Research Community Update

From the Office of Sponsored Programs

APRIL 11, 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 Kari Whittenberger-Keith, Proposal Development Services (kariwk@uwm.edu).

This issue features:
- Important Information Regarding UWM Foundation Accounts;
- Ron Fleischmann Accepts Position at Duke University;
- Authorized Signatures;
- Roles and Responsibilities in Developing and Managing Extramural Awards;
- Reporting Preprints and Other Interim Research Products;
- NIH by the Numbers; and
- NSF Frequently Asked Questions for Public Access.

IMPORTANT INFORMATION REGARDING UWM FOUNDATION ACCOUNTS

Effective immediately, an important change is being made to UWM Foundation accounts. In recent years, the greater majority of UWM Foundation expenses have been coded with Program Code 1, Institutional Support. Going forward, these will be coded with Program Code 2, Instruction. The change is necessary to align our practices more closely other UW campuses, which categorize unrestricted support for instruction, research, and most public service as Instruction. The limited number of UWM Foundation public service programs that use Program Code 5, Public Service, are already known to the divisions that conduct them. The remainder, previously coded as Program Code 1, are being transitioned to Program Code 2.

How does this affect you? As you complete the necessary forms to post salaries or other expenses to your Foundation accounts, you must use Program Code 2 if you had used Program Code 1 in the past.

The Office of Sponsored Programs is working closely with Business and Financial Services to ensure that this transition is smooth and projects that may contain future encumbrances will post correctly.

We appreciate your patience during this transition.

Questions? Please contact your Post-Award Specialist and they will be happy to assist you in any updates that may need to be made to existing accounts.

RON FLEISCHMANN ACCEPTS POSITION AT DUKE UNIVERSITY

Ron Fleischmann, OSP Associate Director for Pre-Award, has accepted a position as Director of Research Opportunities at Duke University's Sanford School of Public Policy. We congratulate Ron and wish him every success in this important new role helping the Sanford School advance its research program. Ron's last day at UWM will be Thursday, April 13th. He will be greatly missed by all the staff of OSP and the Office of Research, as well as the many administrators and investigators he has worked with and assisted during his time at UWM.

AUTHORIZED SIGNATURES

With Ron Fleischmann's imminent departure, **he should no longer be named as the authorized signatory in grant applications or other documents to be signed in the Office of Sponsored Programs**. Please refer to the OSP Frequently Requested Information webpage for detailed information about OSP signatories.

Please consult with the appropriate OSP Pre-Award or Post-Award specialist for your department to determine which signatory will be available at the time your grant application or document will need to be approved.

ROLES AND RESPONSIBILITIES IN DEVELOPING AND MANAGING EXTRAMURAL AWARDS

One of the best practices in research administration involves the creation of Roles and Responsibilities matrices for the preparation, submission, acceptance, management, and close-out of sponsored projects. In line with UWM achieving R1 status last year, **the Office of Sponsored Programs created a Roles and Responsibilities Matrix** for the development and management of extramural awards.

Not only is the purpose of this matrix to better identify the roles and responsibilities of the Office of Sponsored Programs and the Office of Research, but it also provides **UWM departments and divisions the ability to identify how their own support systems and personnel** assist the research enterprise within their area.

We are excited to release this document to the campus community. Please send questions or comments related to the Roles and Responsibilities Matrix to Tom Marcussen, Director (marcusse@uwm.edu). The Office of Sponsored Programs also plans to host a session for the campus community in Fall 2017.

REPORTING PREPRINTS AND OTHER INTERIM RESEARCH PRODUCTS

The National Institutes of Health (NIH) recently released a Notice (NOT-OD-17-050) **regarding the inclusion of preprints and other interim research products in grant applications and Research Performance Progress Reports (RPPRs)**. NIH strongly encourages investigators to utilize preprints and other interim research products to speed the dissemination of NIH-funded work and enhance the rigor of projects.

"Interim research products" are considered complete, public research products that are not final. A common form is the preprint, which is a complete and public draft of a scientific document. Preprints are usually unreviewed manuscripts written in the style of a peer-reviewed journal article. Another common type of interim research product is a preregistered protocol, where a scientist publicly declares key elements of their research protocol in advance. A few notes on interim research products:

- Awardees are not required to create interim research products;
- Awardees are not required to cite interim research products in their grant applications;
- Since preprints are not peer-reviewed, such products do not fall under the NIH Public Access Policy; and
- This Notice does not apply to clinical trial registrations.

Citing Interim Research Products in Applications, Proposals, and Reports
Interim research products may be cited in any section of an application where research products are cited. To cite the product, applicants and awardees must include the Digital Object Identifier and the Object Type (e.g., preprint, protocol) in the citation. Also list any information about the document version (e.g., most recent date modified), and if relevant, the date the product was cited. For example:

Bar DZ, Atkatsh K, Tavarez U, Erdos MR, Gruenbaum Y, Collins FS. Biotinylation by antibody recognition- A novel method for proximity labeling. BioRxiv 069187 [**Preprint**]. August 11, 2016 [cited 2017 Jan 12]. Available from: https://**doi**.org/10.1101/069187.

Claiming Interim Research Products as Products of NIH Awards
NIH intends to maximize the impact of interim research products that are developed with NIH funds. NIH expects awardees to ensure a high level of public access to NIH-supported interim products. **To claim an interim research product as a product of an NIH award**, the NIH expects the awardee to:

- **Make the product publicly available**. To maximize the impact, NIH strongly encourages awardees to select a Creative Commons Attribution (CC-BY) license or dedicate their work to the public domain.
- In the text of the document, **acknowledge NIH funding** in accordance with the NIH Grants Policy Statement, Chapter 8.2.1, clearly state the work is not peer-reviewed, and declare any competing interests.

Effective Date
For applications submitted for the May 25, 2017 due date and thereafter, awardees may claim these products on their progress report publication list. These interim research products may also be included in RPPRs as of May 25, 2017 and may be linked to a PI's award in their My Bibliography account.

Questions? Please contact your Pre-Award Specialist.

NIH BY THE NUMBERS

On the topic of NIH, a recent blog post by NIH's Deputy Director for Extramural Research, Dr. Michael Lauer, highlighted NIH success numbers for Fiscal Year 2016. During the last fiscal year, NIH supported nearly 2,400 research organizations and received 54,220 competing research project grant applications. Of these applications, 30,106 were applications for R01-equivalent grants. The average size of awards increased to $499,221, a historical high for both competing and non-competing awards.

The success rate for competing applications in Fiscal Year 2016 was 19.1%, compared to 18.3% in 2015. The 2016 success rate for competing R01-equivalent applications was also slightly higher in 2016 over 2015, at 19.9% versus 18.9%. Success rates continue to remain below the 30% levels seen 15 to 20 years ago and reflect the hypercompetitive environment faced by all applicants.

NSF FREQUENTLY ASKED QUESTIONS FOR PUBLIC ACCESS

In March, the National Science Foundation (NSF) **released an updated Frequently Asked Questions (FAQs) list for its Public Access Policy**. As a reminder, NSF has two policies and procedures that govern public access for NSF-supported work:
- **Data**: In 2011, NSF required applicants to include Data Management Plans for data created under award that resulted from the proposal. Data Management Plans were intended to identify how PIs would share the primary data from the project with other researchers. Grantees are expected to encourage and facilitate the sharing of such data.
- **Publications**: Peer-reviewed journal articles and juried conference papers, based wholly or partially on NSF support, must be deposited in the designated NSF repository. Either the final accepted version of the manuscript or the version of record may be submitted. NSF's public access policy went into effect for articles resulting in awards made for proposals submitted, or due, on or after January 25, 2016.

Please be certain to share this information with those investigators in your division or department pursuing NSF funds or have been awarded NSF funds since January 25, 2016.

Questions? Please contact your Pre-Award Specialist.