Research Administration Forum, 12/05/2018

- Cost share (C/S) for departments
  Discussion led by Jason Von Fange / Engineering and Jackie Assini / Public Health
- Update on proposal checklist working group
- Update on blog, online training videos, and solicitation for campus partnership
- Agenda for 1/9/19
- Open Q&A

Cost Share Discussion

Jason Von Fange / Engineering Research Administration Services (ERAS)

- "Friends don't let friends cost share"
- Know the requirements - Read the Request for Proposal (RFP) and understand all requirements
- Use F&A (Facilities & Administrative cost, aka: indirect cost) as C/S whenever possible
- Be clear with faculty what cost share commitments mean
  - Don't volunteer cost share – it must be tracked
- Always enter cost share accurately in the UAccess Research (UAR) proposal
- Identify source accounts at the proposal stage and make sure those accounts have funds available
- Identify 3rd parties and get letters of support with a budget and names.
- The UA dept is responsible if 3P C/S commitments aren't met

Q: How do you know you're funded? What does the handoff from pre- to post-award look like?

- Terry Mullin / SW Institute for Rsch on Women (SIROW): Read the complete award notice, set up a spreadsheet and do Position Distributions (PDs) to set up cost share.
- Meet with the PI and go over the budget – keep in mind tuition remission & remember indirect cost (IDC). UA Financials only allows encumbrances through fiscal year end June 30, but Adaptive Planning allows for budgeting future years
- A good idea is to conduct a "new award faculty meeting"
  - Review award requirements, reporting, next year funding triggered by what, anything else the PI needs to know
- Review C/S sources to confirm funding is still available, including follow-up with 3rd Parties

Tracking tools

- There are some tracking tools in UAccess Analytics
- Cost share subaccount Dashboard: https://analytics.uaccess.arizona.edu/analytics/saw.dll?Dashboard&PortalPath=%2Fshared%2FFinancial%2F_portal%2FGeneral%20-%20Sponsored%20Projects&Page=UAF%20List%20of%20Cost%20Share%20Subaccounts&PageIdentifier=udiufbm5nfgi10v5&BookmarkState=bop9516jdq0tbb155i6bddc0a2&options=mfrd
- Review UAR/UA Financials for accuracy – make sure SPCS did their job correctly during set-up
- Check the RFP and award for C/S requirements and the period of allowability
- Check periodically (monthly, quarterly), monitoring to make sure C/S is on track. Cost share should have a consistent spending pattern as you go. Avoid expense transfers!
- Ashley Taylor/Sponsored Projects & Contracting Services: Implications for not matching the expected burn rate for C/S can be rejection of invoices.

Q: How do you manage/track C/S?

- Spreadsheets

- Shana McClelland / Research, Discovery & Innovation Business Center (RDIBC) uses Adaptive Planning – cloud-based software for improved shadow bookkeeping
    - Financials C/S accounts include cash and expenses only, no budget.
    - Adaptive Planning can add the missing budget piece to compare against cash/expenses.
    - Jason Von Fange/ERAS can help people learn to use Adaptive Planning

Example: Industry project with an $80,000 C/S commitment (3rd Party committing a valued data set)

- After the project, the 3rd Party industry partner valued their data (C/S) at $4,000, leaving the UA department responsible for $76,000 in cost share they didn't anticipate
- Shana McClelland/RDIBC: Be especially careful with foreign C/S sources!

Q: What can be used as C/S? Example: USDA flux tower?

- No, avoid federal C/S sources.

Comment: It is a challenge to get faculty not to quantify C/S!

- We all struggle with that
- All we can do is communicate
- Kyle Johnson/SPCS Proposal Services: Help faculty reframe language describing resources available to a project. Ask questions about the goal and suggest alternate language that doesn't quantify cost share and result in a commitment to track.
- Terry Mullin/SIROW: Regarding use of supplemental compensation to report effort. Effort reports do involve cost share. If you propose PI effort but the PI doesn't want to direct charge their salary to a project, effort is still committed so the cost share must be tracked.
- C/S expenditures should follow same sponsor rules as direct costs.
- The more we C/S, the lower our negotiated F&A rate will be. Faculty don't necessarily see that as bad.
- Shana/RDIBC: Explain to faculty that lower F&A means less UA support for faculty
- Never volunteer cost share!
- Make sure PI understands all C/S commitment for a new award

Award stage:

- ERAS reviews award. Tiffany emails dept to call out C/S commitment
- ERAS provides high level oversight for C/S:
    - Run reports of C/S accounts without spending
    - Monitor for consistent expenditure and C/S burn rates
    - Depts can also monitor. ERAS tries to assist their departments.
- Meet with the PI when an award is received.
    - UA Financials can't encumber salary past June of each year.
    - Adaptive Planning can encumber for out years and include expenditures
- Make sure proposal preparers check with (C/S source) accountants to confirm C/S fund availability
- If you have complex C/S situations, contact SPCS (Tara Gonzales, Tabatha Holan, Marcel Villalobos) to meet with PIs.

HHS Salary Cap Cost Share Calculator worksheet demo

Jackie Assini, Public Health Administration

- Worksheets are available on the Research Gateway (RGW) at https://rgw.arizona.edu/administration/build-budget/budget-categories/Salaries-and-Wages/HHS-Salary-Cap (scroll to bottom of the page)
- There are 2 worksheet tabs: *Analyze by Dollars Charged* and *Analyze by Effort Charged*

- Make sure to select the appropriate fiscal/academic appointment type (F or A) and enter FTE in addition to Institutional Base Salary – the salary cap calculation pro-rates by appointment type and FTE.
- If the cap increases, you can use the current cap, but you don't have to. Using an old cap means you'll be cost sharing more.
- Terry Mullin/SIROW uses the salary cap worksheet and attaches it in the Position Distribution document

Q: When do people change (adjust) their C/S?

- Stacy Lauver/Pharmacy Administration – SPCS effort reports use the current salary cap rate. How should a dept communicate that they prefer to use an old rate if salary changes over time?
- Tabatha Holan/SPCS Compliance: SPCS just looks to see that the C/S commitment is reached and it's fine if C/S is more by using an old rate.

Q: What sponsors utilize a salary Cap?

- NIH uses a salary cap
- Marcel Villalobos/SPCS Postaward: The salary cap is congressionally legislated, tied to the Department of Health and Human Services (DHHS) budget appropriation and limited to Executive Level II of the Federal Executive Pay Scale
- Other sponsors that use a salary cap include the Arizona Biomedical Research Centre (ABRC) and some private sponsors

Internal SPCS cost share training on 12/12 in USB at 1pm

- Stay after forum to sign up for remaining spaces

Updates

Proposal Checklist Working Group Update

Kyle Johnson, SPCS Proposal Services

- Next meeting is 12/12/18 in ENR2, Room S107 at 9am
- 5 working groups were formed:
    - Proposal Development - faculty meeting
    - Proposal Development – UAR
    - NSF
    - NIH
    - Sponsor-specific
        - Lynn Frazier/College of Agriculture & Life Sciences is looking for additional participants in the Sponsor-specific group. Please join! They will create checklists for PIs listing all the requirements for various sponsors. Example: USDA proposals require a long list of documents.

Research Administration Blog

- Technical meeting tomorrow
- Campus content creator volunteers – think of topics you might like to contribute as blog posts

Microlearning videos

- Short, less than 4 minutes
- Topical
- Will be posted to RGW
- Under production
    - Effort reporting – met last week
    - Looking up payments – meet this Friday

- Need campus volunteers to review the product before posting
  Email Marcel Villalobos (marcel@email.arizona.edu) if you're interested in previewing videos or to be involved in development of a future topic

On-Demand Phase I:

Financials: Checking if a payment was received	High
Analytics: How to look up effort report approval status	High
Research: How to approve a UAR proposal	High
Research: How to review/track Negotiation status.	High
Research: How to view their notice of award	High

PreAward On-Demand Mirco-learnings:

Research: How to view the budgets in proposal/IP record	Low
Research: How to view and understand the Route Log	—
SPCS: Meet the team – this may not be an ideal delivery mechanism for this topic/purpose.	—
Proposal Review: Why is xyz data important to submission and ultimate success in securing funding	—
Research: Special instructions for routing proposals for (membership accounts, UA Fdn DFTs)	—
Understanding "Allocate by Account" – What it means and what info to provide.	—
Research: When to route additional proposals for existing awards/accounts/projects.	—

Postaward On-Demand Micro-learnings:

Financials: Calculate unobligated balance for progress reports	—
Financials: Calculating available account balance.	—
Financials: Calculating F&A and different F&A bases	—
Financials: Backing into direct cost from total cost (including ERE and F&A)	—
Financials: How to look at unclaimed FSO ACH and Wires to identify a payment	—
Financials: How to create a gift or IDC account	—
Research.gov: How to submit a NSF prior approval request and what SPCS looks for	—
Financials: When and how to use a GEC vs a DI	—
Analytics: How to look up effort distributions for custom periods of time	—

Google Sheet

- Creating google sheet for forum - tracking agendas, rolodex, volunteer sign up
- Will email link and post link on RGW training page along with past forum materials
- https://rgw.arizona.edu/research-resources/training/administrators

Future Meetings

- Agenda for next meeting January 9, 2019: Effort Reporting
  - Effort reporting primer 8:30am
  - Effort reporting monitoring by departments at 9am
  - Volunteer discussion leaders: Thomas Alvarez / Hydrology & Atmospheric Sci, Darren Shevchuk / Nutritional Sciences-Res
- Upcoming meeting locations

    - 2/20/19 ENR2
    - 3/20/19 UAHS

Open discussion

Update on $1,000 one-time merit pay? (Peter Powers-Lake / Bio5)

- Marcel Villalobos / SPCS Postaward: An FAQ is forthcoming.
  - It is generally allowable on fed/sub-fed sponsored grants/contracts.
  - Non-federal sponsored projects may be an issue. If sponsor regulations are silent on the issue, go ahead and charge the account.
  - Fixed hourly accounts, probably not.
- Ashley Taylor / SPCS Postaward: Contact SPCS if you need a C/S account for these expenses.

Paid parental leave and compassionate leave on sponsored projects (Terry Mullen/SIROW):

- There is an ongoing Human Resources (HR) conversation about this topic.
- Paid parental is generally allowable but compassionate leave is up to the sponsor, most likely not allowed.
- Marcel Villalobos / SPCS Postaward: It was an audit finding because nothing prohibits the cost in the Uniform Guidance (UG), but UA policy said it requires sponsor approval. Lesson learned: follow the most restrictive policy and be careful about writing restrictive internal policies.

Invoicing terms in outgoing subawards (Tammie Rippberger / Immunobiology)

SPCS Subaward Services team says the term requiring supporting detail in invoices from subrecipients will no longer be included in UA outgoing subawards but the subrecipient should still include a cost share amount with each invoice. The cost share total should be listed on the actual invoice.

Suggestion to develop a New Award Checklist (Jason/ERAS)

- Content for Department Research Administrators: what to review in new awards, actions to take at set-up.
- Perhaps this can be a working group formed after Proposal Checklists are complete.

Thank You!