Introduction to the New PRF

A walk through the changes

Spring, 2010
What to expect

• What is the PRF and why update now?
• Project Goals
• Walk through PRF questions, what’s changed, what’s stayed the same
• Resources
What are some of the major uses of the PRF?

• As an internal communication instrument, by sharing basic information among PI, Dept. Chair and Dean

• As a checklist to guarantee that all compliance obligations have been addressed

• As a tool for SPA in processing proposals and setting up awards
What change the document now?

• To bring the document in line with the EFS system
• To reflect various policy and procedural updates
• To address changes in the array of data needed by the institution to effectively manage sponsored projects
• To respond to user requests for enhancements and improvements
The project steps

- Create a working group to represent all PRF stakeholders
- Gather input from the research community
- Create functional and technical designs
- Build
- Test
- Train
- Release
Like a pot of stone soup

The changes that roll out with the new PRF come from a collaboration of SPA, faculty and users.
The goals set for the project

• New or improved functionality
• More streamlined PDF of the PRF
• Increase communication of key data points at the proposal submission
• More support to the user with updated help notes
Big goals bring big changes

- New features
- Question enhancement
- New questions capturing contemporary research issues
- New functionality
...but I like the PRF

- What works stays, you won’t see a change to any of the functionality you are used to

- New features don’t mean a loss of the time saving features that rolled out with the 2007 modifications
Let’s take a stroll through the PRF and see what’s changed.

Not everything was modified.

Can you identify from this slide the one new field that was added?
Help links have been improved

• Users will find the new help text behind the blue question marks.
• New functionality allows for SPA to update help more promptly.
• More links to University policy, and helpful reference tools
Proposal submission, #5

The more electronic sponsors submission becomes, the more options are necessary for communicating submission method.
Its all about communication, questions #6, #8 #9, slightly modified

University Contact Name: spald003

Last Name, First Name MI: Frances Spalding
Phone: 6126241033
Email: 

Principal Investigator:

Last Name, First Name MI:
Phone:

Emplid:

When % Cost-Share Effort is greater than "0", one of the following must be completed:

- Department will provide chart string at time of award
- Department will provide chart string in Section 20
New questions to ponder, #7, 14, 22

The addition of new questions will both eliminate confusion and provide additional information.

Administering Department: 🟢

Department

DeptID

Does this proposal include any outgoing subawards? 🟢

No 🟢 Yes 🟢
Enter names of Subrecipients

1.

Add Another Subrecipient

International Component 🟢

Do you contemplate foreign travel (including conferences)? 🟢 No 🟢 Yes

Do you contemplate a foreign component (collaboration or field work)? 🟢 No 🟢 Yes
Questions #10 and #11 encompasses new options

Select Continuation, Renewal, Supplement, or the new Administrative Change and the opportunity to add more specific data that pertains to the proposal becomes available.

New proposal type options are now available.
**Question #12 sees an increased scope**

The question has been enhanced to collect the data necessary for a quick turn around at award time.

<table>
<thead>
<tr>
<th>(12) Proposed Duration and Amount Requested: ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Proposed Duration and Amount Requested</td>
</tr>
<tr>
<td>-------------------------------------------</td>
</tr>
<tr>
<td>Initial/Current Budget:</td>
</tr>
<tr>
<td>Start Date</td>
</tr>
<tr>
<td>01/01/2011</td>
</tr>
<tr>
<td>All Years (this competitive segment):</td>
</tr>
<tr>
<td>Start Date</td>
</tr>
<tr>
<td>01/01/2011</td>
</tr>
</tbody>
</table>

b. Departmental Directions to SPA for Award Set Up

- Proposal Budget has been established in EGMS: this budget should be used to set up the award; SPA may pro-rate at time of award if needed to accommodate a reduced award amount.
- Proposal Budget has been prepared outside of EGMS: Department will furnish a PeopleSoft-friendly budget prior to receipt of the award; SPA may pro-rate at time of award if needed to accommodate a reduced award amount.
- SPA should request a PeopleSoft friendly budget from the department at time of award (note that award set up may take additional time since set up cannot be finalized until this budget is furnished to SPA.)

c. F&A Rate Used: ☐ S1 ☐ F&A Base: ☐ MTDC ☐ TDC ☐ Other

- F&A Rate  (Check one below)
  - Full F&A Rate (proposal uses university published F&A rates applicable to this type of project) F&A Rate Chart
  - F&A Requested is the published rate of a governmental or non-profit sponsor
  - No F&A Requested because:
  - An F&A waiver is needed for this project (see F&A Waiver Process for details)

Comments
(Use for Small Project Waiver justification if required by your college; other waiver comments may also be included here)
#12 increased scope results in more information shared up front

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Better design means better communication; phone calls, emails, paper notes sharing data have now been replaced with a PRF that communicates the vital information.

- F&A Rate Used: 51 F&A Base: _____ M/TDC TDC Other
  - F&A Rate (Check one below)
    - Full F&A Rate (proposal uses university published F&A rates applicable to this type of project) F&A Rate Chart
    - F&A Requested is the published rate of a governmental or non-profit sponsor
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Comments
(Use for Small Project Waiver justification if required by your college; other waiver comments may also be included here)
Question #13 sees the addition of a new compliance section

(13) Does this project involve any of the following?

- Human Subjects
- Animal Subjects
- Purchase/Use of Custom Antibodies produced in animals housed outside the University
- Human Blood, Body Fluids, or Other Potentially Infectious Materials
- Stem Cell
- Recombinant DNA, Infectious Agents or Biological Toxins
- Radioactive Materials and/or Ionizing or Nonionizing Radiation Producing Equipment
- Chemicals

The new question reflects contemporary research issues

**e. Stem Cell**

Will your research involve:

- Human embryonic stem (hES) cells
- Human embryos less than 14 days old
- Human induced pluripotent stem (iPS) cells, or other human stem cell sources, that are intended to make or contribute to an embryo

If you answered yes to any of the questions above please obtain approval for your protocol from the human Embryonic Stem Cell and human embryo Research Oversight (ESCRO) committee.
Questions #16, 17 and 18 will not see any change.

(16) **Inventions**: 

The PI is responsible for verifying the accuracy of information for all Principal Investigators, Investigators, and others responsible for design, conduct or reporting of the research. If any individual has reported a potential disclosure, this question should be answered "Yes":

a. Is it likely that anything patentable (i.e., new, useful, or improved) will result from the current research project?
   - No ○ Yes

b. If this is a renewal or continuing project, have any inventions been conceived or reduced to practice under prior research on this project?
   - No ○ Yes

c. Does this proposal contain [proprietary commercial or trade secret information]? If yes, clearly identify the proprietary commercial or trade secret information in the text of the proposal.
   - No ○ Yes

d. Does the PI or any investigator have any active patent disclosures with the Office of Technology Commercialization relating to the work contemplated in this proposal?
   - No ○ Yes

(17) **Is sufficient and suitable space to house this project presently assigned to the principal investigator's department or college?**

   - No

   This problem must be reviewed with the department head. A tentative solution must be identified and documented prior to submission of this proposal. If alterations are necessary, funds must be requested from the sponsor, or a University source.

   - Yes

(18) **Does this project involve University resources, space or staff from more than one department or college?**

   - No ○ Yes

Question #19 ICR sharing

Selecting to share ICR brings the option to share the arrangements made by involved parties

Indirect Cost Recovery (ICR) sharing:
(choose one of the following)

- ICR is required to be shared
- Academic units involved have chosen to share ICR revenue

ICR will be shared:
- By separate budgets
- Based on contribution

- Will be shared but percentages have not been negotiated
- Separate agreement has been negotiated and is attached to the proposal
- Enter the percentage for each Dept ID (contingent upon final negotiations, or budget reductions)

<table>
<thead>
<tr>
<th>Department Name</th>
<th>Department Number</th>
<th>%</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lookup Dept</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(Total must = 100%)

0

Add One Department

Comments

- ICR revenue will not be shared
Question #20

A yes answer to section A or B brings the additional screen so users can further identify Dept IDs and the associated chart strings.
Questions #21, 23 and 24 have not been modified.

(21) Program Income:  
Is program income anticipated on this project?  
☐ No  ☐ Yes ▼

(23) Fairview Health Services:  
Does this proposal make use of Fairview Health Services Resources? 
☐ No  ☐ Yes ▼

(24) Proposal Abstract or Executive Summary (optional):  

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Sponsored Projects Administration

[University of Minnesota](https://www.umn.edu)  
Driven to Discover™
Notes added to a PRF now print

25. NOTES

03/09/10 spald003 What you will notice as a user that is new is the printing of the notes section. Check out this new feature and see what you can find.

Notes now appear on the PDF of the form, an internet id identifying who added the comments and when feature is part of this new feature. This new functionality allows for the sharing of key facts at approval time.
New routing chain

For a personalize signature line on the PDF when the X500 account is not found in PeopleSoft, the user will not be able to access the lookupx500 option. To achieve the personalized signature line, users will type the x500 ID and name in the data boxes.

<table>
<thead>
<tr>
<th>oSign Date</th>
<th>x.500 ID</th>
<th>Name*</th>
<th>Role*</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
<td>spald003</td>
<td>mary francis spalding</td>
<td>Principal Investigator</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>tmeddean</td>
<td>tmeddean</td>
<td>Research Associate Dean/Delegate</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td>Research Associate Dean/Delegate</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td>Research Associate Dean/Delegate</td>
<td></td>
</tr>
</tbody>
</table>

For example:

- **Signature**: Chaffee, Rodney D (chaff001) : Dept Head/Delegate
- **Signature**: tony mogelson (moge0004) : Research Associate Dean/Delegate
- **Signature**: medical dean (tmeddean) : Dept Administrator/Representative
More info on the routing chain

### REQUEST HISTORY

<table>
<thead>
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<th>#</th>
<th>Date</th>
<th>Username</th>
<th>Action</th>
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</thead>
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<tr>
<td>1</td>
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<td>spald003</td>
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<tr>
<td>2</td>
<td>02-MAR-10</td>
<td>prf-sanity</td>
<td>Returned</td>
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</table>

97% correct. Please re-submit after correcting the following:

-- Every Other Approver - must - have a Name and a Role.

Audit are built in that reminds users to add a role and name

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**Department Head(s) and/or Division Head(s): Academic Dean(s), Chancellor or Provost:**

We certify that the above statements are correct to the best of our knowledge. The commitment of departmental and collegiate resources approved. We agree that the scientific objectives of this application are in keeping with departmental and collegiate goals. When questions of interest are marked yes, we acknowledge that the INTEREST has been reviewed with the principal investigator and will not comprise a concern.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chaffee, Rodney D (chafl001) : Dept Head/Delegate</td>
<td></td>
</tr>
<tr>
<td>tony mogelson (moge0004) : Research Associate Dean/Delegate</td>
<td></td>
</tr>
<tr>
<td>medical dean (medicdean) : Dept Administrator/Representative</td>
<td></td>
</tr>
</tbody>
</table>
WOW how good it looks

- Saving the best for last, a PDF that is 2-3 pages instead of 6+
Take a drive

trn.eresearch.umn.edu
Resources

- EGMS staff, x41600 or egms@umn.edu
- Your Grant Administrator
- SPA webpage:  www.ospa.umn.edu
- SPA sponsored trainings:  
  http://www.ospa.umn.edu/GrantGov/Schedules%20and%20Calendars/trainingschedule.html#schedule