Agenda

Procurement Services
- FDP Updates
- Jaggaer

Pre-Award
- Federal Agency Updates
- Grants.gov Transition to Workspace
- NIH FORMS-E

Post-Award
- GONE Act
- Certificate of Confidentiality
- Greenphire Update
- Adjustments/Credits on Grants

Effort Reporting
- Updates and Reminders
- New Screens

UConn Salary Calculator
- Updated Calculator for Furlough Days
Procurement Services
September FDP Conference Key Updates

• Procurement Rules “Go-Live” Date
  • 5/17: OMB announces the one year extension for the grace period for implementation of the Procurement section of Uniform Guidance.
  • 7/1/18 is the official “go-live” date.

• Micro-purchase Threshold
  • National Defense Authorization Act & American Innovation and Competitiveness Act seem to increase threshold to 10k.
  • HOWEVER...this is not reflected in the official UG text yet.
  • When can IHEs start using the 10k threshold? How can IHEs request a MPT higher than 10k? (discussion at other IHEs, not UConn, 10k matches state statutes)
    • What is considered a “clean audit?” (one-off or systemic issue?)
    • What internal controls will be acceptable? How will this be determined?
    • What kind of risk analysis would be acceptable?
    • Who should the appeal for a higher threshold be sent to?
September FDP Conference Key Updates (cont.)

• Unanswered Questions Posed at FDP Procurement Session
  • How should IHEs document “negotiating for profit” when the vendor refuses to share the necessary information?
  • With the new COI, is there any way for managed conflicts to be allowed?
  • How should the new COI rules be communicated to the campus (i.e. faculty buying from their own companies is NOT allowable under UG)?
  • How strict should the Sole Source exemptions be interpreted? How should the exemptions be communicated to the campus community?
    • Procurement agent is now responsible for their transactions.
Uniform Guidance – Federal Register

• New UG updates should be coming soon in the Federal Register
  • UPDATE: 9/17 – STILL no update from OMB on when the Federal Register update will occur. FDP and COGR are unsure on when this will occur since it is so late.
  • Procurement Services will keep you up to date on its website:
    • http://purchasing.uconn.edu/uniform-guidance/
Jaggaer

- **Project Kickoff: September 6\(^{th}\), 2017**
- Procurement will be seeking research community involvement
- Creating a Jaggaer-specific website to keep community informed
  - ETA October
- Creating a “Readiness Council”
  - Each department or division will have a representative
- Targeted “Hard Go-Live”: July 2\(^{nd}\), 2018
Lab Suppliers – Contract Portfolio Update

• Fisher Scientific contract has been signed
• VWR (secondary supplier) negotiations just finishing
• Westnet – negotiations have been initiated
• A communication launch will be circulated after VWR is signed
• Lab Supplies website to launch in November
One University Initiative

• Procurement Services is working with the OVPR to better align the researcher experience at UCH with that of Storrs/Regionals
Pre-Award
Federal Agency Updates

All Federal Agencies

• Although some agencies (e.g., NIH and NSF) extend the deadline to the next business day if it falls on a weekend or federal holiday, this is not true for all agencies (e.g., NOAA). Unless stated in the solicitation or agency policy, assume that the deadline is hard.

NIH

• Some Institutes/Centers are prohibiting salary increases in proposal budgets and will reduce the budget accordingly at time of award. This impacts all proposals awarded by NHLBI and may impact other areas as well.
• Pre-Award recommends no salary escalations for NHBLI budgets and will respect the decision not to escalate in NIH proposals in general.

NSF

• Research.gov transition update (initial launch planned for winter/spring 2018)
Grants.gov Transition to Workspace

Now
- Workspace is available for use

January 1, 2018
- PDF forms no longer available to download

April 1, 2018
- Only Workspace applications will be accepted, PDF forms will not be accepted

Steps to use Workspace
- Create a grants.gov account (enter UConn’s DUNS 614209054): https://apply07.grants.gov/apply/OrcRegister
- Search for the application package
- Select the option to apply using Workspace

Option 1: Apply Now Using Workspace
- Login to Apply Now »
Grants.gov Transition to Workspace

Resources
• Creating a Workspace package:
• Completing a Workspace package:

Current Issues/Concerns
• SPS will not have the ability to view the attachments, until this is resolved, attachments must also be emailed to SPS

NIH
• NIH applications may be submitted through either ASSIST or Workspace
FORMS-E must be used for all applications with due dates on or after January 25, 2018

FORMS-D must be used for all applications with due dates on or before January 24, 2018

Major Changes
• Removed Human Subjects section (protection of human subjects, data safety and monitoring, inclusion of women and minorities and inclusion of children)

Timeline
• 10/25/17 or earlier: Application guides available
• 11/10/17 or earlier: Application packages available

Post-Award
The Grants Oversight and New Efficiency Act (GONE Act) was signed into law on January 28, 2016 in response to the increasing amount of expired grants in the Department of Health and Human Services’ (HHS) Payment Management System (PMS)

<table>
<thead>
<tr>
<th>GONE Act Deliverables</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report #1 Each federal agency to submit to Congress and the Secretary of Health and Human Services a report that:</td>
<td>31 DEC 2017</td>
</tr>
<tr>
<td>• Lists each federal grant held by their agency;</td>
<td></td>
</tr>
<tr>
<td>• Provides the total number of federal grants, including the number of grants—</td>
<td></td>
</tr>
<tr>
<td>– By time period of expiration;</td>
<td></td>
</tr>
<tr>
<td>– With zero dollar balances; and</td>
<td></td>
</tr>
<tr>
<td>– With undisbursed balances;</td>
<td></td>
</tr>
<tr>
<td>• For agencies with federal grants, describe the challenges leading to delays in grant closeout; and</td>
<td></td>
</tr>
<tr>
<td>• For the 30 oldest federal grants of each agency, provide an explanation why the grants have not been closed.</td>
<td></td>
</tr>
<tr>
<td>Report #2 The Secretary of Health and Human Services will submit a report to Congress indicating (1) if the expired grants in Report #1 have been closed and (2) which grants have not been closed out.</td>
<td>31 MAR 2019</td>
</tr>
<tr>
<td>Report #3 The Director of the Office of Management and Budget (OMB) and the Secretary of HHS shall submit a report to Congress on recommendations (if any) for legislation to improve grants management accountability and oversight, including the timely closeout of federal grants.</td>
<td>30 SEP 2019</td>
</tr>
</tbody>
</table>
NIH has updated their Certificate of Confidentiality (CoC) policy. New Policy, NOT-OD-17-109, effective October 1, 2017, which offers:

- Privacy protection for individuals participating in NIH funded research studies.
- Elimination of NIH funded investigators having to apply for a CoC.

All ongoing or new research funded by NIH as of December 13, 2016 that is collecting or using identifiable, sensitive information is automatically issued a CoC. Compliance requirements are outlined in the NIH Grants Policy Statement, which is a term and condition of all NIH awards.

NIH will no longer issue a physical certificate. You may point to your Notice of Award and the NIH Grants Policy Statement as documentation of the CoC protection.

The awardee must ensure that anyone who is conducting research as a subawardee or receives a copy of identifiable sensitive information protected by the policy understand they are also subject to the disclosure restrictions, even if they are not funded directly by NIH.
Recipient Responsibilities – Applying the Policy

To determine if this COC Policy applies to research conducted or supported by NIH, investigators will need to ask, and answer the following question:

• Is the activity biomedical, behavioral, clinical, or other research?

If the answer to this question is no, then the activity is not issued a Certificate.
Recipient Responsibilities - Applying the Policy (Continued)
If the answer is yes, then investigators will need to answer the following questions:

- Does the research involve Human Subjects as defined by 45 CFR Part 46?
- Are you collecting or using biospecimens that are identifiable to an individual as part of the research?
- If collecting or using biospecimens as part of the research, is there a small risk that some combination of the biospecimen, a request for the biospecimen, and other available data sources could be used to deduce the identity of an individual?
- Does the research involve the generation of individual level, human genomic data?

If the answer to any one of these questions is yes, then this Policy will apply to the research.
Recipient Responsibilities - Will I ever need to extend or amend my CoC?

• If your NIH-funding will or has ended but the collection of new data from research participants will continue without NIH-funding you will need to apply for a CoC for continuity of protections using the CoC application system.

• If your NIH funding will or has ended but your study has completed all enrollment and data collection, there is no need to extend the Certificate. Sensitive, identifiable research information maintained by investigators during any time a Certificate is in effect, is protected permanently.
Human Subject Payment System (Debit Card based system)
• Contract was signed by the CT Attorney General Office on 10/5/17
• A Pilot Group will be formally contacted to be trained and begin using the systems for payments.
• Procedures and Quick Guides are planned to be developed during pilot.
• Full rollout and training is anticipated to begin in approximately eight weeks.
Adjustments/Credits on Sponsored Accounts

- **Vendor Credits**
  - Return of purchases
  - Corrections of billing errors

- **Payroll Credits**
  - Payroll after the end date of Grant
  - Overpayments to employees (e.g., late processing of separation)

- **Escheatments**
  - Unclaimed payments (e.g., non-cashing of checks for travel reimbursements)

**How to handle:**
- If Grant is still active, credits should be applied to the account the original charge was allocated to; and
- If Grant has ended, please contact SPS for guidance.
Effort Reporting
Effort Reporting Updates

• Spring 2017 report – Due back from departments by 11/1/2017
• New Excel Export on Report Period Overview – School level screen
• New Quick Guides to be launched
  • Commitment Comparison Screen (formally Effort Reporting Details)
  • Commitment Information by Project
  • Commitment Information by Person
• Don’t forget to check the commitments! New wording on screens to help certifiers remember as well.
Commitment Comparison Screen

Accessed from an Effort Report, this screen compares the Calculated, Committed and Actual Effort for a given effort report. It is broken out into Paid and Cost Share components, where applicable. This guide is an easy way to check the actual pay against budgets, as well as paid effort and actual effort certified against the commitments. Any Questions? Please contact: Kristin Winot, Effort Reporting Specialist, at 860-486-5067 or kristin.winot@uconn.edu.

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### Commitment Comparison

#### Employee Name: Employee Number: Report Period: Report ID:

#### Paid effort (based on actual payroll transactions) and cost shared effort included in the effort report

<table>
<thead>
<tr>
<th>Inferred Proposal</th>
<th>Project Title</th>
<th>Paid Amount</th>
<th>Paid Effort</th>
<th>Cost Shared Effort</th>
<th>Total Calculated Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>111111</td>
<td>Project Name 1</td>
<td>$5,000.00</td>
<td>5%</td>
<td>0%</td>
<td>5%</td>
</tr>
<tr>
<td>222222</td>
<td>Project Name 2</td>
<td>$0.00</td>
<td>0%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>333333</td>
<td>Project Name 3</td>
<td>$10,000.00</td>
<td>10%</td>
<td>5%</td>
<td>15%</td>
</tr>
<tr>
<td>444444</td>
<td>Project Name 4</td>
<td>$0.00</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

#### Current commitments in the ECC system, prorated for this period

<table>
<thead>
<tr>
<th>Effort entered by the PI/Faculty member</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Paid Effort</td>
<td>5%</td>
</tr>
<tr>
<td>Cost Shared Effort</td>
<td>0%</td>
</tr>
<tr>
<td>Total Calculated Effort</td>
<td>5%</td>
</tr>
</tbody>
</table>

#### Actual Effort as reported on effort report

<table>
<thead>
<tr>
<th>Effort entered by the PI/Faculty member</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Paid Effort</td>
<td>5%</td>
</tr>
<tr>
<td>Cost Shared Effort</td>
<td>0%</td>
</tr>
<tr>
<td>Total Calculated Effort</td>
<td>5%</td>
</tr>
</tbody>
</table>

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**Review the effort on each project. Are there any concerns?**

- **Project 1:** The **Calculated Paid Effort** and **Committed Paid Effort** match. **Actual Effort** on the report is at least 5% of the commitment, so the commitment was met. Both sides are good; this project is OK.

- **Project 2:** The **Calculated Paid Effort** and **Committed Paid Effort** match so that is OK. The **Actual Effort** is 0%, which is less than the 10% **Committed Cost Shared Effort**, so it appears that the commitment was not met. Follow up is needed to determine if the commitment or actual effort needs to be changed.

- **Project 3:** The **Calculated Paid Effort** and **Committed Paid Effort** are different. Is a commitment change needed? **Actual Effort** on the report is lower than the commitment. Follow up is needed to determine if the commitment or actual effort needs to be changed.

- **Project 4:** The **Calculated Paid Effort** and **Committed Paid Effort** are different. Is a commitment change needed? **Actual Effort** on the report is more than the commitment, which appears to have been met.

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**Compare the Calculated Effort, Committed Effort and Actual Effort for each project...**

- **Is the commitment in the system correct?**
- **Was the employee paid as the committed?**
- **Does the Actual Effort recorded meet the commitment for the period?**

**Commitments are identified in the original proposal budget and any subsequent communications with the sponsor. If the effort report shows the amount paid and budget are different, the department should confirm that changes are not needed.**

**Effort reports are the way UConn documents that commitments to sponsors were met. If the Actual Effort is less than the commitment, SPS Post Award should be notified of changes through a Commitment Change Form or by email.**

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**Quick Guide**

**UCONN RESEARCH**

research.uconn.edu
New Commitment Screens

Effort Commitment Screens - by Project
Accessed from the main menu, these screens provide detailed information on commitments and actual efforts certified on a project for all personnel committed and/or paid on a project. Remember: commitments are only recorded for Key Personnel. Questions? Contact Kirstin Wisotzki, Effort Reporting Specialist, at 860-486-5057 or kwiotszki@uconn.edu.

From the search results, clicking on the “book” will bring you to Commitments by Report Period.

What do I use this for?
- By Project Period:
  - Overview of effort documented towards project for all periods for all personnel. Was the commitment met?
  - Upcoming commitments by period for Key Personnel.
- Detailed Commitments Information for Key Personnel only:
  - Are the commitments correct and up to date?
  - Review Cost Shared vs. Paid Commitments

Effort Commitment Screens - by Person
Accessed from the main menu, these screens provide detailed information on commitments for an individual and effort certified on all projects the person was committed and/or paid on. Remember: commitments are only recorded for Key Personnel. Questions? Contact Kirstin Wisotzki, Effort Reporting Specialist, at 860-486-5057 or kwiotszki@uconn.edu.

From the search results, clicking on the “hand” will bring you to Detailed Commitments.

What do I use this for?
- By Person Period:
  - Overview of effort documented towards all projects for personnel. Were the commitments met?
  - Upcoming commitments by period for key personnel. Useful for checking Prelim Authorizations. Shows commitments for future periods... Is there time available for another project?
- Detailed Commitments Information for Key Personnel only:
  - Review Cost Shared vs. Paid Commitments
Changes to Effort Report Screen

Effort Report for Summer Semester 2013
Fiscal Year 2014

Employee Name: Demick, Jared J
Employee Number: 057521
Title: Graduate Student
Department: ISS Academic Programs Center
Appointment Term: 9 months
Report ID: 13015
Report Due Date: 07/23/2015

<table>
<thead>
<tr>
<th>InfoEd Proposal#</th>
<th>Project Title</th>
<th>Sponsor</th>
<th>PI Name</th>
<th>Calculated Effort</th>
<th>Actual Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>100571</td>
<td>Student Support Services</td>
<td>ED/Office of Postsecondary</td>
<td>Ranjeet, Bidya</td>
<td>2%</td>
<td>0%</td>
</tr>
<tr>
<td>131117</td>
<td>Connecticut College Access and Success Program (ConnCAS)</td>
<td>CT Office of Financial and Academic Affairs for Higher Education</td>
<td>Ranjeet, Bidya</td>
<td>15%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>All other sources associated with your</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>appointment</td>
<td></td>
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</tr>
</tbody>
</table>

- Same screen, new name
- Links to Commitment Comparison

Did you remember to check the commitments?
Changes to Effort Report Screen

Easy for PI to compare the Commitment and Actual Effort entered on report.
Updates to UConn Salary Calculator
Updated UCONN Salary Calculator

UConn Salary Calculator Version 3.1

• Now available on the SPS website (coming soon on the ESS and Payroll websites)

• Now defaults to AY2017-18

• New calculations for furlough adjustments and related accrual rate changes

• Funding End Date can now continue until 8/22
The full-time salary adjusted for three furlough days (26 pay periods).

The number of pay periods for which the Funding is in place. Pay periods between Funding Start and End Dates (can now run through 8/22).

Change to **No** for employees that are not impacted by furloughs.

This shows the bi-weekly pay rate in place for the majority of the funding period (actual pay rate may vary in AY2017-18).
Furlough Adjustments

For those impacted by furloughs, calculations were done as follows:

\[
\frac{\text{Salary for 3 Furlough Days}}{21 \text{ Pay Periods}} = \text{Bi-Weekly Salary Reduction for Remainder of FY2018}
\]

NOTE: the first pay period with furloughs was the pay period ending 8/31/2017 – this pay period crossed two academic years.
Furlough Adjustments

For the 9 & 10 month faculty with accruals:

• To avoid accrual adjustments for AY2016-17, the entire bi-weekly furlough adjustment was recognized in the AY2017-18 portion of PPE 8/31/2017.

• This results in three pay rates for accrual purposes for 9 & 10 month faculty in AY2017-18.
  • **8/23/2017-8/31/2017**: where the full bi-weekly furlough adjustment was taken over 7 days
  • **9/1/2017-6/7/2018**: the regular furlough adjusted pay rate
  • **6/8/2018-8/22/2018**: the standard pay rate without furloughs
• Use the UConn Salary Calculator to determine the financial impact of your payroll authorizations

• Other payroll changes (FTE reductions, salary increases, unpaid leaves) will result in a non-standard accrual rate for that faculty member
  • The UConn Salary Calculator will not be 100% accurate in these cases

• If you have any questions about the calculator or the accruals, contact Jen Pelletier or email facultyaccrual@uconn.edu
Questions?