Agenda

- Financial Conflict of Interest (FCOI) – Upcoming Changes
- Open Mike: Review of FY15 Sponsored Program Activity
- Updates Policies and Procedures
- Proposal Routing Form
- NSF PAPPG Update
- Effort Reporting Update
- Graduate Tuition – Distribution to Faculty
- Fly America – Guidance, FAQ’s and Checklist
- NIH Graduate Student Compensation vs. Zero Level Postdoc Stipend
InfoEd eRA Portal: Financial Interest Disclosures

Kim O’Connor
Matthew J. Cook
Who Must Disclose?

- All faculty, staff and students responsible for the design, conduct or reporting of sponsored research and other sponsored projects are required to complete the electronic financial interest disclosure process.
Grant Application

Key points for proposals

- Before sending a proposal to OVPR SPS
  - Discuss roles and confirm with PI that personnel have been identified appropriately as responsible.
  - Identify responsible personnel on the Internal Proposal Routing Form (IPR).
  - Confirm disclosures are current for all principal investigators, co-principal investigators, key personnel and anyone else identified as being responsible for the design, conduct or reporting of research.
Top 5 Benefits of Disclosing Electronically

1. Fulfill your training and disclosure requirements quickly and easily – on campus, at home, or while traveling.
2. Quickly carry forward information from a prior disclosure – saving you time.
3. Minimize project approval delays as the OVPR can quickly tell at time of proposal or IRB submission that a submission is on file.
4. Receive automatic notifications when annual updates are required.
5. Go Green, no more paper!
Support Resources

- InfoEd Training & How To Materials: [http://research.uconn.edu/research-it/infoed/](http://research.uconn.edu/research-it/infoed/)
- OVPR Research Compliance Services FCOI Website: [http://research.uconn.edu/fcoi-home](http://research.uconn.edu/fcoi-home)
Support Contacts

Questions about Financial Interests
Kim O’Connor
FCOI Manager
Office of the VP for Research
fcoi@uconn.edu
860-486-3994
research.uconn.edu/fcoi-home/

Technical Issues Using the InfoEd COI Module
eRA Help Desk
Office of the VP for Research
era-help@uconn.edu
860-486-7944
Desk Staffed
Monday – Friday
8:30 AM – 4:30 PM

UConn
Office of the Vice President for Research
Using InfoEd to Monitor Disclosures: Demonstration
Open Mike

• FY15 Sponsored Program Activity Review
Patents issued - 28
Licenses signed - 10
Invention Disclosures Received - 93
Total revenue - $1,119,784.13

FY2015 Invention Disclosures by School

- School of Engineering: 48 Disclosures [52%]
- College of Liberal Arts & Sciences: 27 Disclosures [29%]
- College of Agriculture & Natural Resources: 14 Disclosures [15%]
- School of Medicine: 2 Disclosures [2%]
- School of Pharmacy: 1 Disclosure [1%]
- School of Fine Arts: 1 Disclosure [1%]
University of Connecticut (Storrs & UCH)
Sponsored Program Expenditures by School/College, FY2015

- Liberal Arts and Sciences: $38.1 (18%)
- Engineering: $30.5 (15%)
- Agriculture, Health and Natural Resources: $16.8 (8%)
- Education: $12.2 (6%)
- Dental Medicine: $9.3 (4%)
- Vice President for Research: $5.8 (3%)
- Pharmacy: $5.3 (3%)
- Business: $3.8 (2%)
- All Other Areas: $12.7 (6%)

UCONN
Office of the Vice President for Research
University of Connecticut Storrs
Sponsored Programs Metrics, FY2013 - FY2015

* This percentage reflects an estimated award success rate, which is calculated by dividing the number of awards by the number of proposals from the prior year.
Updated Policies and Procedures

University Policies and Procedures for Sponsored Activities:

New/Updated Policies:
• Eligibility for PI/Project Director Status (Updated 6/22/2015)
• Extra Compensation for Full-time Faculty in AAUP (Minor Revision 6/10/2015)
• Pre-Award/Advance Account (Updated 7/7/2015)
• Administrative Review and Approval of Proposals for External Support (Updated 6/24/2015)
• Fixed Price Residual Policy (Updated 7/7/2015)
• Minimum Effort Proposed on Sponsored Awards (Updated 7/7/2015)
• Subrecipient Monitoring (Updated 6/18/2015)

New/Updated Procedures In Progress
• Participant Support (Posted 05/18/2015)

NOTE: Institutional Proposal Routing Form is being revised and will be released in November.
NSF Proposal & Award Policies & Procedure Guide (PAPPG)

• Revised PAPPG (NSF 16-1) has been issued
• Effective for proposals submitted, or due, on or after January 25, 2016
• Webinar to be held on October 29th at 2:00 PM EST. SPS will be looking for a location to stream the webinar.
NSF Proposal & Award Policies & Procedure Guide (PAPPG)

- Significant changes include:
  - Enforcement of 5 p.m. submitter’s local time across all NSF funding opportunities;
  - Implementation of NSF’s Public Access Policy;
  - Submission of proposal certifications by the Authorized Organizational Representative (AOR) concurrently with proposal submission;
  - NSF’s implementation of the US Government Policy for Institutional Oversight of Life Sciences on Dual Use Research of Concern;
  - Provision of Collaborators and Other Affiliations information as a new single-copy document, instead of as part of the Biographical Sketch;
  - Submission of Biographical Sketches and Current and Pending Support separately for each senior personnel;
  - Electronic signature and submission of notifications and requests by the AOR only;
  - Revision of timeframe for submission of final project reports, project outcomes reports and financial closure of awards to 120 days after the award end date; and
  - Numerous clarifications throughout the document.
Effort Reporting Update

• New Effort Reporting Specialist, Kristin Winot
• ERC Trainings
  – Additional Part One & Part Two ERC Dept Admin sessions on 11/2 (Register at: prodev.uconn.edu)
  – Faculty sessions scheduled for 10/23 & 10/26
  – Available to come to your department mtgs
• ERC Access Forms
  – Send in ASAP if you haven’t already
Effort Reporting Update

• Fall 2014 Effort Reports (83% returned)
  – return any outstanding reports ASAP

• Spring 2015 Effort Reports
  – SPS getting ready to generate; following up on pending cost transfers
  – Reminder: review your faculty’s commitments in ERC
    • Submit changes using the Commitment Change Form

• Classified Effort Reports: Aligning timeframes
  – FY15 2nd Quarter reports will be the last quarterly classified reports
  – Then on semester schedule with other employee types starting with Spring 2015 reports
Graduate Tuition – Distribution to Lead Investigator

• Announced on September 15, 2015 by memorandum from Vice President Jeff Seemann and Vice Provost Kent Holsinger.

• What Tuition charges are eligible?
  – Only Academic year 2016 Tuition Charges

• How much of the Tuition will be Disbursed?
  – The Graduate School will be returning half of the tuition collected from grants in FY16
# Graduate Tuition – Distribution to Lead Investigator

**When will the Disbursement of Funds Occur?**

<table>
<thead>
<tr>
<th>Semester</th>
<th>Internal Billing Description</th>
<th>Department &amp; FO Approval Deadline</th>
<th>Disbursement Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2015</td>
<td>Fall 2015 Tuition</td>
<td>1/29/2016</td>
<td>February 2016</td>
</tr>
</tbody>
</table>

**Where will funds be transferred?**

Funds will be transferred to the Lead Investigator’s IDC (4 Ledger) account following the fall ‘15 and spring ‘16 semester.
Graduate Tuition – Distribution to Lead Investigator

• How will the Disbursement be Performed?
  – Departments must submit the internal billing form that charges the tuition for each Graduate Assistant to the eligible sponsored award(s).
  – Each internal billing must be submitted with the corresponding description by the deadline as identified above.
  – Add OVPR-SPS as an Ad-Hoc approver to the KFS workflow routing so that it does not delay the processing of the tuition posting.
  – Departments are encouraged to proactively initiate the document early during the semester; then, place on-hold and finalize at the end of the semester in order to capture all tuition charges and process by the deadline.
  – Late submissions of a prior semester’s charge must be submitted separately with the proper description that identifies the semester for which the charge is being incurred.
# Graduate Tuition – Distribution to Lead Investigator

- **Who do I contact if I have questions?**

<table>
<thead>
<tr>
<th>Item</th>
<th>Contact</th>
</tr>
</thead>
</table>
| Questions regarding the submission or review of the Graduate Assistant Tuition | SPS Team Lead in Sponsored Program Services:  
  - Matthew Cahill – [matthew.cahill@uconn.edu](mailto:matthew.cahill@uconn.edu)  
  - Jen Johnson - [jennifer.johnson@uconn.edu](mailto:jennifer.johnson@uconn.edu)  
  - Deb Keefe - [deborah.keefe@uconn.edu](mailto:deborah.keefe@uconn.edu)  
  - Daniela Parciasepe - [daniela.parciasepe@uconn.edu](mailto:daniela.parciasepe@uconn.edu) |
| Questions that pertain to the disbursement process, notification, or funded amounts | OVPR Financial Services :  
  - Joanna Desjardin - [Joanna.desjardin@uconn.edu](mailto:Joanna.desjardin@uconn.edu) |
Fly America/Federal Award Travel

- Fly America Exception Checklist
- Fly America/Open Skies Guidance Document
- Fly America/Open Skies FAQ’s Sheet
NIH Graduate Student Compensation vs. Post Doc – Zero Level Stipend

• **Proposal Budget:**
  – SPS has seen that NIH has recently reduced budgets for graduate student compensation to match the zero-level post doc stipend amount.
  – Graduate Student Compensation (Salary, Fringe and Tuition)
  – Zero Level Post-Doc Amount - $42,840

• Difference between what the NIH allows for budgeting vs. what is allowed for charging.

• Graduate Student Compensation permitted during the award:
  – NIH Policy statement (excerpt)...Institutions may rebudget funds to charge more than the awarded amount provided that OMB cost principles requiring reasonable compensation are observed. In general, graduate student compensation will not be considered reasonable if in excess of the amount **paid** to a first-year postdoc scientist at the same institution performing comparable work.
Adjourn

• Questions?