Agenda

- Hiring of a Consultant Presentation by Kathleen Kearney
- Staffing Updates
- Contract Services New Portfolios
- NSF Audit Update
- NSF Two Month Guidance
- Post-Award Reminders and Tips
- Unused Tickets on Sponsored Awards
- Cost Transfers Over 90 Days
- Account Setup and Direct/F&A Splits
- Spotlight on Object Codes
Hiring a Consultant
Process Change

Presented by:
Kathleen Kearney
Research Category Mgr.
Procurement Services
As of: May 10, 2019
Hiring Consultant - Old Process

Prior to July 2018:

• Process managed by SPS
  – Sourcing verification
  – Agreement execution

• Submission of “Hiring of a Consultant” form initiated the process
Uniform Guidance Changes as of July 1, 2018

Procurement to assume: **Sourcing verification & agreement execution**

Sole Source Justification Changes: “**Continuity of research**” or “**named in grant**”  
*no longer acceptable justification, on their own.*

Approved Sole Source Justifications (SSJ):

1. Product/service is only available from a single source
2. Public emergency procurement
3. Federal Awarding Agency authorization: sponsor agency provides written approval for non-competitive procurement (PI to work with SPS to request)
4. Inadequate competition after solicitation of multiple sources
# Hiring Consultant – Interim Process

## Interim process implemented

- SPS & Procurement share responsibilities
- Based on “In Budget”

<table>
<thead>
<tr>
<th>Consultant In Budget &amp; Spend</th>
<th>SPS Role</th>
<th>Procurement Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget &amp; Spend &lt; $10K</td>
<td>✓ HOC Intake</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>✓ Sourcing Verification</td>
<td></td>
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<tr>
<td></td>
<td>✓ Agreement Execution</td>
<td></td>
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<tr>
<td></td>
<td>✓ Contract Admin</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Consultant In Budget &amp; Spend $10K +</th>
<th>SPS Role</th>
<th>Procurement Role</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>✓ HOC Intake</td>
<td>HOC Intake</td>
</tr>
<tr>
<td></td>
<td>✓ Sourcing Verification</td>
<td>✓ Sourcing Verification</td>
</tr>
<tr>
<td></td>
<td>✓ Agreement Execution</td>
<td>Agreement Execution</td>
</tr>
<tr>
<td></td>
<td>✓ Contract Admin</td>
<td>Contract Admin</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Consultant Not Named in Budget (regardless of spend)</th>
<th>SPS Role</th>
<th>Procurement Role</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>✓ HOC Intake</td>
<td>HOC Intake</td>
</tr>
<tr>
<td></td>
<td>✓ Sourcing Verification</td>
<td>✓ Sourcing Verification</td>
</tr>
<tr>
<td></td>
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<td>Agreement Execution</td>
</tr>
<tr>
<td></td>
<td>✓ Contract Admin</td>
<td>Contract Admin</td>
</tr>
</tbody>
</table>
Starting June 1, 2019:

- Process managed by *Purchase Requisition (PR)*
- *PI* submits *PR* in HuskyBuy via *Goods & Services Form*
- Commodity Code: **133 Consulting Svcs Grant**
- Include as attachments:
  - [HOC form](#)
  - Scope of Work
  - Sourcing documents (Quotes or SSJ as prompted via G&S Form)
- Amendments – submit via PO Amendment or new PR as required
New Workflow

PI / Dept.
Issues PR & PO amendment
HOC form

Procurement
PO / POA approval

Contracting
Contract execution & amendments

SPS
Allowable
Named in budget

Procurement
Sourcing verification
Vendor compliance
Hiring a Consultant – New Form

Available via:
- SPS & Procurement websites

Design Updates:
- Capture all contact info for consultant, PI & dept.
- Identify spend for current & overall grant period
- Scope of Work – obtain more detail at beginning of process

<table>
<thead>
<tr>
<th>A. Project Information</th>
</tr>
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<tbody>
<tr>
<td>Project Title:</td>
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<tr>
<td>Project Sr:</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>B. Principal Investigator/Department Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI Name:</td>
</tr>
<tr>
<td>Phone:</td>
</tr>
<tr>
<td>E-mail:</td>
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<table>
<thead>
<tr>
<th>C. Consultant Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company Name:</td>
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<tr>
<td>Contact Name:</td>
</tr>
<tr>
<td>Phone:</td>
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</table>

<table>
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<tr>
<th>D. Consulting Services</th>
</tr>
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<tbody>
<tr>
<td>Hours of Work:</td>
</tr>
<tr>
<td>Daily Rate:</td>
</tr>
<tr>
<td>Overtime Rate:</td>
</tr>
<tr>
<td>Travel:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E. Certification</th>
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</thead>
<tbody>
<tr>
<td>This certification is required to ensure compliance with Federal and State law. Please review it carefully before signing. Inaccuracies could result in civil and criminal penalties and loss of Federal awards.</td>
</tr>
<tr>
<td>How was Consultant selected (e.g., for expenditure under $200,000)? Specify how the Consultant was selected. Qualifications, other criteria, considerations, etc.</td>
</tr>
<tr>
<td>How was compensation determined? Attach necessary backup such as fee schedules, price lists, quotes, past project similar, etc.</td>
</tr>
</tbody>
</table>

1. I certify that neither I, nor any collaborating parties, nor any member of my immediate family, nor a business with which I or any of the individuals, nor any associated entity has a financial or other interest in this vendor, or if such interest exists, it is immaterial. I also certify that my name, nor any other person associated with this Consulting Agreement has a conflict of interest as stated above. |

Principal Investigator Signature: __________________________  Date: __________

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UConn
Procurement & Contracting Contacts

Procurement:

- Kathleen Kearney – Research Category Manager
  Sourcing verification, PO & POA approval

Contracting:

- Kim O’Connor – Research Contracts Specialist
  Executes agreements & amendments
Staffing Updates

• New Staff
  • Jen Johnson, Associate Director, Award Management and Accounting
  • Michelle Owens, Grant and Contract Specialist (Post-Award)
  • Jackie O’Donovan, Grant and Contract Specialist (Contract Services)

• Open Positions
  • Grant Manager (Team 2)
  • Team Lead (Team 3)
  • Team Lead (Team 2)
  • Financial Assistant (Cash)
  • Faculty Services Pre-Award (2 positions)
  • Faculty Services Post-Award (1 position)
  • Pre-Award Specialists (2 positions, SPS Pre-Award)
## Sponsored Program Services

### Contract Services New Portfolios

<table>
<thead>
<tr>
<th>Jackie*</th>
<th>Jillian</th>
<th>Holly</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAHNR</td>
<td>CLAS</td>
<td>Engineering</td>
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<tr>
<td>IMS</td>
<td>CIRCA</td>
<td>Eversource Center</td>
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<td>Academic Affairs</td>
<td></td>
<td></td>
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<tr>
<td>Sea Grant</td>
<td></td>
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</tr>
</tbody>
</table>

*Jackie is still in training. During this period:

Holly will support IMS

Jillian will support all other units
NSF Audit Update

- Data files covering transactions associated with an ACM$ draw between February 1, 2016 and January 31, 2019 submitted to auditing firm.
- Sample of 45 transactions sent to UCONN requesting additional information.
- Most transactions will require a strong justification from the PI
  - Justification on how the expense benefited the award
  - Justification on why it was necessary to achieve the grant objectives
- SPS has already started collecting documentation reaching out PIs and administrators.
NSF Two Month Guidance

NSF limits the salary compensation to no more than two months in any one year ("year" is defined as September – August).

- At time of proposal:
  - Must disclose in proposal that if awarded person months will exceed 2 months
  - The needed salary support should be included in the proposal budget and be well justified in the budget justification. The budget justification must also define the one year period as September through August.
  - If the request is approved by the NSF, approval will be included in the Notice of Award.

- After Award:
  - The NSF requires prior "Institutional" approval for Re-budgeting to exceed 2 months.
  - Requests must be made in advance of exceeding the 2 month salary policy and approval granted by OVPR SPS before Senior Personnel may exceed the NSF 2 month salary policy.
Post-Award Reminders and Tips

- Faculty leaving UCONN
  - Inform SPS
  - Review active awards – what is staying, being transferred, etc.?
  - Remind faculty of requirements – effort reports, progress reports, etc.

- No cost extensions and effort
  - Answering “no” means that the same effort commitment that existed for the previous year will be in place this year. Faculty must either be paid from the project for that amount of effort or it must be cost shared.

Will the effort of any key personnel be reduced during the extension period? *

- Yes
- No
Post-Award Reminders and Tips

• Subrecipient Invoices
  • Review to ensure invoice matches information in HuskyBuy
  • MUST be approved in time to issue payment within thirty days of receipt. Follow up with your faculty when needed.

• Continuation Accounts
  • Please review regularly for transactions
  • Transactions should be move to appropriate originating account timely
  • Higher importance to review during grant closeouts
Unused Tickets on Sponsored Awards

• Unused tickets charged to a sponsored award need to be communicated and reviewed.

• When booked through Sanditz, the initial traveler will receive a credit for the unused tickets if the travel was appropriately cancelled.

• Travelers with unused credits have the ability to use the value for up to one year from date of issuance.
  • The charge can remain on the original sponsored account if the following situations are present:
    • The credit will be used for the original intended purpose; or
    • The credit will be used for an alternative purpose that fully benefits the award.
  • If the use of the credit is unknown or there is no benefit to the sponsored award, the airline ticket charge must be removed from the sponsored account onto an unrestricted account.
Cost Transfers Over 90 Days

- Now escalated to Jen Johnson for review and approval
- The following will not be accepted in most circumstances
  - The same corrective action plan for previous cost transfers
  - The same justification for why the request is being made after 90 days

Account Setup and Direct/F&A Splits

- SPS is implementing a new process to enter in the exact direct costs and F&A splits at time of award setup.
- Will improve/facilitate:
  - Award management
  - Rebudgets
  - Closeouts
- No action needed from administrators!
Spotlight on Object Codes

• FY19 Expense Object Code Changes - email from Accounting from 5/8/19

• KFS Object Code Description Guide to be updated later this month

• Additional changes to come in FY20

• Suggestions for new or edits to existing?
Next SPA and Questions

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

Information for the June meeting will be sent out once available.

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