



# Research Community Update

From the Office of Sponsored Programs

JANUARY 24, 2017

The Research Community Update informs campus administrators about research-related topics of interest and importance. Staff in the Office of Sponsored Programs are here to help you with navigating the changing and challenging world of research administration.

To unsubscribe, or to request that someone be added to this newsletter distribution list, please contact Ron Fleischmann, Associate Director of Pre-Award Administration ([fleischm@uwm.edu](mailto:fleischm@uwm.edu)).

This issue features:

- [SFS Outage Scheduled for January 24, 2017](#);
- [NIH and AHRQ Update Font Guidelines for Proposals Submitted on or after January 25, 2017](#);
- [Lessons from the NSF Merit Review Report: Median and Mean Award Amounts](#);
- [21<sup>st</sup> Century Cures Act](#);
- [SRA to Offer Basics of Departmental Administration Course in February](#); and
- [Record Keeping 101](#).

## SFS OUTAGE SCHEDULED FOR JANUARY 24, 2017

The UW System Shared Financial System (SFS), which includes both WISPER and WISDM, **will be unavailable on Tuesday, January 24, 2017 from 4:30 pm to 5:30 pm for a scheduled outage**. This outage will not involve any changes to the SFS interface once complete. Please share this notice with others in your department or division that utilize SFS.

## NIH AND AHRQ UPDATE FONT GUIDELINES FOR PROPOSALS SUBMITTED ON OR AFTER JANUARY 25, 2017

The National Institutes of Health (NIH) and Agency for Healthcare Research and Quality (AHRQ) **have updated their font guidelines for proposals submitted for due dates on or after January 25, 2017**. The text in PDF attachments must follow these minimum requirements:

- **Text Color:** No restriction. Though not required, black or other high-contrast text colors are recommended since they print well and are legible to the largest audience.
- **Font size:** Must be 11 points or larger. Smaller text in figures, graphs, diagrams and charts is acceptable, as long as it is legible when the page is viewed at 100%.
- **Type density:** Must be no more than 15 characters per linear inch (including characters and spaces).
- **Line spacing:** Must be no more than six lines per vertical inch.

The following fonts are recommended, although other fonts (both serif and non-serif) are acceptable if they meet the requirements above:

- Arial
- Georgia
- Helvetica
- Palatino Linotype

NIH and AHRQ does have a [Frequently Asked Questions website](#) associated with font guidelines. Additional information regarding these updated font guidelines is available in Notice [NOT-OD-17-030](#).

## LESSONS FROM THE NSF MERIT REVIEW REPORT: MEDIAN AND MEAN AWARD AMOUNTS

The National Science Foundation (NSF) published a [Report on the NSF Merit Review Process](#) in August 2016 which contains a wealth of information for NSF grantseekers. **A key set of data is the mean and median annualized award amount for research grants by NSF Directorate or Office:**

	Fiscal Year				
	2015	2014	2013	2012	2011
<b>NSF-Wide</b>					
Median	\$130	\$133	\$130	\$125	\$120
Mean	\$171	\$172	\$169	\$166	\$159
<b>Biological Sciences (BIO)</b>					
Median	\$186	\$178	\$182	\$177	\$178
Mean	\$237	\$217	\$228	\$214	\$226
<b>Computer &amp; Information Science &amp; Engineering (CSE)</b>					
Median	\$161	\$166	\$161	\$150	\$141
Mean	\$187	\$199	\$204	\$206	\$174
<b>Engineering (ENG)</b>					
Median	\$103	\$112	\$112	\$103	\$100
Mean	\$122	\$131	\$131	\$122	\$119
<b>Geosciences (GEO)</b>					
Median	\$144	\$141	\$141	\$125	\$116
Mean	\$183	\$201	\$193	\$170	\$162
<b>Math &amp; Physical Sciences (MPS)</b>					
Median	\$125	\$120	\$116	\$117	\$111
Mean	\$149	\$141	\$130	\$143	\$141
<b>Office of Integrative Activities (OIA)</b>					
Median	\$713	\$171	\$156	\$170	\$393
Mean	\$554	\$173	\$948	\$178	\$431
<b>Office of International Science &amp; Engineering (OISE)</b>					
Median	\$82	\$49	\$31	\$50	\$49
Mean	\$149	\$142	\$53	\$200	\$60
<b>Social, Behavioral, &amp; Economic Sciences (SBE)</b>					
Median	\$112	\$109	\$101	\$98	\$98
Mean	\$138	\$134	\$139	\$120	\$120

Education and Human Resources (EHR) is not included in the table above, since EHR does not fund many research projects. EHR's primary funding focus is on education awards, and thus the number of research awards is relatively small.

**Why is this data important?** First, it provides a historical perspective on how funding across a particular directorate (or NSF) has increased or decreased over time. This can assist PIs with long-term strategies to fund their research projects, especially if funding has remained relatively flat (or decreased) over time.

Second, the data may assist with developing project budgets. Does a particular project budget align with the Directorate's past award history? These data can help determine if a particular project budget may align with past awards for a given Directorate. Of course, each project is different and each Directorate may have different ranges within its individual programs. Additional analyses can also be conducted through the online [NSF Awards Database](#).

Finally, researchers may want to spend a few minutes gathering this type of data for all proposal submissions, both federal and non-federal. This type of analysis may be fruitful in determining how to frame the project and budget, ensuring that a request aligns with the sponsor's previous funding history and availability of financial resources.

### 21<sup>ST</sup> CENTURY CURES ACT

The [21<sup>st</sup> Century Cures Act](#) was signed by President Obama in December 2016. This Act has significant implications on funding and direction by NIH and the Food and Drug Administration (FDA) over the coming years. Broadly, this Act:

- Provides NIH with an additional \$4.8 billion in funding over the next ten years;
- Provides the FDA with an additional \$500 million in funding over the next ten years;
- Supports four new innovation projects at NIH: precision medicine, brain research, cancer research, and adult stem cells;
- Supports the acceleration of drug and device access through the FDA;
- Improves the efficiency and impact of the discovery-to-treatment process for drugs and medical devices, such as better coordination between NIH/FDA and private entities, reducing administrative burden for grantees, incorporate disease burden statistics into the NIH strategic plan, and reducing reviews for some drug development tools; and
- Implements a variety of new funding programs at NIH and FDA.

Additional details will be forthcoming from NIH and the FDA on the implementation of these new programs and initiatives.

### SRA TO OFFER BASICS OF DEPARTMENTAL ADMINISTRATION COURSE IN FEBRUARY

The Society of Research Administrators (SRA) **will offer its [Basics of Departmental Administration](#) course on February 16-17, 2017 in Atlanta, GA.** This two-day program will answer the questions that are at the forefront of managing research administration at the departmental level: What is it? Why are there so many policies and regulations? How does one put policy into practice?

The course will cover proposal development, sponsored projects administration, cost principles, account monitoring and reconciliation, closeout, and other topics that a departmental research administrator would need to know to help them manage their department.

### RECORD KEEPING 101 *By Jean Wolfgang*

The administrative part of research can be time consuming and burdensome. When considering the consequences of not taking the time to take administrative tasks seriously, it is important to have basic systems in place such as record keeping. The Uniform Guidance (UG) in 2 CFR 200.333 specifies **records shall be retained for three years from the date the Final Financial Report (FFR) is submitted.** The consequences listed in the UG for not retaining records ranges from returning funds, withholding payments, withholding other awards, and suspension or debarment. The actions of one PI could potentially impact others or the entire University.

Since record keeping is so important, we need to know how we keep records and what is to be retained. Records may be maintained in paper or digital format, with digital as the preference as stated in the UG. **The records need to be readily accessible for audit or review by the sponsor and/or Federal government.** Be certain to set up a filing system that if you were audited, you could quickly produce the requested information. The PI and department staff should discuss who is retaining the files and how the filing system will be structured. The files should be in a location both the PI and staff can access.

Since the UG record retention standard may be greater than other University standards, it is important that your awards have separate files. For example, if your award started in 2006 and ended in December of 2013 with the FFR submitted in March of 2014, you should still have all the records for that award. On the flip side, you need to have a process to purge files once the retention period has been met.

What records are retained can vary from award to award. **The following is a list of typical items to be retained.** When in doubt, keep the record with your award file.

- Proposals and award documents (kept by OSP).
- All detail for every expenditure including invoices, receipts, travel documents, and payroll records. Payroll and invoices can be retrieved from University systems. P-Card receipts need to be kept by the department. OSP does not review every financial transaction, so please make sure you keep accurate and comprehensive financial files.
- Salary and non-salary transfers should also be part of the file, including justifications for the transfers.
- Any records related to research, publication, and documentation supporting progress reports.
- Important communications with the sponsor should also be retained.

As a final point, your particular award may have additional record retention policies. **Be sure to always read your award documents and sponsor policies to ensure you are in compliance.**

**Questions?** Please contact your [Post-Award Specialist](#).