Quality Research Administration Meeting

December 7, 2016
Agenda

- Office of Research on Social Media
- ERA Update
- Federal Update
- Contracts and Grants Accounting Update
- Upcoming Educational Events and Webinars
Follow UCI Office of Research on Social Media

Twitter
Facebook
Youtube

Follow us *now* for a chance to win a prize at the end of this presentation!!
ERA Update
3rd grade humor

Why is the longest nose 11 inches long?
Add another inch and it would be a foot!
Meet Martin Nakatsu

- Sr. ERA Analyst

- Implementation, first-tier training and support for Research Management System (RMS)
Research Management System (RMS)

- Phase I: IACUC AUP  
  - Live now!
- Phase II: Animal Ordering and Management  
  - February 2017
- Phase III: Breeding and Animal Health  
  - June 2017
December KC Deployment

• KC COI
  – Training status
  – Button for requesting training
  – Various SPA functions
### December KC Deployment

<table>
<thead>
<tr>
<th>Person</th>
<th>Role</th>
<th>Proposal Person Certification</th>
<th>Annual Disclosure</th>
<th>NSI Disclosure</th>
<th>PHS COI Training</th>
</tr>
</thead>
<tbody>
<tr>
<td>INDERWIESCHE</td>
<td>PI/Contact</td>
<td>(Incomplete)</td>
<td>Positive</td>
<td>Not Applicable</td>
<td>Incomplete</td>
</tr>
</tbody>
</table>
December KC Deployment

• KC PD
  – Problem with adding personnel

• KC / Cayuse 424 Data Synchronization
  – Proposal data
  – Personnel
The Sync Button

1. Complete required fields for saving.
2. Paste Cayuse link to pair.
3. Sync to pull in data from Cayuse → KC.
Confirmation Page

Pair, Save, and Sync KC Doc with Cayuse Proposal?

This will override Proposal Type, Project Title, and Start/End Dates. This will also add all valid UCI Senior/Key Person(s) in Cayuse to the Key Personnel Tab. This action cannot be undone.

Do you wish to continue?

[yes] [no]
Initial Data Synchronization of Basic Data

- Proposal Number: 207360
- Proposal Type: New
- Project Start Date: 10/01/2017
- Project End Date: 09/30/2018
- Project Title: The primary ciliates as a host defense mechanism
- Award Type: Grant
- Activity Type: Research
- Proposal: AY S2S Test
- Document Overview
- **Description**: AY S2S test #1 11.10.06
- **Explanation**:

December 2016 Quality Research Administration Meeting

ERA Update
Initial Data Synchronization of Key Personnel

- Schilling, Thomas
- Donovan, Peter
- Lander, Arthur
- Rafelski, Susan
- Bardwell, Lee

One PI/Contact is required. List all other Principal Investigators as PI/Multiple. The Principal Investigator(s) is responsible for the scientific or technical direction of the project.

List individuals involved with the Principal Investigator in the scientific development or execution of a project as Co-Investigators. Co-Investigators typically devote a specified percentage of time to the project and are considered senior/key personnel.

Add all other senior personnel as Key Persons.

An Investigator is any individual, regardless of title or position, who is responsible for the design, conduct, or reporting of the proposed or funded research project. This may include collaborators or consultants.
## Mapping to KC Key Person Roles

<table>
<thead>
<tr>
<th>Cayuse Form</th>
<th>Cayuse Project Role</th>
<th>KC Role</th>
<th>KC Key Person Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Director / Principal Investigator</td>
<td>PD/PI (Lead)</td>
<td>If available: PI/Contact Otherwise: Principal Investigator</td>
<td>none</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>PD/PI (Non-Lead)</td>
<td>If available: PI/Multiple Otherwise: Co-PI</td>
<td>none</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Co-PD/PI</td>
<td>If available: Co-Investigator Otherwise: Co-PI</td>
<td>none</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Co-Investigator</td>
<td>If available: Co-Investigator Otherwise: Key Person</td>
<td>Co-Investigator</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Faculty</td>
<td>Key Person</td>
<td>Faculty</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Post Doctoral</td>
<td>Key Person</td>
<td>Post Doctoral</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Post Doctoral Associate</td>
<td>Key Person</td>
<td>Post Doctoral Associate</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Post Doctoral Scholar</td>
<td>Key Person</td>
<td>Post Doctoral Scholar</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Other Professional</td>
<td>Key Person</td>
<td>Other Professional</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Graduate Student</td>
<td>Key Person</td>
<td>Graduate Student</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Undergraduate Student</td>
<td>Key Person</td>
<td>Undergraduate Student</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Technician</td>
<td>Key Person</td>
<td>Technician</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Consultant</td>
<td>Key Person</td>
<td>Consultant</td>
</tr>
<tr>
<td>Senior / Key Person</td>
<td>Other</td>
<td>Key Person</td>
<td>Other</td>
</tr>
</tbody>
</table>
Sync Function: Basic Troubleshooting

- Only personnel with a valid UCInetID can be copied from Cayuse to KC.
  - Cannot copy consultants, subk personnel, former investigators or students who are no longer at UCI, etc.
- Sync function will not remove or override roles that are already assigned to a person in KC.
  - If a person has been removed from Key Personnel list in Cayuse and they should no longer be listed in KC, they must be manually removed.
  - If certain persons who are listed in Cayuse do not need to be included in KC, they must be manually removed.
Validation Warning: PI role already taken

- Document was successfully saved.

Other warnings:
- PI role is already taken. Unrelated person was copied over as Key Person.
Sync Function: Reminders

• “Investigator(s)” not listed in Cayuse must be added manually to KC Personnel Tab.
• Only people who have permission to edit KC Proposal are able to access the Sync button (must also have access to Cayuse proposal)
  – Proposal Creator/Initiator
  – Aggregator, Budget Creator, Narrative Writer
  – Principal Investigator(s)
• Sync function copies only basic proposal data & personnel
• Let it “work” – don’t click the Sync button repeatedly
Upcoming KC Enhancements...near future

• Negotiations module – tracking “award set up” activities
  – Federal / Non-Federal
  – Subawards
  – Clinical Trials
Upcoming KC Projects...not so near future

• KC Award Module including KFS Integration
  – *KFS will be going through an upgrade, too!*

• Data Warehouse / Portals and Dashboards
  – Cognos Tools (Decision Support System)

• More COI functionality
  – Managing Financial Entities
  – Electronic 700U

• IRB System - Needs Analysis
  – *KC or not KC?*

• Upgrade to new version of Kuali Research (KR Baseline)
Proposal: #722
Pl: Not yet assigned

Proposal Details

* indicates required fields

Proposal Type: * New - Change/Corrected
Lead Unit: IN-CARD - CARDIOLOGY
Activity Type: * Research
Lead Unit: IN-CARD - CARDIOLOGY
Activity Type: Research
Project Dates: 12/01/2016 to 1
Project Title: This is the song that never ends
Sponsor: 004090
Prime Sponsor Code:
Award ID:
Original Institutional Proposal ID:
Keywords: Nothing selected
Help Tickets

• More systems that ERA is supporting
• Overlapping staff responsibilities and ability to help
  – Need single place for help requests to eliminate duplicate effort
• Creating tickets for all help requests in Service-Now
• Identify common problems
  – Training or system issues?
• Metrics, turnaround times
• Contact ERA@research.uci.edu
Let’s talk about Cayuse 424

- Alternative to PDF forms for grants.gov
- Error checking, auto-fill and budget building
- Is your department using Cayuse 424???
  - If not, why?
- What can we do to get you (and your Faculty) on board?
  - Faculty meetings
  - Department meetings
  - Hands on training
  - Youtube videos for Information, and video training guides for PIs and Initiators
  - Written Quick Start guides
QUESTIONS?
Social Media Winners!
Federal Update

The only way to make sense out of change is to plunge into it, move with it, and join the dance.

– Alan Watts

Erika Blossom
Supervising Principal Contract and Grant Officer

Erika.Blossom@uci.edu
(949) 824-2237
NIH

- Revised NIH Grants Policy Statement (Rev. November 2016) for FY 2017 (NOT-OD-17-021)
  - This revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2016. PI can initiate requests to withdraw a proposal via eRA Commons in the new Prior Approvals tab. This is to be used after the submission date has closed.
  - A document is available that summarizes the significant changes that are implemented with the November 2016 NIHGPS: http://grants.nih.gov/grants/policy/nihgps/Significant_Changes_NIHGPS_Oct2016.pdf.
NIH

• NIH Implementation of Final Research Performance Progress Reports (Final RPPR) (NOT-OD-17-022)

• NIH Operates Under a Continuing Resolution
  – Continuing the procedures identified under NOT-OD-16-046 and consistent with NIH practices during the CRs of FY 2006 – 2016, the NIH will issue non-competing research grant awards at a level below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level). Such reductions will be restored at the commitment level indicated on the NOA.
• National Institute of Mental Health (NIMH)-specific Policies Related to New Salary Allowances for K08 and K23 Career Development Awards (NOT-MH-17-006)
  – This Notice announces that, in Fiscal Year 2017, the NIMH will increase its salary contribution up to a maximum of $100,000 for K08 and K23 recipients whose awards are based on a 75% minimum effort requirement.

• National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK)-specific Policies Related to New Salary and Research Cost Allowances for K08 and K23 Career Development Awards (NOT-DK-17-001)
  – This Notice announces that in Fiscal Year 2017, the NIDDK will increase its salary contribution up to a maximum of $100,000 for K08 and K23 recipients whose awards are based on a 75% minimum effort requirement. [edits] As a reminder, the formula for calculating the NIDDK salary contribution (Y) is Institutional Base Salary x % effort = Y (not to exceed $100,000).
NIH

• Requests for Withdrawals
  – *PI can initiate requests to withdraw a proposal via eRA Commons in the new Prior Approvals tab. This is to be used after the submission date has closed.*

• Optional Electronic Submission Method to Request to Submit An Unsolicited Application That Will Exceed $500,000 In Direct Costs
  – *Per NIH policy, any grant application with a budget that includes direct costs equal to or in excess of 500 thousand dollars for any budget year, must first have approval from the funding institute or center before an application is submitted. NIH has developed a way for applicants to submit these requests through eRA Commons electronically. A tutorial can be viewed on youtube.*
NIH - Reminders

- The recently updated NIH application guide becomes effective for applications due dates on or after January 25, 2017
  - As announced earlier this year, only certain materials will be accepted in the appendix section
  - The types of materials that can be submitted after submission but prior to the initial peer review have also been simplified
  - Read NIH Guide Notice NOT-OD-16-129 for more information on the appendix policy change, and NOT-OD-16-130 for details on the new post-submission materials guidelines.
• Proposal & Award Policies & Procedures Guide (PAPPG), January 2017
  – Effective January 30, 2017
  – The PAPPG has been modified in its entirety, to remove all references to the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG). The document will now be referred to solely as the NSF Proposal & Award Policies & Procedures Guide. The document will be sequentially numbered from Chapter I-XII and all references throughout have been modified to reflect this change. Given the number of important revisions, the community is strongly encouraged to review the by-chapter summary of changes provided at the beginning of the PAPPG.
**NSF**

- **Summary of Key Changes**
  - There are two new types of proposals: RAISE (Research Advanced by Interdisciplinary Science and Engineering) and GAOALI (Grant Opportunities for Academic Liaison with Industry).
  - Collaborators & Other Affiliations Information: Alphabetized; revised to remove the requirement that proposers list postgraduate scholar sponsors in this section of the proposal.
  - Clarification on payments to human subjects or incentives to promote completion of a survey. Indirect costs apply.
  - Travel proposals can be used for both domestic and foreign travel.
  - Updated guidance regarding indirect costs and voluntary committed and uncommitted cost share.
• NSF will conduct a webinar to brief the community on the new PAPPG on **January 19th at 1 PM EST**. Registration is required on the [outreach events website](#).
ClinicalTrials.gov Reporting

• Applies to all applications for funding submitted on or after January 18, 2017
• Requires the sponsor-investigator to register NIH-funded clinical trials within 21 days of first subject enrollment, irrespective of intervention type (includes behavioral, surgical, and diagnostic interventions)
• Failure to comply may result in grant enforcement actions as well as monetary penalties of up to $10,000 per day
ClinicalTrials.gov Reporting

- Sponsored Projects will review NIH proposals to ensure that those that meet the UC definition of clinical trial (drug and device studies only) are identified as such in Kuali Coeus
- Sponsored Projects will include a remark in the synopsis at the award stage that calls out this requirement for NIH awards for clinical trials
FLSA Reporting and NIH-NRSA awards

• Revisions to the Fair Labor Standards Act (FLSA) require:
  – As of December 1, 2016, full time salaried professional works are entitled to overtime pay if they are paid below $47,476/yr (FLSA defined threshold)
    • Impacted Academic Titles: Post Doctoral Scholars and Junior Specialist
  – On November 22nd, a federal district judge issued a nationwide preliminary injection blocking implementation of the new FLSA defined salary threshold
  – UC and NIH announced will move forward with implementation despite the preliminary injection
    • NIH has updated the National Research Service Awards (NRSA) Stipend schedule for Post Doctoral Scholars
  – NIH will accept one time supplement requests for existing National Research Service Awards (NRSA) that are impacted by the increase in stipend (Reference SPA List Serve Announcement Dated: November 10, 2016)
QUESTIONS?
Contracts and Grants Accounting Update
KFS Payroll Certification System (KFS-PCS)


- Payroll Certification Process Update

  During the last week of each month, the Compliance Analyst in Contracts and Grants Accounting sends via PCSHelp@uci.edu a monthly notice to KFS-PCS School /Center Contacts with any necessary PCS news and updates, and identifies the PCS deadline for the upcoming budget end month.
Payroll Certification Escalation Process

In the event that reports are not certified in a timely manner, an escalation process has been established. The Compliance Analyst in C&G Accounting runs a PCS overdue report, sorts it by the Org ID, and emails notices for each Org ID as follows:

- **1st notice** (2nd of month) – Sent to KFS-PCS School/Center Contact, with a cc: to C&G Manager, Compliance Officer

- **2nd notice** (16th of month) – Sent to KFS-PCS School/Center Contact, with a cc: to Assistant Dean, A&FS Assistant Vice Chancellor/Controller, C&G Director, Manager, and Compliance Officer

- **3rd notice** (2nd of following month) – Sent to School/Center Assistant Dean, Dean; with a cc: to A&FS Assistant Vice Chancellor/Controller, C&G Director, Manager, and Compliance Officer
QUESTIONS?
Upcoming Educational Events and Webinars

• NCURA Lifecycle Series
  – December 14, 2016: Award Monitoring / Award Management, Part 2
  – January 11, 2017: Compliance, Part 1
  – February 8, 2017: Compliance, Part 2

• To be scheduled:
  – Clear and Authentic Communication with PIs
  – To Be or Not to Be? Are You in Compliance?
  – Be a Super Hero at Your Institution: Achieving Compliance
2017 QRAM Schedule

• Location: UCI Student Center, Moss Cove B
• Dates:
  – Wednesday, March 29th
  – Wednesday, August 30th
  – Wednesday, December 6th
Time: 1:30pm to 3:30pm