if it asks.
  • Click Edit to change/update.
  • NEW: “Add a Proxy”
Click your name to view your Profile. It may ask you to Claim your profile. If you do not see the “Claim profile” option, then there is already a Profile linked to your Pivot account.

The Pivot Editorial Team creates and reviews Profiles every 12-18 months. You can update/edit your Profile at any time.
NEW FEATURE: “Add a Proxy” to designate a delegate to edit your profile.

* Proxy must have their own Pivot user account (but does not need a Profile).
Find Collaborators from Pivot Profiles

Click “Profiles” tab at the top
• Search UI Profiles
• Advanced Search – to find relevant Profiles from outside our Institution.
• Use specific terms to find expertise.
UI Profiles

Search for UI expertise

See also Advanced Search
Use Profile Advanced Search to find expertise from outside the UI or within the UI.
Find Where to Share Research

Click “Papers Invited” tab at the top

• Select category/categories of interest for:
  • Calls for papers
  • Upcoming conferences
Pivot Papers Invited

The database consists of detailed, comprehensive information about calls for papers with deadlines regarding forthcoming conferences and special issues of scholarly journals. These calls for papers are issued by professional bodies, journal editors, and other conference organizers in all disciplines and from all over the world. Thus, the database serves as an alerting service for researchers, scholars, and students seeking opportunities to present and publish their research.

Browse by subject

- Accounting (225)
- Acoustics (32)
- Aeronautical or Astronautical Engineering (82)
- Aerospace Engineering (82)
- Aerospace Medicine (1)
- Agriculture (91)
- Alternative Medicine (1)
- Anatomy (31)
- Anthropology (19)
- Anthropology (48)
- Applied Mathematics (56)
- Archaeology (28)
- Architecture (60)
- Artificial Intelligence or Cybernetics (165)
- Arts and Culture (223)
- Astronomy (17)
- Auditing (225)
- Automotive Engineering (66)
- Behavioral or Social Studies (64)
- Bioinformatics (211)
- Biomedical Engineering (215)
- Chemistry (219)
- Civil Engineering (220)
- Computer Science (495)
- Cosmology (55)
- Criminal Justice (226)
- Dentistry (61)
- Dietetics (62)
- Economics (227)
- Education (228)
- Electrical Engineering (229)
- Electronics Engineering (230)
- Environmental Engineering (231)
- Environmental Studies (232)
- Ethics (63)
- Finance (233)
- Forensic Science (234)
- Forestry (235)
- Geography (236)
- Geology (237)
- Geological Engineering (238)
- Geotechnical Engineering (239)
- Government or Politics (240)
- Grammar (64)
- Health Care (241)
- History (7)
- Human Resources (242)
- Information Technology (612)
- Instructional Technology (409)
- International History (9)
- International Relations (229)
- Internet or World Wide Web (WWW) (873)
- Journalism (40)
- Jurisprudence (64)
- Knowledge Management (371)
- Landscape Architecture (2)
- Language or Literature (173)
- Law (64)
- Library Science (28)
- Life Sciences (205)
- Logic (6)
- Management or Commerce Planning or Policy (144)
- Manufacturing Engineering (222)
- Manufacturing Processes (Industrial Engineering) (156)
- Marine Engineering (26)
- Mass Communication (40)
- Materials Engineering (470)
Create a Funding Newsletter

Research administrators can create **Pivot newsletters** based on their funding alerts, and send these to specific groups.

Request Pivot admin. privileges from Aaron Kline in the Research Development Office [aaron-kline@uiowa.edu](mailto:aaron-kline@uiowa.edu).

More information on creating Newsletters (I will add this into to the UI Pivot User Guide)
[https://knowledge.exlibrisgroup.com/Pivot/Knowledge_Articles/For_the_Administrator/100Pivot_Newsletter_Feature](https://knowledge.exlibrisgroup.com/Pivot/Knowledge_Articles/For_the_Administrator/100Pivot_Newsletter_Feature)
For more explanation and page views on topics we covered today.
Questions about PIVOT? Contact Oliva-Smith@uiowa.edu in DSP

THANK YOU
May 14, 2019

Research Administrator Meeting
Agenda

- GAO Updates
- GAO Closeout procedure
- Changes to Universal Closeout Workbook
New F&A Rate Agreement, effective 7/1/2019 (December 2018)
New Fringe Rate Agreement, effective 7/1/2019 (April 2019)

Current F&A Rate – Fringe Agreement: https://fa.fo.uiowa.edu/sites/fa.fo.uiowa.edu/files/wysiwyg_uploads/Current%20F%20and%20A%20Fringe%20Rate%20Agreement%20%284-25-2019%29%20o.pdf
GAO Updates

- Post Award Researcher Training ICON courses:
  - Award Notice (Course # WPAR01)
  - Getting Started (Course # WPAR02)
- Coming Soon:
  - Managing the Award
  - Closeout
GAO Updates

- EFR – Grant Reports enhancements
  - New Report – Cost Share Summary
  - Reports for IACT Recap, TDR, Payroll Summary include cost share WhoKeys
Staffing

- Sue Lampe – last day 5/1/2019
- Molly Weston – last day 5/22/2019
- Upcoming searches – Accountant & Financial Analyst
GAO Updates

- GAO Business Intelligence (BI) Projects
  - Replace Grant DSS Online Reports
  - Replace Grant DSS Data Warehouse table
FY18 Single Audit
Recent Audit Focus/Issues/Findings:

- Expenditures properly timed to benefit the award
  - Difficult to show benefit for some costs incurred near the end or at the very end of the award

- Supporting documentation for costs incurred
  - Lack of
  - May have supporting documentation for the cost, but not why it benefited the project
  - Allocation method used
  - Cost transfer justifications

- Prior approvals have been properly obtained
  - Reduction of effort for key personnel
  - Foreign travel
  - Rebudgeting approval (for example, participant support costs)
GAO – Closeout Procedure

- Award Notification Emails
  - 30 days & 60 days out
  - Determine flipping, extending, ending
- Final review
  - Typically, 15 to 30 days prior to final report/invoice/request for funds due
  - Use Universal Closeout Workbook, except for fixed price awards
- Submit final report/invoice/request for funds
- Close and zero out WhoKey(s)
- Finalize closeout
  - ~150 days after end date
New format finalized
  - Effective June 1, 2019
Tabs include:
  - Totals
  - Dept Recon
  - Questions for Dept
  - Pending Adjs
  - Other tabs may be included (only if applicable):
    Subcomponents, MTD, Effort Commitments, Cost Share Totals, Program Income, Budget Categories, NRSA training/fellowships
The following must be completed by the Dept:

- The anticipated total costs (direct & indirect) after pending adjustments
- Was any equipment and/or property furnished by the sponsor?
- Is there a residual balance of inventory > $5000?
  - If yes, how much

Will also include list of all other questions from GAO
UCW – Questions for Dept tab

- UCW in Excel to show these tabs:
  - Totals
  - Subcomponents
  - Dept Recon
  - Questions for Dept
  - Pending Adjs