GMUN Hot Topics
May 12, 2011

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Associate VP for Research Administration
Topics for Today

- SIRC Update
- SPECTRUM Update
- New Fringe Benefit Rates
- FDP ARRA Survey – Prelim Results
- NIH Hot Topics
- NSF Hot Topics
- Research Performance Progress Report (RPPR)
Replace and integrate IRB, IACUC, IBC, and UFRA (unfunded research agreements) systems
  ◦ Create intuitive, web-based interface with dynamic, question-based forms ("smart forms")
  ◦ Eliminate duplicative data entry for common compliance processes
  ◦ Create ability to modify and edit drafts, pause form completion and continue later, and forms that can be completed by someone other than the form signatory
  ◦ Enhance reporting and email notifications

Phase I implementation expected to be Summer 2012

http://www.research.umn.edu/sirc.html
SPECTRUM Update
Sponsored Projects Education and Certification Training at the University of Minnesota

- Courses Released: 7
- Courses scheduled for release by Summer 2011: 3
- Courses selected for FY 12 development: 4
- Sessions offered (through March): 45
- Participants (through March): 1000+

Expect to be able to offer Certification Program by end of FY13! See Handout!
New Fringe Benefit Rates

- Use now in proposals for work expected to be conducted 7/1/11 or later
- F&A Rate Agreement/Fringe Agreement dated 4/19/11

<table>
<thead>
<tr>
<th></th>
<th>FY11</th>
<th>FY12</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic</td>
<td>33.3%</td>
<td>36.0%</td>
</tr>
<tr>
<td>Civil Service</td>
<td>40.1%</td>
<td>41.3%</td>
</tr>
<tr>
<td>Grad Assistant</td>
<td>24.2%</td>
<td>26.1%</td>
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</tbody>
</table>

EGMS has been Updated!
UMN participates in FDP ARRA Survey!

- Document the administrative impact of ARRA on FDP institutions
  - Identify administrative costs of complying with ARRA–specific requirements
  - Understand how institutions implemented requirements

- Identify potential changes that would make the ARRA requirements more palatable
Survey Snippets

- 98 institutions submitted survey
  - 10,987 ARRA prime awards
  - $6.8B in ARRA award funding
- $87M total cost (all years)
- $7900+ cost per ARRA prime award (all years)

79% FDP response rate
### Summary – Administrative Costs to implement ARRA

<table>
<thead>
<tr>
<th></th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12+</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add</td>
<td>$3,536,387</td>
<td>$6,236,306</td>
<td>$5,690,960</td>
<td>$3,320,265</td>
<td>$18,783,918</td>
</tr>
<tr>
<td>Reallocate</td>
<td>$17,511,875</td>
<td>$17,785,893</td>
<td>$17,148,054</td>
<td>$8,423,169</td>
<td>$60,868,991</td>
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<tr>
<td>Overtime</td>
<td>$1,895,049</td>
<td>$2,141,900</td>
<td>$1,978,180</td>
<td>$1,383,640</td>
<td>$7,398,769</td>
</tr>
<tr>
<td>Total</td>
<td>$22,943,311</td>
<td>$26,164,099</td>
<td>$24,817,194</td>
<td>$13,127,074</td>
<td>$87,051,678</td>
</tr>
</tbody>
</table>

$87M total cost reported for all categories over all years.

### Minnesota

<table>
<thead>
<tr>
<th></th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12+</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add</td>
<td>$47,520</td>
<td>$161,211</td>
<td>$164,501</td>
<td>$144,848</td>
<td>$518,080</td>
</tr>
<tr>
<td>Reallocate</td>
<td>$35,100</td>
<td>$75,830</td>
<td>$77,200</td>
<td>$43,800</td>
<td>$231,930</td>
</tr>
<tr>
<td>Overtime*</td>
<td>$26,000</td>
<td>$8,500</td>
<td>$0</td>
<td>$0</td>
<td>$34,500</td>
</tr>
<tr>
<td>Total</td>
<td>$108,620</td>
<td>$245,541</td>
<td>$241,701</td>
<td>$188,648</td>
<td>$784,510</td>
</tr>
</tbody>
</table>

$785K total cost reported for all categories over all years.
# Most Desired ARRA Regulatory Changes

<table>
<thead>
<tr>
<th>Major Importance</th>
<th>Major+Medium Importance</th>
<th>Change Desired</th>
</tr>
</thead>
<tbody>
<tr>
<td>76%</td>
<td>89%</td>
<td>Federal agencies should pre-populate award data that are already known to them</td>
</tr>
<tr>
<td>61%</td>
<td>89%</td>
<td>Increase lead time to prepare report by 10 days (to 20 days after end-of-period)</td>
</tr>
<tr>
<td>61%</td>
<td>86%</td>
<td>Ensure that all agencies are identifying each field in an identical way</td>
</tr>
<tr>
<td>56%</td>
<td>71%</td>
<td>Allow bulk upload of ARRA reports</td>
</tr>
<tr>
<td>44%</td>
<td>69%</td>
<td>Increase lead time to prepare report by 20 days (to 30 days after end-of-period)</td>
</tr>
</tbody>
</table>
NIH Budget News

- NIH received $30.9 billion in final FY2011 appropriation
  - Decrease of 1% from FY10

- Competing Research Awards
  - Each IC can decide how to use its funds
  - NIH will support ~9,050 new and competing research project grants
  - Out–year inflationary adjustments will be 2%

- Non–Competing Research Awards:
  - Awards reduced by 1% over 2010 level except NCI
  - Awards from NCI reduced 3% reduction
  - Out–year inflationary adjustments will be 2% for all remaining years
  - These restrictions do not apply to Career Awards, SBIR/STTRs, Training Grants, or Fellowships

NIH Salary Limitations – 2011

  - $199,700 (same as last year, will be in effect through FY11)

- NIH Guide Notice NOT-OD-11-067: Ruth L. Kirschstein National Research Service Award (NRSA) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2011
  - See Guide Notice for all the various rates
  - 2% increase in all stipend levels for postdocs
  - 0 Level Postdoc Level = $38,496 (+$ 756 from FY10)
  - No change in tuition reimbursement ceilings on training grants and fellowships
  - No change in institutional allowances
NIH ARRA Reminders

- Spending should be timely and expeditious and in accordance with expected pace of research

- SPA has authority to extend project period end dates up to 12 months
  - For supplements with non-ARRA parents, the ARRA portion NCTE can be handled separately
  - Don’t ask for full 12 months if you don’t need it – remember that ARRA reporting obligations will continue until the award is closed out
  - NIH expects to approve subsequent extensions only in very limited circumstances.

ALSO: Do your closeouts timely!
NIH FFATA Reporting Requirements

- For NIH, applies to “New” (Type 1) only – NOT renewals

- NIH continues to await OMB guidance on broadening applicability; a NIH Guide Notice will be issued when that occurs

- SPA handles this but may request your assistance if we can’t get timely information from subrecipients
  - Subrecipients subject to FFATA have to provide required data before SPA can sign their subaward
Other NIH Policy Updates

See Handout!
NSF Proposal & Award Policies & Procedures Guide (PAPPG) Update

- Estimated issuance in Oct 2012 for Jan 2013 effective date

- **Anticipated changes**
  - Merit review coverage in Chapter III
  - Completion of implementation of NSB’s cost sharing recommendations
    - Format of Facilities, Equipment & Other Resources format in FastLane
    - Exceptions to Limitation on Indirect Costs
  - Biographical sketch coverage relating to Publications
  - Proposal compliance checking
New Research Terms were posted to the NSF website:
- Research Terms, dated June 2011
- Appendix B: Subaward Requirements, dated June 2011

NO changes were made to the Research Terms document; however since the Appendices are formally part of that document, it was re-dated.

- Changes made in Appendices (next slide)
- Will necessitate a change NSF’s Agency Specific Requirements
Changes in Appendices

Appendix B: Subawards
- Updated USDA/CSREES to USDA/NIFA

Appendix C: National Policy Requirements Matrix
- Created new categories (health and safety standards, national security, general/miscellaneous) and organized content

Federal–Wide Requirements
- Added DUNS, CCR, and FFATA
- Added Hotel and Motel Fire Safety Act
- Added Text Messaging While Driving
- Added Prohibition on ACORN Funding
- Updated assurance language for EPA
- Consolidated False Claims Act provisions
- Modified Human Stem Cell Research
- Updated Government–wide Debarment and Suspension reference
- Updated Paperwork Reduction Act reference
- Updated USDA/NIFA’s reference to Research Misconduct
- Updated references for EPA (Environmental, Clean Air Act, Metric System, National Historic Preservation, Utilization of Small Business Concerns)

Added Agency–Specific Requirements
- HHS – FISMA (Federal Info System Security Management Act)
- NIH – Cert of Filing and Payment of Taxes
- NIH – ..and Exceptions on Restrictions on Abortions
- NIH – Training of Grad Students for Doctoral Degrees
- NIH – Public Access Citation (updated)

Deleted Agency–Specific Requirements
- NIH – Restriction on Employment of Unauthorized Alien Workers
The RPPR is the result of an initiative of the Research Business Models (RBM) Subcommittee of the Committee on Science (CoS), a committee of the National Science and Technology Council (NSTC).

- Create consistency across federal agencies
- Streamline and standardize forms and reporting formats

Upon implementation, the RPPR will be used by federal agencies that support research and research-related activities. It is intended to replace other performance reporting formats currently in use by agencies.

- Will replace FastLane Project Reports for NSF
- NIH anticipates an electronic pilot in January 2012
RPPR Components
(as approved by OMB/OSTP)

- Cover Page Data Elements
- Mandatory Category
  - Accomplishments: What was done? What was learned?
- Optional Categories
  - Products: What has the project produced?
  - Participants & Other Collaborating Organizations: Who has been involved?
  - Impact: What is the impact of the project? How has it contributed?
  - Changes/Problems
  - Special Reporting Requirements
  - Budgetary Information
  - Appendix 1: Demographic Information for Significant Contributors
Wireframe 1: Combined Dashboard

Research.gov

POWERING KNOWLEDGE AND INNOVATION

My Desktop

Project Reports Dashboard

- You have:
  - Reporting Requirements (Annual, Final and Outcomes):
    - 8 active awards
    - 3 overdue report(s) resulting in potential delays or denial of funding.
    - 4 report(s) that will become overdue within 30 days
    - 2 report(s) that will become overdue between 30 - 90 days

Go to Project Reports

Grants Application Status Dashboard

Agency: NSF
Tracking Number: 1120191
Title of Project: Collaborative Research: Genetic and
Pending

Agency Tracking Number: NSF
PD/PI: Lips, Karen
Submitting Institution: U of MD College Park
Descriptive Title of Project: Collaborative Research: Genetic and
Pending
Status Date: 01/11/2011
Requests Amount: $405,6

Search Site
MSN
Google
Federal Links
NSF.gov
USA.gov
Whitehouse.gov
DATA.gov
Research Community Links
NCURA
FDP
SRA
AAAS
Science News
Science 360

SEE Innovation

Check out the new Science, Engineering & Education (SEE) Innovation site to find clear, accessible information about the
Wireframe 2: PI View

Project Reports
You currently have 8 active awards with NSF.
Reporting requirements for those awards are below:

<table>
<thead>
<tr>
<th>Award Number</th>
<th>Award Title</th>
<th>Report Type</th>
<th>Status</th>
<th>Days Until Overdue</th>
<th>Report Overdue Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1234561</td>
<td>Award title text award title text award title text award title text award title text award title text award title text award title text</td>
<td>Annual</td>
<td>Due</td>
<td>! OVERDUE !</td>
<td>mm/dd/yyyy</td>
<td>Create/Edit Report</td>
</tr>
<tr>
<td>1234562</td>
<td>Award title text award title text award title text award title text award title text award title text award title text award title text</td>
<td>Annual</td>
<td>Returned</td>
<td>! OVERDUE !</td>
<td>mm/dd/yyyy</td>
<td>Create/Edit Report</td>
</tr>
<tr>
<td>1234563</td>
<td>Award title text award title text award title text award title text award title text award title text award title text award title text</td>
<td>Annual</td>
<td>Under Review</td>
<td>! OVERDUE !</td>
<td>mm/dd/yyyy</td>
<td>Review Report</td>
</tr>
<tr>
<td>1234564</td>
<td>Award title text award title text award title text award title text award title text award title text award title text award title text</td>
<td>Final</td>
<td>Due</td>
<td>90 days 0 days</td>
<td>mm/dd/yyyy</td>
<td>Create/Edit Report</td>
</tr>
<tr>
<td>1234565</td>
<td>Award title text award title text award title text award title text award title text award title text award title text award title text</td>
<td>Outcomes</td>
<td>Due</td>
<td>90 days 0 days</td>
<td>mm/dd/yyyy</td>
<td>Create/Edit Report</td>
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<tr>
<td>1234566</td>
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<td>Final</td>
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<td>mm/dd/yyyy</td>
<td>Create/Edit Report</td>
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<tr>
<td>1234567</td>
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<td>Outcomes</td>
<td>Under Review</td>
<td>90 days 0 days</td>
<td>mm/dd/yyyy</td>
<td>Recall Report</td>
</tr>
</tbody>
</table>
Wireframe 3: Award Level View
Wireframe 4: Report Section
Suggested Products

Based on the information you've already provided, we have identified potential products (journals, books, conferences, etc.) attributed to you during this reporting period. Please review the list below and verify the items that should be associated with this report. Your selections will be used to pre-populate the appropriate sections in the report. You can also skip this step for now and return to review these suggestions at a later time or review and adjust the criteria used to generate the suggestions below.

Note: For items you indicate as relevant to this award and reporting period, please also acknowledge if each item received federal support.

Publications
Historically, federally funded basic and applied scientific research has promoted scientific knowledge, innovation, economic growth,...

Patents Citing Work From the PI/Co-PI
Applied Patent: Date 2-28-11
John Doe, University of Arizona
Title: Nanoparticle composition use in Flat Panel Displays
Patent Number: XXXXXX (link); Date: Description: Title, Full Abstract and link

Conferences
Author: John Doe
Title: Silver Nanoparticle Films as Sulfide Gas Sensors in Oddy Tests

Not relevant
Want to Help?

- Review sample questions on **Handout**

- An opportunity to sign up will be provided sometime in May for you and your PIs

- Actual review likely to be in June–July timeframe (have about 4 weeks to review)
Questions?