Contract and Grant User's Group Meeting   4/18/2011

Office of Research Information:

Export Controls Seminar: Last month, UCOP representatives along with an export controls consultant, Don Fischer, came to the campus to present a seminar on Export Controls. While attendance by all faculty and department administrators was encouraged, attendance by all faculty members in the departments of Physics, Engineering, and Chemistry was required. Understanding the potential for scheduling conflicts, the seminar has been videotaped. The Office of Research will announce (via the list-serve) upcoming times available for watching the taped export control seminar.

I-129 Deemed Export Certification Implementation: As Charles Greer mentioned at the last C&G Users Group, a new U.S. Citizenship and Immigration Services (USCIS) regulation has been implemented requiring a deemed export certification in Part 6 of the I-129 form for certain visa beneficiaries.

To assist the individual, who will be supervising the visa beneficiary, in determining whether export controlled information may be used by the visa beneficiary, the International Scholars offices and export control administrators at each of the ten UC campuses have held several system-wide telecoms. As a result, a new I-129 questionnaire has been developed and then further refined by each campus. Charles will be sending out the revised questionnaire on the list-serve by months-end.

Request for Exception to Policy re PI Eligibility: Following the Export Control seminar, it became apparent that we further need to take such matters into consideration when reviewing requests for exception to policy regarding PI Eligibility as it applies to foreign nationals and visiting scholars. Accordingly, a revised PI Eligibility request form will be posted over the next few weeks.

We are taking this opportunity to further enhance the form (e.g., the type of proposal activity for which the applicant is seeking will now contain a live link that will provide the definition of the activity types). Note: The proposal type for which Exception to PI Eligibility was granted must coincide with the proposal activity type listed on the eCAF.

Reminder: If you look at the SAA eCAF User Guide, you will note that by uploading the completed PI Eligibility form into an eCAF, the system will permit you to route the eCAF while PI Eligibility approval is pending.   However, if PI has Basic Research eligibility, but proposal is checked for Applied Research only, eCAF will not go through until this discrepancy is corrected.

Who Can Submit Proposals?: Please be reminded UC Presidential policy 527-4 requires that all proposals must be submitted to the Office of Research for review prior to submission to the

sponsor, even if the solicitation does not require an authorized institutional official's signature on its proposal application (that includes marketing boards and UC-Wide funding programs).

**An overview of that policy is located on the SPA website, by going to C&G Lifecycle, Proposal Preparation/Submission, and then click on the bullet "Overview of Institutional Review & Approval."

Q: Do all proposals, even pre-proposals, have to go through Office of Research?
A: No, if the pre-proposal is just a letter of intent. However, it depends on the solicitation.

<u>Capital Project Proposals – Review and Approval Document:</u> Per UC Policy, all plans for construction must be reviewed and approved by Capital and Physical Planning <u>prior to submitting a proposal that includes a capital project component</u>. Note: There have been several instances where this process was circumvented, only later to find that the proposed cost of the capital project was, in actuality, higher.

Consequently, Tim Ralston, in conjunction with Charles Greer, has developed a form that will be used to facilitate this review and approval process. The form will be posted on our website by months-end. It is important to note that such completed form will need to be uploaded and included in eCAF routed to SPA.

<u>Department Administrator Training Opportunities:</u> The Office of Research would like to provide some training opportunities geared toward department administrators.

1. **Sponsored Programs has purchased a DVD workshop from the National Council of University Research Administrators (NCURA) entitled, "Critical Issues for the Department Administrator."**

The topics include: Setting the stage (time management & customer service), proposal submission, award management issues, effort reporting, cost sharing, day-to-day operations (including reconciliation and expenditure certification, close-out preparation), monthly/quarterly operations (financial projections), periodic operation (equipment and space inventories, audits), sub-awards, and applying best practices (case studies).

Note: This is a 4-hour webinar (inclusive of breaks), which will most likely be broken into several sessions (rather than one entire 4 hour block). The webinar may further be enhanced with live speakers from Accounting and The Office of Research.

2. **The Office of Research is looking at the possibility of bringing the NCURA Departmental Research Administration Traveling Workshop to the campus.**

It is a 2 ½ day workshop that is geared specifically for the departmental administrator in all facets of the administration process from cradle to grave, as well as daily interactions with faculty, and other departmental specific responsibilities.

The workshop is taught by department administrators who will share their real-life experiences. Central administrators will also contribute by explaining regulations and how actions taken to enforce policies and procedures may affect the livelihood and reputation of the university.

While the registration fee to attend is typically around $750, NCURA offers a reduced fee if the workshop is brought to a campus that will host the event (i.e., provide the space, meals, snacks, etc. and can guarantee at least 60 attendees). To meet this quota, UCR would open registration to this workshop to other universities in southern California as well as sister-campuses. We understand that the cost of registration, even at a reduced fee, may be cost prohibitive for some of you to attend; therefore, the Office of Research will be offsetting some of the cost (perhaps as much as up to 50% of the registration fee) for UCR staff participants only. However, before we look further into hosting this traveling workshop, we would like to take a poll (with a show of hands):

1. How many of you would truly be interested in attending this workshop?

2. Would your department be willing to pay the registration fee (if partially subsidized by OR)?

3. Would your department be willing to let you attend a 2 ½ day workshop out of the office?

Accounting Office Information:

PI Web Reporting System (PIWRS): It will become mandatory to use this system to report. This will replace ERS. This leads us into. . .

Payroll Certification Reporting: instead of PAR reports. The DHHS has signed off on the concept. Annual certification starts with April 2011 ledgers. Salary certification replaces PAR report. Payroll certification will be done on an annual basis. Best Advice: review monthly so you can make an annual certification.

Audit Updates: Riverside will have a full scope audit starting June 30, 2011. Some of the findings from previous audits are late invoicing, late cost transfers, late reporting of ARRA funds, etc. If you see anything within the next few months, please try to make those corrections before the audit.

Do not put a fund into overdraft, use 19900.

Unsigned timesheets have been an audit issue.

Try to get a pre-award in order to avoid a late cost transfer.

Close out the award within 90 days; have the award in a reportable condition. Late progress reports will delay the close out of an award. Please help your PIs by setting up reminders. This jeopardizes the campus as a whole and sets us up for site visits. We also risk having to return funds.

Physical inventory must be done in a timely manner.

Period of availability of funding; outside of begin and end dates. Payroll can still be charged even though we have the Overdraft Control Tool (ODC Tools) and other applications are stopping expenses before they hit the ledgers.

If you would like to review the most recent findings please visit
http://www.universityofcalifornia.edu/finreports/index.php?file=a133/2010report.pdf

Q: How do auditors pick departments?
A: Auditors pick a sample to review, it won't be all departments.

Q: How quickly do you need the documents?
A: As soon as possible; the next day preferably. The longer the wait the more time the auditors have to speculate that something is wrong.

Q: Do you need originals or copies?
A: This is where the LRSS is great. We can pull the pdf copy right from the LRSS. If you aren't using it or if additional documentation is needed a pdf of the original emailed to us is perfect. The auditors build an electronic file that they take with them.

Q: I heard that **Payroll is going to be outsourced**, is this true?
A: There is a pilot of on-line timesheets with electronic routing in the works. Phase II of the web enhanced version of PPS is being rolled out. Phase III is coming soon.
        You have all heard of the PPS replacement project. Where we can streamline and standardize processes, we will. The Personnel and Payroll System is 30 years old, has different processes at each of the 10 campuses, all of the programmers are at retirement age. It is inefficient for the 200,000 plus employees. PPS also isn't just the payroll system; we can't just hire ADT to pay people. It is three modules. We need a Human Resource module, a pay check generator, and a general ledger feed.
        We have put out to bid and have had vendor respond. We want to be on the fast track to get this done within 18 months to start utilizing a system at some locations.

Q: If a department is using an automated chronos timesheet feed, will the new system be able to accommodate that?
A: C and C is using a feed currently if you are using an off-site chronos vendor, it would require a paper upload. I think we would require that of a vendor.

Our ODC (Overdraft Control) Tool stopped spending on a NEH/NIH continuing grant. The department will need to get a Preaward to bridge the period.

Q: **How long can a pre-award take to get approved**?
A: 2 to 3 business days, as long as all documents are received.

Please note: If the department started a pre-award via paper, they should finish the process using the paper form. If the department started via the on-line application process, finish it on-line. Some departments are submitting both, it is delaying the process.

Please note: If you are adding more money, always use the on-line pre-award form.

Q: If we do not get a response to the pre-award request in 2 to 3 days, what should we do?
A: Call your analyst.

Q: Do you prefer to extend a pre-award or execute the agreement?
A: Execute the agreement. We need to confirm the date and dollar amount, we still need all other documentation, IRB's, conflict of interest, etc. before we can issue a pre-award.

Extramural Funds Classification Policy: What is the difference between gifs, grant, and Sales and Service activities?
- Reporting obligation – lean towards a grant
- Data sharing – probably a grant
- Typically we do not receive gifts from Agencies
- Fee for a service or sale of item – Sales and Service

We are protecting the faculty member. We cannot process something as a gift simply to avoid paying overhead.

Sales and Service: How to add the mark-up - Policy 300-66 details the mark-up factors and rates that must be used to non-university customers. This information is also on Office of Research's web site. See Appendix D and E.

Mark-up is authorized. Department Administrative mark-up is kept by the department; all other mark-up is kept by campus. Department Administrative mark-up can be as high as it needs to be to cover your costs. You will still need to be price competitive.

Replacement of equipment is authorized, just document why you are ending the year with a surplus. Ensure the surplus is coded properly so that the administrative mark-up stays in your department.

These are specialized services, not readily available commercially.

Q: Do you (COSSA) do an annual rate review?
A: COSSA does review annually for campus-wide impact. But every S&S activity should be doing its own rate review to determine if rate is still appropriate.