September 2016
Research Administration
Working Group

WELCOME
Agenda

- Mike Unplugged
- Post-Award Updates
- F&A Rates
- NSF Administrative Review
- NIH Updates
- New IPR Form
- Pre-Award Reminders, Updates and Best Practices
- Effort Reporting
Goodbye RAWG, Hello SPA (Sponsored Program Administration) Meeting!

Research Consulting Agreements
  – Procurement website

Postdoc FLSA – Stay tuned for process

New F&A Agreement (Laura)
Post-Award Updates

- Change in Object Code for New Consulting Agreements
  - 6626 - Outside Consulting Services: Payment to persons, firms, or corporations not employed by the State, hired to provide professional advice or services under a contract that defines the services or end products to be delivered
    - Should be used for new agreements
  - 6638 – Professional/Non-Professional Services – Non-Consulting
    - To be phased out as description no longer relevant
Post-Award Updates

• Graduate Tuition Disbursement to Lead Investigator to continue for Fall 2016 semester

• **When will the Disbursement of Funds Occur?**

<table>
<thead>
<tr>
<th>Semester</th>
<th>IB Description</th>
<th>Approval Deadline</th>
<th>Disbursement Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2016</td>
<td>Fall 2016 Tuition</td>
<td>1/31/2017</td>
<td>February 2017</td>
</tr>
</tbody>
</table>

*Please note that failure to reference the semester in the edoc description requires manual review which can delay disbursement

• **Where will funds be transferred?**

Funds will be transferred to the Lead Investigator’s IDC (4 Ledger) account following the Fall ‘16 semester
Post-Award Updates

Who do I contact if I have questions?

<table>
<thead>
<tr>
<th>Item</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Questions regarding the submission or review of the Graduate Assistant Tuition</td>
<td>SPS Team Lead in Sponsored Program Services:</td>
</tr>
<tr>
<td></td>
<td>• Matthew Cahill - <a href="mailto:matthew.cahill@uconn.edu">matthew.cahill@uconn.edu</a></td>
</tr>
<tr>
<td></td>
<td>• Jen Johnson - <a href="mailto:jennifer.johnson@uconn.edu">jennifer.johnson@uconn.edu</a></td>
</tr>
<tr>
<td></td>
<td>• Deb Keefe - <a href="mailto:deborah.keefe@uconn.edu">deborah.keefe@uconn.edu</a></td>
</tr>
<tr>
<td></td>
<td>• Daniela Parciasepe - <a href="mailto:daniela.parciasepe@uconn.edu">daniela.parciasepe@uconn.edu</a></td>
</tr>
<tr>
<td>Questions that pertain to the disbursement process, notification, or funded amounts</td>
<td>OVPR Financial Services:</td>
</tr>
<tr>
<td></td>
<td>• Julie Schwager - <a href="mailto:Schwager@uchc.edu">Schwager@uchc.edu</a></td>
</tr>
</tbody>
</table>

More information available on our [website](http://www.uconn.edu)
Post-Award Updates

• Payroll Encumbrances:
  – Reminder - account balances may be impacted due to HCM implementation
  – Cost-transfer process to continue when new system is available
    • Smart HR and Cost Transfer should be submitted simultaneously for changes that exceed 30 days
• Deb Keefe is retiring!

  – Please join us on September 29th between 10:00-12:00 in the 1st floor reception area of Whetten to wish Deb well

  – Interim plan is in process, effected departments will be contacted by the end of the week
New F&A Rate Agreement

- New rates are effective July 1, 2016.
- Existing award will continue to be charged at their current rate (no change).
- Proposals already submitted and all proposals received by Pre-Award no later than 5pm on October 14th can use rates consistent with the rate agreement dated 4/19/16.
- Proposals received by Pre-Award after 5pm on October 14th must use the new rates.

<table>
<thead>
<tr>
<th>Rate Type</th>
<th>Existing Awards and Grandfathered Proposal Budgets</th>
<th>July 1, 2016 – June 30, 2019</th>
<th>July 1, 2019 – until amended</th>
</tr>
</thead>
<tbody>
<tr>
<td>On-campus research</td>
<td>58%</td>
<td>59.5%</td>
<td>61%</td>
</tr>
<tr>
<td>Off-Campus</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
</tr>
<tr>
<td>Other Sponsored Programs</td>
<td>29.2%</td>
<td>35%</td>
<td>35%</td>
</tr>
<tr>
<td>On-Campus Instruction</td>
<td>63%</td>
<td>57%</td>
<td>57%</td>
</tr>
</tbody>
</table>
NSF Updates

• NSF Administrative Review
  – NSF becoming very strict during administrative review!
  – Watch for:
    • Margins
    • Font
    • Letters of support versus collaboration
  – Don’t forget that FastLane won’t allow us to submit after 5pm!
NIH Updates (effective 1/25/17)

• Appendix Materials (NIH, AHRQ and NIOSH)
  – All information required for peer review **must** be contained within the application, not appendix
  – Only allowable appendix materials can be included in an appendix
  – Unless **required** by the FOA, failure of the reviewers to address appendix materials is not an acceptable basis for an appeal of initial peer review.
  – Allowable appendix materials:
    – Clinical trial protocols and investigator’s brochure from Investigational New Drug (clinical trials only)
    – Blank informed consent/assent forms
    – Blank surveys, questionnaires, data collection instruments
    – Other documents if **required** by the FOA

NIH Updates (effective 1/25/17)

• Post-Submission Materials (NIH, AHRQ and NIOSH)
  – Allowable for All Applications
    • Revised budget page(s) (e.g., due to new funding or institutional acquisition of equipment)
    • Biographical sketches and/or letters of support due to the hiring, replacement, or loss of an investigator Adjustments resulting from national disasters (e.g., loss of an animal colony)
    • Adjustments resulting form change of institution (e.g., PD/PI moves to another university)
    • News of professional promotion or positive tenure decision for any PD/PI or Senior/Key Personnel
    • Approval by the NIH Stem Cell Registry of a human embryonic cell line(s)
    • Videos, within defined limits
    • New of an article accepted for publication since submission of the application
    • Other as specified in the FOA or in a special Guide Notice
NIH Updates (effective 1/25/17)

• Post-Submission Materials (NIH, AHRQ and NIOSH), continued
  – Allowable for Institutional and Training-related Grants
    • A trainee’s or former trainee’s graduation, employment, promotion, funding, or publications;
    • A faculty member’s promotion, funding, or publications; and
    • The addition or removal of any faculty member who will be involved in the training program (mentors or senior/key persons).
  – Allowable for Individual Fellowship and Individual Career Development Award Applications
    • New information on the Sponsor/Mentor funding
    • New of change in Mentor(s) or other Senior/Key Persons
  – Allowable for Conference Grant Applications
    • A one-page explanation of all speakers who accepted invitations to participate in the proposed conference after the application was submitted, plus a one-page explanation of all speakers who declined such invitations after the application was submitted.

Updated IPR and New Cost Sharing Form

- **IPR Changes:**
  - Updated personnel section including “key” and “responsible”
  - Additional items included in the Special Review/Approval section
  - New Dual Use Research Concern (DURC) section
  - New Subrecipient/Contractor section
  - Cost sharing information and approvals have been removed
  - Approvals and certification language updated

- **New Cost Sharing Form**
  - Only required if cost sharing is included in the application
  - Approvals can be obtained with a signature, email or other written form

- **Timeline**
  - New forms will be available by **Monday, October 3rd**
  - SPS will accept either the old or new forms through **Friday, October 28th**

*Monday, October 31st: SPS will no longer accept the old forms*
Pre-Award Reminders, Updates and Best Practices

• IPR Signatures
  – Inform Pre-Award in email if someone is signing on behalf of another individual
  – Inform Pre-Award if someone has been delegated authority to sign permanently on behalf of another individual

• Pre-Award Communication (Proposals)
  – Status update within two business days of receiving the proposal
  – Status update on the day of the deadline
  – Submission confirmation

• Minimum Effort
  – A minimal level of effort is required on all federal proposals (some exceptions as outlined in policy) and non-federal only if required by the sponsor

http://policy.uconn.edu/2015/08/28/minimum-effort-on-sponsored-program-activities/
The ABC’s of Effort Reporting

Sponsored Program Services
Fall 2016
Effort: The Basics

• In a grant proposal, we offer effort
• At award time, we commit effort
• Throughout the project, we charge salary to the sponsor
• The University must assure sponsors that:
  – The commitment of effort to the project is met
  – The effort expended on the project is at least commensurate with the salary charged
  – Effort devoted to research and other sponsored projects has been properly accounted for
What is Effort?

• The percentage of time devoted to an activity in relation to the total time spent on ALL work-related activities

• Includes all University activity, including time spent on sponsored projects and other activities (instruction, administration, etc.)

• Effort on all activities totals 100% for every employee, whether the person is full- or part-time, faculty or student
Effort: The Basics

Committed Effort

- Paid Effort
  - Paid by Sponsor

- Cost Shared Effort
  - Not Paid By Sponsor
Effort: Cost Shared Effort

• A commitment to the sponsor to perform work on the project that is not paid for by the project (mandatory and voluntary committed cost sharing)
• Must be charged to a non-sponsored general departmental account or a designated Match account
• Cost Shared effort for one project cannot be charged to a different project account
• Effort expended on a project where no commitment was made to the sponsor is voluntary uncommitted effort and should not be reported on effort reports
Why Do We Need Effort Reports?

• Federal government regulations require **strong internal controls** to ensure that the salaries and wages charged to grants align with and are supported by the actual hours worked.

• Office of Management and Budget’s (OMB) Uniform Guidance sets the requirements for federal projects, which are in turn used as the guidelines for all sponsored projects.
Effort Reporting: Who and When?

• Effort reports are generated for Faculty, Staff and Students who, for the reporting period:
  – Received pay from a sponsored program account,
  – Received pay from a designated match account OR
  – Had a cost shared effort commitment

• Reports are generated three times in an academic year (Fall, Spring and Summer)
# Effort Reporting Cycles (Storrs)

<table>
<thead>
<tr>
<th></th>
<th>Fall Report</th>
<th>Spring Report</th>
<th>Summer Report</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>All employees except those with 10 month appointments</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Period</strong></td>
<td>Late August – Early January</td>
<td>Early January – Mid May</td>
<td>Mid May – Late August</td>
</tr>
<tr>
<td><strong>Pay Periods</strong></td>
<td>9.8</td>
<td>9.7</td>
<td>6.6</td>
</tr>
<tr>
<td><strong>Employees with 10 month appointments</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Period</strong></td>
<td>Late August – Early January</td>
<td>Early January – Late June</td>
<td>Late June – Late August</td>
</tr>
<tr>
<td><strong>Pay Periods</strong></td>
<td>9.8</td>
<td>12</td>
<td>4.3</td>
</tr>
</tbody>
</table>
Who Certifies an Effort Report?

- **Faculty** should certify their own reports.
- **Graduate and undergraduate students’** reports must be signed by the PI of each project listed.
- **Staff** reports can be signed by the individual or the PI of each project.
- **Department Heads** can certify for the PI or individual if they have left the university or are unavailable to sign.
Effort Reporting: Certification

- Effort certification (or *effort reporting*) is UConn’s means of assuring sponsors that:
  - The commitment of effort to the project was met
  - The effort expended on the project was at least commensurate with the salary charged
  - Effort devoted to research and other sponsored projects was properly accounted for

- This is not “timekeeping” or “activity tracking”
  - Researchers are not required to “report how they spent their time”

- Voluntary uncommitted effort should not be included on the effort report
Effort Reporting Do’s for Dept Admins

• **DO: Help your investigators**
  – Take the time to help them understand how to review and certify their reports
  – If they’re not comfortable signing or have questions, STOP! and ask Kristin
  – Forward reports with enough time for them to review and certify

• **DO: Manage your commitments**
  – Verify commitments in ERC when projects are awarded
  – Review the Effort Report Details screen for each report to ensure that all commitments are accurate and all payroll was processed correctly

• **DO: Review your reports**
  – Return the report to SPS or just ask Kristin, if you have a question or see something unusual
  – Keep the validations in mind when advancing reports

• **DO NOT:** Share your NetID/Password or log in as someone else to route or certify a report
Questions?
Adjourn

• Questions?

• Next SPA Meeting:
  – October 25\textsuperscript{th} 10:30-12:00 Monteith 104