

September 8, 2021 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.
 - ❖ 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



- Department and SPS Postaward Partnership for Tracking Funding Status, Managing Project Changes, and Preparing Prior Approvals
- Quick Overview of Effort Reporting Process: Resources and Routing Tips
- UAccess Research Upgrade Update
- SRA International LevelUP Program Update
- Announcements/Information Sharing
- Open Discussion/Q&A

Department/SPS Postaward Partnership

**Tracking Funding Status,
Managing Project Changes, and
Preparing Prior Approvals**

Tracking Funding Status

2

Research - Negotiation Log

Wednesday, September 8, 2021

Overview

The following reports are found in this dashboard:

Contract Status:

This report can be used to determine the status of contracts that have been received by SPCS Contracting Services. Each row represents a single contract. If a contract does not appear on this report, it has not been received by SPCS Contracting Services for negotiation.

[Please click here for important information about the contents of each column in the report.](#)

Contract Status Detail:

This report tracks the steps a contract has taken during the negotiation process.

[Please click here for important information about the contents of each column in the report.](#)

Award Setup Status:

This report can be used to determine the status of unilateral awards and fully executed agreements (bilateral awards) that have been received by SPCS Award Services for award setup. Each row represents an individual award. Only awards appearing on this report are those that were either in progress in SPCS Award Services as of 07/01/2019, or have been received by Award Services on or after 07/01/2019. Contracts under negotiation do not appear on this report. If an award is sent to Award Services for award setup, it has not been received for award setup by Award Services. Please note that the system updates overnight, so entries are delayed.

[Please click here for important information about the contents of each column in the report.](#)

Award Setup Status Detail:

This report tracks the steps an award has taken in the award setup process. There can be multiple rows for a single award, each row representing a request for review from an office outside of Award Services. Any time period shown in the series of actions is time that the award was with Award Services.

[Please click here for important information about the contents of each column in the report.](#)

- Most Recent(Negotiation Log - Overview)
- My Dashboard
 - All Dashboards Index
 - Arizona Profiles
 - Budget
 - EDGE Learning
 - Employee
 - Financial
 - My Analytics
 - RCM
 - Research**
 - Awards
 - eDisclosure - Conflict of Interest (COI)
 - Institutional Review Board
 - Negotiation Log**
 - Proposals
 - Trending
 - Trending - Proposals
 - Trending - Sponsored Awards & Contract Services
 - TRIF
- Student
- TCE
- Toolkit
- UA Colleges
- UA Departments
- UAccess Analytics
- UAccess Warehouse

1 - Negotiation Log Dashboard

2 - Contract Status (non-UAHS) and Award Setup Status Tabs

Managing Project Changes

Each award should be treated separately. The general rules and guidelines provided are intended to augment the specific terms and conditions of individual awards. The specific criteria determine whether you may be attempting significant changes to your project. Project changes may require formal requests and approval from the sponsor.

Please contact sponsor@email.arizona.edu (SPS) if you have a question about whether a change to your project requires sponsor notification and/or approval.

<https://research.arizona.edu/administration/managing-projects/special-circumstances/project-changes>

Requesting Sponsor Approval for Project Changes

Requests for changes to an existing project should be prepared by the investigator and business team and countersigned via email or digital signature by an institutional representative from Sponsored Projects Postaward.

If the project is a unilateral grant, sponsor approval will go directly to postaward for processing. If the project is a bilateral contract, a contract modification may be necessary and the contracting office will be involved to complete the change. Both can be sent to sponsor@email.arizona.edu for action by the appropriate persons.

Quick Overview of Effort Reporting Process: Resources and Routing Tips

Effort Verification: Why do we do it?



Required by [OMB Uniform Guidance Subpart E §200.430 - Compensation - Personal Services](#) for any employee who received fed or subfed pay



After the fact verification of payroll distribution for all employees paid on fed/subfed awards done on a periodic basis



Payroll timecard approval is not effort approval



Approval must be done by department business office and PI, Co-PI, employee, or someone else with firsthand knowledge of the work done on the project

Effort Verification at the U of A



Semi-annual reporting: January – June, July – December



Electronic reports are generated in UAccess Financials

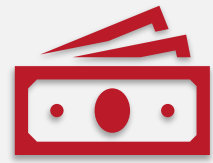


Route to the fiscal officers of the accounts and then the principal investigators



Any changes made will route to the SPCS Postaward team for review

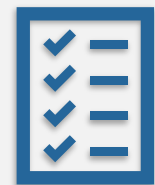
Institutional Base Salary



Salaries and wages paid to an employee from any university source as payment for services provided under their employment agreement



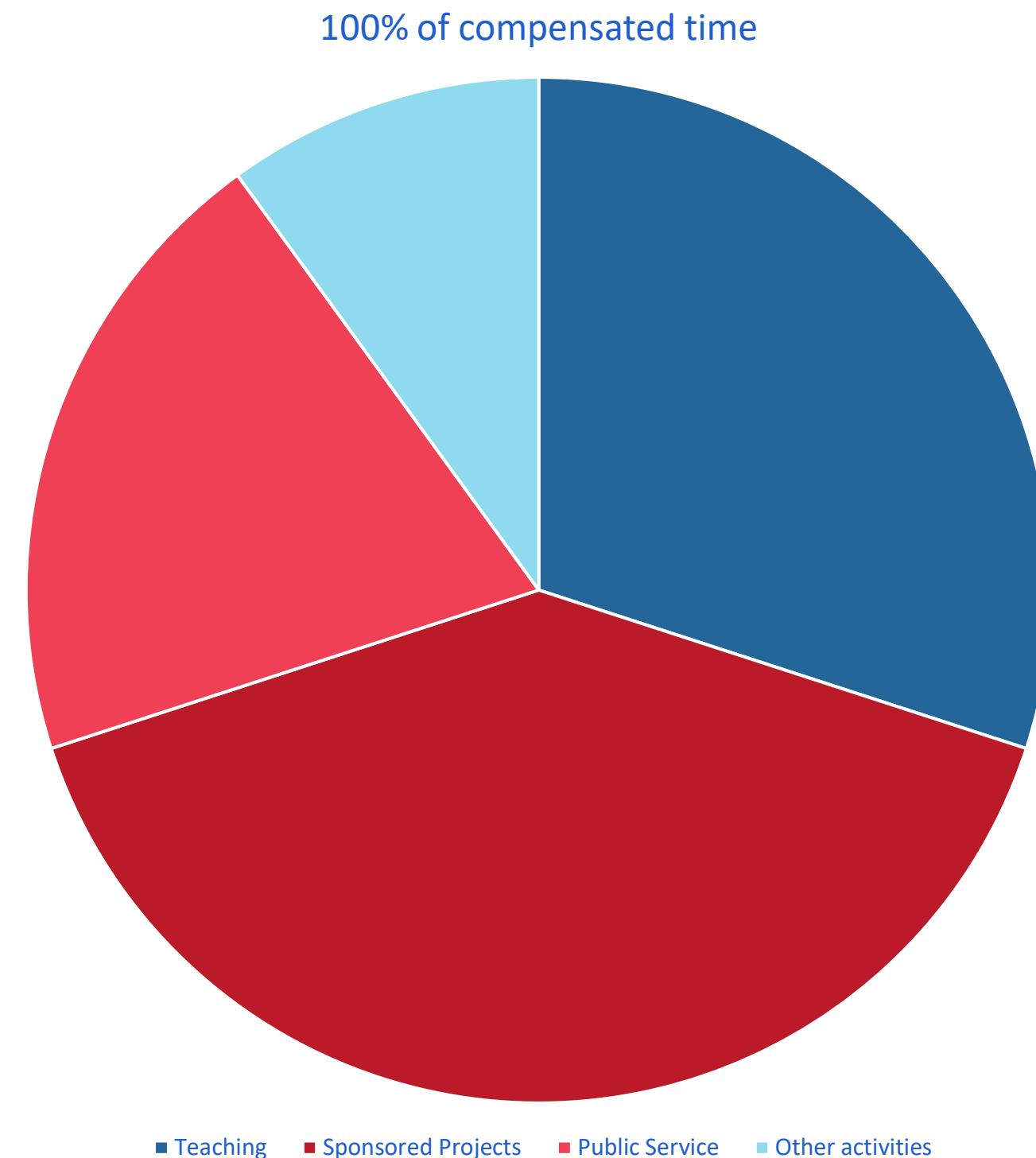
Does not include clinical incentive pay, cash awards, or supplemental compensation



Supplemental compensation is separately certified on a second report

Total University Effort

- All professional activity for which an individual is compensated by the University of Arizona
- Totals 100%
- No “overtime” effort



A top-down view of several people's hands and forearms gathered around a wooden table. The hands are positioned as if they are about to clasp together or are resting on the table. In the background, there are several laptops with their keyboards visible. At the bottom of the frame, there are power outlets on the table. The overall scene suggests a collaborative work environment or a meeting.

Routing Tips, FAQs, and Resources

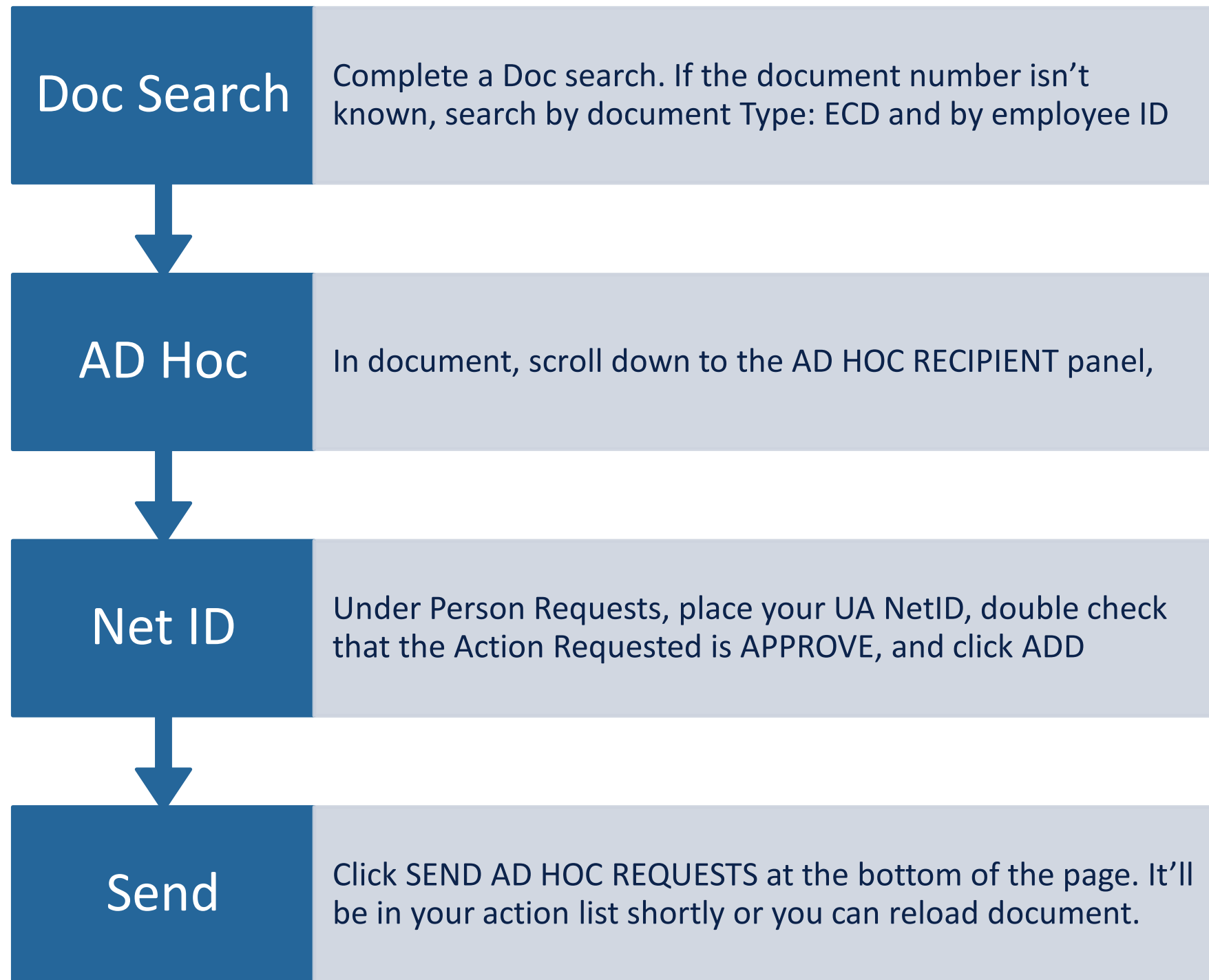
Q: Where are
the expense
subaccounts?

A: Effort reports roll up all expense subaccounts, salary object codes, position distribution number.

If the expense subaccount is truly missing, it's easier to add the expense subaccount with a Salary Expense Transfer than the effort certification. The system will allow these type of ST

Q: I've approved the Effort cert, but I found an error and need to make a corrections. Can you route it back to me?

A: Yes, we can. You can route it to yourself too.



Status
ENR. OUTE

Document Type: ecd

Initiator:

Document Id:

Date Created From:

Date Created To:

Document Description:

Organization Document Number:

Chart Code:

Organization Code:

Employee ID:

Fiscal Year:

Report Number:

Search Result Type: Document Specific Data Workflow Data

Name this search (optional):

search clear cancel

AD HOC RECIPIENTS

PERSON REQUESTS

* PERSON	* ACTION REQUESTED	ACTIONS
<input type="text"/>	APPROVE	ADD

AD HOC GROUP REQUESTS

* NAMESPACE CODE	* NAME	* ACTION REQUESTED	ACTIONS
<input type="text"/>	<input type="text"/>	<input type="text"/>	ADD

Calculate Send AdHoc Requests Reload Close

Q: I am getting an error: The difference between updated and original salary amount for a line can not be greater than 0.005% (of total salary). How do I fix it?

ORIGINAL
EFFORT
2%
2.3324%

A: System is looking for changes made to effort percentages since the dollar amount was changed.

$$\frac{\text{Salary}}{\text{Grand total Salary}} = \text{Effort \% (Rounded to the nearest whole integer)}$$

Example:

The system rounded up to 2% but underneath that there little unrounded number below its 2.3324% and when increasing the effort, the new unrounded amount is 2.354% though the change isn't more than 2% the difference between the unrounded number is 0.0216%, which is greater than 0.005% so the system is checking for a change in effort percentages. To fix this, increase the effort percentage to 3%

Q: How to make changes to an Employees salary when they don't have effort certification ?

Answer:

- FROM Non-sponsored account TO non-sponsored account:
Changes can be made with an ST if it is in the current Fiscal year. Otherwise reach out to your FS fund accountant for solutions
- TO/FROM Non-sponsored account/nonfederal account:
If employee isn't paid on a federal award, STs are allowable
- TO/FROM nonfederal/federal account:
Submit a creation request to financialcompliance@arizona.edu. Please include account numbers, employee ID, name, and a brief explanation.

Q: How to make changes to a graduate student's effort certification?

A: Reach out to a SPS Financial compliance Research administrator.

ECD no longer works for moving grad pay due to direct bill tuition. Financial compliance will complete an ST to ensure tuition benefit posts correctly and ask for the business manager to review and attach an error certification in the notes & attachment panel on the saved ST. After the ST is final, the effort cert. will be recreated for certification by PI.

Not sure if it's a grad student? Open the effort detail panel below the effort summary, object codes will be presented.

EFFORT SUMMARY

EFFORT DETAIL

When to get Email approval?

- When a PI has left the university.

After the researcher has left, they no longer have access to Financials. By sending screenshot of the reports pending their approval and the reply email will provide support for SPS Financials to administratively approve on their behalf.

- When a PI is in a different time zone and cannot access the Financials.

Financials goes into maintenance mode 7pm payroll Wednesday and 7:30 pm the rest of the time MST.



Training & Resources

Contact SPCS Compliance for one-on-one training, invite us to your business manager meeting

Research Gateway:

<https://rgw.arizona.edu/administration/managing-projects/effort-reporting>

Using the Financials system:

Edge learning course titled *UAccess Financials Reference Guides*

Current
cycle due
date is this
Friday, 9/10

January – June
2021

This date
includes
both
Business
manager an
PI approval



Proposals routing to me

You're up!	Proposal #	- PI:	- Sponsor:	
	Due date: 6/29/2021	Last action: 6/29/2021 9:42 AM		
You're up!	Proposal #	- PI:	- Sponsor:	- Title:
	Due date: 8/31/2021	Last action: 8/05/2021 8:45 AM		

Proposals not routing

Proposal	Proposal #	- PI:	- Sponsor:	- Title:
	Due date: None	Last action: 9/03/2021 12:51 PM		
Proposal	Proposal #	- PI:	- Sponsor:	- Title:
	Due date: None	Last action: 9/03/2021 12:32 PM		
Proposal	Proposal #	- PI:	- Sponsor:	- Title:
	Due date: None	Last action: 9/03/2021 9:48 AM		
Proposal	Proposal #	- PI:	- Sponsor:	- Title:
	Due date: 7/02/2020	Last action: 9/03/2021 9:01 AM		

1-5 of 6

UAccess Research Upgrade

Intro to Dashboard, Search, Common Tasks

Institutional Proposals with compliance

Institutional Proposal	Institutional Proposal #	- PI:	- Sponsor:	
	Rejected	Last action: 8/05/2021 3:41 PM	Compliance	
Institutional Proposal	Institutional Proposal #	- PI:	- Sponsor:	
	Pending	Last action: 7/17/2021 12:19 AM		
Institutional Proposal	Institutional Proposal #	- PI:	- Sponsor:	
	Deactivated	Last action: 6/03/2021 3:39 PM	Compliance	
Institutional Proposal	Institutional Proposal #	- PI:	- Sponsor:	
	Funded	Last action: 4/16/2021 2:34 PM		

Awards with compliance

Award	Award #	- PI:	- Sponsor:	
	Active	Last action: 6/18/2021 1:46 PM		
Award	Award #	- PI:	- Sponsor:	- Title:
	Active	Last action: 3/30/2021 12:34 PM	Compliance	
Award	Award #	- PI:	- Sponsor:	
	Active	Last action: 7/12/2021 10:59 AM	Compliance	
Award	Award #	- PI:	- Sponsor:	
	Active	Last action: 4/20/2021 1:44 PM	Compliance	

***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.

UAccess Research Sandbox



SRA INTERNATIONAL
LEAP UP
Program Update

SRA International LevelUP



**Principles of Pre-Award
Research Administration**



**Principles of Award
Negotiation and Set-up**



**Principles in Research
Development**



**Principles in Proposal
Development**



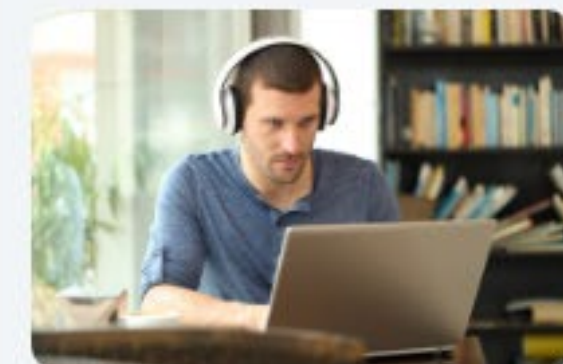
**Research Compliance
Frameworks**



**Principles of Post-Award
Financial Research
Administration**



**Relationships, Roles, and
Responsibilities in Research
Administration**



**Introduction to Clinical
Research Management:
Clinical Studies and Trials**

New Webpage!

Services / Training and Professional Development / Research Administrators /

- Research Support
- Development
- Administration
- Compliance
- Services
 - New Investigators Checklist
 - Sponsored Projects & Contracting Services
 - Training and Professional Development
 - PIs and Research Teams
 - Research Administrators
 - Professional Organizations
 - Publications
 - UAccess Research Training
 - LevelUP Program
 - Quick Learning Resources
 - Research Training Catalog
- Centers & Institutes
- Core Facilities
- Clinical Research
- NSF Postdoc Survey Instructions
- Global Research & Projects

LevelUP Program



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 @email.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>

Announcements/ Information Sharing

NSF Updates

- Revised version of the NSF Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 22-1) has been.
- For proposals submitted or due on or after **October 4, 2021**
- New table identifying where pre- and post-award current and pending support disclosure information must be provided has been created and can be used immediately.
- New Biosketch and Current & Pending Support templates
- Biosketches now 3 pages
- Current & Pending Support now includes sections for objectives and overlap

**NSF Pre-award and Post-award Disclosures^{1/2/3}
Relating to the Biographical Sketch and Current and Pending Support**

Table Key

* = for new support only

◆ = If undisclosed at the time of proposal submission

Type of Activity	Biographical Sketch	Current & Pending Support	Facilities, Equipment & Other Resources	Project Reports	Post-Award Information Term & Condition	Disclosure Not Required
Undergraduate, graduate, and postdoctoral training, including location, major/area and degree and year	✓					
Academic, professional ⁴ or institutional appointments, whether or not remuneration is received, and, whether full-time, part-time, or voluntary	✓					
All projects (including this project) currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or <i>directly</i> to the individual		✓		✓*	✓◆	
In-kind contributions that support the research activity for use on the project/proposal being proposed			✓			

¹ A comprehensive listing of post-award notifications and requests for prior approval is contained in the general conditions incorporated by reference into each NSF award.

²This table does not address disclosures submitted regarding Collaborators and Other Affiliations that are used to manage reviewer selection.

³ This table does not address disclosures to grantees of financial conflicts of interest under PAPPG Chapter IX.A.

⁴ Senior personnel must identify all current domestic or foreign professional appointments outside of the individual's academic, professional, or institutional appointments at the proposing organization.

Type of Activity	Biographical Sketch	Current & Pending Support	Facilities, Equipment & Other Resources	Project Reports	Post-Award Information Term & Condition	Disclosure Not Required
In-kind contributions not intended for use on the project/proposal being proposed to NSF and have an associated time commitment		✓		✓*	✓◆	
Consulting that is permitted by an individual's appointment and consistent with the proposing organization's "Outside Activities" policies and procedures						✓
Consulting that falls outside of an individual's appointment		✓		✓*	✓◆	
Travel supported/paid by an external entity to attend a conference or workshop						✓
Travel supported/paid by an external entity to perform research activities with an associated time commitment		✓		✓*	✓◆	
Honoraria						✓
Teaching commitments						✓
Startup company based on organization-licensed Intellectual Property (IP)						✓
Startup company based on non-organization-licensed IP		✓		✓*	✓◆	
Unrestricted Gifts						✓
Visiting scholars in labs						✓
Mentoring as part of appointment						✓
Graduate and postdoctoral researchers time on project						✓
Academic Year Salary						✓

https://www.nsf.gov/bfa/dias/policy/disclosures_table/june2021.pdf

NSF Biosketch Approved Formats

<https://www.nsf.gov/bfa/dias/policy/biosketch.jsp>

NSF Current & Pending Approved Formats

<https://www.nsf.gov/bfa/dias/policy/cps.jsp>

Fall 2021 NSF Virtual Grants Conference

- ***FREE***
- **Registration open NOW!**
- **Monday, October 4 through Friday, October 8**
- **Information: <https://nspolicyoutreach.com>**
- **Registration: <https://nspolicyoutreach.com/fall-21-registration/>**

2021 NIH Virtual Seminar

- ***FREE***
- **Registration open NOW!**
- **Monday, November 1 through Thursday, November 4**
- **Information:**
<https://nexus.od.nih.gov/all/2021/09/08/register-for-the-fall-2021-nih-virtual-seminar-on-program-funding-and-grants-administration>
- **Registration:**
<https://nihvirtualseminar2021.vfairs.com/en/registration-form>

History of Animal Welfare Oversight Webinar

- **September 24, 2021** from 2-5pm ET (11am-2pm Tucson)
- <https://events.espinc-usa.com/icarevirtualsessions/register>



Future RA Forums

- **October 13, 2021**

https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc0000000000004510

- **November 10, 2021**

https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc0000000000004511

- **December 8, 2021**

https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc0000000000004512

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