May 2015
Research
Administration
Working Group

WELCOME
OVPR Faculty Funding Programs FY15

- **Faculty Travel**
  - $525,000 allocated

- **Research Excellence Program (REP)**
  - 108 proposals submitted
  - $3.2 M in requested funding
  - $1.0 M to be awarded 3/20/15

- **Scholarship Facilitation Fund (SFF)**
  - 62 applications; $110,000 in requested funding
  - 55 funded; $85,000 allocated

- **Bridge Funding & Match on Grants**
  - $276,000 currently funded
  - $1.1 M pending in support of submitted proposals
OVPR eResearch Support 2015

- 100G connectivity
  - For intra-campus and inter-campus (Storrs-Farmington) collaborations

- Electronic systems coming soon (Spring/Summer 2015)
  - Financial Conflict of Interest – eFCOI (InfoEd)
  - Effort Reporting and Certification – eERC (Homegrown)
  - Environmental Health & Safety – eEHS - for staff training and facility inspections (Homegrown)
  - Animal protocol development, review, and management (Elements by Topaz Technologies)
  - Animal ordering and billing (Elements, Fall 2015)
  - Grant proposal routing and submission (InfoEd, Fall 2015)
OVPR Research Development Services FY15

• **Grant Writing Workshops**
  – March 2014 (All schools/colleges except SOM)
    • 2 workshops offered
    • 255 participants
  – March/April 2015 (All schools/colleges)
    • 5 workshops offered
    • Currently 282 registrants

• **Hanover Research**
  – External consultants to assist faculty with grant proposal development
  – Provide expert consultation, technical assistance, and institutional analyses

• **Funding Info Resources**
OVPR Funding Info Resources FY15
research.uconn.edu/funding

- Extramural Sponsors
  - Federal Agencies
  - New England Agencies
  - Connecticut State Agencies
  - Foundations & Corporations
  - Student Funding
  - Early Career Development
  - Limited Submissions Guidelines

- Current Funding Announcements

- RSS Feeds (NIH, NSF, STTI)

- University-Wide Access to Funding Databases
  - Foundation Directory Online (corporate, private, non-profit)
  - Grants.gov
  - Pivot (federal, state, public, private)
Open Mike

- KFS Upgrade
- OVPR Faculty Services (shared services)
  - Fine Arts, Law School, School of Social Work (portion) & School of Pharmacy
- OVPR SPS Staff Updates- welcome & welcome back
  - Kelly Corbin – Cash Management Team
  - Kaye Johnson- Team 4
  - Lori Mather – Team 3
  - Marie Meister- OVPR SPS Administrative Assistant
- Recruitments
  - Effort Reporting Manager (systems analyst)
  - Financial Assistant 2 (Cash Management Team)
  - OVPR Faculty Services Grants Administrator
Fringe Rates, Effective July 1, 2015

• On our website:

• Letter from OVPR
Agenda

• Effort Reporting Update
• NIH Policy on Application Compliance
• NIH Transition to Subaccounting
• Uniform Guidance Update
• Adjourn

• Travel Presentation
  – Fly America Act & Open Skies
  – Update on unused airline tickets
Effort Reporting Update

• Payroll adjustments for 9 & 10 month employees paid on grants
  – Any necessary retros should already have been sent in
  – Thank you to everyone who has done theirs!
  – Changes submitted after this point risk not being incorporated into the Fall 2014 effort reports
  – Regardless, NO academic year salary will be allowed on grants in the summer months
Effort Reporting Update

• Over 75% Accrual Procedure being finalized (See handout with draft instructions)
  – Appear to be about 20-25 individuals affected for AY2014-15

  – Will be reaching out to departments for:
    • Copies of all PAs for academic year
    • Confirmation of effort for each of these people
Effort Reporting Update

• New Effort Reporting Application
  – Internal testing starting late next week; Dept Admin testing later in May
  – More information about training and dates to come
  – Spring 2014 will be the first electronic reports

• Paper Report Collection
  – Fall 2013 (98%); Spring 2014 (88%); Summer 2014 (67%)
  – Please return outstanding reports ASAP
DRAFT
New Instructions for Charging Salaries to Sponsored Program Accounts:
Over 75% Effort – Manual Accrual Process
(Appplies to about 20 faculty)
Manual Accrual Process: Overview

• Needed for any 9 or 10 month employee (non-student) who is paid over 75% on grants or designated match accounts
• Current SPS guidelines state that no academic year salary can be charged to grants in the summer months
• These employees earn more on grants than their take-home pay during the academic year
  – They are not able to charge the full amount to the grants during the academic year only
  – Necessary to post charges equivalent to difference between amount earned and amount paid to accounts throughout academic year to accrue anticipated academic year pay paid in summer months
• This process does NOT affect summer salary processed through special payroll
• Employees continue to receive pay check over 12 months
Manual Accrual Process: Initial Setup

• Once an individual is identified as having paid effort over 75% on grants or designated match accounts,
  – Notify Jen Pelletier in SPS
  – Department will need to provide:
    • Copies of all PAs for the current academic year to date
    • Confirmation of effort on each grant or match account for the time period of each PA
  – Individual will remain in the manual accrual process throughout the remainder of the academic year
  – Individual may leave the manual accrual process at the start of the next academic year if they are no longer paid over 75% on grants
Manual Accrual Process: Ongoing Responsibilities

• Department will:
  – Send all new PAs to SPS
  – Calculate PAs using the % Effort worked in the time period rather than using the adjusted rate on the SPS Calculator

• SPS will:
  – Calculate the anticipated bi-weekly accrual amounts
  – Obtain Departmental approval for the bi-weekly accruals
    • Approval will remain in place until end of academic year or until a new PA is submitted
  – Calculate and post bi-weekly accruals based on the actual labor transactions
    • Compare actual to projected accruals to identify missed PAs
    • Reverse accruals on accounts for summer months
    • Reconcile annually to ensure valid charging for academic year
Questions on Effort Reporting or related payroll?

Contact: Jen Pelletier
Jennifer.Pelletier@uconn.edu
Telephone: 486 4858
NIH Proposal/Application Compliance

• In accordance with NIH policy and NOT-OD-15-095, NIH may withdraw non-compliant applications.

• Examples:
  • Non-compliant biosketches
  • Not following page limitations and/or other formatting requirements
  • Non-compliance with the resubmission policy
  • Missing the deadline
NIH Subaccounting Transition Plan

What Does This Mean for UConn?
NIH Subaccounting Transition Plan

Background Information

- On July 11, 2014, The National Institutes of Health (NIH) released Notice, NOT-OD-14-103, titled “Revised Timeline for Administrative Changes to NIH Domestic Awards to Transition to Payment Management System Subaccounts”
- The revised timeline delayed the implementation of existing non-competing continuation awards by one year commencing on October 1, 2015.
- The transition of all NIH awards to PMS subaccounts is anticipated to be complete by September 30, 2016.
Background Information (Continued)

Pooled (G) Method vs. Subaccount (P) Method:

- Pooled (G) – All awards are pooled together and only one dollar amount is requested for the entire NIH portfolio per draw request.

- Subaccounts (P) - Each award is assigned an individual Subaccount. The draw of funds are performed individually on an account by account basis.
  - NIH (Specialist, Program Officer and/or OIG) can see how much is spent by each award on a more timely basis.
NIH Subaccounting Transition Plan

How will NIH perform this Transition?

• For domestic grants with a non-competing continuation year of funding in fiscal year FY 2016 (October 1, 2015 – September 30, 2016):
  o NIH will use a technical process to shift the funding from PMS G accounts to PMS P subaccounts
  o All FY 2016 non-competing continuation awards that have not yet transitioned to subaccounts will be issued as Type 4 awards (i.e., funded extension awards) during the transition period.
NIH Subaccounting Transition Plan

How will NIH perform this Transition? (Continued)

• In addition to changing the record Type and the document number for the FY 2016 award:
  o NIH will change the project period end date of the FY 2015 award when the FY 2016 award is issued; the project period end date will be changed to the budget period end date.
  o The single competitive segment is broken into two shorter "administrative segments."
  o The change will be reflected in the eRA Commons; however, NIH will not issue a revised Notice of Award (NoA) for the FY 2015 award.

• Therefore, the FY 2015 award becomes the final year of the first "administrative segment" and requires an Federal Financial Report (FFR) to be filed.
NIH Subaccounting Transition Plan

How will UConn Implement this Change?

• NIH Awards with **project period** end dates before 9/30/2016:
  - There are currently 13 NIH accounts that are in a no-cost extension – No Action.
  - There are 35 NIH accounts that will end between 10/01/15 and 9/30/16 – No Action

• **NOTE:** According to NIH FAQs:
  - If an award in the PMS G account receives a no-cost-extension in FY 2014 or FY 2015, will the funds remain in a G account or be transitioned to a P subaccount?
  - The funds will remain in the G account.
NIH Subaccounting Transition Plan

How will UConn Implement this Change? (Continued)

• NIH Awards with *project period* end dates after 9/30/2016:
  o There are currently 21 NIH accounts that remain in the G Pool (i.e., has not been converted to the subaccounting method).

• **SPS Grant Managers will:**
  o Reserve, in advance, New Account Numbers for awards in the population above
  o Notify Departments of affected NIH awards ~June 1, 2015
  o Create and issue new account numbers 90 days before budget end date
  o Create new InfoEd record and close previous record
  o Notify Department/PI of new account once created
  o Place information and resources for NIH’s transition on SPS Website
  o Communication to Bursar (Fellowship accounts need to reference new account numbers)
  o Verify carry forward amounts and ensure they roll appropriately to the new NIH document number
  o Verify and submit FFR.
NIH Subaccounting Transition Plan

How will UConn Implement this Change? (Continued)

- Department Grant Management Personnel will need to:
  - Finalize expenses for final FFR Submission for existing account(s)
  - Submit payroll authorizations to reflect new account(s)
  - Verify tuition charges
  - Verify subaward charges are received and paid (New subawards will have to be issued for new accounts).
  - Transfer recurring service charges to new account
  - Review any open encumbrances and transfer to new account if not liquidated prior to the budget end date.
Mike’s UG Moment

Subawards

• **F&A 10% de minimis**
  – The Guidance requires Uconn to provide a de minimis F&A rate of 10% modified total direct costs (MTDC) to subawardees who do not have a federally negotiated rate.
  – Subaward budgets executed under UConn awards must clearly state whether the de minimis indirect costs are being utilized.
  – Applicable Uniform Guidance section: [200.414](#)

• **Fixed Price Subwards**
  – Uconn may issue fixed price subs under limited circumstances, such as the cases of a sub to a higher risk organization.
  – Under the new Guidance, such subawards require specific sponsor approval, and may not exceed $150,000.
  – Applicable Uniform Guidance section: [200.45, 200.332 & 200.201](#)
Subawards

- **Subaward Performance Monitoring**
  - The new subaward monitoring requirements stress the need for UConn to document how it monitors subawardees.
  - PIs continue to be responsible for monitoring progress and only approving payment of an invoice when the subawardee is making adequate progress towards achieving performance goals.
  - Expenses should be commensurate with progress to date.
  - Performance issues must be addressed as they arise, for example payments should be withheld and problems escalated, as needed.
  - High risk subawards must be carefully evaluated and monitored through the life of the award, and additional oversight measures may be required depending on the experience level or risk level assessed of the institution or entity.
  - Applicable Uniform Guidance section: 200.330 and 200.331
Mike’s UG Moment

Subawards

• **Subaward Payment**
  – Payment must be made within 30 days of Uconn receipt of invoice

• UConn Subaward Monitoring Procedure and policy are soon to be released for comment and then implementation

• For additional information contact [Matt Cahill](mailto:Matt.Cahill@uconn.edu) in OVPR SPS
Adjourn

• Questions?