



# Symposium for Research Administrators

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# Test Your Knowledge of Federal Agency Updates

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[www.rsp.wisc.edu](http://www.rsp.wisc.edu)

# What to expect

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- Series of questions on a variety of topics
- Questions will be in one of the following formats:
  - True/False
  - Multiple Choice
  - Fill in the Blank

# NIH Data Management and Sharing Policy

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# The Data Management and Sharing policy applies to all NIH proposals.

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○ True

 ○ False

<https://sharing.nih.gov/data-management-and-sharing-policy/about-data-management-and-sharing-policies/research-covered-under-the-data-management-sharing-policy#after>

# To which of the following activity codes does the DMS policy apply? (Select all that apply)

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 a) R01

b) T32

 c) R21

 d) K99

e) F31

✓ The DMS Policy applies to all research that generates scientific data, including:

- Research Projects
- Some Career Development Awards (Ks)
- Small Business SBIR/STTR
- Research Centers

<https://sharing.nih.gov/sites/default/files/flmngrr/List-of-Activity-Codes-Applicable-to-DMS-Policy.pdf>

Data management and sharing costs must be included in a single line item in Section F. Other Direct Costs of the budget form.



True

  False

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-161.html>

# In which document(s) should data management and sharing costs be described? (Select all that apply)

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-  a) Budget Justification/Data Management and Sharing Justification
- b) Project Narrative
-  c) Additional Narrative Justification
- d) Facilities & Other Resources

<https://sharing.nih.gov/faqs#/data-management-and-sharing-policy.htm?anchor=56884> (a) for R&R Budget Form; (c) for PHS 398 Modular Budget Form



# When must data management and sharing costs be incurred?

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- a) Whenever the data is shared
-  b) During the award period of performance
- c) After the award period of performance

Note that all allowable costs submitted in budget requests must be **incurred during the performance period**, even for scientific data and metadata preserved and shared beyond the award period.

For instance, if a DMS plan proposes preserving and sharing scientific data for 10 years in an established repository with a deposition fee, the cost for the entire 10-year period must be paid before the end of the period of performance.

## [NIH Guidance on Allowable Costs](#)

# Fill in the Blank: How many plans need to be submitted if a proposal involves multiple subawards?

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One

<https://sharing.nih.gov/faqs#/data-management-and-sharing-policy.htm?anchor=56854>

<https://sharing.nih.gov/faqs#/data-management-and-sharing-policy.htm?anchor=56857>

# Fill in the Blank: Who is responsible for submitting the DMS plan if there are multiple subawards?

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Lead recipient

(As part of the Overall Component in multicomponent applications)

<https://sharing.nih.gov/faqs#/data-management-and-sharing-policy.htm?anchor=56854>

# Fill in the Blank: What group is available at UW–Madison to help PIs develop their Data Management and Sharing plans?

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Research Data Services

RDS:

<https://researchdata.wisc.edu/>

<https://researchdata.wisc.edu/nih-data-management-sharing-policy/>

NIH:

<https://sharing.nih.gov/data-management-and-sharing-policy>

# NIH Foreign Subaward Policy

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# This policy applies to pending applications and current awards as of January 1, 2024.

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- True
- False

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-182.html>

# What must the prime recipient researcher have access to? (Select all that apply)


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-  a) Lab notebooks
-  b) Data
-  c) Documentation that supports the research outcomes as described in the progress report

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-182.html>

# How often does the foreign subrecipient need to provide access?

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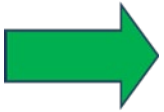
- a) Every six months
- b) Every three months
-  c) Once a year
- d) Twice a year

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-182.html>



# Access may be provided entirely electronically.

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- True
- False

*For foreign subrecipients, a provision requiring the foreign subrecipient to provide access to copies of all lab notebooks, all data, and all documentation that supports the research outcomes as described in the progress report, to the primary recipient with a frequency of no less than once per year, in alignment with the timing requirements for Research Performance Progress Report submission. Such access may be entirely electronic.*

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-182.html>

What entities performed audits that precipitated this policy clarification by NIH? (Select all that apply)

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- a) Chief Financial Officers Council
-  b) Government Accountability Office
- c) Congressional Budget Office
-  d) DHHS Office of Inspector General

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-182.html>

# NIH Foreign Component

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# Foreign component definition

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- Significant scientific element or segment of project outside of the U.S.
- Work done either by the recipient or researcher employed by a foreign organization
- Work done for the project, whether or not grant funds are expended

<https://grants.nih.gov/grants/glossary.htm#ForeignComponent>

# Activities that would meet the definition of foreign component

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- (1) the involvement of human subjects or animals
- (2) extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities
- (3) any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country

<https://grants.nih.gov/grants/glossary.htm#ForeignComponent>

# Activities that may meet the definition of foreign component

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- Collaborations with investigators at a foreign site anticipated to result in co-authorship
- Use of facilities or instrumentation at a foreign site
- Receipt of financial support or resources from a foreign entity

<https://grants.nih.gov/grants/glossary.htm#ForeignComponent>

During an award period of performance, RSP recommends seeking guidance in advance if the PI wishes to do any of the following:

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- Have someone working on the project (paid or unpaid) from outside of the United States
- Collaborate with an organization or institution outside of the United States
- Obtain services from an entity or consultant outside of the United States

<https://rsp.wisc.edu/guidance/ForeignComponentGuidance.cfm>

Fill in the Blank: What other federal agency has included a definition of “foreign component” in recent cooperative agreements?

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Defense Advanced Research Projects Agency (DARPA)



# Department of Energy Special Terms and Conditions

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Some Department of Energy agreements require prior approval for any work to be performed outside of the United States.

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- True
- False

Example:

<https://apply07.grants.gov/apply/opportunities/instructions/PKG00263961-instructions.pdf> (see 4.I.iii)

Read funding announcement and agreement carefully!

All DOE operating units require prior approval for foreign travel, even if it is included in the award budget.

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- True
- False

<https://rsp.wisc.edu/awardmgt/ResearchSecurity-DOE.cfm>

# NIH and Canada

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The NIH considers travel between the United States and Canada and within Canada to be domestic travel.

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- True
- False

[https://grants.nih.gov/grants/policy/nihgps/HTML5/section\\_7/7.9\\_allowability\\_of\\_costs\\_activities.htm#Selected](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_7/7.9_allowability_of_costs_activities.htm#Selected)

# The NIH would consider significant project work in Canada to be a foreign component.

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- True
- False

<https://grants.nih.gov/grants/glossary.htm#ForeignComponent>

# Disclosures: Current and Pending (Other) Support & Biosketches

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# PIs and senior/key personnel must attach supporting documentation for all projects listed in NIH Other Support.

- True
- False

Supporting documentation, which includes copies of contracts/agreements specific to senior/key-personnel foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support. If the contracts/agreements are not in English, recipients must provide translated copies.

<https://grants.nih.gov/grants/forms/othersupport.htm>



In NIH Other Support, PIs and senior/key personnel must disclose appointments at other institutions, whether domestic or foreign.

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- True
- False



Appointments are disclosed in the Biographical Sketch.

<https://grants.nih.gov/grants/forms/biosketch.htm>

<https://grants.nih.gov/grants/forms/othersupport.htm>

Training grants should be included on NIH Other Support documents regardless of the faculty member's role on the grant.

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- True
- False




Training grants only need to be included if the faculty member is the PI of the training grant.

<https://rsp.wisc.edu/other-support-information.cfm?section=NIH#NIH>

# The NSF requires SciENCv to be used to prepare Biosketch and Current and Pending (Other) Support documents.


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- True
  - False

<https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2D2h>

# Senior/key personnel must include a statement of potential overlap on NSF Current and Pending (Other) Support.

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- True
  - False

<https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2D2h>

# NSF requires the inclusion of an ORCID ID on Current and Pending (Other) Support.

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- True
- False



<https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2D2h>

NSF requires the inclusion of internal funds allocated toward specific projects on Current and Pending (Other) Support.

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- True
- False

<https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2D2hii>

<https://rsp.wisc.edu/other-support-information.cfm>

Fill in the Blank: By when will PIs and senior/key personnel need to certify in an NSF proposal that they are not participating in a malign foreign talent recruitment program?

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When NSF PAPPG 24-1 is implemented

Certification statement will be in Common Disclosure Forms and built into SciENCv.

# What must the DoD Previous/Current/Pending Support certification contain? (Select all that apply)

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→ a) Certification that documentation is current, accurate, and complete

b) Agreement to notify the DoD every time a new proposal is submitted or award received


→ c) Statement that the PI/senior/key personnel has been made aware of requirements under Section 223(a)(1) of the NDAA FY2021

<https://rsp.wisc.edu/other-support-information.cfm?section=DOD#DOD>



What is the product that UW-Madison recommends to electronically sign DoD Previous/Current/Pending Other Support documents?

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- a) DocuSign
  - b) Adobe Acrobat
  - c) SignNow
  - d) Dropbox Sign

<https://rsp.wisc.edu/other-support-information.cfm?section=DOD#DOD>

<https://rsp.wisc.edu/DocuSign/>

# What factors should be considered when determining whether to include internal funds on Other Support? (Select all that apply)

- ➔ a) A proposal and budget were submitted for the project.
- b) Amount of time committed to the project.
- ➔ c) Funds were competitively awarded and will be separately accounted for.
- ➔ d) A deliverable such as a project report is required.

Examples to include: WARF Fall Competition, Wisconsin Partnership Program, Thompson Center awards

Do NOT include UW-Madison endowed professorships.



<https://rsp.wisc.edu/other-support-information.cfm>

# Progress & Other Reports

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# Whose effort must be included in Section D.1 of the NIH RPPR? (Select all that apply)

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- a) Anyone who worked on the project
-  b) The PD/PI's effort, regardless of amount
-  c) All personnel who have worked at least one person-month on the project during the reporting period

<https://rsp.wisc.edu/NIH-RPPRs-SelectItems.cfm> (see Section D - Participants)

In what sections of the NIH progress report might a PI address unobligated balances? (Select all that apply)

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a) Section E. - Impact


 b) Section F.2 - Actual or anticipated challenges or delays and actions or plans to resolve them

 c) Section G.10 - Estimated Unobligated Balance

<https://rsp.wisc.edu/NIH-RPPRs-SelectItems.cfm> (see Section F - Changes and Section G – Special Reporting Requirements)

There is a look-up provided by RSP to see pending (or past due) NIH or NSF progress reports.

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- True
  - False

<https://rsp.wisc.edu/routing/Programs/APRVDashboard.cfm>

What are some of the agencies that have been most aggressive about imposing consequences if progress or other reports are not submitted on time? (Select all that apply)

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 a) NIH

 b) NSF


c) USDA

d) DOJ

“We are concerned that your institution has been **unable to comply with the terms and conditions of the award** by submitting the required closeout documents. As previously noted, failure to submit timely and accurate closeout documents may affect future funding to the organization. Additionally, without UNIVERSITY OF WISCONSIN-MADISON's cooperation in submitting acceptable final reports, NIH may take unilateral action to close the grant as a measure of last resort, and may also take additional actions, including, but not limited to, enforcement actions that may affect future funding. **Unilateral closeout** is a measure of last resort.”

# Who may be impacted if progress or other reports are late?

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- a) Principal Investigators
- b) Co-Investigators
- c) UW–Madison
-  d) All of the above

“Failure to submit timely and accurate closeout documents may affect future funding to the organization. Additionally, NIH may take unilateral action to close the grant and/or **additional actions, including, but are not limited to, corrective actions, withholding of further awards, suspension or termination of active awards, or removal of streamlined noncompeting application procedures (SNAP) or automatic carry over authority on active awards.**”




# NSF Safe and Inclusive Working Environments for Off-Campus and Off-Site Research

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The plan for a safe and inclusive working environment for off-campus or off-site research must be completed and on file prior to proposal submission.

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- True
  - False

[https://www.nsf.gov/bfa/dias/policy/papp/pappg23\\_1/faqs23\\_1.pdf](https://www.nsf.gov/bfa/dias/policy/papp/pappg23_1/faqs23_1.pdf)

# All plans must be submitted to NSF for review.

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- True
- False

Check the solicitation. Certain NSF directorates (BIO and GEO) are doing a pilot and collecting plans at time of proposal. NSF may also request to see a plan.

[https://www.nsf.gov/bfa/dias/policy/papp/pappg23\\_1/faqs23\\_1.pdf](https://www.nsf.gov/bfa/dias/policy/papp/pappg23_1/faqs23_1.pdf)

# Which of the following elements does NSF require the plan to include? (Select all that apply)

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 a) How prohibited behavior will be addressed

b) The names of all project team members

 c) Processes to establish shared team definitions of roles, responsibilities, and culture

 d) Communications within the team and to the organization

<https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2E9>

<https://rsp.wisc.edu/preaward/nsfinstruct.cfm>

[https://rsp.wisc.edu/FAQ\\_Safe\\_Inclusive\\_Plans.pdf](https://rsp.wisc.edu/FAQ_Safe_Inclusive_Plans.pdf)

The plan must be disseminated to all individuals participating in the off-campus or off-site research prior to departure/initiation of the research.

  True

False

<https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2E9>

[https://www.nsf.gov/bfa/dias/policy/papp/pappg23\\_1/faqs23\\_1.pdf](https://www.nsf.gov/bfa/dias/policy/papp/pappg23_1/faqs23_1.pdf)

<https://rsp.wisc.edu/preaward/nsfinstruct.cfm>


[https://rsp.wisc.edu/FAQ\\_Safe\\_Inclusive\\_Plans.pdf](https://rsp.wisc.edu/FAQ_Safe_Inclusive_Plans.pdf)

# Department of Defense Decision Matrix

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In June 2023, the Department of Defense issued a new policy on countering unwanted foreign influence.

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- True
  - False

The policy describes risk assessments that DoD will conduct on fundamental research proposals being considered for funding.

<https://www.defense.gov/News/Releases/Release/Article/3445601/departments-of-defense-strengthening-efforts-to-counter-unwanted-foreign-influen/>

What are the factors that the Dept. of Defense will review when performing a risk assessment using their Decision Matrix? (Select all that apply)

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 a) Foreign Talent Recruitment Programs

 b) Funding Sources

c) Source(s) of Spouse's Income

 d) Patents

 e) Entity Lists (e.g., BIS Denied Persons List)

<https://media.defense.gov/2023/Jun/29/2003251160/-1/-1/1/COUNTERING-UNWANTED-INFLUENCE-IN-DEPARTMENT-FUNDED-RESEARCH-AT-INSTITUTIONS-OF-HIGHER-EDUCATION.PDF>



The Department of Defense will make their best effort to mitigate risks that they uncover during an assessment process rather than deny funding a proposal.

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- True
- False

# Miscellaneous

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# How much time do faculty members spend on administrative tasks, per a survey done by the Federal Demonstration Partnership?

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- a) 44.3%
  - b) 50%
  - c) 27.8%

44.3% in 2018: <https://thefdp.org/wp-content/uploads/FDP-FWS-2018-Primary-Report.pdf>

42% in 2012: [https://thefdp.org/wp-content/uploads/fws\\_2012\\_exec\\_summary.pdf](https://thefdp.org/wp-content/uploads/fws_2012_exec_summary.pdf)

42% in 2007: [https://thefdp.org/wp-content/uploads/fws\\_2007\\_rpt.pdf](https://thefdp.org/wp-content/uploads/fws_2007_rpt.pdf)

# Which agency recently amended their requirements for Responsible and Ethical Conduct of Research training?

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- a) NIH
-  b) NSF
- c) USDA-NIFA

<https://new.nsf.gov/policies/pappg/23-1/ch-9-recipient-standards#b-responsible-and-ethical-conduct-of-research-recr-9c7> (effective July 31, 2023)

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-055.html> (issued Feb. 17, 2022 for 2022-2023 academic year)

Fill in the Blank: What document did the Office of Management and Budget recently release for public comment?


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Uniform Guidance or 2 CFR 200

Also 2 CFR Parts 1, 25, 175, 180, 182, 183, 184





# What are the major reasons behind OMB revising the Uniform Guidance? (Select all that apply)

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- a) Incorporating statutory requirements and administration priorities
- b) Reducing agency and recipient burden
- c) Clarifying sections that recipients or agencies have interpreted in different ways
- d) Rewriting applicable section in plain language, improving flow, and addressing inconsistent use of terms
-  e) All of the above


# What are the reports that may need to be submitted to close out an award? (Select all that apply)

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-  a) Progress Report
-  b) Final Financial Report
- c) TPS Report
-  d) Final Invention Statement
-  e) Property Report

Which of the following federal agencies do not currently have a public access to publications requirement?




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- a) DHHS Administration for Community Living
- b) U.S. Geological Survey
-  c) Social Security Administration
- d) DHHS Food and Drug Administration



# What agencies other than the NIH use the NIH Manuscript Submission System for public access to publications? (Select all that apply)

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-  a) Department of Homeland Security
- b) Department of Transportation
-  c) Department of Veterans Affairs
-  d) Dept. of Commerce/National Institute of Standards and Technology
- e) U.S. Department of Agriculture

# Fill in the Blank: Who on campus can help PIs with public access to publications submissions?

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## Public Access Service

# Thank you for coming!

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Enjoy lunch, the PI talks, and the afternoon sessions!