Hot Topics
Sponsored Projects Symposium

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CONGRATULATIONS TO:

• Kevin McKoskey (now Director, Sponsored Projects Administration)

• David Hagen (now Director, Office of Cost Analysis)
Organizational Changes in OVPR

**AVP Pamela Webb**
- Sponsored Projects Administration
- Office of Cost Analysis
- Research Compliance Office (includes former Research Education & Oversight)

  - *Blue = new in Oct 2015*

**AVP Frances Lawrenz**
- HRPP (IRB)
- IACUC
- IBC
- Research Engagement
- Limited & Internal Funding Opportunities
- Centers and Institutes
And the University of Minnesota
King or Queen of UG is ......
Agenda

- Impact of Subaward Invoicing System
- Update & Data - 3 Day Proposal Deadline
- S2S Project Discovery Project
- Minnesota joins FDP Expanded Clearinghouse
- Agency Updates (take home slides)
  - NIH
  - NSF
  - Other
Subawards Invoice Payments

• In 2013-2014: 41% of subaward invoices were paid later than 30 days

12/26/2014: UG requires payments of “proper” subaward invoices within 30 days

• Since May 2015, < 7% of subaward invoices (using Workflow Gen) were paid later than 30 days
### Subaward Invoices Received

<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>Value</td>
<td>64</td>
<td>87</td>
<td>112</td>
<td>161</td>
<td>194</td>
<td>187</td>
<td>305</td>
<td>339</td>
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</table>

### Subaward Invoices Paid

<table>
<thead>
<tr>
<th>Month</th>
<th>June</th>
<th>July</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
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<tbody>
<tr>
<td>&lt; 30</td>
<td>38</td>
<td>71</td>
<td>99</td>
<td>126</td>
<td>173</td>
<td>188</td>
<td>236</td>
<td>271</td>
</tr>
<tr>
<td>30+</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td>6</td>
<td>20</td>
</tr>
<tr>
<td>% Late</td>
<td>0</td>
<td>1.4%</td>
<td>0</td>
<td>2.3%</td>
<td>1.7%</td>
<td>1%</td>
<td>2.5%</td>
<td>6.9%</td>
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</tbody>
</table>

*Sponsored Projects Administration*
Subaward Invoice Timeline

- **February 2015** – SPA incorporated new sub-inv@umn.edu payment address into all new and modified subawards
- **May 2015** – WorkFlow Gen system launched
- **February 2016** – Annual update cycle complete - all new/modified subawards switched to new payment address

- **May 2016 (estimated)** – Peak of 500 invoices/month (“normal” volume of subaward invoices) reached in new system
- **July 2016 (estimated)** – All subaward invoices will be paid in WorkFlow Gen (manual redirection invoked for those few invoices lingering on old, never modified subawards)
THE 3 DAY INTERNAL PROPOSAL DEADLINE IS HERE!
New 3 Day Deadline

• ALL proposals (new, renewal, supplement, revision, continuation)
• ALL submission types (Grants.gov, FastLane, other electronic or paper submission)
• Does NOT include revised budgets, change in PI, or other correspondence with agencies
• Target Dates must display a deadline on the PRF of 3 business days in the future to be “on-time”

3 Days = Complete ready-to-submit proposal + fully signed PRF in SPA by 9:00 a.m. 3 business days in advance (e.g., 9:00 a.m. Wednesday for proposal due on Friday)
New Late Proposal Notification Process

- **Monthly notification**
  - PI (first late proposal), PI+Chair (second), PI+Chair and Research Associate Dean (third), PI+Chair+Research Associate Dean + Kevin and Pamela (fourth)
  - Approximately 1 week after start of next month
  - Dept. key contact included

- **Research Associate Dean** receives spreadsheet as well with monthly and fiscal year to-date data
  - He or she will forward to you or others as they wish
Tab 1

<table>
<thead>
<tr>
<th>LATE PROPOSALS</th>
<th>Current Month</th>
<th>Fiscal</th>
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<tbody>
<tr>
<td>FY (January 1, 2016 - January 31, 2016)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AHC Shared Units</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>Biological Sciences, Col of</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>Carlson School of Management</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Education/Human Dev, Col of</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>Food, Ag &amp; Nat Res Sci, Col of</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>Global Programs &amp; Strategy</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Liberal Arts, College of</td>
<td>11</td>
<td>11</td>
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<tr>
<td>Medical School</td>
<td>32</td>
<td>32</td>
</tr>
<tr>
<td>MN Extension</td>
<td>2</td>
<td>2</td>
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<tr>
<td>Nursing, School of</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Public Health, School of</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Science &amp; Engineering, Col of</td>
<td>22</td>
<td>22</td>
</tr>
<tr>
<td>University Finance</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Veterinary Medicine, Col of</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>VP for Research, Office of</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>Grand Total</td>
<td>119</td>
<td>119</td>
</tr>
</tbody>
</table>

Tab 2 (Details)

- PI Name, EmplID, Email
- RRC, RRC Name
- Dept ID, Dept Name
- Proposal Create Date
- CON and PRF #
- Title
- Sponsor
- Date Submitted
- GA and PGA

Sponsored Projects Administration

University of Minnesota
Driven to Discover™
S2S DISCOVERY PROJECT IS STARTING!!
What is S2S?

- S2S = System-to-System
  aka ... Electronic Proposal Preparation and Submission System

**Step 1: NAME THE CRITTER!**

(YOU CAN HELP!)
Naming Contest

• You will shortly receive an “survey” that allows you to suggest a name (or name & acronym) for our new system

• Winner will receive $500 toward their registration at a national NCURA or SRA (or similar) conference!
  – And bragging rights!
Discovery Team Now Forming

- Department volunteers will receive emails from me shortly..
- You can still contact me if you are interested (but hurry) …
  - ROUGH estimate – 10 – 15 hours of work per month for 9-12 months
Expanded Clearinghouse Pilot
February 2016 – June 2017

Selected as one of 41 institutions nationally to be included in the pilot!
Remember how the FDP FCOI Clearinghouse saved pass-through entities and subrecipients from having to swap written confirmations that we each had PHS-compliant FCOI policies?

Now we welcome its big sister:

The FDP Expanded Clearinghouse!
Goal of Pilot

• **Reduce administrative burden associated with verifying standard information required for subrecipient issuance and monitoring**

• Eliminate swapping of subrecipient commitment forms completed on a transaction-by-transaction basis in favor of accessing an on-line, up-to-date standardized, streamlined subrecipient data repository (an “entity profile”)

  • Determine whether such a repository effectively reduces the data collection and review burden for pass-through entities and subrecipients alike
Contents of Profile

• **Entity Information**
  • Demographic Information (name, address, type, small business status, parent information, etc.)
  • Entity Identification Numbers and Codes
  • Entity Rate Agreements
  • Department of Defense Registration Numbers
  • Department of Education Registration Numbers
  • Assurances and Agency Approvals (Accreditations)
  • DOD/ONR System Reviews
  • Entity Key Contacts
Contents of Profile (continued)

- **Entity Certifications**
  - Conflict of Interest
  - Debarment and Suspension
  - Lobbying
  - Affirmative Action Compliance
  - FFATA

- **Single Audit Information** (will eventually also include Financial Questionnaire option)
  - Single Audit Status & Links
  - Core info about any findings, deficiencies, material weaknesses

- **Entity Official Certification**
Expanded Clearinghouse – Phase I
(~41 institutions)

Institution 1
Entity Profile

Institution 3
Entity Profile

Institution 4
Entity Profile

Repository on FDP Web Site

SIMPLE EXAMPLE:
4 Standard Templates OR
13 Variant Sub Commitment Forms

GA Meeting – February 2016
Core Elements of Pilot

- Institutions participate as both a subrecipient and as a pass-through entity
- Participants formally agree to terms of the Pilot \textit{(done)}
- Participants create their Entity Profile (mid-February)
- FDP posts each participant’s Entity Profile (early March)
- PTEs access their participating subrecipients’ on-line Entity Profile \textit{in lieu of} sending a subrecipient commitment form for each subaward between the parties (throughout the pilot)
  - \textit{Transaction-specific information may still be shared}
- Participants track how many subwards are transacted via this mechanism (throughout the pilot, reported quarterly)
- Participants evaluate the pilot \textit{(at least twice)}
In Practice: At Time of Proposal

• Still acceptable & expected to collect from the Subrecipient at time of proposal:
  • **Statement of Work**
  • **Budget**
  • **Any other forms needed for the proposal**
    • Small business plans, biosketches or other support, certifications required at time of proposal, etc.)
  • **Subrecipient’s proposal endorsement**
    • Signature of the Subrecipient’s SPA office and/or indication they are willing to enter into a subaward if proposal is funded

BUT ...
When we are the Subrecipient:

• DO NOT COMPLETE a Subrecipient Commitment Form for a pass-through entity participating in the pilot (instead remind them we are a pilot Expanded Clearinghouse institution)

When we are the Pass-through Entity:

DO NOT COLLECT a Subrecipient Commitment Form from another participating pilot institution
<table>
<thead>
<tr>
<th>Participating Institutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brandeis University</td>
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<tr>
<td>Brown University</td>
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<tr>
<td>California Institute of Technology</td>
</tr>
<tr>
<td>Cedars-Sinai Health System</td>
</tr>
<tr>
<td>Dana-Farber Cancer Institute</td>
</tr>
<tr>
<td>Duke University &amp; Duke University Medical Center</td>
</tr>
<tr>
<td>Florida State University</td>
</tr>
<tr>
<td>Georgia Institute of Technology</td>
</tr>
<tr>
<td>Georgia Regents University</td>
</tr>
<tr>
<td>Harvard University (including Harvard Medical School)</td>
</tr>
<tr>
<td>Icahn School of Medicine at Mount Sinai</td>
</tr>
<tr>
<td>Institute for Systems Biology (ERI)</td>
</tr>
<tr>
<td>Johns Hopkins University</td>
</tr>
<tr>
<td>Michigan Technological University</td>
</tr>
<tr>
<td>New York University, Washington Square Campus</td>
</tr>
<tr>
<td>Northern Illinois University (ERI)</td>
</tr>
<tr>
<td>Northwestern University</td>
</tr>
<tr>
<td>Oregon Health &amp; Science University</td>
</tr>
<tr>
<td>Partners Healthcare (includes Brigham and Women's Hospital, Massachusetts General Hospital and McLean Hospital)</td>
</tr>
<tr>
<td>Purdue University</td>
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<tr>
<td>Syracuse University</td>
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<tr>
<td>Tufts University</td>
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<tr>
<td>University of Alabama</td>
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<tr>
<td>University of Alabama, Huntsville</td>
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<tr>
<td>University of Arkansas for Medical Sciences</td>
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<tr>
<td>University of Cincinnati</td>
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<tr>
<td>University of Florida</td>
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<tr>
<td>University of Kansas</td>
</tr>
<tr>
<td>University of Miami (includes University of Miami Medical School)</td>
</tr>
<tr>
<td>University of Minnesota</td>
</tr>
<tr>
<td>University of North Carolina Chapel Hill</td>
</tr>
<tr>
<td>University of South Alabama (ERI)</td>
</tr>
<tr>
<td>University of Tennessee Health Science Center</td>
</tr>
<tr>
<td>University of Tennessee, Knoxville</td>
</tr>
<tr>
<td>University of Texas Health Science Center, San Antonio</td>
</tr>
<tr>
<td>University of Texas Medical Branch at Galveston</td>
</tr>
<tr>
<td>University of Texas, Austin</td>
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<tr>
<td>University of Washington</td>
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<tr>
<td>University of Wisconsin-Madison</td>
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<tr>
<td>Vanderbilt University</td>
</tr>
<tr>
<td>Washington University</td>
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<tr>
<td>Wayne State University</td>
</tr>
</tbody>
</table>
When and How?

Estimated “Go Live” = March 15, 2016

- SPA will notify you with as much advance notice as possible (likely ~1 week)
- Final list of participating institutions will be provided
- Link to FDP entity profiles will be provided
- Will involve:
  - All proposals submitted to SPA on or after the effective date
  - All new and modified subawards on or after the effective date
  - Any other instructions needed
NIH Key Updates

• **Funding Increase** - $2B increase for FY16!!!!!

• **Salary cap** (See NIH Guide NOT-OD-16-059)
  - Increased from $183,300 to $185,100 effective January 10, 2016

• **NRSA Awards** (See NIH Guide NOT-OD-16-062)
  - Stipends increased for undergraduate, graduate and post-docs by approximately 2%
  - Training related expenses for postdocs increased by $1,000 but did not increase for undergrads or grads
  - No change in tuition and fees for undergrads and grads
NIH Key Updates (continued)

• New Salary and Research Cost Allowances for K08 and K23 Awards
  – See NIH Guide NOT-OD-16-054
NIH (Continued)

• NIH & AHRQ Grant Application Changes for Due Dates On or After January 25, 2016
  – See NOT-OD-160-058
  – See NOT-OD-16-004 (Use of Forms Version C)
  – See NOT-OD-16-011 and –012 (Rigor and transparency)
  – See NOT-OD-16-006 (Vertebrate Animals)
  – See NOT-OD-16-010 (Definition of Child)
  – See NOT-OD-16-004 (Research Training)
NIH Rigor & Transparency

- Preclinical studies need to be rigorously designed, to ensure that studies can be reproduced:
  - Scientific Premise of the Research
  - Experimental Design
  - Consideration of Sex (Gender)
  - Authentication of Key Biological +/or Chemical Resources*

*New attachment required entitled “Authentication of Key Resources Plan”
NIH (Continued)

• Major updates to proposal forms expected by 3/25/16 (“Forms D”) for expected use after 5/25/16
  – Rigor and transparency in research
  – Vertebrate animals
  – Inclusion reporting
  – Data safety monitoring
  – Research training and training tables
  – Assignment request form
  – Font requirements
  – Biosketch requirements

Stay tuned!!
MAJOR CHANGES FOR 1/25/16 PAPPG GUIDE ARE AT
Key NSF Updates

• All proposals now have 5 p.m. local time submission requirement
• All proposals must be approved by AOR at time of submission
  – No more 5 day “window” to solve REPA issues
  – SPA has changed its internal business processes to ensure AOR signoff
• All proposals now use consistent font type size, spacing and page margins
NSF continued

• Collaborator and Other Affiliation info removed from Biosketch and now submitted as a separate attachment

• Results from Prior NSF Support clarified

• Internal funds awarded for projects (e.g., internal grant programs) must be included on Current and Other Support

• Post-award Notification and Request docs must now all be signed by SPA
NSF (continued)

• Better due dates for final progress and financial reports!
  – Final annual report due in 90 days but doesn’t become overdue until 120 days
  – Final outcomes report and final financial report due in 120 days
  – More rigor around enforcement
  – Check your NOGA to determine if this applies to you

• New Public Access requirements
  – For awards made in response to proposals submitted 1/25/16 and later
  – See your NOGA for specifics (will require deposit of publications into NSF-PAR system)
    • That system will share data with the progress reporting system so PI’s don’t have to re-key data
New No-Cost Time Extension Policy

Updated ONR No Funds Extension (NFE) Policy

- 90 day NFE
  - PI should submit request at least 10 days before end of original grant period of performance
  - Submit to ONR Regional Administration Officer
  - Does not require ONR Program Officer approval

- NFE requests > than 90 days
  - PI should submit to ONR Regional Administration Office at least 30 days before the grant ends
  - ONR Program Officer approval required

- Cumulative NFE’s cannot exceed 15 months from original period of performance
ONR to Transition Their Awards to a New System

- Grants not fully funded by 9/30/16 may be transitioned
  - Future year funding will be automatically transitioned to the new award
- Will receive new award numbers (and thus new CONs)
- No cost extension will be allowed to spend out the old ones (but can’t bill on the new until the old one is spent out)
- More info to follow!