Quarterly Research Administration Meeting

September 11, 2019
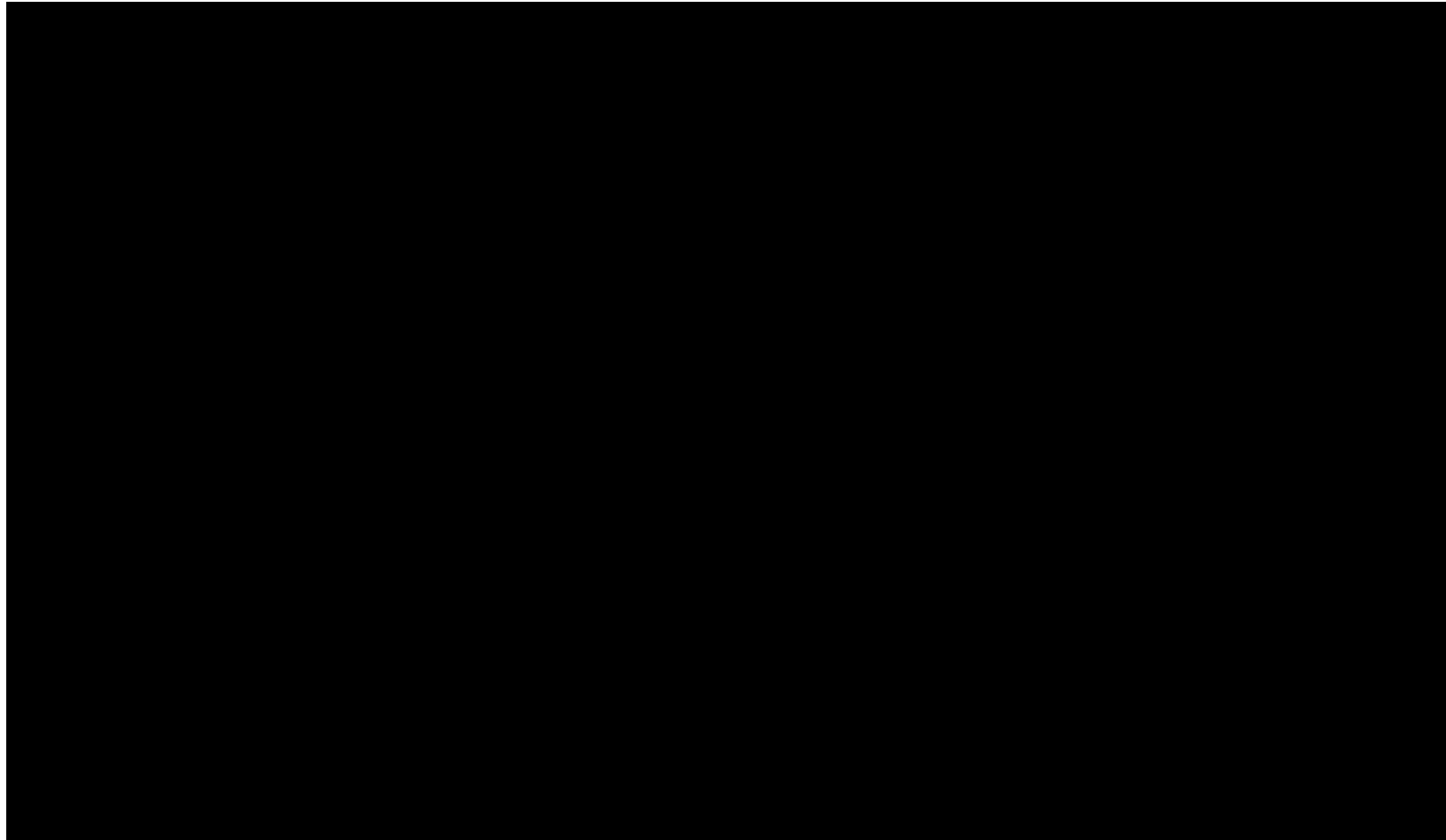
UCI | Office of Research
Research Administration

Table Topics

DocuSign

- Overview
- Demo
- Use Cases

E-Synopsis Replacement with KR Award

- Award Transaction Summary
- We need your feedback on formatting

https://youtu.be/QFaweymwkow

Agenda

- *Table Topics (1:00-1:30)*
- ***General announcements and updates***
- Foreign Influence Workgroup
- Active Protocol Search
- Exempt Research
- Kuali Research Award
- C&G Accounting
- Federal Update
- Award Closeout - A Collaborative Effort
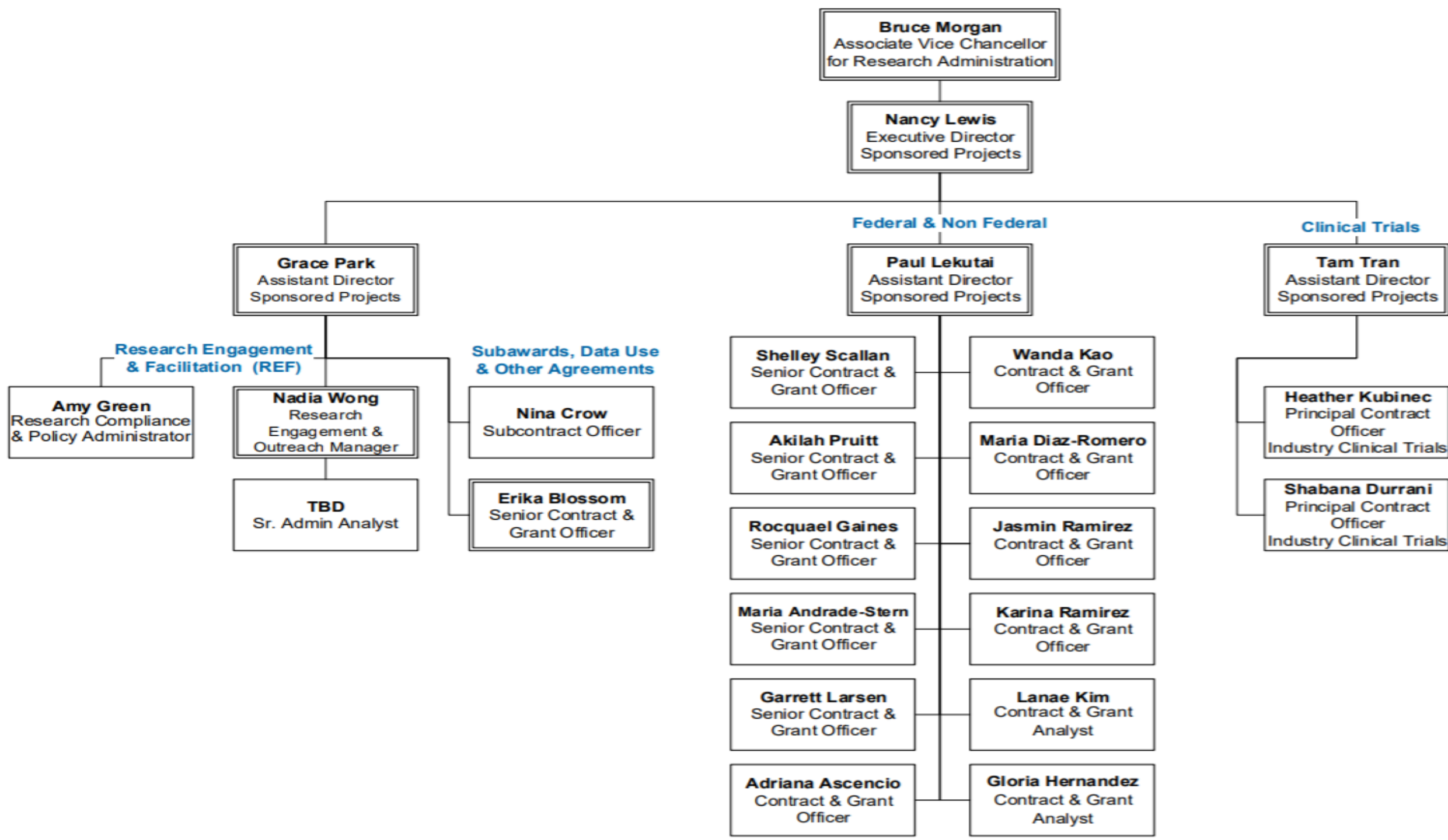- *Table Topics (3:00-3:30)*

TECHNO EXPO 2019

- October 9, 2019 10AM-3PM
- Student Center, Pacific Ballroom
- Register at technoexpo.uci.edu
- Visit Electronic Research Administration booth
- Join the conversation at Give a Hoot About Student and Research Administration Data Reporting & Analytics! booth

- All UCInetID@uci.edu email addresses are associated with the UCI Subscription!

- ***Log in today at docusign.uci.edu***

- UCI employees (faculty, staff, and student employees) conducting higher education business activities may use UCI's subscription to:
  - view documents
  - sign documents
  - send envelopes to obtain signatures
  - create templates

- **UCI students, non-employees, and UCI Health employees conducting patient care business activities may use UCI's subscription to:**
  - view documents
  - sign documents

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                        ┌─────────────────────────────┐
                        │        Bruce Morgan          │
                        │  Associate Vice Chancellor   │
                        │ for Research Administration   │
                        └─────────────────────────────┘
                                     │
                        ┌─────────────────────────────┐
                        │        Nancy Lewis           │
                        │     Executive Director       │
                        │     Sponsored Projects       │
                        └─────────────────────────────┘
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Bruce Morgan
Associate Vice Chancellor for Research Administration

Nancy Lewis
Executive Director Sponsored Projects

Federal & Non Federal

Clinical Trials

Grace Park
Assistant Director Sponsored Projects

Paul Lekutai
Assistant Director Sponsored Projects

Tam Tran
Assistant Director Sponsored Projects

Research Engagement & Facilitation (REF)

Subawards, Data Use & Other Agreements

Amy Green
Research Compliance & Policy Administrator

Nadia Wong
Research Engagement & Outreach Manager

Nina Crow
Subcontract Officer

TBD
Sr. Admin Analyst

Erika Blossom
Senior Contract & Grant Officer

Shelley Scallan
Senior Contract & Grant Officer

Wanda Kao
Contract & Grant Officer

Akilah Pruitt
Senior Contract & Grant Officer

Maria Diaz-Romero
Contract & Grant Officer

Rocquael Gaines
Senior Contract & Grant Officer

Jasmin Ramirez
Contract & Grant Officer

Maria Andrade-Stern
Senior Contract & Grant Officer

Karina Ramirez
Contract & Grant Officer

Garrett Larsen
Senior Contract & Grant Officer

Lanae Kim
Contract & Grant Analyst

Adriana Ascencio
Contract & Grant Officer

Gloria Hernandez
Contract & Grant Analyst

Heather Kubinec
Principal Contract Officer
Industry Clinical Trials

Shabana Durrani
Principal Contract Officer
Industry Clinical Trials

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Active Protocol Search

- **From Zot!Portal**
  - Research -> Research Tools & Support -> Research Protections -> Animal & Human Protocol Search

- **From OR Research Protections website**
  https://www.research.uci.edu/compliance/index.html

  - https://www.research.uci.edu/compliance/protocol-search.html

DEMO

Questions?

Contact era@research.uci.edu

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Exempt Research at UCI

Beverley W. Alberola, CIP
Interim Director – IRB Operations
Office of Research
University of California, Irvine

Overview

- **What is Exempt research?**

- **Is UCI IRB review needed?**

- **Yes, UCI IRB review is needed!** (or is it UROP?)

- **The UCI IRB Submission process for exemptions**

What is Exempt Research?

- **This is Human Subject Research!**
- "**Exempt"** from federal regulations but not exempt from IRB review/ confirmation
- Ensure research upholds Belmont Principles
- Federally-defined categories
- Verbal consent or no consent appropriate in most circumstances
- IRB Chair or Human Research Protections (HRP) Staff reviews and confirms Exempt status;

Research is registered for 3 yrs

- *Examples:*
  - *anonymous or identifiable surveys or interviews*
  - *passive observation of public behavior with or without the collection of identifiers*
  - *retrospective and prospective medical chart reviews (allowable under specific criteria for UCI Healthcare Workforce)*
  - *analyses of specimens that are publically available or if not publically available, where the identities of the subjects cannot be readily ascertained*

Is UCI IRB Review needed?

- First, confirm: is the study human subject research?
  - If not sure, review the [Determination of Non-Human Subject Research Form](#)
  - If written confirmation of non human subject determination is required, submit to the IRB for review at IRB@uci.edu

UCI IRB Review or Confirmation is Needed…

- It is human subject research!
- Confirm: Is the research part of an undergraduate UROP project?
  - If yes, be sure none of the [exceptions](#) apply.
  - If none apply, all UCI faculty-mentored undergraduate research involving human subjects that meets the criteria for exempt review must submit for exempt confirmation through the Undergraduate Research Opportunities Program ([UROP](#)).

UCI IRB Submission Process

- It is human subject research!
- Confirm: does the research activity meet one of the exemption categories?
  - Review the [exemption categories.](#)
  - Could the activity be confirmed via the [Exempt Self-Determination Process](#)?
    - If yes, researchers make their own confirmation.
  - If UCI IRB review is required:
    - Submit an [IRB Application](#), Exempt Protocol Narrative and Consent or Recruitment Materials as applicable – [for UCI IRB exemption confirmation](#). (Be sure all engaged researchers have taken [requisite trainings](#)!)

Questions?

- Refer to the HRP webpage
- Review HRPP policies
- Contact HRP Staff!

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What is KR Award?

- Integration piece between KR Pre-Award modules (Prop Dev, IP, and Negotiations) and Kuali Financial System (KFS)
- Will replace the Award functionality in SPA legacy system
  - Maximize integration between KR and KFS
  - No more "back and forth" to finalize award synopsis
- Utilizes a hierarchical structure instead of flat synopsis cycles
- Project includes data migration
- **Go-Live Date: October 14, 2019**

KR Award in Context

KFS

Time & Money

Subaward

Award

Negotiations

Institutional Proposal

Prop Dev
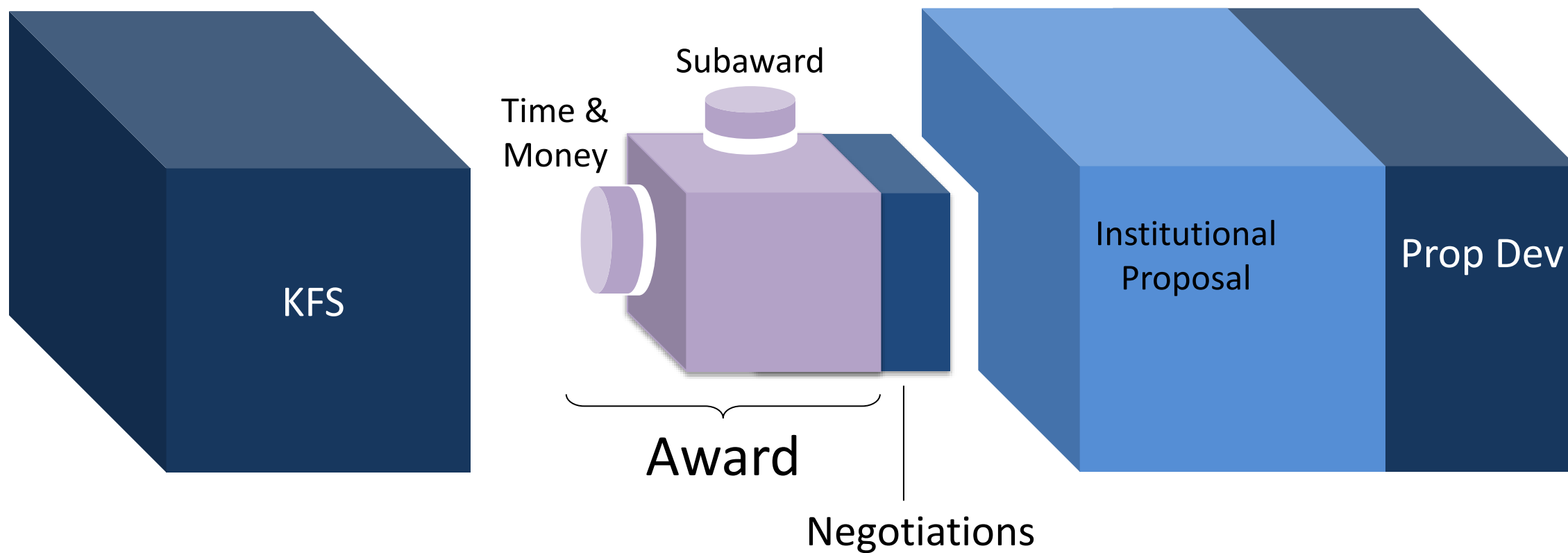
What does KR Award Go-Live mean?

- Award processing freeze for data migration
  - **October 1 (EOD) SPA Officers stop processing awards**
  - **October 4 (EOD) C&G Accounting stops creating KFS accounts**
  - **October 7-11 TOTAL AWARD PROCESSING FREEZE**
    - Senior leadership is aware and supportive

- As of **October 14, 2019**, SPA (and Applied Innovation) Officers will enter awards into KR Award

Data Migration

- **5 years** of Award data to be migrated from legacy database to KR Award

- Plus all awards tied to a KC/KR Proposal

- Plus all other **active** awards

- ***Subawards** tied to those Award are also imported

Account and Fund Assignment

- Handoff from SPA to C&G Accounting occurs when KR Award Doc is finalized.
- No back and forth waiting for account and fund for SPA to finalize

Auto email notifications

This email is getting updated!

NEW Award Transaction Summary (ATS) will replace old synopsis printout

Replaces →

Old synopsis printout

Click on Award Search in ZotPortal or from the ATS email

UCI Office of Research

Award Transaction Summary

At least one of the following prompts are required: Sponsor Award Number or Document Number

Award

Enter the Sponsor Award Number: 20130924-33

Enter the Document Number:

Submit

Back

UCI Office of Research

Award Transactions

Click on the 'PDF' link to view Award Transaction Summary

Run Date/Time:	09/11/2019	11:02:55 AM
Page #:	1 of 7	
# of Records:	3	
Run by:	Eufemia Palomino	

Principal Investigator	Lead Unit	Sponsor	Institutional Proposal Nbr	Sponsor Award Nbr	Mod Nbr	Finalize Date	KR Doc Nbr	KR Award Nbr	Version	Transaction Type	Total Costs	Cost Share Amt	View
DAN COOPER	IR-7136 - INSTITUTE CLINIC TRANSLATIONAL SCI(ICTS)	006764 - UNIVERSITY OF CALIFORNIA, LOS ANGELES	05550812	20130924-33		09/11/2019	2362057	120025-00003	1	New	$154,494	$99,995	PDF
DAN COOPER	IR-7136 - INSTITUTE CLINIC TRANSLATIONAL SCI(ICTS)	006764 - UNIVERSITY OF CALIFORNIA, LOS ANGELES	05550812	20130924-33	01	09/11/2019	2362063	120025-00004	1	Agency Modification	$0	$99,995	PDF
DAN COOPER	IR-7136 - INSTITUTE CLINIC TRANSLATIONAL SCI(ICTS)	006764 - UNIVERSITY OF CALIFORNIA, LOS ANGELES	05550812	20130924-33		09/11/2019	2362069	120025-00005	1	Other	($13,894)	$99,995	PDF
Overall - Total											$140,600	$299,985	

Reporting Source

- SPA Legacy Database is the current source for data
  - Data Warehouse Sponsored Projects Adhoc Query (aka BLISS)
  - Awards by Campus Area report
- After KR Award go-live, we will switch source to KR
  - For proposal *and* award data
- Data Warehouse / BLISS -> DWQuery
- Delay in data availability due to switch
  - Possibly three months
  - ERA can assist with urgent data needs

Biggest Impact...

- Remember, this is a new system for award entry
- Impacts SPA and AI Officers the most!
- Also impacts C&G Accounting
- ….so…

In conclusion...

Contact ERA for questions or help at
era@research.uci.edu

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- PCS Upgrades - Final Release Expected on September 21st

  - Salary expense details included for all PCS reports

  - Closer monitoring of recertification requirement for all salaries previously certified but later changed by 5% or more. New report to be run each month by C&G Compliance.

- KR-KFS Integration and Testing

- UC Path Report for C&G Funds

- New Cost Sharing System – Expected in January 2020

- New Online Cost Transfers Training Modules – Expected in UCLC in February 2020

- NSF Site Visit

- C&G Accounting Post-Award Administration Website Updates

- MCA vs. MLA

UCI Office of Research Research Administration

https://www.accounting.uci.edu/cg/post-award/index.html

UCI Accounting & Fiscal Services

Accounts Payable | Contracts & Grants | Financial Services | General Accounting | Payroll | Support | Taxes

Home » Contracts and Grants Accounting » Post-Award Administration » Direct Costs » - Salaries and Wages

Direct Costs: Salaries and Wages

Post-Award Administration

Cost Principles

Award Setup

Direct Costs

- Salaries and Wages

- Fringe Benefits

- Equipment

- Travel

- Participant Support

- Materials and Supplies

- Contractor and Consultant

- Subawards

Indirect Costs

Expense Monitoring

Cost Transfers

Billing and Collections

Cost Sharing

Program Income

Financial Reporting

Award Closeout

Recent Updates

Most commonly budgeted compensation costs include salaries, wages and benefits of Principal Investigators (PIs), Postdoctoral Researchers, Graduate Student Researchers (GSRs), Research Associates, Technicians, and other employees that directly further the goals of the project. All salaries and wages must be based on records that accurately reflect work performed, be reasonable for work performed, comply with the established UCI policies and procedures, and be consistently applied to both government and non-government activities.

Where grant recipients work on multiple grant programs or cost activities, documentation must support a reasonable allocation or distribution of costs among specific activities or cost objectives.

Additional Resources

- Uniform Guidance, §200.430 Compensation—Personal Services
- Contract and Grant Manual, Chapter 7-300, Justification and Documentation of Expenditures
- UCI Office of Research – Salary and Wages

PI and Other Key Personnel

The approved budget specifies the salaries of the PI and other key personnel, and their measurable effort dedicated to the project.

The PI must ensure that the sufficient levels of effort are committed to the project, and is required to request prior approval for the following changes in effort:

MCA

- Subcontract agreement between two UC campuses is processed by SPA

- Invoices submitted to Contracts and Grants Accounting using intercampus billing process and Intercampus Reimbursement Requests (IRRs)

- Payments processed by Contracts and Grants Accounting

- Payroll posts into DW Payroll/ DOPE/ Labor Ledger of the UC campus which processed employee's appointment and is accounted for in effort reporting system or payroll certification system of the UC campus of record.

MLA - NOT Allowed on Contracts and Grants

- Employee with an appointment at one UC campus works on an assignment at a different UC campus

- Salary transfer between two UC campuses processed by Human Resources and Payroll

- Payment processed using intercampus appointment journals

- Payroll posts into GL and it is not reflected in PCS, and it is not reflected in the effort reporting systems on campuses that use this form of salary verification.

Questions?

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Research Administration

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Federal Updates: 2018 Farm Bill

Karina Ramirez

Contract and Grant Officer

Karina.r@uci.edu

(949) 824-3029

NIFA Update: 2018 Farm Bill and its Impact on Research

- Signed into law, December 20, 2018

- The match requirement will vary by program
  - https://nifa.usda.gov/matching-requirement

- Certain RFAs limit indirect costs for the overall award to 30% of Total Federal Funds Awarded (TFFA)

Indirect Cost Recovery Change

- The maximum indirect cost rate allowed under the award is determined by calculating the amount of indirect costs using:
  - Prime: Lesser of negotiated rate *or* 30% TFFA
  - Subs: Lesser of negotiated rate *or* 30% TFFA
  - TFFA (Total Federal Funds Awarded = Field K, Total Costs and Fee, on SF-424 R&R Budget)

Section G, Direct Costs (A thru F)

Section H, Indirect Costs

Section I, Total Direct and Indirect Costs (G + H)

Section J, Fee

Section K, Total Costs and Fee (I + J)

- Total F&A requested (UCI's F&A + all subaward F&A) must be less than 30% TFFA

Resources

- NIFA's FAQ:https://nifa.usda.gov/sites/default/files/resource/Frequently-Asked-Questions-Farm-Bill-Indirect-Costs.pdf

- FDP:http://thefdp.org/default/assets/File/Presentations/NIFA%20FDP%20presentation%20-%20May%202019.pdf

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Cause of overdue reports?

- Procrastination by PI

- Lack of oversight by Post Award Admin

- PI unavailable / unreachable –
  i.e. left institution

- 3 occurrences at Bio Sci

NIH enforcement

- NOT-OD-18-107

In order to fulfill agency requirements under the Grants Oversight and New Efficiency (GONE) Act and HHS grants policy, NIH will no longer delay the closeout of awards unless the recipient submits a prior approval request to the IC providing an acceptable written justification. Without prior approval from the awarding IC, NIH will initiate unilateral closeout for all awards that fail to meet closeout requirements within 120 days as required by the NIH Grants Policy Statement (NIH GPS) Section 8.6.

NIH Grants Policy Statement
8.6 Closeout
The requirement for timely closeout is generally a recipient responsibility. However, NIH may initiate unilateral closeout if a recipient does not provide timely accurate closeout reports or dose not respond timely to NIH requests to reconcile discrepancies in grant records. **Failure to submit timely and accurate closeout documents may affect future funding to the organization.** Failure to correct recurring reporting problems may cause NIH to take **one or more actions that may include, but are not limited to, corrective actions, withholding or further awards, suspension or termination.**

Closeout Enforcement

NIH is strengthening enforcement of longstanding closeout requirements.

- Recipients must submit timely, accurate closeout reports
- Reports are LATE after 120 calendar days
  - NIH may allow late submission with prior approval (i.e., acceptable written justification)
  - Cash transaction data is submitted directly to PMS
  - Recipient responsibility to reconcile FFR and FCTR data

When recipients fail to submit timely reports NIH will initiate unilateral closeout.

- When no FFR is submitted, HHS policy directs NIH to close the grant using the last accepted FCTR
- This could be considered a debt or result in disallowed costs

See NOT-OD-18-107

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National Institutes of Health

Implemented Changes

- The Pre-Awards staff will provide a list of ending projects a month in advance to the Post Award analysts.

- When the project ends, the Post Award analysts will initiate the closeout process by emailing the PI/faculty the final report due date, payroll report download and recent PI report.

- This email will copy the Pre-awards staff and the respective Department Manager.

- The Pre-Awards staff will then monitor the progress of the report and advise the PI on the requirements of the report.

(i.e. FIS needs to completed by PI and verified by SPA before due date)

Implemented Changes cont…

- 2 weeks before deadline, Associate Dean for Research emails PI

- 1 week before Deadline - Personal visit to PI

  aka initiate "Manhunt and Quarantine" protocol

- Once the PI has completed the report, the Pre-Awards staff reviews for accuracy and consistency.

- The Pre-Awards staff will provide a copy of the report to the PI and the Post award analyst for their records.

- Xtrain – Termination notices

Results from Implementation

- Submission of final RPPR well before the 120 day deadline

- Post Award administration more cognizant of deadlines and requirements

- Same practices followed on annual / interim RPPRs and other Federal/ Non-Federal reports

Jason Park – jpark@uci.edu Megan Vu – vum@uci.edu
https://research.bio.uci.edu/

Final Questions?

UCI Office of Research
Research Administration

See you next time…

December 18, 2019

Moss Cove AB

1:00-3:30

UNIVERSITY of CALIFORNIA · IRVINE

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