

Research Administrator Meeting

Thursday, May 17, 2018

10:00-12:00

348 IMU

Agenda:

1. DSP Announcements – Wendy Beaver
2. Technology Review Plans – Chris Clough
3. NSF Research.gov – Paul Below
4. NIH Updates – Paul Below
5. Data Use Agreements – Jessica Boyle
6. Data Management/Sharing Plans – Brian Westra
7. OutGoing Subawards – Erin Brothers
8. GAO Announcements – Audra Haddy
9. PI Transfer form – Audra Haddy
10. Overview – Administrative Costs – Audra Haddy

Research Administrators Meeting

May 17, 2018

Presented by
Grant Accounting Office
and
Division of Sponsored Programs



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- DSP Announcements - Wendy Beaver
- Technology Review Plans – Chris Clough
- NSF Research.gov – Paul Below
- NIH Updates – Paul Below
- Data Use Agreements – Jessica Boyle
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DSP Outreach

- For research administrators who are new to the UI or changing departments, DSP offers overview meetings
- For all research administrators:
 - Research Administration Dispatch ([RAD](#))
 - Sponsor updates, regulatory updates, course offerings, etc.
 - [RAD Archive](#)
 - [Grant Bulletin](#)
 - Online publication of funding opportunities and related news
 - [Join the Listserv](#)
- DSP will meet with your unit (faculty and/or administrators) on topics of interest



DSP Announcements

Join us for the Research Compliance Carnival

[Science Thursday](#)

September 27, 2018





TECHNOLOGY REVIEW PROCESS



BACKGROUND

Software Review Process (<https://its.uiowa.edu/campus-software-program/technology-reviews>)

- Review software to make sure it meets University requirements
- Reduce Institutional Risk
- Attempt to reduce duplication of software titles on campus
- Leverage volume purchases to save money

WHAT DO WE REVIEW?

- Licensing Terms
- Legal Terms
- Security
- Accessibility
- Credit Card/Payment

BYPASS OPTION

We may be able to bypass the review if one of these are true:

- Trial use/versions of software (submit if decision made to move forward)
- Under \$250
- Free or Open Source

And **none** of the following factors exist:

- Cloud-based
- Confidential Information
- Vendor will be on campus
- Signature is required
- Over 500 users (or open to the public)
- Required tool (class or departmental work)

CLOUD COMPUTING AUDIT

Internal Audit conducted a review of controls around acquisition of cloud computing.

- Focus was on “cloud” titles, but findings generally applied to all reviews
- We didn’t want a separate process for cloud software vs other software

MOST COMMON ISSUES IDENTIFIED

1. Confusion over what software/services need to be reviewed
 - People aren't aware of the process
2. Confusion regarding the "List of Reviewed Agreements"
3. Accurate understanding of the review time (takes longer than people think)
 - Sometimes purchase occurs before review, which can be problematic
4. Current backend processes are highly manual, and use email messages for the "workflow"
 - Increases likelihood for errors or lost requests
 - Significant time spent just understanding the current status of a request
5. Lack of transparency in the process
6. Local IT Director is often not involved in the process

CHANGES TO THE PROCESS

1. Created an Available Software list of approved/recommended titles
2. The “List of Reviewed Agreements” will be removed from the main page
 - Will be available in another location
3. Built a Universal Workflow form for the technology review process
 - Reviews are done in parallel and all information is stored in a single location
 - The status of each review is available to the customer making the overall process more transparent
 - The form is automatically routed to the next step once approved
4. Local IT Director will be part of the process, they will see everything for their org (coming soon)

WHY IS THIS IMPORTANT

1. Compliance with regulations, law, and University policy
2. Risks
 - Financial
 - Technical
 - Institutional data security

BENEFITS

1. Potential cost savings

- Bulk licensing
- Discounts on hardware configurations

2. Oversight and assistance

- Is there an existing technology solution that will meet the need?
- Has the software already been reviewed?

RESOURCES/LINKS

- University Credit Card Policy: <https://treasury.fo.uiowa.edu/policies-and-procedures/credit-card-acceptance-security-guidelines>
- New Merchant Account Request: <https://finapps.bo.uiowa.edu/MerchantAccount/>
- Credit Card Questions: treasury-creditcards@uiowa.edu
- Available Software - <https://its.uiowa.edu/available-software>
- Technology Review Process (link to form) <https://its.uiowa.edu/campus-software-program/technology-reviews>



Questions?

Phase 1 of NSF's proposal modernization

- Only for full, non-collaborative, research proposals
- Additional validations such as font sizes, margins, page limits, required section headings...
- Must upload .pdf files except for Collaborators & Other Affiliations file
- Auto-pagination
- Budget form now reports effort in person months – no longer broken down by calendar, academic or summer
- Old Current and Pending Support form will error out – please find a compliant template at <https://dsp.research.uiowa.edu/national-science-foundation-nsf> under Useful links section
- Research.gov Proposal Preparation: Orientation handout also found at the link above

Other Authorized User Access

Proposal - 818

Proposal Title: Test Career Proposal [🔗](#)

Funding Opportunity: NSF 17-537 [🔗](#) - Faculty Early Career Development Program

Where to Apply: Directorate For Engineering (ENG) - Div Of Chem, Bioeng, Env, & Transp Sys (CBET), ENERGY FOR SUSTAINABILITY

Proposal Type: Research

Submission Type: Full Proposal

* Due Date: 07/17/2018 [🔗](#)

Date Type: Deadline

Proposal Actions 🔍	Proposal Sections	Last Updated	Compliance Status [Key]																																
Initiate Proposal Submission																																			
Proposal Access for SPO/AOR																																			
Print Proposal																																			
Return to PI																																			
Personnel Access																																			
<p>Proposal Status: Submit Access for AOR</p> <p>Manage Personnel</p>	<p>Required</p> <tr> <td>Cover Sheet</td> <td>04/30/2018 2:52 PM EDT</td> <td>🟢 No issue(s) found</td> </tr> <tr> <td>Project Summary</td> <td>04/30/2018 4:05 PM EDT</td> <td>🟢 No issue(s) found</td> </tr> <tr> <td>Project Description</td> <td>04/30/2018 4:08 PM EDT</td> <td>⚠️ Warning(s)</td> </tr> <tr> <td>References Cited</td> <td></td> <td>Document unavailable for check</td> </tr> <tr> <td>Budget(s)</td> <td>04/30/2018 4:43 PM EDT</td> <td>🟢 No issue(s) found</td> </tr> <tr> <td>Budget Justification(s)</td> <td></td> <td>Document unavailable for check</td> </tr> <tr> <td>Standard Form 298 Summary(s)</td> <td></td> <td>Document(s) unavailable for check</td> </tr> <tr> <td>Data Management Plan</td> <td></td> <td>Document unavailable for check</td> </tr> <tr> <td>Postdoctoral Mentoring Plan 🔍 <i>Conditionally required</i></td> <td></td> <td></td> </tr> <tr style="background-color: #00728f; color: white;"> <td colspan="4">Optional</td> </tr> <tr> <td>Other Personnel Biographical Information 🔍</td> <td></td> <td>Document unavailable for check</td> </tr>	Cover Sheet	04/30/2018 2:52 PM EDT	🟢 No issue(s) found	Project Summary	04/30/2018 4:05 PM EDT	🟢 No issue(s) found	Project Description	04/30/2018 4:08 PM EDT	⚠️ Warning(s)	References Cited		Document unavailable for check	Budget(s)	04/30/2018 4:43 PM EDT	🟢 No issue(s) found	Budget Justification(s)		Document unavailable for check	Standard Form 298 Summary(s)		Document(s) unavailable for check	Data Management Plan		Document unavailable for check	Postdoctoral Mentoring Plan 🔍 <i>Conditionally required</i>			Optional				Other Personnel Biographical Information 🔍		Document unavailable for check
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To add Other Authorized User (admin, support) access to proposal click on Manage Personnel

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Other Authorized User Access

Research.gov ONLINE GRANTS MANAGEMENT FOR THE NSF COMMUNITY

Welcome Paul Below | Sign Out (Home) | My Profile | Contact | Help | About

My Desktop | Prepare & Submit Proposals | Awards & Reporting | Manage Financials | Administration

Attention: Research.gov's new proposal preparation system is now available for preparing and submitting full research non-collaborative proposals (Other system capabilities). NSF welcomes all to give feedback! Proposals prepared in FastLane will continue to be available from FastLane.

Hide Menu

Proposal - 818

- Manage Personnel
- Required
- Cover Sheet
- Project Summary
- Project Description
- References Cited
- Budget(s)
- Budget Justification(s)
- Facilities, Equipment and Other Resources
- Senior Personnel Documents
- Data Management Plan

My Desktop > Proposal Preparation > Proposal - 818 > Manage Personnel

Manage Personnel

Senior Personnel Roles

Senior Personnel

Personnel Name	Role	Organization	Actions
Paul C Below	Principal Investigator	University of Iowa	

Click to add Other Authorized User. Will then be asked for NSF ID or email address.

Other Authorized User(s) - Data preparation only

Personnel Name	Organization	Actions
Linda Meyer	University of Iowa	Remove from Proposal

NIH Updates

- [NOT-OD-18-133](#) Advance Notice of Transition to the xTRACT System for Preparing Research Training Data Tables.
- [NOT-OD-18-137](#) Guidance on Salary Limitation for Grants and Cooperative Agreements FY 2018.
- [NOT-OD-18-175](#) Ruth L. Kirschstein National Research Service Award (NRSA) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2018.
- [NOT-OD-18-179](#) Transition from Inclusion Management System to New Human Subjects System (HSS) as of June 9, 2018.
- [NOT-OD-18-116](#) Revision: NIH Policy and Guidelines on the Inclusion of Individuals Across the Lifespan as Participants in Research Involving Human Subjects.

NIH Updates

- Upcoming changes
 - Definition of Clinical Trial
 - Rigor and Reproducibility for Fellowship and Training grants
- NIH RePORTER - MATCHMAKER
 - <https://projectreporter.nih.gov/reporter.cfm>

The screenshot displays the NIH RePORTER website interface. At the top, there is a navigation bar with the U.S. Department of Health & Human Services logo and a search bar. Below this is a main header with the NIH logo and the text "Research Portfolio Online Reporting Tools (RePORT)". A secondary navigation bar contains links for HOME, ABOUT RePORT, FAQs, GLOSSARY, and CONTACT US. The main content area features a navigation menu with tabs for QUICK LINKS, RESEARCH, ORGANIZATIONS, WORKFORCE, FUNDING, REPORTS, and LINKS & DATA. Below the menu, there is a "My RePORTER" section with links for Login, Register, RePORTER Manual, and System Health (GREEN). The central focus is the "NIH RePORTER" search form, which includes a "FIND PROGRAM OFFICIALS OR SIMILAR PROJECTS" button. The form has tabs for QUERY, BROWSE NIH, MATCHMAKER, and SEARCH PUBLICATIONS BETA. The MATCHMAKER tab is active, showing a "SUBMIT QUERY" and "CLEAR QUERY" button. The "Fiscal Year (FY)" dropdown is set to "Active Projects". The "RESEARCHER AND ORGANIZATION" section contains several input fields: "Principal Investigator (PI) / Project Leader" (Last Name, First Name), "City", "State", "Country", "Congressional District", "DUNS Number", "Organization", "Department Type", and "Organization Type". Each field has a "LOOKUP" or "SELECT" button. A note indicates to use '%' for wildcards and to enter at least 3 characters for the organization lookup.

Data Use Agreements

- Data Use Agreements (DUAs) are contractual documents used for the transfer of non-public data that is subject to some restriction on its use.
 - Incoming DUAs: UI receives data from an outside entity
 - Outgoing DUAs: Data housed at UI shared with an outside entity
- May involve coordinating with other central offices to ensure compliance: IT Security, HSO, IT Software
- See our DSP webpage for more information:
<https://dsp.research.uiowa.edu/data-use-agreements>
- DSP is available to do training

Data Management/Sharing Plans

Presented by Brian Westra

Data Management/Sharing Plans

Many research funders require that a data management plan (DMP) or data sharing plan be included with funding proposals:

[AHA](#)

[Inst. Of Educ. Sci.](#)

[NOAA](#)

[DOD](#)

[Moore Foundation](#)

[NSF](#)

[Dep. of Energy](#)

[NASA](#)

[Sloan Foundation](#)

[DOT](#)

[NEH](#)

[USGS](#)

[IMLS](#)

[NIH](#)

Data Management/Sharing Plans

Goal: Create a plan for **good data practices** that will enable **timely data sharing** (whether by open access or more restrictive means)

Timely: “no later than the acceptance for publication of the main findings from the final dataset” (NIH)

Why the requirement?

- Publicly funded research → public access to outcomes
- Shared data increases rate of scientific progress
- Reproducibility
- Broader impact
- Sharing data requires planning and preparation

Data Management/Sharing Plans

Guidance/requirements hierarchy (NSF)

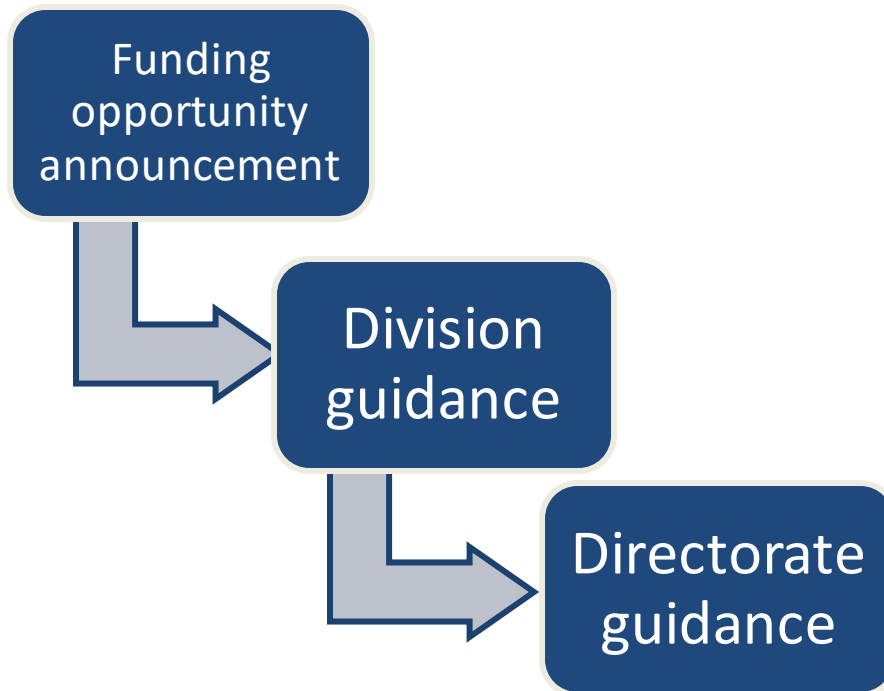
Funding
opportunity
announcement

Data Management/Sharing Plans

Guidance/requirements hierarchy (NSF)

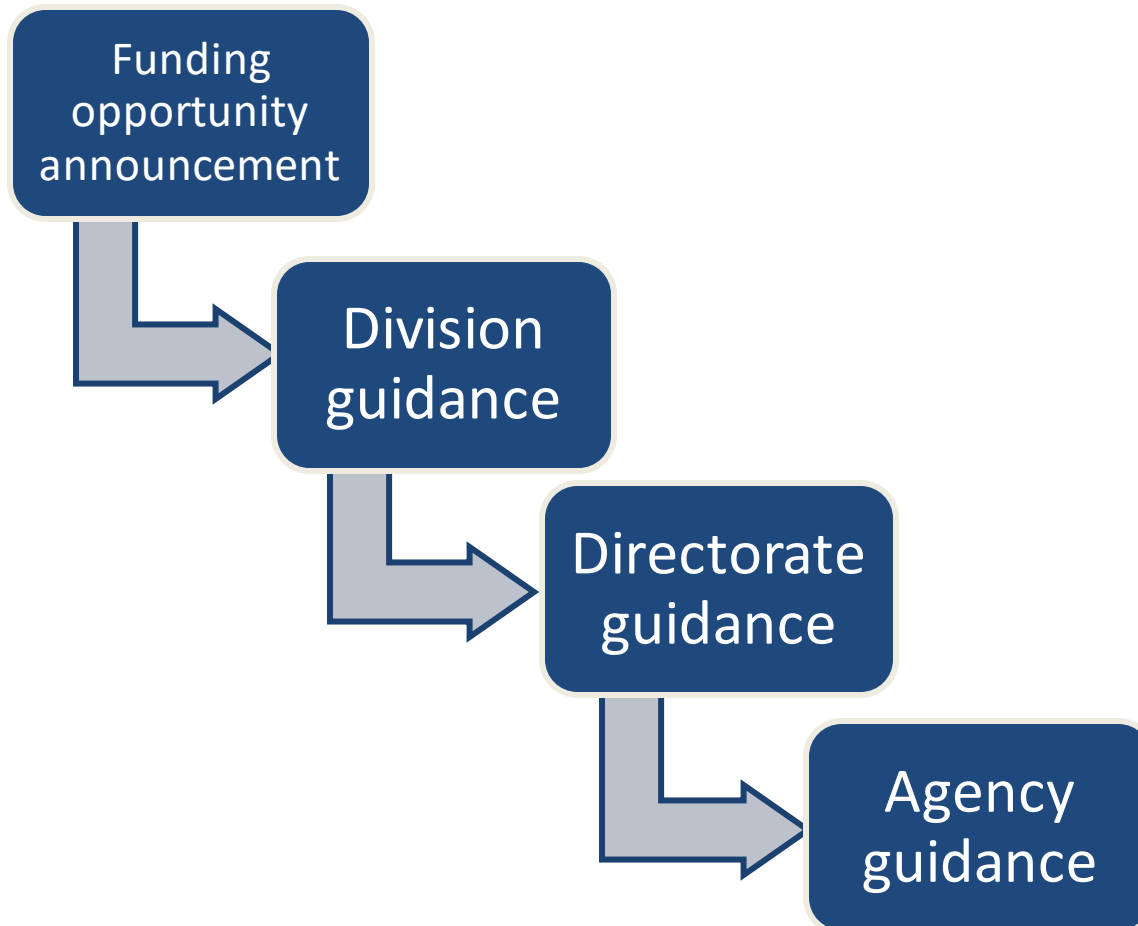


Guidance/requirements hierarchy (NSF)



Data Management/Sharing Plans

Guidance/requirements hierarchy (NSF)



Data Management/Sharing Plans

What's in a "typical" NSF DMP?

1. Description of the data
2. Considerations for file formats (open vs. proprietary), and how descriptive information (metadata) about the data will be recorded
3. Policies and provisions for access and sharing, including privacy, intellectual property (e.g., DUAs)
4. When will the data be shared? How will access be preserved?
5. How will other researchers locate and access the data?

Data Management/Sharing Plans

NIH description of metadata:

“information about the methodology and procedures used to collect the data, details about codes, definitions of variables, variable field locations, frequencies, and the like.

...will vary by scientific area, study design, the type of data collected, and characteristics of the dataset.”

Data Management/Sharing Plans

UI support for data management & data sharing:

1. DMP consultations with proposal writers
2. During projects, through:
 - a) Infrastructure (e.g. secure storage)
 - b) Training on tools, resources, and best practices
 - c) Data governance and technical compliance
3. Curation:
 - a) Preparing data sets and associated information
 - b) Depositing in university or other repositories
4. DUAs

Data Management/Sharing Plans

Email: lib-data@uiowa.edu

Website: <http://guides.lib.uiowa.edu/data/plans>

Brian Westra

Data Services Manager

brian-westra@uiowa.edu



OutGoing Subawards

- [Subawards from the University of Iowa Website](#)
- Data Management Plans
- Amendments
- Reporting Requirements
- Feedback on eDSP Subaward Request Module

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)



May 17, 2018

Research Administrator Meeting

Agenda

- GAO Announcements – Audra Haddy
- PI Transfer form – Audra Haddy
- Overview – Administrative Costs – Audra Haddy

GAO Announcements

- FY17 Single Audit

GAO Announcements

Staff Announcements:

- Qi Zheng, hired as Accountant, Non Fed Team, February 2018

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

PI Departure/Change in Employment Status

DSP-GAO are finalizing a new process to collect & streamline info required when a PI leaves the University or changes their employment status.

Process includes:

- Workflow form initiated by Dept/PI
 - One form per project
- Form routes to Dept Research Admin, and then GAO for review
- Email notification sent to DSP, Human Subject Office, IACUC, and Environmental Health & Safety (as applicable)

PI Departure/Change in Employment Status

What will the new form require?

- PI name, term/end date, g/p nbr & seq #
- Whether project includes:
 - Human subjects
 - Animals
 - Lab close out
 - Sub awards
 - Equipment (including federally furnished)
- Identification of plan for project (& attachments, if needed):
 - Ending/early termination
 - Request approval to transfer to PIs new institution
 - Request approval to change PI
 - Request approval for PI to change to adjunct or emeritus

PI Departure/Change in Employment Status

What won't change?

Importance of providing information as soon as possible to ensure a smooth transition

Administrative Costs

For Federal awards:

- Salaries of admin & clerical staff should normally be treated as indirect costs (CFR 200.413)
- Items such as office supplies, postage, local telephone costs, and memberships must normally be treated as indirect costs (Appendix III to CFR Part 200, B.6.b.(2))

Administrative Costs

What are indirect costs?

Costs incurred for a common or joint purpose benefitting more than one cost objective*, and are not readily assignable to the cost objectives specifically benefitted.

These costs are expected to be recovered through our approved F&A rate(s).

*Cost objectives may be a particular service or project, a Federal award, or an indirect activity

Administrative Costs

When is it appropriate to direct charge salaries of administrative & clerical staff:

1. When the award has an unusual type or volume of administrative tasks
 - Not routine, basic support provided across/for dept, unit, PI
2. Individual can be specifically identified with the project or activity
 - Easy to track time spent on specific activity
3. Cost is explicitly included in the sponsor approved budget/budget justification, or have prior written approval of sponsor (if required)

Administrative Costs

When is it appropriate to direct charge office supplies, postage, local telephone, and memberships?

- Item directly benefits the project
- Dept/PI has documentation to justify cost & support direct benefit

Generally, cost should be fully described in the sponsor approved budget/budget justification

Administrative Costs

Links to GAO Guidelines:

- [Office Supplies, Postage & Telephone](#)
- [Clerical & Administrative Salaries](#)