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

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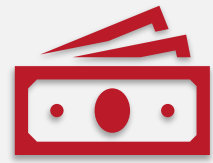
Salaries and wages paid to an employee from any university source as payment for services provided under their employment agreement

Does not include clinical incentive pay, cash awards, or supplemental compensation
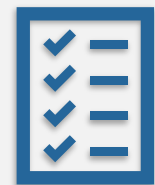
Supplemental compensation is separately certified on a second report

Total University Effort

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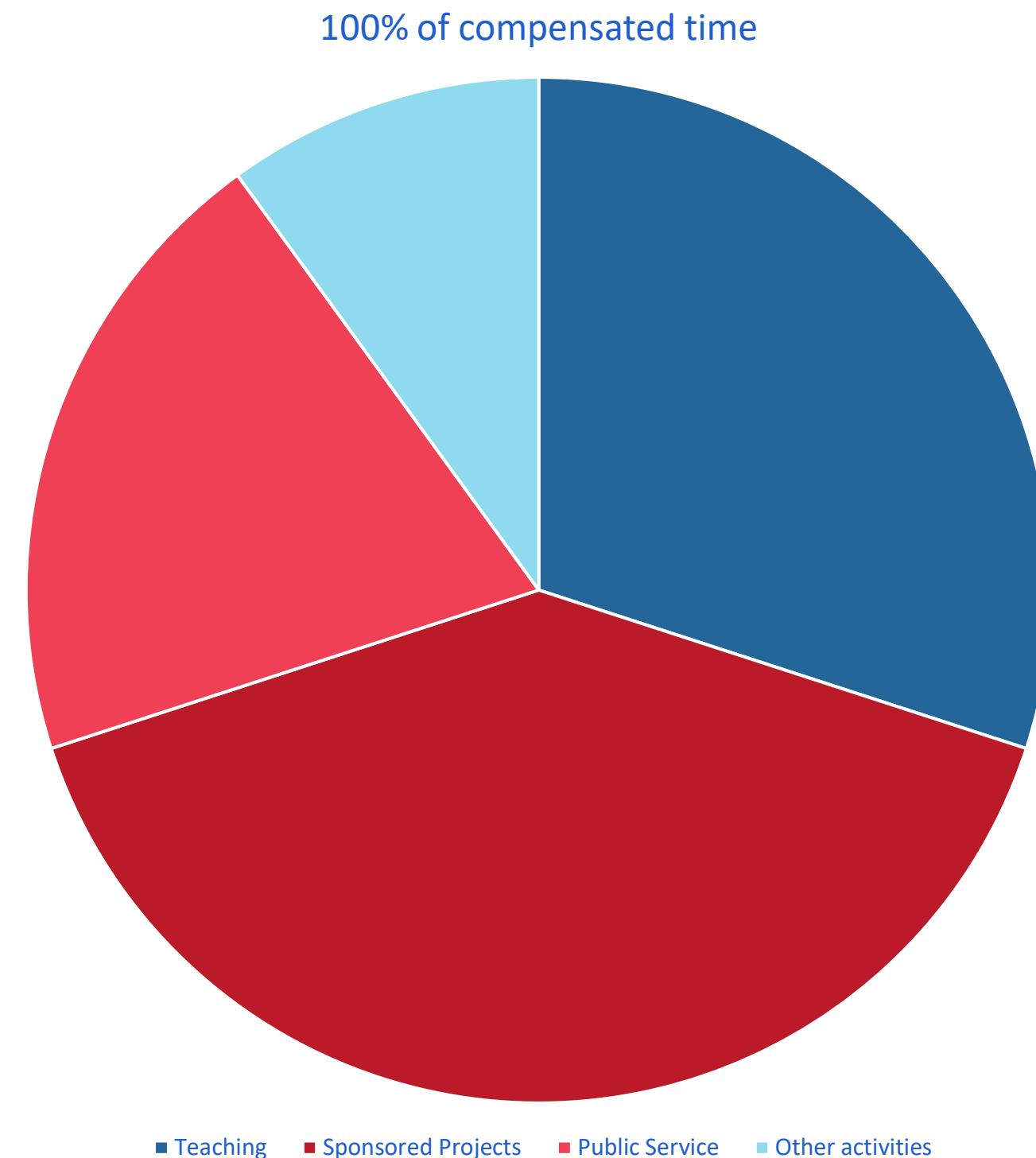
100% of compensated time

■ Teaching   ■ Sponsored Projects   ■ Public Service   ■ Other activities

Routing Tips, FAQs, and Resources

Q: Where are the expense subaccounts?

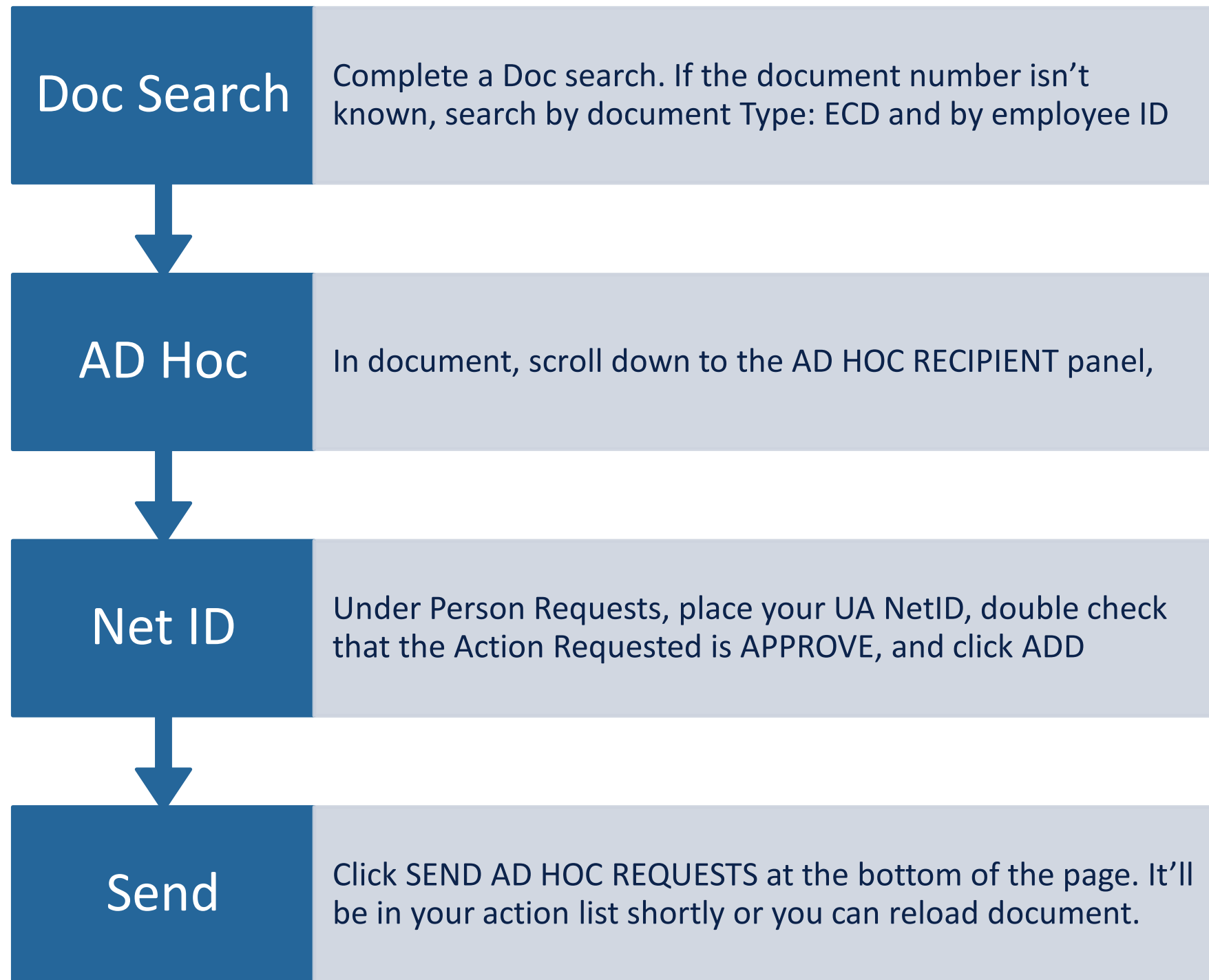A: Effort reports roll up all expense subaccounts, salary object codes, position distribution number.

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.

Doc Search	Complete a Doc search. If the document number isn't known, search by document Type: ECD and by employee ID
AD Hoc	In document, scroll down to the AD HOC RECIPIENT panel,
Net ID	Under Person Requests, place your UA NetID, double check that the Action Requested is APPROVE, and click ADD
Send	Click SEND AD HOC REQUESTS at the bottom of the page. It'll be in your action list shortly or you can reload document.

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

Status

ENROUTE

AD HOC RECIPIENTS

PERSON REQUESTS

* PERSON	* ACTION REQUESTED	ACTIONS
	APPROVE	ADD

AD HOC GROUP REQUESTS

* NAMESPACE CODE	* NAME	* ACTION REQUESTED	ACTIONS

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.

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

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:

- <u>FROM Non-sponsored account TO non-sponsored account:</u>

  Changes can be made with an ST if it is in the is the current Fiscal year. Otherwise reach out to you FS fund accountant for solutions

- <u>TO/FROM Non-sponsored account/nonfederal account:</u>

  If employee isn't paid on a federal award, STs are allowable

- <u>TO/FROM nonfederal/federal account:</u>

  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?

- <u>When a PI has left the university.</u>
  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.

- <u>When a PI is in a different time zone and cannot access the Financials.</u>
  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*

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

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
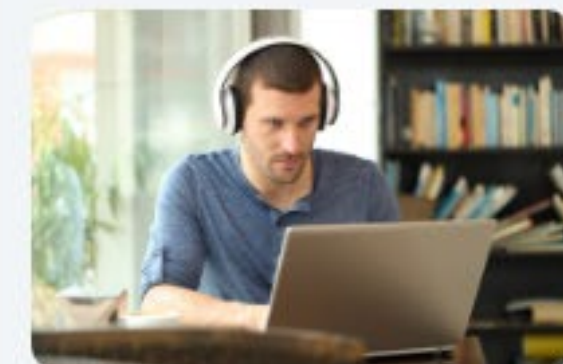
Research Compliance Frameworks

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!

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 *directly* to the individual		✓		✓*	✓♦	
In-kind contributions that support the research activity for use on the project/proposal being proposed			✓			

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[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.

[2] This 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://nsfpolicyoutreach.com**
- **Registration: https://nsfpolicyoutreach.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/virtc000000000004510

- **November 10, 2021**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc000000000004511

- **December 8, 2021**
  https://arizona.sabacloud.com/Saba/Web_spf/NA7P1PRD161/common/registercatalog/virtc000000000004512

Future Forum Topics?

- Suggest/request future forum topics - Send an email to shana@arizona.edu
- Present a topic!
  - ❖ Share research administration tools (reports, agents, forms, templates, etc.)
  - ❖ Lessons learned
  - ❖ Tips & Tricks
  - ❖ Upcoming Changes
  - ❖ Information gained from conferences/workshops/webinars

QUESTIONS?

CONCERNS?

OPEN SHARE