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Rudczynski Friday Morning Presentation March 2015

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AAU-Yale-COGR-APLU Survey

Reporting is for FY14 unless otherwise indicated (e.g., FCOI)

If using payroll distribution to confirm salaries document this.

- Financial reporting: Frequency of reporting in payment systems - How many Federal Financial Reports (the old FCTRs) are filed quarterly?
- Summary of previous cash draws, but agencies have that information from draw down closest to quarter end.

Data requirements should not require institutions to differentiate between federal and non-federal data.

of paper invention reports – separate reports for agencies that don't use iEdison

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Additional questions Yale is including in the financial reporting section:

- # of PIs with multiple awards (and # of awards) from the same agency (not institutes and centers)
- # of PIs with multiple federal awards and number of awards

Relatedness – If you can't assign charges to one grant; blending grants.

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Effort Reporting:

- # of effort reports in FY14
- Cost of non-departmental (central) staff responsible for ER collection and monitoring (fully burdened) in FY14
- Estimated time (hrs) for faculty to review, verify and complete ER
- Estimated time (hrs) for staff to review, verify and complete an ER
- Maintenance cost for electronic ERS in FY14
- # of non-departmental (central) staff responsible for ER collection and monitoring in FY14

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Financial Conflict of Interest:

- Total # of disclosures (including non-PHS) for a full year prior to the implementation of the PHS FCOI requirements.
- Total # of disclosures (including non-PHS) for a full year subsequent to the implementation of the PHS FCOI requirements.
- Total # of disclosures (including non-PHS) that required COI management for a full year prior to the implementation of the PHS FCOI requirements.
- Total # of disclosures (including non-PHS) that required COI management for a full year subsequent to the implementation of the PHS FCOI requirements.

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Financial Conflict of Interest:

- Total cost of compliance with FCOI policies (including non-PHS) for a full year prior to implementation of the PHS FCOI requirements.
- Total cost of compliance with FCOI policies (including non-PHS) for a full year subsequent to implementation of the PHS FCOI requirements.
- # of FY14 PHS disclosures that only identify travel and outside income from non-profits (including foreign IHEs)
- # of such PHS disclosures that required COI management
- # of FY14 PHS disclosures >\$5K and <\$10K
- # of such disclosures that required COI management

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Financial Conflict of Interest:

- Estimated number of hours in FY14 for the central office or institutional entity to review all investigator disclosures of significant financial interests; determine whether any significant financial interests relate to PHS-funded research; determine whether a financial conflict of interest exists; and, if so, develop and implement a management plan that specifies the actions that have been, and shall be, taken to manage such financial conflict of interest.

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Monitoring of Grant and Contract Subrecipients:

- # of unique subrecipients under federal awards subject to an A-133 audit in FY14
- # of unique subrecipients under federal awards not subject to an A-133 audit in FY14
- # of staff performing subrecipient monitoring; e.g., affirming that subrecipients have policies to assure compliance with federal rules and following up on sub's A-133 findings in FY14
- Fully burdened cost of such staff in FY14

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Human Subjects:

- # of non-exempt protocols (federal and non-federal) in FY14
- # of protocols that underwent annual reapproval in FY14
- The associated effort (hrs./protocol) spent by faculty, staff, and members of the IRB in annual reviews of protocols in FY14

- # of protocols that underwent dual review by VA and the university in FY14
- The associated effort (hrs/protocol) spent by faculty, staff, and members of the IRB in annual reviews of such protocols in FY14

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Financial Reporting and Grants Management:

of payment systems utilized in FY14

Frequency of reporting in those payment systems

of cash draw-downs/month at account or document level

of PMS reports annually/quarterly

of FSRs filed

of FSRs filed for which cash is drawn down on an account or document level

of paper invention reports filed; # of iEdison reports filed; Staff reduction that could be realized by elimination of invention reports

of property reports filed; staff reduction that could be realized by elimination of property reports

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Animal Research:

- # of USDA protocols in FY14
- # of non-USDA protocols in FY14
- # of protocols that underwent annual reapproval in FY14
- The associated effort (hrs/protocol) spent by faculty, staff, and members of the IACUC on annual reviews in FY14
- # of PHS protocols that underwent triennial review in FY14
- Does your institution require a full re-write of the protocol for triennial review?