Sponsored Programs Administration

May 24, 2018
AGENDA

Open Mike
- SPA Man Replacement
- NSF Desk Review
- Consulting Invoice Payment Change

Procurement Updates
- FDP
- Uniform Guidance
- Husky Buy

OVPR/SPS Information
- Training Update
- Policy Updates
- Effort Reporting
- Payroll Updates
- Year End Reminders

NIH News and Information
- Current Executive Level II Pay Scale
- NRSA Stipends, Tuition & Fees – FY18
- Career Awards Policy Update
- eRA Commons - Delegation
Open Mike

- SPA Man Replacement
- NSF Desk Review
- Consulting Invoice Payment Change

Mike Glasgow
Jonathan and not SPA MAN
Procurement Updates

Agenda
- FDP
- Uniform Guidance
- Husky Buy
- Q&A

Matt Larson, Director, University Business Services
BJ Pivonka, Procurement Analyst, Procurement Services
Prepared by Procurement Services
FDP Updates

• Peer Discussion Group

• Key Takeaways
  – Non-research personnel (i.e. Procurement & SPS) are subject to the Conflict of Interest section
    • These also cannot be managed
  – Negotiate for Profit for sole sources only applies above $150k.
  – Micro-purchase update
  – OMB not expected to make any updates before 7/1
Key UG Effects on Procurement

Four core areas PS is focusing on for UG compliance:
- Sole Sources
- Faculty Research Consulting (Under Construction)
- Micro-purchase Threshold
- Conflict of Interest
Sole Sources

What We Know

– ONLY 4 Justifications under UG (NO EXCEPTIONS)
  • Product/Service only available from a single source
  • Public Emergency (no time to go through procurement process)
  • Federal Awarding Agency Authorization (“expressly” authorized)
  • Inadequate competition after multiple attempted solicitations

What We Do Not Know

– What are the appropriate documentation and institutional practices to support the use of a sole source?

What is Still in Play

• PS is developing a new SSJ form for both federal and non-federal funds.
• Continued campus awareness to new SS guidelines for granted funded procurements.
What does this mean for Sole Source Justifications?

• These four justifications are more constrictive than previous guidelines. You must find a way to fit into one of these options
• Poor planning is not an emergency
• Researchers must ask the funding agency for permission to acquire a product/service via sole source AND must receive an answer in writing to justify the Federal Awarding Agency Authorization option
• Notice that the new SS criteria does not recognize the importance to some experiments of maintaining the same source, to avoid discrepancies in results, i.e. control reasons, continuity of research
• Research Tool: Example Sole Source Hypotheticals
Faculty Research Consulting Agreements (Under Construction)

• Requirements clarified due to UG
• Procurement will assume the following functions…
  – Sourcing
  – Contract Negotiation
  – Contract Award
• SPS will continue to manage…
  – Contract Administration
Conflict of Interest

- Bars conflicts of interest for anyone associated with selection, award, or administration of contract
  - This includes procurement personnel.
  - No more managed conflicts
  - No financial benefit, tangible personal benefit, or other interest
  - PS is working with UCH procurement to create a uniform COI for the University
Negotiate for Profit

• Must negotiate for profit when there is no price competition or any time a cost analysis is performed

• When to perform a cost analysis (technically):
  – RFPs over $150k (but…you can do a price analysis instead); OR
  – Sole Source procurements over $150k

• Independent Estimates
  – Any procurement over $150k the stakeholder MUST make an independent estimate of the costs from the procurement before solicitation.

  • This can be through informal quotes, comparing prior purchases, reviewing consortium contract pricing or reviewing online or written information
May HuskyBuy Evolution Update

HuskyBuy Evolution Project Status

– The new HuskyBuy Supplier Portal (which replaces PaymentWorks) went live on 5/16.
  • Existing UConn suppliers can now update and manage their company information directly in the HuskyBuy Supplier Portal.
  • New suppliers can register and receive approval from the UConn supplier management team through this portal as well.

– ePro User Acceptance Testing (UAT) was completed on 5/16. The system has been migrated to production.

– A pilot program will go-live on 5/29 with select users and departments involvement. This will last approximately 5 weeks.
  • Pilot program training for those select end users will be completed during the week of 5/21.

– Full Campus Training will be conducted during the entire month of June. Users will be trained based on the particular role that they will be assigned within HuskyBuy (Shoppers, Requesters, Approvers).
  • The project team will also be visiting each regional campus during the week of 6/4 to provide in-person, hands-on training.

– ePro Full Campus Rollout will occur on July 2, 2018.
## May HuskyBuy Evolution Update

### Project Timeline

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- **Sourcing**: Go-Live (Impacts only Purchasing Dept.)
- **Supplier Management**: Go-Live
- **eProcurement**: Pilot
- **Change Management**: Town Hall #1
- **Training**: Pilot
- **Road Show Planning and Execution**:
  - Provost Office
  - Dean’s Council Meeting
  - Department Head Meeting
  - Regional Campuses

**Project Kick-Off**

*Slide Prepared by Procurement Services*
Training Update

Brenda Lowther
Training Overview

UConn Cross Campus Training Program

Short-Term Goals
- Online "Existing Employee" Trainings
  - Introduction to RA Training, Preaward, Compliance, Postaward
- In Person New Employee & Remedial Trainings
  - Introduction to RA Training, Preaward, Compliance, Postaward
- 10-20 min Training Videos for Leadership and Staff Meetings
- Professional Development Courses
- CRA Preparation Program
- Guest Speaker Series/Workshops

Long-Term Goals
Questions, Comments, Suggestions?

Brenda Lowther

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Policy Updates

- Sponsored Project Expenditures
- Cost Transfers
- Effort Reporting

Daniela Parciasepe
New Policies

**Sponsored Project Expenditures**

- **REASON FOR POLICY:** To ensure the charging and approval of direct cost expenditures are in compliance with the standards set forth in 2 CFR Part 200, Subpart E (commonly referred to as Uniform Guidance).
- **APPLIES TO:** Faculty and Staff conducting Sponsored Program Activity at UConn.
- Items covered in Policy:
  - Responsibility of the Principal Investigator (PI)
  - Sponsor prior approvals
  - Waiver of certain prior written approvals
  - Allowability of Costs, Uniform Guidance 200.403

**Cost Transfers on Sponsored Projects**

- **REASON FOR POLICY:** To ensure transfers of costs to a sponsored project, after the initial charge was made elsewhere in the University's accounting system, complies with federal and other sponsoring agencies policies, terms and conditions and University requirements.
- **APPLIES TO:** All faculty, staff, students and other involved in the administration of sponsored projects.
- Items covered in Policy:
  - Responsibility of the PI or his/her designee, Department Administrator and Financial Officer (FO)
  - Supporting documentation to support a cost transfer
  - When cost transfers are allowed and not allowed
New Policies Continued

- Effort Reporting
  - **REASON FOR POLICY:** This policy documents the University’s compliance with the Office of Management and Budget (OMB) Uniform Guidance 2 CFR 200.430(i) which sets standards for documentation of personnel expenses charged to federally sponsored projects and other sponsored project accounts or to an institutional account used to track cost shared or matched effort to fulfill a commitment to a sponsoring agency.
  - **APPLIES TO:** All faculty, staff, students and other involved in the administration of sponsored projects.
  - Items covered in Policy:
    - Standards records must follow
    - Who is to review the reports

Policies are posted on our website at the following link → [https://research.uconn.edu/sps-proposals/proposal-preparation-guidelines/pre-award-roles-and-responsibilities/proposals-and-awards-policies/](https://research.uconn.edu/sps-proposals/proposal-preparation-guidelines/pre-award-roles-and-responsibilities/proposals-and-awards-policies/)
Upcoming Revisions

- Sponsored Project Expenditures and Cost Transfers on Sponsored Projects
  - To clearly outline Roles and Responsibilities

New Policy to be Released

- Budget and Expenditures Monitoring Policy
Research Effort Reporting

Kristin Winot
Effort Reporting Notes

Fall effort reports are due **Wednesday 6/6/2018**

**Appointments Changes**
- Commitment percentages need to be adjusted when appointment terms change
  - 1 month commitment for a 9 month employee is 11%; however, it becomes 8% if they convert to a 12 month employee
- Notify SPS by submitting a Commitment Change Form

**Employee Terminations/Separations**
- Reports can be generated and certified early if employees are separating
- Notify Kristin as soon as possible
Payroll on Grants

9 & 10 Month Faculty Payroll

- Distribution changes for summer months are not needed
  - No need to shift to 2-ledger accounts for the summer
  - Payroll distributions can list grant account through summer months
  - No charges will remain on any account after accruals reverse
- **UNLESS** the grant ends in the summer
  - Process distribution changes with grant end date (or earlier) to:
    - Avoid unnecessary transactions on your account
    - Prevent delays in account closeout
Payroll on Grants

**Summer Special Payroll**
- Should already have been done with the *Summer Pay Indicator* checked on the SmartHR Template

**Furloughs**
- Ending - last furlough with PPE 06/07/2018

**Longevity**
- Normally paid out in April – to be paid in July 2018
- For 9/10 month faculty, longevity payments will be accrued to charge accounts in May (with a PPE_04/12/2018 description)

**AAUP & UCPEA $2K One-time Bonus**
- Will not be charged to grants nor included in effort reports
Year End Reminders

- Check continuation accounts for charges
- Effective July 1st SPS will not be able to close accounts until after the hard close of the Fiscal Year (scheduled for August 3rd)
- Project account balances will be loaded on July 2nd and will be “pending” entries until the hard close
- SPS will be able to post to Period 13. Please contact your Post-Award team if you need assistance with a grant related entry that needs to be posted to FY18
NIH Updates

- Current Executive Level II Pay Scale
- NRSA
- Career Awards Policy Update
- eRA Commons - Delegation

Jen Johnson
Federal Executive Pay Scale

- Effective January 7, 2018
- Salary Limitation Executive Level II - $189,600
- If funds are available in active awards, and if the salary cap increase is consistent with the institutional base salary, grantees may rebudget to accommodate the current Executive Level II salary level
- Notice Number: NOT-OD-18-137
- UConn HHS Salary Cap Calculator
NRSA Stipends, Tuition/Fees FY18

Stipend levels for FY 2018 Kirschstein-NRSA awards have been issued per [NOT-OD-18-175](https://research.uconn.edu)

- Training Related Expenses and Institutional Allowance for postdoctoral trainees and fellows have been increased
- Training Related Expenses and Institutional Allowances for predoctoral trainees and fellows and the Tuition and Fees for all educational levels remain unchanged

[FAQ’s Related to NRSA Tuition, Fees and Health Insurance Policies](https://research.uconn.edu)
NIH has updated its policy regarding concurrent support from mentored career development award and a research grant:

- Expands the categories of concurrent support for which mentored K awardees may request reduction of effort to include peer-reviewed research grants of at least $100,000 direct costs, from non-federal sources (foundations, professional societies);

- During the period of reduced effort, NIH will continue to provide full research development support costs (Other Personnel, Equipment, Travel, Participant/Trainee Support and Other Direct Costs budget categories).

- Notice Number: NOT-OD-18-157
PI Delegation in eRA Commons

Users can delegate authority to other users with the assistant (ASST) role to:

• Update Personal Profile information for PIs
• View application status info (does not include summary statement or priority score)
• Prepare interim (RPPR) and final (F-RPPR) progress reports

And on Training Grants:
• Complete trainee appointments and terminations
• Create research training tables

Additional Information:
• https://era.nih.gov/reg_accounts/manage_delegations.cfm
Next Meeting:

June 13, 2018
11:00 a.m.
Laurel Hall Rm. 205
(room subject to change)

Have a question or topic you would like covered at the SPA Meetings?
Email brenda.lowther@uchc.edu