**Zoom etiquette reminder**

- Please keep yourself muted unless you are actively speaking.
- If you have a comment/question, please type it in the chat.
  - We will read out any chat questions and obtain answers to ensure both question and answer are included in the session recording.
  - If you have a follow-up/clarification question as answers are provided, please raise your hand. We will call on you to unmute, turn on your video (preferable), and ask your question as soon as we are able.
- Sessions are recorded and may be requested via email at this time. A webpage is in progress for future Forum content.
Agenda

• Biosketch and Other Support Documents Update
• Subaward Payment Request Processing Requirements
• UAccess Research Upgrade Update
• SRA International LevelUP Program Update
• Announcements/Information Sharing
• Open Discussion/Q&A
Biosketch and Other Support Documents Update:
Outside Contract and Agreement Reviews Edition

Presented by:

Taren Ellis Langford
Director, Conflict of Interest
Email: COI@arizona.edu

Rachel Rice
Asst Director, Preaward, SPCS
Email: sponsor@arizona.edu
Beginning July 1, 2021, Outside Activities are reviewed by the Office for Responsible Outside Interests prior to being sent to supervisors – department heads and deans for faculty members – for review and approval.
New COC Requirement:

When an Outside Activity, including Outside Employment and Outside Commitments, involves a foreign entity, the submitter must

**UPLOAD A COPY OF THE CONTRACT OR AGREEMENT**

If the original document is not in English, the submitter must provide a translated copy.

For questions, contact the Office for Responsible Outside Interests at coi@arizona.edu or (520) 626-6406.

Outside Commitments:

1. Are professional and other activities that are related to a University Employee’s professional expertise, outside of their University duties and responsibilities
2. Are for the benefit of an external entity or individual and are not covered by a fully executed written agreement between the University and the external entity
3. Require a time commitment

Outside Commitments include Outside Employment, independent contracts for consulting services, private consulting groups comprised of University Employees, volunteer/pro bono work, appointments at postsecondary educational institutions, and foreign components, as that term may be updated by the University’s Office for Responsible Outside Interests.
Other Support information is reviewed to ensure the following:

- All resources, domestic or foreign, directly supporting the individual’s research endeavors have been reported
- Sufficient levels of effort are committed to the project
- There is no scientific, budgetary, or commitment overlap
- Only funds necessary to the approved project are included in the award (example is subawards or multi-project awards)
- Any foreign resources that meet the definition of a foreign component have received appropriate prior approval

SPCS action: when the Proposal Services team reviews a proposal with a foreign component, the COI office will be ad-hoc routed to for their Acknowledgement, which will not hold up routing or submission of the proposal.
NIH Definition of Foreign Component:
The performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended.

Activities that would meet this definition include, but are not limited to:

1. The involvement of human subjects or animals
2. Extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities
3. Any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country.

Examples of other grant-related activities that may be significant are:
- Collaborations with investigators at a foreign site anticipated to result in co-authorship
- Use of facilities or instrumentation at a foreign site
- Receipt of financial support or resources from a foreign entity
Updated Requirements for Recipients (NOT-OD-21-073): Effective January 25, 2022, NIH requires the following:

Supporting documentation, which includes copies of contracts/agreements specific to senior/key-personnel foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support. If the contracts/agreements are not in English, recipients must provide translated copies.

Immediate notification of undisclosed Other Support. When a recipient organization discovers that PI or other Senior/Key personnel on an active NIH grant failed to disclose Other Support information outside of Just-in-Time or the RPPR, as applicable, the recipient must submit updated Other Support to the Grants Management Specialist named in the Notice of Award as soon as it becomes known.
Questions?
Subawards Payment Request Processing

By Jessica Federico
Sponsored Projects Administrator
Financial Compliance, Sponsored Projects & Contracting Services
Subaward Payment Authorization Form

When filling out the Subaward Payment Authorization form please be sure to put correct information such as:

- Subaward PO number
- Invoice number
- Invoiced payment amount
  - First $25K must go under object code 3350 even if this is a continuation of a Subaward on a new PO for F&A tracking
  - All remaining funds go on object code 3340
Subaward Payment Authorization Form (Cont.)

• Business Official/Fiscal Officer must sign the form. If they can’t sign the form, they can opt to use a digital signature.
• Business Official is the Subawards Fiscal Officer or any business official that is working in your business/finance office that is authorized to process incoming Subaward invoices. Authorization means that this person is either listed in the agreement/contract as a point of contact and has signed a Risk Monitoring form or is listed as a delegate in UAR or UAF.
• PI must select their form of Subrecipient performance verification as one of the following:
  - Receipt of written Technical and/or Performance reports
  - Telephone conversations
  - E-mail correspondence
  - Other. Please explain: ________________________________
• PI must sign the form. If they cannot sign the form, they have the following options:
  • Digital Signature
  • Email Approval with their form of verification used if not marked on the form.
Business Official, Delegates and Authorized Personnel

A business official delegate may be added if there are multiple people working on processing payment requests. These employees must be authorized and may be required to sign a Risk Monitoring form. Please remember that all Risk Monitoring forms are processed through our SPS-Subawards team and can be sent to them at SPS-Subawards@email.arizona.edu.

We will accept a Business Official signature on the payment authorization form if the person is listed under UA financials or UAR as a delegate.
A Risk Monitoring Form is required for the PI and Business Finance office as well as any PI delegates.
Types of Signatures

Acceptable signatures include:

• Wet Signatures
• Digital signatures with date and time stamp
• Digital signature attended with an adobe audit page
• Email approval from PI stating their form of Subrecipient performance verification
Types of Signatures

Cont.

Unacceptable signatures include:

• Digital signatures that appear to be in copy format
• Digital signatures that are not accompanied by a date and time stamp
• Digital signature that are not accompanied by an adobe audit sheet
• Email from PI not stating their form of Subrecipient performance verification
## Checklist

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Does PO number match with account number in Analytics?</strong></td>
<td></td>
</tr>
<tr>
<td><strong>eDoc</strong></td>
<td><strong>Is correct object code used on accounting line, and does that match payment authorization form?</strong></td>
</tr>
<tr>
<td><strong>Payment Auth Form</strong></td>
<td><strong>Has the PI indicated their form of verification on the Payment Authorization Form?</strong></td>
</tr>
<tr>
<td><strong>Payment Auth Form</strong></td>
<td><strong>Are the signatures on the Payment Authorization Form from authorized individuals?</strong></td>
</tr>
<tr>
<td><strong>Payment Auth Form</strong></td>
<td><strong>Are the signatures on the Payment Authorization Form official signatures? (i.e. wet signature, or an official Adobe signature with date/time stamp, or email approval)</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Is correct PO indicated?</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Are amounts correct, and showing on correct object code line.</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Is the subaward agency listed on the invoice?</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Is the subaward PO number reflected on the invoice?</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Were costs incurred within the period of performance of the agreement? Invoice period must show a beginning and end date for period billed.</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Were incurred costs allowable, allocable, and reasonable under the subaward/subcontract (anything odd stand out - unbudgeted categories, high risk categories - equipment, food)</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Is cumulative amount invoiced cannot less than or equal to subaward obligated amount?</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Is the total of cumulative costs incurred listed on the invoice? If so, notify dept if no match up.</strong></td>
</tr>
<tr>
<td><strong>Invoice</strong></td>
<td><strong>Does the invoice contain the proper certification statement 200.415 (a), or per agreement?</strong></td>
</tr>
</tbody>
</table>

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*By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).*
Questions???????
SRA International LevelUP

1. Principles of Pre-Award Research Administration
2. Principles of Award Negotiation and Set-up
3. Principles in Research Development
4. Principles in Proposal Development
5. Research Compliance Frameworks
6. Principles of Post-Award Financial Research Administration
7. Relationships, Roles, and Responsibilities in Research Administration
8. Introduction to Clinical Research Management: Clinical Studies and Trials
New Webpage!

https://research.arizona.edu/research-resources/training/administrators/levelup-program
UAccess Research Upgrade Update
*New* Go-Live - January 25

- Go-live has been moved to January 25, 2022
- Forming a campus Ambassador group to receive advance training and serve as Points-of-Contact for Departments and Colleges. Email shana@arizona.edu if interested in participating.
- Currently working on training content, as well as an updated webpage which will include a calendar of planned events and trainings and status indicator and will host training resources.
- Advance training for Ambassadors should begin November/December and section walkthroughs will be held RA Forums beginning in September.
Announcements/
Information Sharing
Future RA Forums

- **September 8, 2021**
  [https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004509](https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004509)

- **October 13, 2021**
  [https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004510](https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004510)

- **November 10, 2021**
  [https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004511](https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004511)

- **December 8, 2021**
  [https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004512](https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registrycatalog/virtc000000000004512)
Future Forum Topics?

• Suggest/request future forum topics - Send an email to shana@arizona.edu

• Present a topic!
  ❖ Share research administration tools (reports, agents, forms, templates, etc.)
  ❖ Lessons learned
  ❖ Tips & Tricks
  ❖ Upcoming Changes
  ❖ Information gained from conferences/workshops/webinars
QUESTIONS?

CONCERNS?

OPEN SHARE