

UCR C&G User Group Meeting

January 13, 2009

NEWS AND UPDATES

OPEN SKIES AGREEMENTS

- ✘ Bilateral agreements with other countries (e.g., EU) that liberalize air travel.
 - + Per GSA, applicable to all Federally funded travel including travel funded through sponsored awards
 - ✘ **Exceptions**: DoD funding and City Pair Program
 - + Federal agencies need to update policies to implement
- ✘ NSF change in travel policy effective January 5, 2009
 - + Clarifies when travel on foreign flag carriers is permissible
- ✘ No change in UC Policy yet
 - + Comply with Fly America Act

YALE UNIVERSITY - \$7.6M SETTLEMENT

- ✘ Reached with DOJ to resolve allegations that Yale violated the False Claims Act and the common law regarding management of federal grants
- ✘ DOJ investigation covered grants from 31 federal agencies awarded between January 2000 and December 2006
 - + DHHS, NSF, DOE, DOD and NASA awards made up ~94% of the \$3 billion in federal grants received by Yale during that period

YALE UNIVERSITY - \$7.6M SETTLEMENT

✘ Allegations and Focus of Investigation

- + **Cost transfers** - Yale researchers improperly authorized/ordered the transfer of charges to a federal grant to spend down remaining funds in the absence of any benefit to the charged award
- + **Salary charges** – Yale researchers certified time/effort reports to substantiate 100% of their summer salary, which was charged to federal awards, but where the researchers had devoted significant effort to performing other, unrelated work

YALE UNIVERSITY - \$7.6M SETTLEMENT

- ✘ Yale cooperated fully during the investigation, producing more than 1M pages of documentation
- ✘ During the investigation, Yale made significant efforts to improve its management of federal grants
 - + Established Office of Research Administration and Compliance and established new positions, including Research Compliance Officer
 - + Strengthened the charter of its audit committee
 - + Mandatory training programs for faculty and staff
 - + Revised and updated numerous policies and procedures
 - + Implemented a new web-based effort reporting system
 - + Tightened oversight of cost transfers through a robust documentation and review process.

YALE UNIVERSITY - \$7.6M SETTLEMENT

- ✘ Yale joins a growing list of major research institutions fined for sponsored programs non-compliance
 - + U of Alabama, Birmingham
 - + Florida International University
 - + Mayo Foundation/May Clinics
 - + Harvard University
 - + Northwestern University
 - + Johns Hopkins University
 - + University of Connecticut
 - + Cornell University

YALE UNIVERSITY - \$7.6M SETTLEMENT

- ✘ Picked up by AP, articles in New York Times and widely circulated dailies, Federal Grants News, Report on Research Compliance, etc.
- ✘ DOJ Press Release
- ✘ Yale Statement
- ✘ Chancellor, EVC and VCR have all expressed concern

COMMITTEE ON ENHANCING ACCOUNTABILITY

- ✘ FY 2007 Post-Award Audit
- ✘ Summary Recommendations – Enhancing Accountability and Resolving Sponsored Programs Noncompliance
 - + Reviewed and endorsed by EVC/Provost and Dean's Council
- ✘ Committee on Enhancing Accountability
 - + Charged and Chaired by the VCR
 - + Broad representation

COMMITTEE ON ENHANCING ACCOUNTABILITY

- ✘ Defined scope of activities and responsibilities
- ✘ Technology Projects Subcommittee
 - + Reviewed Summary Recommendations
 - + Identified and prioritized potential technical solutions
 - ✘ Training
 - ✘ Effort Reports
 - ✘ Cost Transfers
 - ✘ Award Close Out
 - ✘ Preaward Expenditures

COMMITTEE ON ENHANCING ACCOUNTABILITY

- ✘ Examples of projects under consideration
 - + UC Effort Reporting System
 - + PI Financial Statement/Certification System
 - + Award Close Out System
 - ✘ Automated report reminders (interim and final)
 - + Preaward Request System
 - + Training for Department Chairs, PI and Staff
 - + Financial System Business Rules
 - ✘ Prevent deficit spending
 - ✘ Inhibit transfer of previously transferred costs

STATE OF CA CONTRACT SUSPENSIONS

- ✘ August - Executive Order S-08-09
- ✘ December - Governor's directive to halt work on all State bond-funded projects
 - + Department of Finance Budget Letter 08-33 (December 18, 2008)
 - + Effects awards and subawards received by UCR under Prop 13, 40, 50 and 84 funding.
 - + State entities must cease:
 - ✘ Making new grants
 - ✘ Authorizing new phases of existing grants
 - ✘ Suspend all projects

HEADLINES FROM THE OR WEBSITE

- ✘ NSF Regional Grants Conference in Tempe, AZ (ASU) on March 30 - 31
- ✘ NIH “K” Award Applications Transitioning to Grants.gov Effective February 12
- ✘ Grants.gov to Complete Transition to Adobe Forms by February 21
- ✘ IGERT Preproposals due to OR on January 29 at 4pm

OTHER NEWS, UPDATES & ANNOUNCEMENTS

- ✘ Grants.gov Stakeholder Webcast
 - + January 21 @1pm ET (10am PST)
- ✘ Proposal and award data requests
 - + OR Web Portal
- ✘ Research Administration Certification Council – Body of Knowledge Revision Session
 - + March 23 at UCR
- ✘ Electronic Sponsor Proposal Submission Systems
 - + Recent issues, challenges and technical problems