Zoom etiquette reminder

• Please keep yourself muted unless you are actively speaking.
• If you have a comment/question, please type it in the chat.
  o We will read out any chat questions and obtain answers to ensure both question and answer are included in the session recording.
  o 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

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

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:

<table>
<thead>
<tr>
<th>Tucson</th>
<th>Phoenix</th>
<th>National</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call the Community-Wide Crisis line 520-622-6000 or 866-495-9735</td>
<td>Call the Crisis Response Network 602-222-9444 or 800-631-1314</td>
<td></td>
</tr>
<tr>
<td>Confidential support 24/7. English or your preferred language.</td>
<td>Confidential support 24/7. English or your preferred language.</td>
<td>National</td>
</tr>
<tr>
<td>Walk into the 24/7 Crisis Response Center 2802 E. District St., Tucson, AZ</td>
<td></td>
<td>Suicide Prevention Lifeline 1-800-273-8255</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The Lifeline provides 24/7, free and confidential support for people in distress, prevention and crisis resources for you or your loved ones.</td>
</tr>
</tbody>
</table>

*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
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

Evolution of Risk Management/Insurance

*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 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 UA 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 UA 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.

Risk Management
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
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 interested 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
Professional Development for Research Administrators

There are 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
LevelUP Program

**NEW**

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

Check out SRA’s latest LevelUP online learning tool: mGuides!
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 "Returned 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 parameters.

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 questions) or copied items (where you’re not the main recipient).

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
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
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](https://research.arizona.edu/research-resources/training/administrators) under NCURA WEBINAR RECORDINGS.
"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](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](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](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](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](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

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or find me on Teams!