May 11, 2022
Research Administration Forum
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 1-520-622-5000 520-622-6000 or 866-495-9735</td>
<td>Call the Crisis Response Network 1-602-222-9444 or 1-800-631-1314</td>
<td>National Suicide Prevention Lifeline 1-800-273-8255</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>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>
<tr>
<td>Walk into the 24/7 Crisis Response Center 2602 E. District St., Tucson, AZ</td>
<td></td>
<td>National Suicide Prevention Lifeline 1-800-273-8255</td>
</tr>
</tbody>
</table>

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

• Expenditure Hot Topics: Marcel Villalobos and Tara Gonzales
  o Overview of cost allowability and approving expenditure requests, unallowable costs, and cost transfers
  o Recap of January 2022 National Science Foundation – Uarizona award monitoring site visit
  o Recap of April 2022 Financial Services Memo Business Purpose Guide
  o Year-end Tips
• Updates and Opportunities
• Open Discussion/Q&A
Expenditure Hot Topics

Marcel Villalobos and Tara Gonzales
• Year-end tips
  • New Backstop form!
• Overview of cost allowability - approving expenditure requests, unallowable costs, and cost transfers
• Recap of January 2022 National Science Foundation – UArizona award monitoring site visit
• Recap of April 2022 Financial Services Memo Business Purpose Guide
<table>
<thead>
<tr>
<th><strong>Year End and Sponsored Projects Tips</strong></th>
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<tbody>
<tr>
<td><strong>RAMTALK with year end transactional guidance will be sent in June</strong></td>
</tr>
<tr>
<td>GEC for current year, DI for prior year Year end docs if you need transaction booked in FY22</td>
</tr>
<tr>
<td><strong>Effort reports</strong></td>
</tr>
<tr>
<td>Need to be approved by 6/30 or will post in new year If changes affect only cash style accounts, cannot make changes after 6/30</td>
</tr>
<tr>
<td><strong>Year End Payroll Rollover Backstops</strong></td>
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<td>Due by Tuesday, 5/24</td>
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New Advance Account/Backstop Form!

Please use the form “Email to SPS” button to submit to SPS (or manually email to sponsor@arizona.edu ) if on mobile
Please do not submit directly to team members unless already corresponding about an issue

8 min training video and updated guidance (no policy changes)
https://research.arizona.edu/administration/managing-projects/backstopping
• Take 5 minutes to share:
• What makes a cost **allowable** on a sponsored account and what **resources** do you use?
<table>
<thead>
<tr>
<th>Reasonable</th>
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<tbody>
<tr>
<td>Allocable</td>
</tr>
<tr>
<td>Conforms to terms</td>
</tr>
<tr>
<td>Consistent</td>
</tr>
</tbody>
</table>
Regulations and Policies

• Federal Regulations
  • 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
  • FAR: Federal Acquisition Regulation
  • Agency policy guidelines

• State, ABOR, and University Policies

• Specific terms and conditions of grants and contracts
What are examples of high-risk costs?

- What are examples of high-risk costs?
- Type into chat and we will build a list
Audit Methodology: Focus on High-Risk Costs

- Cost transfers
- Purchases near term of project
- Subawards & Subrecipient Monitoring
- Consultants
- Participant Support
- Relocation costs
- Administrative costs
- Travel
- Salaries / Overtime / Effort
- Internal charges / Recharge centers
Who has a Role in Financial Compliance?

- Principal Investigator
- Compliance
- Administering Department
- Central Administration
Why does Compliance Matter?

Trust
Maintain trust between sponsors/public and the University

Stewardship
Provide stewardship to safeguard research investment

Consequences
Avoid consequences of non-compliance
Consequences of Non-Compliance

- Negative Publicity
- Damaged Reputation
- Increased Administrative Costs
- Loss of Administrative Flexibilities
- Increased Scrutiny
- Withholding of future awards
- Multi-million dollars to settle lawsuits
- Criminal/civil/administrative penalties
- Audit Findings / Disallowed Costs
How do we comply?

• Strong internal controls
  • Adequate systems
  • Establish and maintain policies and procedures that are
    • Current
    • Compliant
    • Communicated, understood, and followed
  • Sufficient training – know the regulations and policies
  • Clearly defined roles and responsibilities
  • Sufficient documentation – Scale Level of documentation with level of risk
  • Monitoring programs
Adequate Account Management, Monitoring & Documentation

• Document business purpose
• Timely review of grant expenditure
• Correct errors immediately
• Monitor budget to avoid overruns
• Sufficiently document direct charging of clerical and administrative salaries & other admin. costs
• PI must be informed of expenses and balances
• Manage HHS/NIH over-the-cap salary costs
• Manage NSF 2-month salary limitation
• Avoid excessive cost transfers and untimely transfers
• Avoid large purchase of equipment and supplies at the end of a project
NSF Site Visit

• Complementary of UA research administrator community

• Suggestions:
  • Roles and Responsibilities for cost transfers and expenditures
  • Treatment of unallowable costs
  • Participant support
    • Future forum!
This letter follows-up the recent NSF site visit to your organization on January 24-28, 2022. Christi Whittredge, Jill Goldfarb, and I appreciate the time and effort that your staff expended during our review of your organization’s policies, procedures, and practices related to federal award administration. The site visit was productive and useful from NSF’s standpoint; I hope your organization benefited as well.

During our visit, we discussed the following recommendations with representatives of your organization:

1. NSF recommends the University enhance its general grants management procedures to ensure the written documents address the following:
   - Document the roles and responsibilities of personnel involved in approving cost transfers.
   - Document the roles and responsibilities of personnel involved in approving expenditure requests.
   - Document the University’s accounting treatment of an unallowable cost mistakenly charged to a grant such as where the unallowable cost is transferred (department account, unrestricted account, etc.).
2. NSF recommends the University strengthen written policies and procedures for Participant Support costs in accordance with 2 CFR 200.456 that includes the following:

• Documents the University’s procedure for the segregation of participant support costs from other grant expenditures;

• Provides enhanced guidance to employees regarding what does and does not constitute participant support costs, such as clarifying the requirement regarding when an employee of the University may be a participant and specifying that human subject payments are excluded from the participant support category;

• Documents the requirement of receiving prior approval from NSF through research.gov for re-budgeting of costs out of the participant support category;

• Specifies that indirect costs are not to be recovered on the participant support costs;

• Specifies the documentation requirements to support participant support costs, such as documentation of attendance of participants at workshops, symposia, etc.
Roles and Responsibilities
Account Management

• PI and fiscal officer - monthly reconciliation, review of account statements, correcting cost transfers
• SPS - review select transactions, provide interpretation of policy, prior approvals, audit coordination

https://research.arizona.edu/administration/managing-projects/fiscal-responsibilities
What are examples of unallowable costs?
Type into chat and we will build a list
Unallowable Costs

• Costs prohibited by UA/state or sponsor policy
• Direct vs Indirect (F&A) costs

https://research.arizona.edu/administration/managing-projects/unallowable-costs
The Business Purpose Guide has been updated to enhance and clarify the requirements for a business purpose on all financial transactions, making it easier for users when completing their documentation.

The updates include:
- Revised definition of a business purpose to ensure all expenses are appropriate and serve the goals and objectives of the University.
- Additional verbiage stating a business purpose must be provided on ALL financial documents.
- New section containing information regarding the Arizona Auditor General request for written information to justify the public purpose served of an expenditure and Arizona Constitution Article 9, Section 7 regarding public funds.
- Clarified where the business purpose details should be located/docmented within UAccess Financials.

This updated reference tool is not reflective of a policy change. We recommend however that approvers, reconcilers, or individuals making purchases or initiating services on behalf of the University review this revised guide to avoid delays in transactions within the financial system.

- For questions, please contact Accounts Payable at 520-621-9097 or accts_pay@fso.arizona.edu.
<table>
<thead>
<tr>
<th>Documentation</th>
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<tbody>
<tr>
<td><strong>Expenditures on Federal projects must be supported by a business purpose.</strong></td>
</tr>
<tr>
<td><strong>It can either be in the proposal budget justification or accompany the transaction in Financials.</strong></td>
</tr>
<tr>
<td><strong>The level of documentation should scale with the level of risk of the cost.</strong></td>
</tr>
</tbody>
</table>
Risk Level of Transactions

• Federal & Sub-Federal Cost-Reimbursement
  • Federal Fixed Price

• State and Local Govt Cost Reimbursement
  • Nonfederal Cost Reimbursement
  • Nonfederal Fixed Price
  • UA Gift and IDC Accounts
SPS expenditure reviews

• SPS reviews certain high-risk documents for:
  • Incurred within the budget period
  • Available budget or backstop
  • Clear benefit to project or business purpose
  • Within award closeout period
  • Spending down at or near end of project
Why does Financial Services/SPS ask for expense and cost transfer documentation?

A: To help the investigator, SPS, and department have documentation in case of sponsor review or audit

B: To help SPS understand project and ensure UA and sponsor terms are followed

C: To drive you and your faculty crazy, for our twisted sense of personal enjoyment

D: A and B
• What are challenges with obtaining sufficient documentation, and what tips or resources do you use?
Cost transfer notes

• General Error Correction (GEC) versus Distribution of Income and Expense (DI)
  • DI is used on sponsored accounts only for prior fiscal year expense transfer
  • GEC should be used for all current fiscal year transactions on a sponsored account
DI

• Should only be used for prior fiscal year transfers
• “Org Ref ID” field needs the original financials edoc in it
• Should be treated like a GEC:
  • Non-timely: Requires Error Certification
  • Timely: Explanation of reason for transfer
  • Description: “General Error Correction”
  • Line description: “GEC” Original Document Number
Error certification form on cost transfers

• A must have for federal/subfed late transfers

• All four questions should be
  • Fully answered
  • Project specific
  • Detailed

• We can train you what we look for, but we can’t fill this out for you
Error certification form on cost transfers

• Language to avoid:
  • Removing deficit
  • Insufficient funds
  • Lack of funds, so moving/splitting to...
  • Slang, personal notes
  • Because we have money leftover
  • Sponsored projects/Business office told me to...
Disbursement Vouchers

• When?
  • Expired accounts

• Travel Example:
  • Airline ticket purchased prior to end date
Internal Billings

• When?
  • Hospitality: Business Meeting expense
• Special Requirements
  • Agenda
  • List of attendees
  • Food allowable or pre-approved
Internal Billings (cont.)

• When?
  • Capital Equipment

• Special Requirements
  • Allowability on account and prior approval
  • Titling issues
Procurement Cards

• When?
  • Expense over $5,000
  • Expired accounts

• Special Requests
  • Attach receipt
  • Include dates

• Auto-Approval
Requisitions/Purchase Order Amendments

- When?
  - All subawards
  - Amount over $5,000
  - All capital equipment
  - Tagged, non-capital equipment
Requisitions/Purchase Order Amendments (cont.)

• What?
  • Sponsor approval/notification for subaward & equipment
  • Equipment titling issues
  • Closer review near end of project
  • Cost Allocation
Does SPS review all transactional documents for each sponsored account?

A. Yes
B. No
C. Not sure - I turned my sound off ten minutes ago
When does SPS review Disbursement Vouchers?

A. On all 3XXXXXX and 4XXXXXX accounts
B. Only on Expired SPS accounts
C. Only on Federal or Subfederal accounts
D. On all university accounts
Which is/are required for Internal Billings for Business Meetings with Food?

A. Signed affidavits by all attendees to benefit to project
B. Meeting agenda
C. List of attendees
D. Social Security Numbers
E. B & C only
What is required in all cost transfer documents?

A. An error certification
B. PI signature
C. Explanation of the reason for the transfer
D. A thank you note to your SPS reviewer
Which of the following is a possible audit red flag?

A. Cost transfers that spend out to the penny
B. Removing a deficit onto a federal sponsored account
C. A large number of purchases at the end of the project
D. Equipment purchased near the end of the project
E. All of the above
Resources to distribute

- Slide deck
- SPS Reviewed Documents and Cost Transfers Handout
- Copy of Business Purpose Guide email from FSO/SPS
- Copy of Year End Transaction Reminder from SPS
Questions or Comments?
UAccess Research Updates and Searches
Known Issues

• Unable to enter notes on proposals once submitted to routing. **FIX IMMINENT!**

• Unable to add “Viewers” to Access tab after proposal submitted to routing. **FIX IMMINENT!**

• Users not receiving future action request prompt at college/div approval levels. **Known and reported.**

• Retired Emeritus faculty not pulling into UAR unless also have DCC status. **It’s not a bug, it’s a feature! DCC required!**

• Legal name vs. Preferred Name in searches return different results. **LegalFirst*LegalLast|PreferredFirst*PreferredLast**

• Notifications to Initiator do not say “Returned for Edit”, they say “APPROVE Required”. **Looking into potential fixes. See FAQ.**
Search Records Searches

• Reminder that Search Records returns results based on your access privileges.
• If you do not have access to a record, you will not find it here and will need to use the Common Tasks Searches.
• Access is provided:
  • when you initiate a document
  • when you are included as personnel on a document
  • when you are provided a specific access role on the Access tab
  • when you are a unit (department or college) approver included in the route path (due to lead unit or personnel)
Common Tasks Searches

• All My Awards defaults to placing user’s name in the Investigator field.
• If individual has legal and preferred name which differ, can find all applicable by searching LegalFirst*LegalLast|PreferredFirst*PreferredLast
• All My Proposals defaults to placing user’s NetID in the Participant field. Remove and place in Principal Investigator or Proposal Person field to get results.
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

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
Information, Updates and Opportunities
NSF “For Comment” PAPPG

- NSF published a notice today in the Federal Register announcing the availability of a “For comment” draft of the Proposal & Award Policies & Procedures Guide (PAPPG). NSF is accepting comments from the external community until cob June 13, 2022. The draft PAPPG is available on the Policy Office website.

- To facilitate review, revised text has been highlighted in yellow throughout the document and explanatory comments have been included in the margins, where appropriate.

- Any questions should be directed to the Policy Office at policy@nsf.gov.

NSF Updated Disclosures Table

• Updated version of the table entitled NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support.

• Updates information on postdoctoral scholars, students, or visiting scholars

• Differentiates between research activities that are intended for use on the project/proposal being proposed and those that are not

• Definition of honorarium has been added

• FAQs Regarding Current and Pending Support have been updated and new questions have been added.

• Questions should be directed to the Policy Office at policy@nsf.gov.
NCURA Virtual Live Event!

ORCID and the OSTP: Guidance on NSPM-33

In January, OSTP issued NSPM-33 implementation guidance for federal agencies. The guidance refers to the use of DPIs, or Digital Persistent Identifiers. This session will be an educational session on DPIs – what they are, how they work, and how they can be an important part of a researcher’s workflow.

• Live Webinar: Thursday, May 26 from 11:00am-12:30pm
• After the Show Q&A: 12:35pm-1:30pm

If you are interested in attending as a free extra login, please contact shana@arizona.edu no later than Wednesday, May 25 by 8am with whether you want the webinar only or webinar and after-the-show Q&A as well.

Our very own Lori Schultz!
NCURA Webinars Available

- **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.
<table>
<thead>
<tr>
<th>Course Title</th>
<th>Image</th>
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<tbody>
<tr>
<td>Principles of Pre-Award Research Administration</td>
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<tr>
<td>Principles of Award Negotiation and Set-up</td>
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<tr>
<td>Principles in Research Development</td>
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<td>Principles in Proposal Development</td>
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<tr>
<td>Research Compliance Frameworks</td>
<td><img src="image5.png" alt="Image" /></td>
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<tr>
<td>Principles of Post-Award Financial Research Administration</td>
<td><img src="image6.png" alt="Image" /></td>
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<tr>
<td>Relationships, Roles, and Responsibilities in Research Administration</td>
<td><img src="image7.png" alt="Image" /></td>
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<tr>
<td>Introduction to Clinical Research Management: Clinical Studies and Trials</td>
<td><img src="image8.png" alt="Image" /></td>
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</table>
LevelUP mGuides

• **NEW** content
• Condensed training modules focusing on practical information needed to master a specific topic.
• No exams; Helpful how-to tool; Completable in one hour or less
• **NIH RPPR mGuide:**
  https://www.srainternational.org/meetings/levelup-program/levelup-courses/nih-rppr620967
• **NIH R Series mGuide:**
  https://www.srainternational.org/meetings/levelup-program/levelup-courses/r-series620
The University of Arizona is pleased to partner with the Society of Research Administrators (SRA) International in offering the LevelUP program to Research Administrators and associated roles throughout the university.

The LevelUP program consists of training modules that are approximately 2 to 5 hours in duration on relevant topics in research administration through the lifecycle of a sponsored award. From proposal development and pre-award administration to post-award finance and regulatory and compliance, the LevelUP curriculum can be used to onboard and orient new employees, provide existing employees with a better foundation in research administration, or help fulfill requirements to maintain professional certification.

The University of Arizona is an Unlimited Institutional Partner, which means there is no cost associated with your participation as a University of Arizona employee. You may take as many of the available modules as you wish, at no cost to you or your department. For each module completed, you earn a micro-credential and a digital badge. These digital badges can be publicly displayed on your signature line, LinkedIn profile, and other social media outlets for easy viewing by your professional community and organization.

If you wish to participate, you will first need an SRA International account.

- If you have never had an SRA International account before, you will need to create a new visitor registration at https://netforumpro.com/eweb/DynamicPage.aspx?site=SRA&WebCode=Verify using either your arizona.edu or arizona.edu email address. Once you have created your guest account, please email shana@arizona.edu with the email address variation you used, and you will be issued the program invitation link and internal UserGuide.

- If you are an SRA International member or have been one in the past, please do not create a new guest account. Please email shana@arizona.edu with the email address your account is associated with, and you will be issued the program invitation link and internal UserGuide.

https://research.arizona.edu/research-resources/training/administrators/levelup-program
The first in a planned series of videos about the “Top Three Questions” for various RII areas has been created and posted at https://research.arizona.edu/compliance/hipaa-privacy-program. More can be found at https://vimeo.com/uarizonaresearch/videos.
Save the Date(s)!

Coming soon...
Spring 2022 NSF Grants Conference

June 6-10, 2022

*FREE* registration opens on Wednesday, May 11 at 12pm EST (9am Tucson)

Registration now open!
https://nsfpolicyoutreach.com/22-grants-conference/

Recorded sessions will be available on demand following the event.
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
2023 Tri-University RA Conference

April 2023

2023 Co-Chairs: Lisa Allen, ASU and Shana McClelland, UA

Calls for Proposals, Presenters, and Volunteers coming May/June 2022

Additional details coming at future forums as they become available.
Future RA Forums

- June 8, 2022
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc000000000004968
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
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!