



# Departmental Grants Administrators Meeting

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## Office of Research and Sponsored Programs

Thursday –  
April 10, 2008

Renaissance Room South  
Mary Reed Building  
2199 South University Boulevard



# Agenda

- **Introduction**
- **ORSP Project Administration**
  - New Department Assignments
  - Grants.gov Adobe update
  - Administrative and Clerical Salary Costs
  - Update on NSF Cost-share requirements
  - Establishing and Managing Subcontracts and Consulting Agreements
  - Enhancing Public Access to Archived Publications Resulting from NIH-funded Research
- **ORSP Grants Accounting**
  - Expenditures (Direct pays, P-card)
    - No Sales Tax
    - Meals – Document as official functions:
  - Payroll
- **ORSP Research Compliance and Education**
  - Research Compliance
    - DU Institutional Committees
      - Institutional Committee Dates
    - DU e-Protocol
  - ORSP Education
    - Partnering with HR to coordinate education
    - DU CITI
- **ORSP Events 2007-2008**



# What is ORSP – the Office of Research and Sponsored Programs?

- ORSP is the university's office authorized to enter into agreements with external sponsors for the purposes of **research**, instruction, or other activities.
- Includes **grants, contracts, cooperative agreements**, etc., where there is a specific expectation of reciprocal value.
- With **all governmental** entities—whether direct or flow-through.
- With industry or non-profit organizations where there is a requirement for **oversight, detailed financial invoicing or reporting, audit**, or compliance with **regulatory statutes** (e.g. protection of human subjects in research, care and use of animals in research, biosafety concerns, conflicts of interest, etc.).
- ORSP will provide **institutional signature** that binds the university and provides assurances of compliance with all appropriate laws and regulations.



# ORSP / UA

To: The DU Community  
From: Jim Moran, Vice Provost for Graduate Studies and Research  
Ed Harris, Vice Chancellor for University Advancement  
Date: September 24, 2007  
Re: ***Looking for Funding Support for Your Program or Project?***

Are you seeking external support for a program or project? There are two departments within the University of Denver that can assist you in obtaining that funding—**University Advancement (UA)** and the **Office of Research and Sponsored Programs (ORSP)**. Any official proposal must be submitted through one of these offices. The attached guidelines will help you to determine whether the funding is considered a charitable contribution (to be processed through UA) or a grant or contract (to be processed through ORSP). Both offices will assist you in obtaining and interpreting donor or sponsor guidelines.

**University Advancement (UA)** will coordinate proposals so that we have the highest possibility of an award. Such coordination allows DU to establish better relations with our donors and to avoid inappropriate and embarrassing submissions of duplicate or ineligible proposals. In rare cases, foundations allow multiple submissions, but most will accept only one proposal per year from an institution. UA is especially sensitive to local funders, most of who have recently completed campaign pledges and are primarily interested in institutional projects approved by senior administration or chosen by the foundations themselves. UA will alert you to these restrictions and guide you to the best possible sources of funding and will also help to assure that your proposal conforms to the donor's guidelines. They will also ensure that approval to proceed is received from your division. To avoid any conflicts, please call Leigh Elliott at UA prior to initiating any contact (phone calls, letters of inquiry, proposals) with any foundation.

UA will also be expanding the University's outreach into the corporate arena. The University has initiated a program to enhance existing and develop new relationships with corporations beyond funding programs or contracts. Corporations make charitable contributions from marketing and philanthropic budgets, contribute in-kind goods, lend executives and match gifts from employees who choose to support the University. Although no goods or services are exchanged, a growing number of corporations have high expectations for recognition. Before approaching a private corporation, please contact Leigh (17469, leigh.elliott@du.edu) to discuss your project.

**The Office of Research and Sponsored Programs (ORSP)** will work with you to seek non-charitable support from government agencies and other entities. ORSP can direct you to funding opportunities and guide you through the maze of requirements in preparing proposals and administering awards. When a sponsor awards a grant or contract, ORSP will assist you in meeting the terms and conditions of the award—such as providing financial reports, and facilitating any audit or other compliance requirements. Because of regulatory and compliance requirements, it is especially important to work through ORSP if your project entails the use of human subjects, animals, or may result in patentable technology. ORSP will provide institutional signature that binds the university and provides assurance of compliance with all appropriate laws and regulations.



# Office of Research and Sponsored Programs Staff Directory

<b>James Moran</b> Vice Provost for Graduate Studies & Research		<a href="mailto:Jmoran@du.edu">Jmoran@du.edu</a>	1-2706
ADMINISTRATION			
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PROJECT ADMINISTRATION			
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RESEARCH COMPLIANCE & EDUCATION			
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GRANTS ACCOUNTING			
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# ORSP Project Administration

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- New Department Assignments
- Grants.gov Adobe update
- Administrative & Clerical Salary Costs
- Update on NSF Cost-share requirements
- Establishing and managing subcontracts and consulting agreements
- Enhancing Public Access to Archived Publications Resulting from NIH-funded Research



# ORSP Project Administrators: Department Assignments

## Katherine Buranapiyawong

- **Art & Art History**
- **College of Law**
  - Graduate Tax Program
- **Computer Science**
- **Denver Research Institute (DRI)**
  - Applied Meteorology Center
  - Computational Dynamics
  - Engineering Sciences Lab
  - Law Enforcement
  - Social Systems
- **Engineering**
- **Geography**
- **History**
- **Languages & Literature**
- **Mathematics**
- **Physics**
- **Political Science**
- **Sociology**
- **Undergraduate Studies**
- **Women's College**

## Lynn Backstrom-Funk

- **Anthropology**
- **Athletics**
- **Biological Sciences**
  - Rocky Mountain Conservation Center
  - ERI (Eleanor Roosevelt Institute)
- **Chemistry & Biochemistry**
- **College of Education**
- **Conflict Resolution Institute**
- **Daniels College of Business**
- **Graduate School of International Studies**
- **Graduate School of Professional Psychology**
- **HERS Mid-America**
- **Human Communications**
- **Institute of Intermodal Transportation**
- **Judaic Studies**
- **Mass Communications**
- **Penrose Library**
- **Service Learning**
- **Student Life**
- **University College**
- **Wellness Center**

## Crystal Streit

- **Facilities Management**
- **Graduate School of Social Work**
- **Newman Center**
- **Psychology**
- **Intellectual Property & Technology Transfer**



# Project Administration: Grants.gov Update

## TRANSITION TO ADOBE

In an effort to better serve the grant community and increase site accessibility, Grants.gov has committed to transitioning from the PureEdge-based application system to an Adobe Reader-based application system.

The Adobe Reader applications offer more functionality and expansive system compatibility. The Adobe Reader applications are compatible with most operating systems including all Windows (Vista, Windows 2007), Mac OSX (Tiger, Leopard), Linux and UNIX.

Timelines are being developed by each agency, and each agency will post in Adobe upon successful testing.

- **April 1, 2008:** NEW PureEdge Opportunity Posting Cut Off and Open PureEdge Opportunities Migrated to Adobe
- **June 30, 2008:** PureEdge Application Submission Cut Off
- Adobe Application Submissions Only After June 30
- **July 3 – 5, 2008:** Remaining Open PureEdge Opportunities Migrated to Adobe by Grants.gov
- **December 30, 2008:** 2006 PureEdge System Retired

To view an animated tutorial on completing a form with Adobe Reader 8.1.1 go to

[http://www.grants.gov/flash/AdobeReaderApplicationTutorial\\_skin.swf](http://www.grants.gov/flash/AdobeReaderApplicationTutorial_skin.swf)



# Project Administration: Administrative & Clerical Salary Costs

**OMB Circular A-21 prohibits direct charging of administrative or clerical staff salaries except when defined as a “major project” (below).**

**Exhibit C** -- Examples of "major project" where direct charging of administrative or clerical staff salaries may be appropriate.

- Large, complex programs such as General Clinical Research Centers, Primate Centers, Program Projects, environmental research centers, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.
- Projects which involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting (such as epidemiological studies, clinical trials, and retrospective clinical records studies).
- Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.
- Projects whose principal focus is the preparation and production of manuals and large reports, books and monographs (excluding routine progress and technical reports).
- Projects that are geographically inaccessible to normal departmental administrative services, such as research vessels, radio astronomy projects, and other research fields sites that are remote from campus.
- Individual projects requiring project-specific database management; individualized graphics or manuscript preparation; human or animal protocols; and multiple project-related investigator coordination and communications.

These examples are not exhaustive nor are they intended to imply that direct charging of administrative or clerical salaries would always be appropriate for the situations illustrated in the examples. For instance, the examples would be appropriate when the costs of such activities are incurred in unlike circumstances, i.e., the actual activities charged direct are not the same as the actual activities normally included in the institution's facilities and administrative (F&A) cost pools or, if the same, the indirect activity costs are immaterial in amount. It would be inappropriate to charge the cost of such activities directly to specific sponsored agreements if, in similar circumstances, the costs of performing the same type of activity for other sponsored agreements were included as allocable costs in the institution's F&A cost pools. Application of negotiated predetermined F&A cost rates may also be inappropriate if such activity costs charged directly were not provided for in the allocation base that was used to determine the predetermined F&A cost rates.



# NSF Cost-share Requirements Update

**The National Science Board (NSB) has recommended cost sharing on some National Science Foundation (NSF) Programs. According to the NSB, removing mandatory cost sharing on these programs hampered the ability of these programs to achieve their strategic goals and, in some cases, “virtually eliminated the incentive for participation by industry.”**

**The report offers six targeted recommendations:**

- **NSF should define and communicate overarching principles to guide the application of mandatory cost-sharing, to include specific goals and expected outcomes of its application.**
- **NSF should continue to employ OMB Circular A-110 to define cost-sharing and should communicate all changes to the NSF cost-sharing policy to its stakeholders to eliminate the confusion that surrounded cost sharing in the past.**
- **NSF should enhance its training of program officers to avoid unintended implicit or explicit requests for voluntary cost sharing/institutional commitment during the budget negotiation process. Further NSF should continue to emphasize that merit review is founded on quality of work to be performed with cost sharing (where applicable) as an eligibility –not a merit review- requirement.**
- **NSF should reinstate mandatory cost sharing for programs that achieve one or more of the following large-scale and/or long-term strategic goals:**
  - building regional, state, or institutional capacity
  - creating meaningful partnerships with industry
  - promoting the sustainability of projects beyond NSF funding
  - encouraging technology transfer for local economic development
- **NSF should continue to communicate the requirements of tracking and reporting mandatory cost sharing to all institutions to which it provides funding**
- **NSF should periodically and systematically review its cost-sharing policies and their impacts and report its findings to the National Science Board**

**For more information, visit: [www.nsf.gov/nsb/committees/tskforce\\_cs.jsp](http://www.nsf.gov/nsb/committees/tskforce_cs.jsp)**



# Establishing and Managing Subcontracts, Consulting Agreements

## DETERMINING STATUS OF SUBCONTRACTOR / CONSULTANT

- Subcontractor (organization) or Consultant (individual) who participates in meeting the goals of a grant or contract originally awarded to DU, providing *substantive contribution* towards program goals and decisions.
- Performance measured against program objectives
- Makes programmatic decisions
- Responsible for compliance
- Carries out program-- not just to provide goods and services

## INSTITUTION IS REQUIRED TO DETERMINE:

- Eligibility of subcontractor/consultant
- Subcontractor/consultant has appropriate financial systems to manage awards
- Subcontractor/consultant has no outstanding audit issues that will negatively impact overall project.

## MONITORING PERFORMANCE OF SUBCONTRACTOR/CONSULTANT

- The Principal Investigator has primary responsibility for technical monitoring throughout the life of the sub-agreement – not just at the end
  - Receiving and reviewing progress reports
  - Reviewing and approving invoices and financial reports
  - Regular contact with subcontractor/consultant and appropriate inquiries concerning program activities
  - Revising scope of work and/or budget and time frame as necessary for successful completion of the project

## CLOSEOUT OF SUB-AGREEMENT

- PI reviews and approves required deliverables
- PI reviews and approves final invoice
- PI reviews final technical report
- PI verifies and includes subcontractor's/consultant's final technical report in his/her report to sponsor.



# Public Access to Publications Resulting from NIH-sponsored Research

**The Consolidated Appropriations Act of 2008 (PL 110-161 ) includes a statutory requirement to enhance public access to publications that were funded from NIH-sponsored research. The policy requires submission of final, peer-reviewed manuscripts accepted for publication on/after April 7, 2008 resulting from NIH-supported research with current, active funding (grants funded since October 2007; contracts funded on/after April 7, 2008).**

## Specifics

- The NIH Public Access Policy applies to all peer-reviewed articles that arise, in whole or in part, from direct costs funded by NIH, or from NIH staff, that are accepted for publication on or after April 7, 2008.
- The electronic version of the final, peer-reviewed manuscript must be made publicly available through the National Library of Medicine's PubMed Central no later than 12 months after the official date of publication.
- Institutions and investigators are responsible for ensuring that any publishing or copyright agreements concerning submitted articles fully comply with this Policy.
- PubMed Central (PMC) is the NIH digital archive of full-text, peer-reviewed journal articles. Its content is publicly accessible and integrated with other databases (see: <http://www.pubmedcentral.nih.gov/>).
- The final, peer-reviewed manuscript includes all graphics and supplemental materials that are associated with the article.
- Beginning May 25, 2008, anyone submitting an application, proposal or progress report to the NIH must include the PMC or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research. This policy includes applications submitted to the NIH for the May 25, 2008 due date and subsequent due dates.

## IMPORTANT NOTES:

- PIs with on-going NIH grants may need to report from prior year activities.
- Preserving their copyrights in any agreements linked to NIH-supported projects will be an important negotiating point in order to meet this new statutory requirement.
- ORSP will assist in submitting manuscripts to PubMed Central.



# ORSP Grants Accounting

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- Expense transactions (Direct pays, P-card)
  - No Colorado Sales Tax
  - Meals – Required documentation
- Payroll & Leave
  - Leave Accrual



# Expenditures

## **No sales tax in Colorado**

Tell vendor that this is a tax-exempt purchase.  
(Exception: Restaurant expense may include tax.)

- Tax exempt number 98-00574
  - Imprinted on DU Purchasing Card
- Tax exempt certificate located at <http://www.du.edu/purchasing>
  - Click on “Doing Business with DU”
    - Click on “About Us”
    - Choose “Colorado State Sales Tax Exemption” or “City of Denver Sales Tax Exemption”

## **Meals**

Document as “official functions”.

Must include:

- Purpose of meeting
- Names of attendees
  - Research Subjects may be exempt due to confidentiality requirements.
- Itemized receipt



# Payroll: Leave Balances for Monthly Leave-eligible Employees

**GOAL: Leave balances for monthly-paid, leave-eligible grants employees will be available through**

- My Web (for employee)
- Banner PEALEAV (for department administrators)

## **Revised Forms & Process:**

- Revised forms will replace salmon timesheets and green timesheets.
- Forms will be used for:
  - Monthly Staff (time and leave taken)
  - Monthly Faculty and Graduate Research Assistants (time only)See Appendix for draft of revised forms.
- Form to be routed through department timekeeper for Banner entry of leave taken, then forwarded to ORSP for labor re-distribution.

## **Timetable:**

- 4/2/08: Letters requesting verification of leave balances as of 3/31/08 sent out to employees of pilot departments.
- 4/15/08: Signed verification letters due to ORSP.
- 4/20/08: Leave balances as of 3/31/08 for pilot departments are input into Banner by ORSP.
- 4/24/08: Begin rollout of department time entry of leave taken (through PHATIME).
  - **April:** Physics, Biology (pilot departments)
  - **May:** Bridge Project, Butler Institute, Computer Science, Engineering
  - **June:** Psychology, Chemistry, DRI, ERI, Education, GSIS, RLP



# ORSP Research Compliance & Education

- ORSP Research Compliance
  - Updates on DU Institutional Committees
    - Institutional Committee Meeting Dates
  - DU e-Protocol update
  
- ORSP Education
  - Partnering with HR
  - DU CITI



# ORSP Research Compliance: Updates on Institutional Committees

- **IRB (Institutional Review Board for the Protection of Human Subjects)**
  - Chair, Dr. Dennis Wittmer (DU) will be stepping down.
  - Dr. Susan Sadler has been appointed chair effective 6/1/08.
  
- **IACUC (Institutional Animal Care and Use Committee)**
  - New DU Laboratory Animal Facility opened April 2008.
  - Located in the Seeley G. Mudd Building
  - Facility director, Dr. Joe Angleson
  - New Procedures include:
    - Per-diem charges for animal care
    - Centralized ordering and receiving
    - Required training and education
    - DU ID restricted access
  
- **IBC (Institutional Biosafety Committee)**
  - Interim Chair, Dr. Ron Gill



# Institutional Committees: Important Dates

## DU IRB

Deadline for Application Submission is <u>NOON</u> on the dates below:	IRB Meeting Date
April 29, 2008	May 13, 2008
May 27, 2008	June 10, 2008
June 24, 2008	July 8, 2008
July 29, 2008	August 12, 2008
August 26, 2008	September 9, 2008
September 30, 2008	October 14, 2008
October 28, 2008	November 11, 2008
November 25, 2008	December 9, 2008

## DU IACUC

Meetings are scheduled quarterly.

- March 31, 2008
- June 2008
- September 2008
- December 2008

## DU IBC

Date for next meeting is set at each IBC meeting on quarterly basis.



# DU e-Protocol: Update

- **Implementation is going smoothly.**
  - Web-based application provides service to DU's research community and institutional committee members
  - Has allowed for continuous improvements in oversight processes not previously possible with a paper-based review mechanism.
  
- **User Survey**
  - The first user survey was very positive and will help us to continue to enhance our own policies and procedures.
  
- **e-Protocol Access Request Form**
  - First time users of the e-Protocol database system must submit an Electronic Access Request Form. After submitting this one-time request form, the user will receive a username and temporary password granting them access to the e-Protocol system.
  - The request form can be found at the following address: [www.du.edu/orsp/compliance.html](http://www.du.edu/orsp/compliance.html).
  
- **Education and Training Sessions are available.**
  - Please visit our website or contact our office. You may also visit and register online at [www.du.edu/hr/training](http://www.du.edu/hr/training)



# DU e-Protocol

## DU e-protocol links, instructional materials and news will soon be available via webcentral.

- ORSP Home page: [www.du.edu/orsp/compliance](http://www.du.edu/orsp/compliance)
- IRB <https://eprotocol.keyusa.com/duirb/>
- IACUC <https://eprotocol.keyusa.com/duiacuc/>
- IBC <https://eprotocol.keyusa.com/duibc/>

DU eProtocol

**E-PROTOCOL**  
enabling paperless IRB administration

**KEY SOLUTIONS**  
Comprehensive IT Services

**"E-PROTOCOL"** Management System for Human Subjects  
University of Denver

**Institutional Review Board for the Protection of Human Subjects (IRB)**

You must submit an *Electronic Access Request Form* before using the eProtocol system. Please visit our website to download the form and user manual. [Click here](#) to visit our website.

When using the system please allow pop-ups from your web browser and do not use web browser's back or forward buttons. If you have any questions please contact Malcolm Woolum at [mwoolum@du.edu](mailto:mwoolum@du.edu) or Syik Sotto Santiago [ssottosa@du.edu](mailto:ssottosa@du.edu)

**UNIVERSITY OF DENVER**

Login ID   
Password

<https://eprotocol.keyusa.com/duirb/> [9/20/2007 11:12:55 AM]



# ORSP Education Programs

## Workshops offered

- IRB Workshops
- eProtocol Workshops
- ORSP Workshops
- NCURA TV
- Special events
- Workshops by special arrangement

## Partnering with HR to announce educational opportunities and register

- You may visit the ORSP website for more information or visit the HR Training and Development webpage for courses and registration at: <http://www.du.edu/hr/training/>



# ORSP Education Programs

## Blackboard and Collaborative Institutional Training Initiative (CITI)

- **Human Research Protection Program will move from Blackboard to CITI. Faculty, Staff and Students that received their certification via Blackboard will not have to retake the HRP training; however they may find a visit to the University of Denver CITI useful. The DU CITI web modules include education modules for:**
  - **Human Research Protections**
    - Social, Behavioral and Educational Research
    - Biomedical
    - Internet Research
  - **International Research**
  - **Lab Animal Course**
    - Essentials of IACUC
    - Working with Rodents
  - **HIPAA and Privacy**
  - **Responsible Conduct of Research**
    - Data ownership and plagiarism
    - COI and Commitments
    - Research Misconduct
    - Authorship and Publications
    - Mentoring
    - Peer-review
    - Collaborations



# ORSP Events 2007-2008

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**Thursday, April 17, 2008, 2:00 – 4:00 pm**

ORSP Workshop #5: Life-cycle of an Award—Negotiating & accepting an award, Commitments & deliverables, Managing the program and funding, Reporting, Audits, and more

## **TBD – Watch for Announcements**

NCURA TV (half-day pre-recorded workshops):

- *Managing Cost Issues*
- *Effective Proposal Development*
- *Complex Agreements*
- *Good Customer Service for Research Administrators: How to Support the Research Endeavor at Your Institution*

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All events will be held in Renaissance Room South of the Mary Reed Building.

**To register: Send an email to [ORSP@du.edu](mailto:ORSP@du.edu)**

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# International Society of Research Administrators

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The Western Section of the International Society of Research Administrators is excited to announce and invite you to participate in the upcoming 2008 Annual meeting "Research Elevated: Mile High Opportunities" to be held in Denver, Colorado at the [Denver Marriott City Center](#) June 7 – June 11, 2008

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To find out more about this conference and register,  
please visit:

<http://srainternational.org/SRA03/template/tntbWsa08.cfm?id=1796>

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# Appendices

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DRAFT Timesheet Forms for Grants Employees:

- A) Monthly Staff (Benefited)
- B) Monthly Faculty and GRAs



