July 13, 2022
Research Administration Forum

THE UNIVERSITY OF ARIZONA

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 will be made available on the RA Forum page along with the slides.

Employee and Crisis Assistance

https://lifework.arizona.edu/employee-assistance-counseling

For Parents

Life & Work Connections

ABOUT ▾ PROGRAMS ▾ COUNSELING & COACHING ▾ EVENTS & WORKSHOPS ▾ THE LATEST TOOLS ▾

CRISIS SUPPORT

Employee Assistance Counseling

Are you struggling with anxiety or depression? Dealing with grief or loss? Need help managing stress or feelings of burnout? Or are you just looking to develop your communication skills in a safe and supportive environment?

Life is full of challenges, and we all need help handling them sometimes. Life & Work Connections provides diverse entry points to help you build your resilience and strengthen the skills you need to address those challenges.

One-on-One Counseling through ComPsych

Free, confidential, short-term counseling is available to all benefits-eligible employees, their dependents, and members of their households through ComPsych.

This support includes:

- Up to 12 counseling sessions per issue per year.
- Extended appointment times, including evenings and weekends.
- A diverse, statewide network of providers, giving you the flexibility to select a provider who meets your cultural, clinical, and location preferences.
- A range of service modes, including in-person, phone, video, and chat options.
- English- and/or Spanish-speaking counselors, and translation services for other languages.

https://lifework.arizona.edu/crisis-support

For Parents

Life & Work Connections

ABOUT ▾ PROGRAMS ▾ COUNSELING & COACHING ▾ EVENTS & WORKSHOPS ▾ THE LATEST TOOLS ▾

Crisis Support

If you or someone you know is experiencing a life-threatening emergency, call 911 or go to your local emergency room.

Speak With Someone Now:

Tucson	Phoenix	National
Call the Community-Wide Crisis line **520-622-6000** or **866-495-6735** Confidential support 24/7. English or your preferred language. **Walk into the 24/7 Crisis Response Center** 2802 E. District St., Tucson, AZ	**Call the Crisis Response Network** **602-222-9444** or **800-631-1314** Confidential support 24/7. English or your preferred language.	**National Suicide Prevention LifeLine** **1-800-273-8255** The Lifeline provides 24/7, free and confidential support for people in distress, prevention and crisis resources for you or your loved ones. **National Suicide Prevention Lifeline**

**After-hours crisis callers may speak with a licensed counselor by pressing 1 when prompted by the automated message.*

Agenda

- Liability Insurance Requirements for Independent Contractors
- Discussion of Changing Current & Pending Support Needs
- Available RA Training & Development Resources
- UAR Updates
- Upcoming Development Opportunities
- Open Discussion/Q&A

Liability Insurance Requirements for Independent Contractors

Introduction

- Claudia Nelson
  Director,
  RII Native Peoples Technical Assistance Office
- Dr. Lynn Gerald
  Professor & Endowed Chair,
  Zuckerman Family Prevention and Lifestyle Medicine
- An Asthma Collaboration to Reduce Childhood Asthma Disparities on the Navajo Nation
- Challenges when hiring tribal members as independent contractors
- Led to update for information and processes for completing ICON forms

July 2022
Research Administration Forum
Risk Management & Procurement
Contracts/Insurance Review

Risk Management

BEARDOWN Safely

Introduction

Miguel Delgado

Chief Risk Officer
Risk Management Services

- Risk/Insurance Programs
- Claims Administration
- Occupational Safety/Training
- Fire Safety
- Fleet Safety
- Environmental Compliance

Ted Nasser

Chief Procurement Officer
Procurement & Contracting Services

- Purchasing/Procurement
- Contracting
- Surplus Property
- Records Management
- PCard Program
- Postal/Printing Services

Contracts and Insurance Requirements

<u>Evolution of Risk Management/Insurance</u>

QUESTION- How far back does Risk Management/Insurance go?

A- 50 years
B- 100 Years
C- 500 Years
D- More than 1000 Years

ANSWER: D- More than 1000 Years

Contracts and Insurance Requirements

Evolution of Risk Management/Insurance

Ancient Asia (5500 BC)- Ancient records indicating a "recommended" practice of dividing cargo between multiple boats when crossing rivers (Risk Management principle of separation).

Ancient Babylon (4000 – 3000 BC)- Code of King Hammurabi contained provisions related to compensation for workers who were injured or maimed while working (Workers' Compensation).

Ancient Greece (1500 – 1000 BC)- Bottomry Contracts, which were loans granted to merchants with a provision that if the shipment was lost at sea, the loan did not have to be repaid. If the shipment arrived safely, the loan had to be repaid with interest. The interest on the loan covered the risk.

Europe/London (1600 – 1700 AD)- Major increases in shipping between Europe, the New World, and Asia led to the creation of a more formalized system of Marine Insurance.

Contracts and Insurance Requirements

Evolution of Risk Management/Insurance

LLOYD'S
LLOYD'S OF LONDON

Llyod's of London- What is Lloyd's of London most known for today?
- Issuing unusual/notable insurance policies.

Examples
- Comedy Theatres- Insurance against the risk of a member of their audience dying of laughter.
- Celebrities: Heidi Klum (legs, $2M), Keith Richards (hands, $1.6M), Cristiano Ronaldo (legs, $144M), Bruce Springsteen (voice, $3.5M), Ilja Gort (Dutch wine maker, nose, $6M), Jennifer Lopez (gluteus maximus, $27M)

History of Lloyds- Coffee House on Tower St. in London, Popular establishment for sailors, merchants, and ship owners. Eventually it became the ideal place for obtaining Marine Insurance.

Contracts and Insurance Requirements

How Much Do You Know about the Titanic?

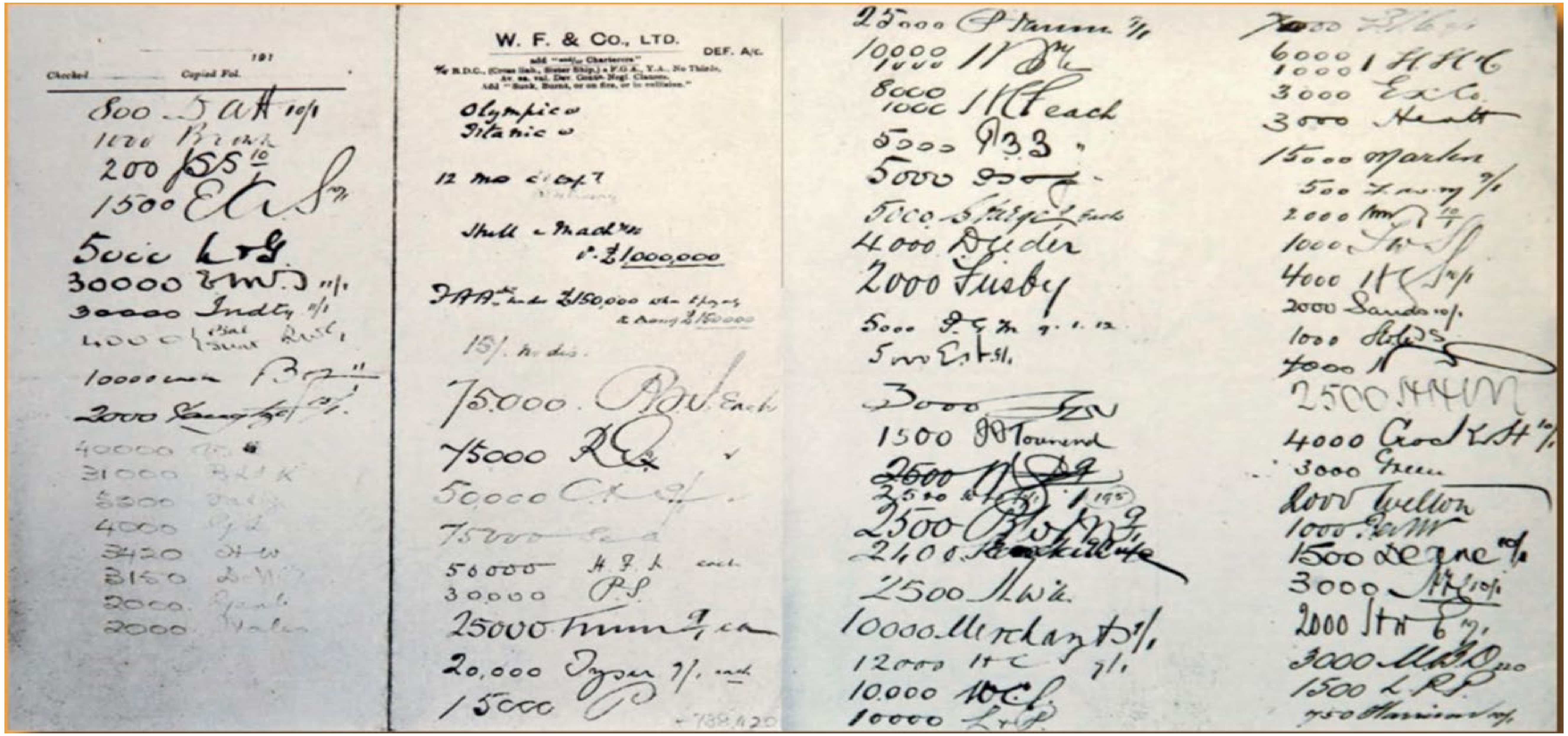
RMS Titanic sank on her maiden voyage from Southampton to NYC in the early morning hours of April 15, 1912.
2,223 were on board, 1,517 perished.

The ship's maximum capacity was 3,500. There were only lifeboats for 1,200, which was still more than the required minimum. Rules changed two years after the disaster.

The Titanic and her sister ship Olympic were insured for £1M for each vessel, with a £150K deductible. The premium was £7,500 per ship. (Today's currency- £114M each ship, £17M deductible, £862K premium)

Contracts and Insurance Requirements

Original Lloyd's of London Placement Slip for the Titanic



Contracts and Insurance Requirements

Our Primary Areas of Risk

Contracts and Insurance Requirements

What do we do with Risk?

Common Risk Control Options

- **Avoidance**- Just don't do it!
- **Prevention**- Reduce frequency (video surveillance cameras)
- **Reduction**- Reduce severity (firewalls, fire suppression systems
- **Segregation/Separation/Duplication**
- **Transfer**- Can reduce both frequency and severity

Contracts and Insurance Requirements

Contractual Risk

- Risk arising from a written agreement between two or more parties.
- Risk arising from the scope of work or services associated with a written agreement.
- Whenever additional risk for the UArizona is created by a contract, the UArizona has the goal of apportioning risk between the parties if something goes wrong, also known as **Risk Transfer.**

We aren't asking the other party to assume risk arising from our negligence, nor are we offering to assume risk arising from the other party's negligence.

Contracts and Insurance Requirements

Contractual Risk Transfer- Basic Principles

- As a risk management best practice and risk control application, the UArizona requires vendors, contractors, consultants, service providers, and short-term tenant users to carry insurance for the express purpose of covering losses that might arise from their negligence.
- An individual or organization that performs a particular activity is generally held responsible for losses caused by that activity.
- Loss exposures should be assumed by those most qualified to control them and the UArizona should not be financially responsible for the negligence of an outside party.

Contracts and Insurance Requirements

Standard Insurance Requirements

- UArizona uses a standardized approach of applying baseline insurance requirements (**not intended to be a universal solution for all agreements)**.
- Requiring vendors/contractors/consultants to have liability insurance provides assurance of financial backing to pay claims or lawsuits.
- When deemed appropriate and acceptable, minor changes may be allowable to both the types of coverage and coverage limits.
- In some cases, insurance requirements can be waived.
- If insurance is required and the consultant/contractor has concerns regarding how to pay for liability insurance, consideration for those expenses can be built into the proposal or fees charged to the customer (i.e., to the UArizona).
- UA Procurement is looking to implement reference to insurance requirements in ICON template.

Contracts and Insurance Requirements

ANY QUESTIONS?

Budgeting Liability Insurance

If liability insurance is needed…

- The cost of the liability insurance policy should be factored into their rate
- Budget liability insurance in the Consultant/Contractor line along with their rate, travel, etc.
- Not necessary to call out liability insurance separately in budget justification (it's part of doing business with this individual)
- Not for companies or individuals with their own LLC

Changing Current & Pending Support Needs

BREAKOUT ROOMS

Decide on one person who will report out for group.

With all the recent and anticipated changes to Current & Pending or Other Support proposal and Just-in-Time documents:

- What challenges are you facing as admins?
- What are you hearing from your researchers?
- What concerns do you have?
- What types of information might make finding information for or creating these documents easier?
- What other thoughts do you have on this topic?

CONCERNS/ISSUES

- Inconsistency of information that can be pulled/between sponsors and what they want
- New portals for info sharing; PIs don't necessarily know how to use; RAs training? Access?
- Pre vs. Post; different access to information; additional training needed? Actual percent effort on awarded projects
- ScienCV – if no delegate access, must have researchers respond quickly to changed budgets; subawardees – may not know accuracy of info provided; who has access to generate official "signed-off" document?
- Requirement for certification; RAs not comfortable certifying information; Individuals really only one that can certify;

WANTS/NEEDS

- Location of sponsor templates; many new RAs; NSF, DOD, NIH requirements; templates/guidance on RA site?
- Additional education/training
- Having postaward review C&P for proposals/RPPRs prior to submission?
- Live capture of effort changes/actualities? Report in analytics proposed vs. actual effort but not working currently
- Current – awards; Pending support – proposals and awards; Previous support – variable years?
- Analytics dashboard with ALL THE INFO; toggles: by investigator; activity type, eventually export to Sponsor forms?
- Washington (St. Louis) has a system that we should look into; U. of Ohio? UCSD?
- Standardization of calculation of effort?

RA Training & Development Resources

https://research.arizona.edu/research-resources/training/administrators https://research.arizona.edu/research-resources/training/administrators

Research, Innovation & Impact

CONTACT GIVE

HOME ABOUT RESEARCH SUPPORT STUDENTS INDUSTRIES FACILITIES & UNITS IMPACT NEWS & EVENTS

Phase 6: Normal Research Operations

Services / Training and Professional Development /

- Research Support
- Development
- Administration
- Compliance
- Services
  - New Investigators Checklist
  - Sponsored Projects Services
  - Training and Professional Development
    - PIs and Research Teams
    - Research Administrators
      - Professional Organizations
      - Publications
      - UAccess Research Training
      - LevelUP Program

Training & Development Resources for Research Administrators

Research, Innovation & Impact (RII) offers an extensive program of workshops designed to help research administrators and business offices successfully work with faculty researchers to navigate the full research cycle, from finding and securing funding, negotiating contracts, and managing the award, to ensuring compliance with relevant laws and policies.

If you are interesting in having one of these workshops presented for your department or college, please contact the Research Training & Education Team at **Research-Training@email.arizona.edu**. We can also deliver specialized training by request.

Browse the trainings we offer below or view a **schedule of upcoming workshops**. Please register for workshops in advance by clicking the title or through **EDGE Learning**.

Jump to section:

Upcoming Development Opportunities!
Monthly Research Administration (RA) Forum
Compliance News
Online Learning

Upcoming Training

- **Workshop Calendar**
- **EDGE Learning**
- **Request Training**

https://research.arizona.edu/research-resources/training/administrators/professional-organizations

Phase 6: Normal Research Operations

Professional Development for Research Administrators

There a numerous professional organizations and publications available to support Administrators in all areas of research.

Professional Organizations

Association of University Technology Managers (AUTM)
The AUTM provides training opportunities and guidance documents for technology transfer professionals.

Council on Governmental Relations (COGR)
COGR is an association of research universities.

Federal Demonstration Partnership (FDP)
FDP is a unique forum for individuals from universities and nonprofits to work collaboratively with federal agency officials to improve the national research enterprise.

Grants Professionals Association (GPA)
GPA is an international membership association for everyone in the grants industry that helps grant professionals seek to continually improve their professional knowledge and skills in grant research, proposal development, and post-award grant management.

Health Care Compliance Association (HCCA)
HCCA's goal is to enhance the healthcare compliance profession. Members include compliance officers and staff from a wide range

https://research.arizona.edu/research-resources/training/administrators/publications

- Research Support
- Development
- Administration
- Compliance
- Services
  - New Investigators Checklist
  - Sponsored Projects Services
  - Training and Professional Development
    - PIs and Research Teams
    - Research Administrators
      - Professional Organizations
      - Publications
      - UAccess Research Training
      - LevelUP Program

Publications

Publications

National Council of University Research Administrators (NCURA) Magazine
NCURA's magazine is published six times a year with pieces on management, perspectives on federal policy written by members and non-members, and the latest information and explanations on topics of interest to research administrators.

Research Management Review (RMR)
The Research Management Review provides a forum for the dissemination of knowledge about the study and practice of the research administration profession.

Sponsored Research Subscription
The Sponsored Research Administration: A Guide to Effective Strategies and Recommended Practices published by NCURA provides college and university research administrators with a “living textbook” on the wide range of research management challenges.

The Catalyst
The Catalyst features insights from the top professionals in research management, job listings focused on research administration, as well as keeping you up-to-date on the unbeatable educational offerings from SRA International.

The Hastings Center Report
The Hastings Center provides various **publications and resources**, including the Hastings Center Report which explores the ethical, legal, and social issues in medicine, health care, public health, and the life sciences.

The Journal of Research Administration

https://research.arizona.edu/research-resources/training/administrators/levelup-program

Research, Innovation & Impact

CONTACT GIVE

HOME ABOUT RESEARCH SUPPORT STUDENTS INDUSTRIES FACILITIES & UNITS IMPACT NEWS & EVENTS

Phase 6: Normal Research Operations

Services / Training and Professional Development / Research Administrators /

- Research Support
- Development
- Administration
- Compliance
- Services
  - New Investigators Checklist
  - Sponsored Projects Services
  - Training and Professional Development
    - PIs and Research Teams
    - Research Administrators
      - Professional Organizations
      - Publications
      - UAccess Research Training
      - LevelUP Program

LevelUP Program

NEW

Check out SRAI's latest **module**: **Principles of Post-Award Non-Financial Research Administration**!

Check out SRAI's latest LevelUP online learning tool: **mGuides**!

SRA INTERNATIONAL LEVELUP

The University of Arizona is pleased to partner with the **Society of Research**

UAccess Research Updates

Known Issues

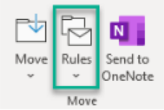
- Unable to enter notes on proposals once submitted to routing. **FIXED!**
- Unable to add "Viewers" to Access tab after proposal submitted to routing. **FIXED!**
- Users not receiving future action request prompt at college/div approval levels. **In development queue!**
- Retired Emeritus faculty not pulling into UAR unless also have DCC status. **It's not a bug, it's a feature! DCC required!**
- Notifications to Initiator do not say "Returned for Edit", they say "APPROVE Required". **See FAQ.**

FAQs – Return for Edit Option

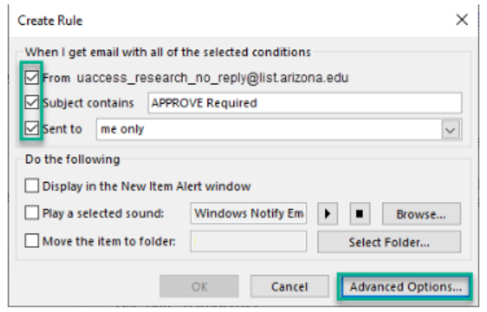
When a document is "Returned for Edit", the notification email to the Initiator says "APPROVE Required", not "Returned for Edit". How do I ensure that these notifications are brought to my attention so I can make the necessary changes in a timely manner?

We are working with Kuali to determine what we can do to improve these notifications to be clearer/more in line with a "Return for Edit". In the meantime, you can create a rule in Microsoft Outlook which marks the message as **high** importance and **flags** the message for follow-up that same day.

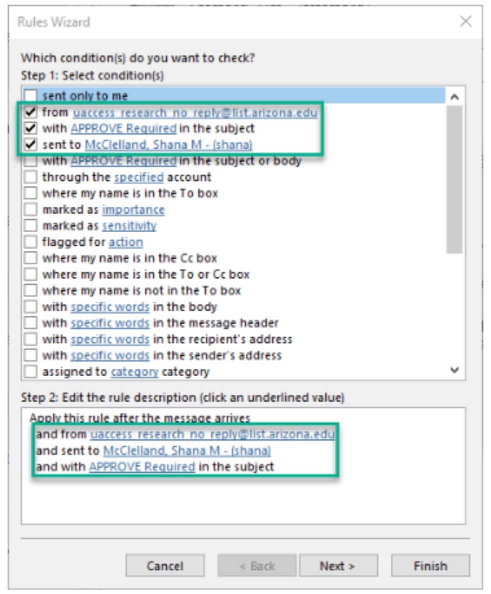
1. Create Rule - In Outlook, Rules is in the top toolbar under the Move Section.



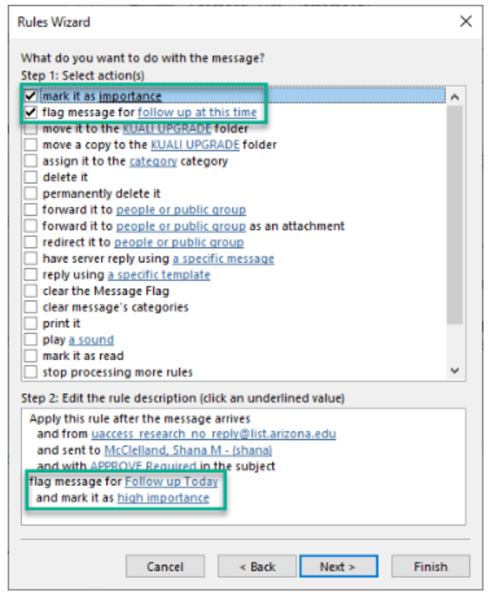
2. Mark initial parameters and then select **Advanced Options**...



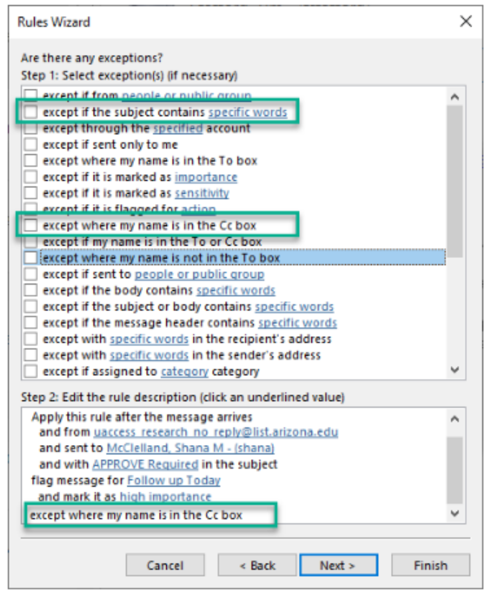
3. Select any additional parameters or refine existing



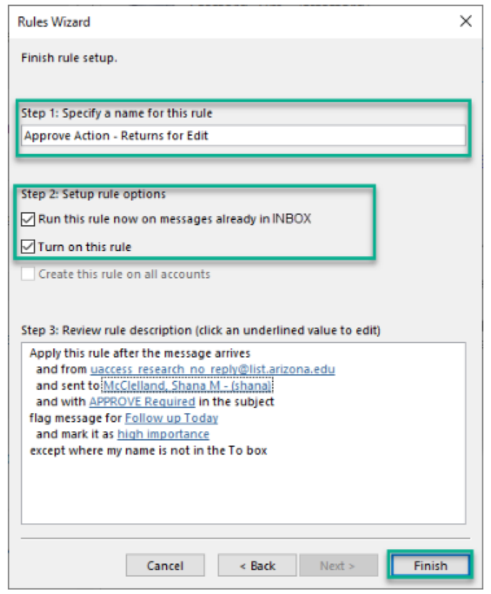
4. Select actions **Mark it as importance** and **Flag message for follow up at this time.** Then if you click on the hyperlinked text follow up at this time you can select **Follow up Today** and importance you can select **high importance**.



5. Provide exceptions to refine or ensure you're not applying the action to replied/forwarded items (when others are asking question) or copied items (where you're not the main recipient).
Perhaps "except if the subject contains certain words" and include **RE:** and **FW:** as a filter criteria? Would help filter anything that was forwarded to them from others with a question.



6. Name the rule and then check "Run this rule now" to run the actions against anything meeting those criteria currently in their box.



https://research.arizona.edu/administration/home/kuali-research-upgrade/resource-page-uaccess-research-update#KRFAQs

Update on Award Account Turn-around Time

Award-account processing turnaround time as of 7/11/22 is 2-3 weeks. Status updated 2x monthly

https://research.arizona.edu/administration/project-initiation-and-setup

Upcoming Development Opportunities

2022 NCURA Region VI & VII Meeting

October 30 – November 2, 2022

Tucson, AZ at the JW Marriott Starr Pass Resort

Additional details coming at future forums as they become available.

Information: https://www.ncuraregionvii.org/regional-meeting

NCURA
RM2022
VI & VII
OCTOBER 30 - NOVEMBER 2, 2022
TUCSON ARIZONA

IN-PERSON

Research Compliance Across the Lifecycle

Wednesday, August 10, 2022

10:00am – 1:30pm MST

FREE Additional Logins

Email shana@arizona.edu by **8am on Monday, August 8** for access

Information: https://research.arizona.edu/research-resources/training/administrators#Opportunities

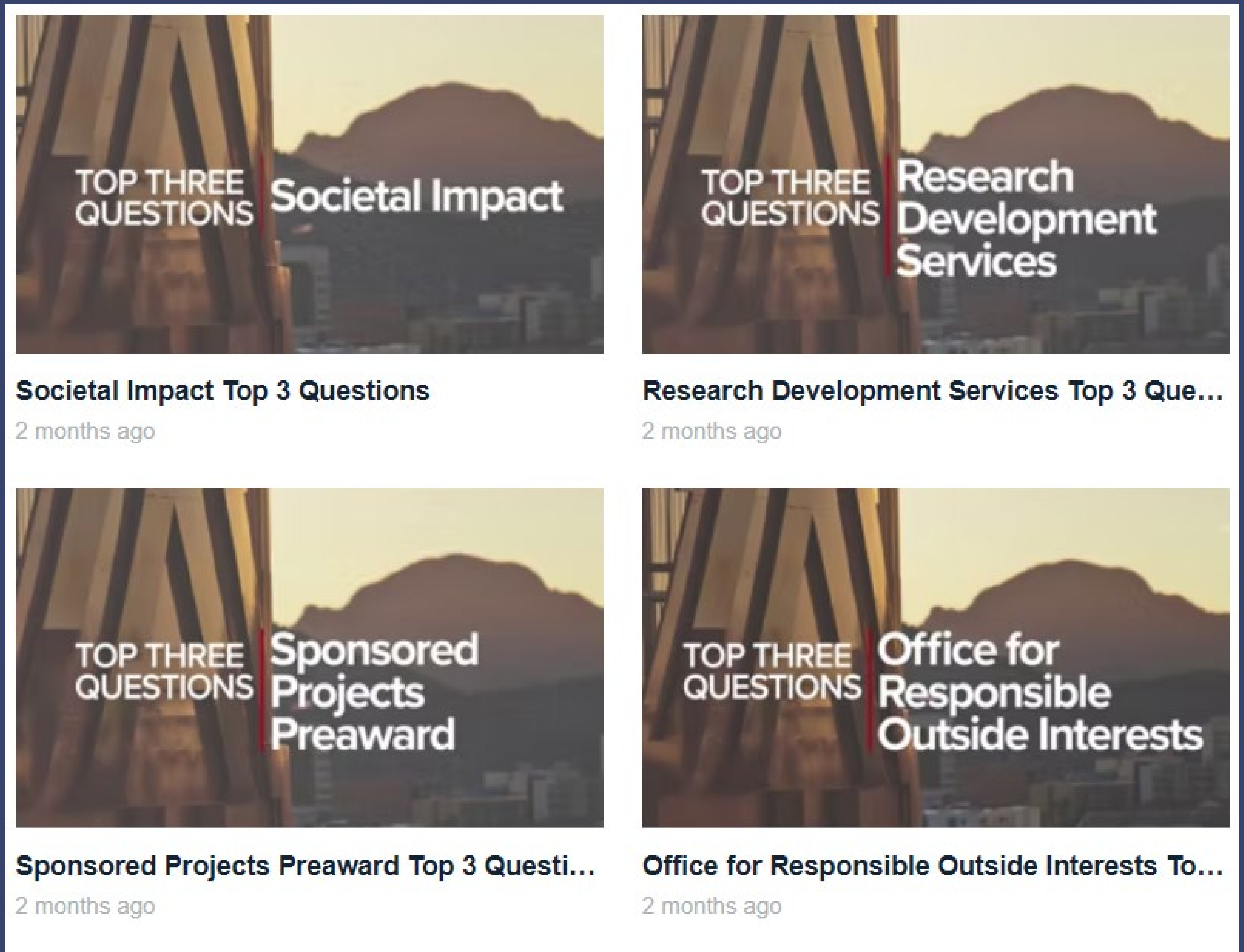
LIVE VIRTUAL

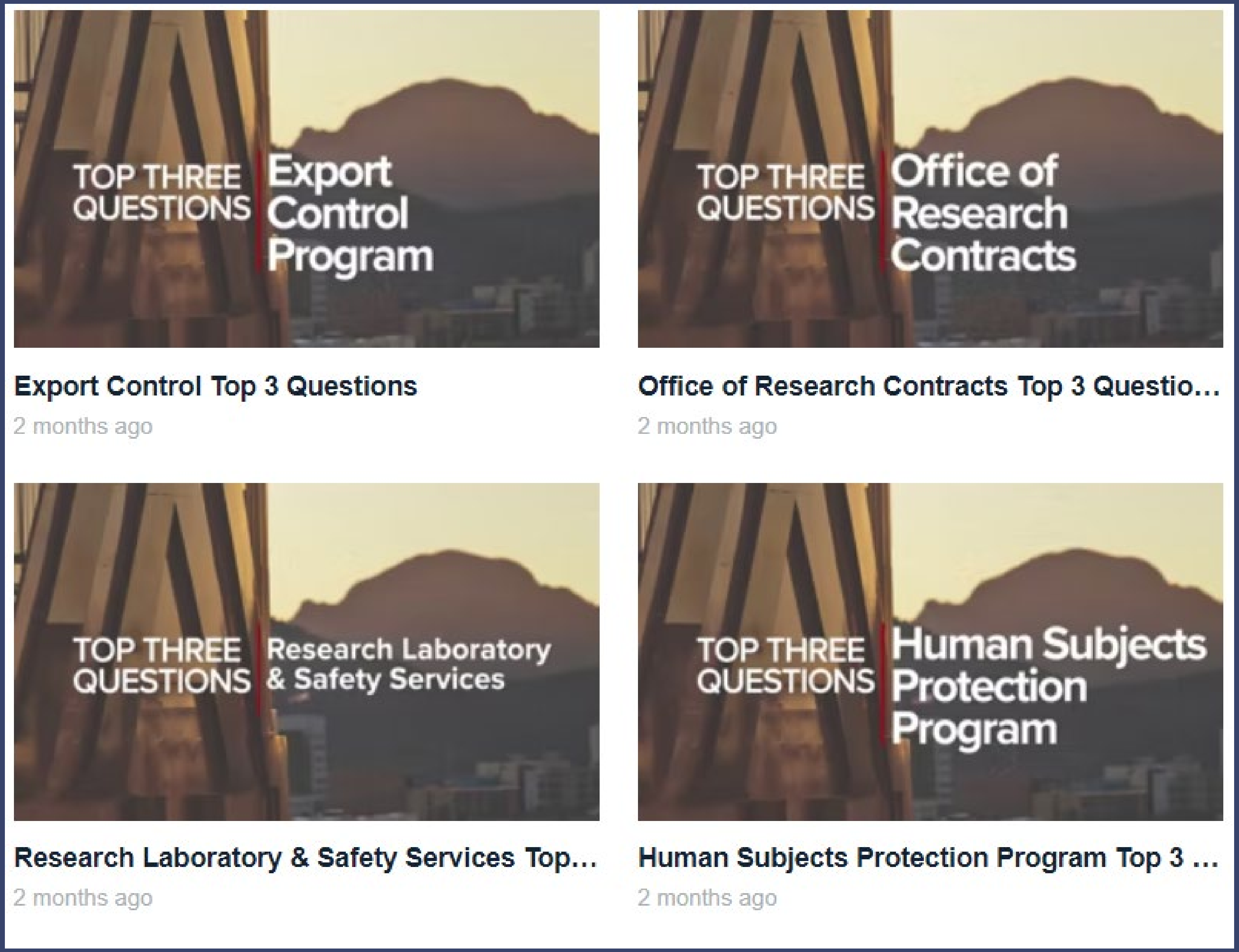
Information

NCURA Webinars Available

- **2022** – ORCID and the OSTP: Guidance on NSPM-33
- **2022** – OMB/NIH/NSF Agency Updates
- **2022** – Guidance on the Preparation of NIH Research Performance Progress Reports (RPPR)
- **2021** – Cost Share: Tackling the Challenges
- **2021** – Developing Compelling Budget Justifications
- **2021** – In-N-Out: Here's What PI Transfers are All About

Find them all at: https://research.arizona.edu/research-resources/training/administrators under NCURA WEBINAR RECORDINGS.





Top Three Questions Series

"Top Three Questions" series for various RII areas can be found at https://vimeo.com/uarizonaresearch/videos.

Future RA Forums

- **August 10, 2022**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc-0000027070
- **September 14, 2022**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc-0000027073
- **October 12, 2022**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc-0000027075
- **November 9, 2022**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc-0000027076
- **December 14, 2022**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc-0000027077

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

Shana McClelland, CRA

Manager, Training & Development

Sponsored Projects Services

Research, Innovation & Impact

The University of Arizona

Email: shana@arizona.edu

or find me on Teams!

QUESTIONS?

CONCERNS?

OPEN SHARE