Sponsored Program Administration

February 14, 2018
Agenda

• Open “Mike”
• Procurement Services updates
• IPR Form
• Proposal Types (Continuation vs. New)
• NSF Transition to Research.gov for Proposal Preparation and Submission
• Grants.gov Transition to Workspace
• Cost Transfer updates
• Effort Reporting & Commitment Overview
• Furlough Day Reminder
Procurement Services
Faculty Research Consulting Agreements

• Requirements clarified due to UG
• Procurement will assume the following functions...
  • Sourcing
  • Contract Negotiation
  • Contract Award
• SPS will continue to manage...
  • Contract Administration
Campus Community Outreach

• Monthly SPA Meetings
  • Storrs
  • UCH

• Provost’s Admin Forum

• Magnets!
UG Opportunities Scorecard

✓ Micro-purchase Threshold
✓ Sole Source Justifications
✓ Conflict of Interest Policy

☐ Faculty Research Consulting
  • Transition planning has commenced
  • Will be modeled after One UConn
Pre-Award Updates
New IPR Form

- One form for both campuses
- Electronic signatures now accepted
- Major Changes:
  - Some fields specific to each campus – no need to complete “UCH” fields
  - Deadline date and time auto-populate at the top of the form
  - Additional links for information and guidance added

Timeline

COB Friday
- Form available online

March 30th
- Last day SPS will accept old form

April 2nd
- ONLY new form will be accepted
Pre-Award Updates

*Continuation vs. New Proposals*

- Regardless of how submitted to Pre-Award, award will determine type
- Selecting incorrectly may delay award setup

*NSF’s Transition to Research.gov*

- April 2018: Research.gov available for limited use (non-collaborative research proposals only using Times New Roman fonts). *FastLane will continue to be available*
- NSF Presentation at FDP: [http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_184013.pdf](http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_184013.pdf)

*Grants.gov Transition to WorkSpace*

- Grants.gov account required to create a WorkSpace (see previous SPA presentations for additional information).
- PDF forms no longer available for download (current and active forms will continue to be accepted through March)
What we know:

- Cost Transfers remain one of the top five findings for institutions of Higher Education.
- The National Science Foundation uses Data Analytics to identify areas of high risk. This process enables examination of 100% of an institution’s transactions including cost transfer information and transaction date information.
- Proper documentation and justification of cost transfers is one area where UConn can improve that can substantially minimize our risk.
Federal Regulation Basics

2 CFR 200 require charges to Federal awards to be:
• An allowable cost (.403)
• Reasonable - prudent person test (.404)
• Allocable to the sponsored award proportionate to the benefit received (.405)

When an error has been identified, the transfer should be:
• Performed timely, and
• Properly documented
Cost Transfer Success Happens:

When the Cost Transfer is performed timely:
NIH Grants Policy Statement states that corrections of clerical or bookkeeping errors should be accomplished within 90 days of when the error was discovered.

And,

When Proper Documentation is provided, which should include the following:
• Reason of why the error occurred.
• A brief explanation of how the error occurred.
• A statement explaining how the charge(s) directly benefit the award.
• If splitting the charge, the basis of your allocation.
• If greater than 90 days, provide an explanation as to its lateness
  o Include date of discovery, and
  o Any improvements or corrective actions to be taken
Examples:

**Audience Participation**

*When are cost transfers allowed to a sponsored award?*

- When there is direct benefit to the award being charged,
- Performed timely, and
- With appropriate justification and supporting documentation

*When are cost transfers **NOT** allowed to a sponsored award?*

- To clear an overdraft or deficit to a sponsored award with funds.
Effort Reporting & Commitment Overview
ERC SYSTEM PROGRESSION

Year 1
- Introduce ERC
- Certify Reports
- Return Rates

Year 2
- Validating Commitments (reactive)
- Developing Tools
- Develop Best Practices

Year 3
- Commitments check (proactive)
- Fine Tune Best Practices
- Department & Faculty Training
Effort Reporting is documentation that:

- Confirms salary charged to (or cost shared towards) a sponsored project represents time spent on those awards.
  - Federal Uniform Guidance requires this salary documentation.
- The effort committed as a condition of the award has been met.

What happens if effort reports are inaccurate or not approved in a timely manner?

- Effort Reports are audited annually as part of the Single Audit Requirement.
- Failure to meet these requirements places the University and the award at risk for findings and possible penalties.
Commitments, paid and cost share, are recorded for all Key personnel in the ERC system.

- PI, Co-I, and others designated Key by the sponsor
- Commitments are verified against the effort reports to ensure they are met.

After an awards’ acceptance, any changes to key personnel must be communicated to Sponsored Program Services (SPS) and, when required, to the sponsor (SPS will assist with sponsor’s approval when required). Changes include:

- Reductions in effort committed by key personnel
- Change in key personnel
- Shifting effort to other budgeted periods than proposed
DEPARTMENT TRAINING
WHAT DO I DO WHEN?

Proposal Generation

End of Project

Award Received

No Cost Extension

Payroll

New Budget Year

Effort Report

When will the work happen?
Is it paid or cost share?
Do I have time/budget available?
WHAT’S NEXT?

• PI specific Effort Reporting Quick Guide
  • Why we certify
  • Explains where the numbers on a report come from
  • What to look for when certifying
  • Who to contact with questions

• Other Suggestions??????
ERC WEBSITE TOOLS

Shows All Commitments for a Person by Period (where they are KEY personnel)

### Effort Commitments for Person by Report Period

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Pelletier, Jennifer S</th>
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<tbody>
<tr>
<td>NetID/Payroll ID</td>
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<tr>
<td>Department</td>
<td>Vice President for Research</td>
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<td>Appointment Term</td>
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#### Summer 2016

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<tr>
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<tr>
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</tr>
<tr>
<td>Paid Effort</td>
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<td>Total Effort</td>
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<tr>
<td>Actual Effort (as noted on effort report)</td>
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<td>07/28/2015</td>
<td>06/30/2020</td>
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<td>09/10/2014</td>
<td>08/31/2019</td>
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Questions?
SPA Topics?
Departments that may want training?
Comments/Feedback back on the ERC system?

Kristin Winot
kristin.winot@uconn.edu
(860) 486-5067
Furlough Reminder

Furlough adjustments show as negative pay lines
- Two pay lines per pay period/account
- Related accruals (if needed) are processed as one labor transaction per pay period/account

Furloughs **DO NOT** apply to all employees
- Ex. People on visas, management

Furlough amounts:
- Change with FTE changes
- Stop if employee moves to management
- DO NOT change with salary changes

**NOTE:** The UConn Salary Calculator will not be accurate if furlough amount is not in line with salary or if salary has changed mid-year
Questions?