Coffee with ORPA: What’s New and What It Means to You

September 20, 2019

Presenters:
Kyle Burkhardt
Maria Hartstein
Julie Luster
Maureen Thompson-Siegel

Chi Chung
Paula Looney
Francine Taylor
What’s New!

› Staffing Changes and Departmental Assignments
› Annual Report on Research Trends
› Coeus Training Announcement
› Core – Coeus Replacement Project Update
› Subaward Tracking/FDP
› NIH Clarifications/Other Support
› Proper Publication Citations
› E-Verify Process Update
› Faculty Onboarding
› Faculty Academic Year Effort Focus Group
› SRA Updates
Staffing Changes

Welcome to the Research Enterprise
Staffing Changes

- Paula Looney – Assistant Director of Grants and Contracts
- Chi Chung – Senior Grant and Contract Administrator
- Teresa D’Artagnan – Grant and Contract Administrator
- Courtney Kohut – Grant and Contract Administrator
- Mellissa Williams – Interim Grant and Contract Administrator
- Vacant – Assistant Subaward Administrator
- Vacant – New Position – ORPA Training Program Manager
# Division 1 – Humanities

<table>
<thead>
<tr>
<th>Mellissa Williams – Interim GCA</th>
</tr>
</thead>
<tbody>
<tr>
<td>English (SSP)</td>
</tr>
<tr>
<td>Religion (SSP)</td>
</tr>
<tr>
<td>Papers of Thomas Jefferson (SSP)</td>
</tr>
<tr>
<td>Art Museum (SSP)</td>
</tr>
</tbody>
</table>

All other Humanities disciplines currently not in the Shared Services Program (SSP).
## Division 2 – Social Sciences

<table>
<thead>
<tr>
<th>Mellissa Williams – Interim GCA</th>
<th>Maureen Thompson–Siegel, Sr. GCA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architecture (SSP)</td>
<td>Anthropology (SSP)</td>
</tr>
<tr>
<td></td>
<td>Woodrow Wilson School</td>
</tr>
<tr>
<td>Economics (SSP)</td>
<td>Politics (SSP)</td>
</tr>
<tr>
<td></td>
<td>Survey Research Center</td>
</tr>
<tr>
<td>Sociology (SSP)</td>
<td>Near Eastern Studies (SSP)</td>
</tr>
<tr>
<td>East Asian Studies (SSP)</td>
<td>PIIRS (SSP)</td>
</tr>
<tr>
<td>PACE Center (SSP)</td>
<td>Health Services (SSP)</td>
</tr>
<tr>
<td>All other Social Sciences disciplines not in Shared Services Program and not affiliated with WWS.</td>
<td></td>
</tr>
</tbody>
</table>
# Division 3 – Math/Physical Sciences

<table>
<thead>
<tr>
<th>Maureen Thompson-Siegel, Sr. GCA</th>
<th>Francine Taylor, Sr. GCA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chemistry</td>
<td>Astrophysics</td>
</tr>
<tr>
<td>Chi Chung, Sr. GCA</td>
<td>Space Physics</td>
</tr>
<tr>
<td>Molecular Biology</td>
<td>Physics</td>
</tr>
<tr>
<td></td>
<td>Astrophysics PPPL</td>
</tr>
<tr>
<td>Davina Brittingham, GCA</td>
<td>PPPL</td>
</tr>
<tr>
<td></td>
<td>Ctr. For Theoretical Sci.</td>
</tr>
<tr>
<td>Geosciences</td>
<td>Psychology</td>
</tr>
<tr>
<td>Lewis Sigler – Genomics</td>
<td>Applied/Comp. Math</td>
</tr>
<tr>
<td>Mellissa Williams, Interim GCA</td>
<td>Mathematics</td>
</tr>
<tr>
<td>Atmos./Oceanic Sci</td>
<td>Courtney Kohut, GCA</td>
</tr>
<tr>
<td></td>
<td>Ecology &amp; Evol. Bio</td>
</tr>
<tr>
<td></td>
<td>PICSciE</td>
</tr>
<tr>
<td></td>
<td>Paula Looney, Assistant Director</td>
</tr>
<tr>
<td></td>
<td>Princeton Neuroscience</td>
</tr>
</tbody>
</table>
### Division 4 - Engineering

<table>
<thead>
<tr>
<th>Paula Looney, Assistant Director</th>
<th>Chi Chung, Sr. GCA</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRISM</td>
<td>Mechanical/Aerospace, Chemical/Biological</td>
</tr>
<tr>
<td>Davina Brittingham, GCA</td>
<td>Teresa D’Artagnan, GCA</td>
</tr>
<tr>
<td>Civil/Environmental Andlinger Center</td>
<td>Computer Science, Ctr Info Tech Policy</td>
</tr>
<tr>
<td>Courtney Kohut, GCA</td>
<td>Statistics/Machine Learn</td>
</tr>
<tr>
<td>Electrical Oper. Rsch/Financial</td>
<td>Statistics/Machine Learn</td>
</tr>
<tr>
<td><strong>OTHER UNITS NOT CLASSIFIED BY DIVISION</strong></td>
<td></td>
</tr>
<tr>
<td>Maureen Thompson-Siegel, Sr. GCA</td>
<td>Dean of the Faculty</td>
</tr>
</tbody>
</table>
Research By The Numbers

Trends and Volume
Fiscal Year 2019 – Proposals

Cumulative Number of Proposals Submitted by Month

Number of Proposals Submitted

Jul  | Aug  | Sep  | Oct  | Nov  | Dec  | Jan  | Feb  | Mar  | Apr  | May  | Jun

FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 | FY 2023 | FY 2024 | FY 2025 | FY 2026 | FY 2027 | FY 2028
Fiscal Year 2019 – Awards
## Proposals and Awards Comparison

<table>
<thead>
<tr>
<th>Year</th>
<th>Proposal Count</th>
<th>Requested Funding</th>
<th>Year</th>
<th>Award Count</th>
<th>Anticipated</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2012</td>
<td>1,084</td>
<td>$647,024,362</td>
<td>FY2012</td>
<td>479</td>
<td>$210,310,848</td>
</tr>
<tr>
<td>FY2013</td>
<td>978</td>
<td>$561,430,132</td>
<td>FY2013</td>
<td>470</td>
<td>$193,187,031</td>
</tr>
<tr>
<td>FY2014</td>
<td>1,097</td>
<td>$719,252,882</td>
<td>FY2014</td>
<td>441</td>
<td>$149,837,377</td>
</tr>
<tr>
<td>FY2015</td>
<td>1,182</td>
<td>$667,693,700</td>
<td>FY2015</td>
<td>509</td>
<td>$236,381,279</td>
</tr>
<tr>
<td>FY2016</td>
<td>1,146</td>
<td>$632,238,097</td>
<td>FY2016</td>
<td>500</td>
<td>$234,622,095</td>
</tr>
<tr>
<td>FY2017</td>
<td>1,143</td>
<td>$671,287,826</td>
<td>FY2017</td>
<td>532</td>
<td>$266,787,016</td>
</tr>
<tr>
<td>FY2018</td>
<td>1,109</td>
<td>$757,859,894</td>
<td>FY2018</td>
<td>538</td>
<td>$259,106,823</td>
</tr>
<tr>
<td>FY2019</td>
<td>1,003</td>
<td>$700,394,690</td>
<td>FY2019</td>
<td>516</td>
<td>$305,191,660</td>
</tr>
<tr>
<td>Grand Total</td>
<td>8,742</td>
<td>$5,357,181,584</td>
<td>Grand Total</td>
<td>3,985</td>
<td>$1,855,424,128</td>
</tr>
</tbody>
</table>
Coeus Training

A fun announcement!
Coeus Training Videos Released!

6 playlists

32 videos total

Watch anytime/anywhere with an internet connection!

So exciting!!

Super fun!

Spread the word!
Coeus training videos are now on Princeton Media Central and are separated into playlists.

They include:

- Coeus Background, Launching and Searching
- Coeus Proposal Development
- Coeus Submit, Approve, Reject, Recall + Inbox
- Coeus Budgets
- Coeus Cost Sharing
- Coeus Proposal Hierarchy
Manuals Still Available!

PDF guides

Step-by-step annotated screenshots

Still amazing!
Office of Research and Project Administration

Guides

BASICS

- Top 10 Coeus questions and answers
- Info & Searching Quick Guide: What is Coeus? How do I view proposal attachments & budgets? How do I find all proposals submitted to a particular Sponsor or by a Department?
- Toolbar Guide: What are all these buttons?

DETAILED GUIDES

- Background & Searching
- Proposal Checklist
- Proposal Development
- Budget
- Proposal Hierarchy
- Coeus Bugs & Workarounds, Medusa, IP, Pre-Prime Award & Subaward Modules

COST SHARING

- Coeus Cost Sharing
- Cost Sharing Business Process Quick Guide
- Cost Sharing Business Process Detailed Guide

APPROVE / RECALL / REJECT PROPOSALS

- Coeus Lite Approval Quick Guide: On your mobile device
- Coeus Premium Approval Quick Guide: With Premium
Coeus Replacement Project

The plan, the team, the kickoff
Naming the Coeus Replacement Project
Core Project Team

▶ ORPA
  ▶ Elizabeth, Kyle, Paula, Maureen, Francine

▶ PATCO
  ▶ Larry Jurak, Project Manager
  ▶ Martin Harrison, Project Consultant

▶ OIT
  ▶ Donna Lawrence, Director, PAC, OIT
  ▶ Ian Finch, Manager, PAC, OIT

▶ Huron Partners
  ▶ Tony Haber, Project Executive
  ▶ Tim Schleicher, Delivery Director, Project Manager, Subject Matter Expert
  ▶ Marlo Cordio, Business Analyst
Huron Research Suite
System Implementation

Grants
• Proposals

Agreements
• Non-Funded Agreements

Research Profile
• RCR Tracking
# Implementation Timeline

<table>
<thead>
<tr>
<th>Task</th>
<th>Fall 2019</th>
<th>Winter 2020</th>
<th>Spring 2020</th>
<th>Summer 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kickoff</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Onboarding</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Configuration</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Testing</td>
<td></td>
<td></td>
<td></td>
<td>#1</td>
</tr>
<tr>
<td>Training</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Go live</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Subawards

FDP, tracking process and more
Subawards

› Assistant Subaward Administrator – Open Position
  › Delays-Priority Matters

› Subaward Tracking Matrix
  › What we found...metrics
  › Plans to distribute

› Brown Bag – Proposals/Invoice Approvals
  › Survey Results

› FDP Member
  › Focused training to come
### Initiations

- **# of Initiations Pending - ORPA**: 7
- **# of Initiations Pending - OTHER**: 3
- **# of Initiations Completed**: 12
- **Total # of Initiations Filed**: 15

**AVERAGES**
- **# of Days to Begin**: 10
- **# of Days to Draft**: 5
- **# of Days to FE**: 24
- **Average turn-a-round time**: 20

- **# of Events**: 15
- **# of Contracts**: 0

### Modifications

- **# of Modifications Pending - ORPA**: 7
- **# of Modifications Pending - OTHER**: 3
- **# of Modifications Completed**: 12
- **Total # of Modifications**: 39

**AVERAGES**
- **# of Days to Begin**: 10
- **# of Days to Complete**: 4
- **Average turn-a-round time**: 13

**MODIFICATIONS**

- **Processed**
  - May: 7
  - June: 5
  - July: 4

- **Received**
  - May: 12
  - June: 2
  - July: 2

**Average Turn-around Time**

- **Initiations**: May: 21, June: 21, July: 18.5
- **Modifications**: May: 22, June: 11, July: 6

---

Office of Research and Project Administration
NIH: Other Support Updates/Clarifications
NIH Clarification: Other Support, Foreign Components, and FCOI


▶ FAQ (August 6, 2019) - https://grants.nih.gov/grants/faq-other-support-foreign-components.htm
NIH – Other Support

- Required for PI and all senior/key personnel.
- Must report *all* resources supporting or relating to their research regardless of monetary value or wherever located.
- Captures all domestic and foreign support.
- Includes in-kind support, lab space, materials, staff, and travel and living expenses.
- At proposal – Report in CVs all domestic and international positions held including all affiliations with foreign entities or governments.
NIH – Foreign Component

- Existence of any “significant” scientific element or segment of a project” outside of the United States whether or not NIH funds are used.
- Some examples of significant:
  - collaborations resulting in co-authorship,
  - use of facilities or instrumentation at foreign site,
  - receipt of financial support or resources from foreign entity.
- Reported on the R&R Other Project Info form at proposal stage.
- Prior approval required to add foreign component at award stage.
NIH - FCOI

- Reminder to PIs to disclose significant financial interests to institutions, including disclosure of financial interests from a foreign institution of higher education or foreign government.

- Penalty for nondisclosure:
  - Withdraw approval of PI,
  - impose specific award conditions,
  - disallow costs,
  - withhold future awards,
  - suspend or terminate award.
Publications

We must give credit where credit is due
Each award contains a general terms and conditions clause detailing the PI and grantee responsibilities for their obligations regarding both the **acknowledgment of support** and **disclaimer**.

The **acknowledgment** must identify the award by number (e.g., “the material is based upon work supported by SPONSOR under award No(s) XXXXX” (as shown on the award notice)).

The acknowledgment must also include a **disclaimer** (e.g., “that any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the SPONSOR”).
NSF OIG Audit

Finding 4 – Publication (Non-Financial Impact)
Finding – Compliance

Princeton personnel did not comply with NSF terms and conditions; however, no financial impact was recognized as a result of the non-compliance. *The award identified was not in compliance as the PI did not acknowledge the contributions of NSF Award No. XXXXX to the University’s publication.*

Princeton did not contest this finding and will incorporate the need to properly cite NSF support into faculty informational training.
Consequences for Non-Compliance

Recent NSF no cost extension was significantly delayed due to late technical reports AND, the PI was told, rather sternly, that the publication acknowledgment was “not in accordance with NSF guidelines”.

Per the Program Manager:

“Please note that acknowledgement of the award in many listed publications is sloppy.”

“I will not approve future reports which contain papers that do not properly acknowledge the award as “DMR-XXXXXXX” consistent with the terms and conditions of the award.”

“This is easy to determine using the Web of Science (huge searchable index of scientific publications)”

“Any request for an NSF-approved No Cost Extension should include a statement assuring that future publications will properly acknowledge the award.”
Publications – NIH - Consequences

› PI submits annual Research Performance Progress Report (RPPR) with citations that are out of compliance with NIH Public Access Policy.

› Compliance with policy is a legal requirement and a term and condition of all NIH awards. As a result, the award is issued with restrictions:
In the absence of compliance with NIH Public Access Policy, as detailed below, a restrictive award will be issued with the following restriction: all funds for this grant are restricted with the exception of those costs associated with patient care and/or animal care (as appropriate).

These funds remain restricted until the outstanding publications listed below are compliant with the public access policy and the NIH awarding institute has issued a revised NOA removing this restriction.

Failure to comply with this requirement may result in further actions that may affect future funding.
Publications - NIH

› PI must log in to My NCBI (Nat’l Centre for Biology Information) to enter publications and update compliance status.

› Resources
  › [https://publicaccess.nih.gov/](https://publicaccess.nih.gov/)  
    › When and how to comply with NIH policy.
  › [https://publicaccess.nih.gov/include-pmcid-citations.htm](https://publicaccess.nih.gov/include-pmcid-citations.htm)  
    › Instructions on how to properly cite papers.
  › [https://publicaccess.nih.gov/communications.htm](https://publicaccess.nih.gov/communications.htm)  
    › Helpful videos and Power Point presentations.
e-Verify Process Update

Requirements for Federal Contracts
New e-Verify Form

- Accessed via the ORPA website
- Requesting Department must complete and sign this form and send it to ORPA for processing prior to the contract being signed.
- ORPA will then route to appropriate office for e-verification and signature:
  - Human Resources—faculty, research staff
  - Graduate School—graduate students
  - Office of Student Employment—undergraduate students
- Once the completed form(s) is received by ORPA, the contract is signed and chart-string created
- Post Award: it is the requesting departments responsibility to immediately initiate the e-Verify process for personnel added or journaled to this contract after the chart-string has been established.
  - In all instances, e-Verify is required prior to the individual(s) being paid or journaled to a project.

<table>
<thead>
<tr>
<th>Position Assigned to Contract</th>
<th>Name</th>
<th>University Job Title</th>
<th>Employee ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator (required field, even if salary is not budgeted)</td>
<td>Faculty/Staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Students</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate Students</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I acknowledge that the information submitted above is accurate. I understand it is my responsibility to immediately initiate the E-Verify process for personnel added or journaled to this contract after the chart string has been established.

<table>
<thead>
<tr>
<th>Authorized Department Rep. Name</th>
<th>Title</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>All personnel listed on this form have been successfully E-Verified.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Human Resources Rep. Name</th>
<th>Title</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate School Rep. Name</td>
<td>Title</td>
<td>Signature</td>
<td>Date</td>
</tr>
<tr>
<td>ORPA, Undegrad. Stdnt. Empl. Rep. Name</td>
<td>Title</td>
<td>Signature</td>
<td>Date</td>
</tr>
</tbody>
</table>

Office of Research and Project Administration
e-Verify Compliance Update

- **Reminder:** e-Verify is required on Federal contracts (whether we are the prime or a subawardee).
- ORPA and other stakeholders are receiving a monthly status report that will identify individuals paid on contracts who were not e-Verified.
  - Departments will be immediately notified when they will be required to initiate/complete e-Verify or remove the charges.
- Labor Accounting “Alert” in pipeline
  - When department administrator is entering the LA distribution, an “Alert” will appear over the project number if that project carries the e-Verify requirement.
  - This “Alert” will remind the department administrator to confirm that the individual was e-Verified prior to doing the LA distribution.
Faculty Research Forum

New Initiative for Incoming Assistant Professors
What is the Faculty Research Forum?

- An innovative initiative for newly hired tenure-track faculty
- Sponsored by the Dean for Research and its offices
- It is a research orientation program to position these new faculty for success
- Its purpose is to develop relationships between faculty and relevant offices/subject matter experts
How Will It Be Organized?

- Invitations have been extended and builds on the New Faculty Institute hosted by the McGraw Center that is complementary to their focus on teaching and learning.
- Two year duration
- Two cohorts - Humanities/Social Science and Science/Engineering
- Each participating in four panel discussions per year
- Each year we will add in a new cohort that will overlap with the existing members
Session Topics Will Include:

- Seeking Funding
- Early Career Awards
- Data, Data Everywhere
- Regulations and Research
- Financial Management

- Intellectual Property and Innovation
- Scholarship and Publishing
- Research in the Public Eye
- Creating a Culture Around You
Expected Outcomes and Benefits

› Engagement
  › New faculty will develop relationships with the relevant offices that will help propel their careers
  › Serve as a gateway to deeper dives offered by DFR and other campus units through individual consultations and other training/support resources

› Awareness
  › Resources available on campus to support their needs
  › Better understanding of compliance issues

› Success
  › Measurable outcomes for research proposals/awards
  › Maximize opportunities for peer networking and sharing of experiences
Faculty Academic Year Effort

Focus Group Exploring . . .
Focus Group on Academic Year Effort

➤ ORPA and SRA held a focus group on 9/10/19 to discuss academic year (AY) time, effort commitments and certifications and cost sharing.

➤ Discussions are ongoing on policies and procedures regarding AY effort commitments and effort certifications.

➤ If you have a PI that has completed AY effort in lieu of summer time effort commitments, please reach out to discuss how to document this time within the system.

➤ Guidelines, procedures and training is being planned for this year.
SRA Update
Happenings from SRA

NSF Audit Resolution

It is over! And, they ruled in Princeton’s favor!

<table>
<thead>
<tr>
<th>Finding</th>
<th>Description</th>
<th>Questioned</th>
<th>Disallowed</th>
<th>Allowed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Unallocable and/or Unreasonable Expenses Near and After Award Expiration</td>
<td>$433,819</td>
<td>$53,687</td>
<td>$380,132</td>
</tr>
<tr>
<td>2</td>
<td>Unreasonable/Unallowable Travel Costs</td>
<td>$2,202</td>
<td>$2,202</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>$436,021</strong></td>
<td><strong>$55,889</strong></td>
<td><strong>$380,132</strong></td>
</tr>
</tbody>
</table>

Lessons Learned

- Concur Audit Rules
- Award Management Summary enhancements
Happenings from SRA

▷ SRA Staffing
  ◦ New analyst – Diane Brown
  ◦ Department realignments

▷ Stay Tuned
  ◦ Fabricated Equipment Form
  ◦ Effort Certification
  ◦ Wrap-up Sessions (e.g. Budget Period Restrictions)
Questions?
The Quiz Clickers Are New Too!
Question #1

If you need training on Coeus, what is your best next step(s)?

a) Meet with Kyle one on one  
b) Watch the fantastic new video series  
c) Use the Coeus guides  
d) B and C  
e) All of the above
Question #2

What is the Coeus Replacement project called?

a) Huron
b) Core
c) PeopleSoft Grants System
d) Coeus Rebooted
Question #3

Once an award is set up that includes e-Verify, who is responsible for insuring that new individuals receiving salary are e-Verified?

a) ORPA  
b) SRA  
c) HR  
d) Department Administrator  
e) PI
Question #4

What are the outcomes of improper/incomplete citations in publications?

a) Restricted funding  
b) Delay in approval of no cost extensions  
c) Delay in review of pending proposals  
d) All of the above
THANK YOU