Grant Coordinators Meeting
Minutes

July 15, 2016
10:30am-12:00pm
Simons Auditorium

• Introduction of new research administrators
• ecrt and effort certification (Alicia Reed and Kara Wozniak)
• NSF OIG audit update (Alicia Reed)
• Pre-Award Services updates (Nancy Biles)
  o Data Management Planning (DMP) tool overview
  o Proposal assistance
  o New contact email addresses
• Research Administration 101 (Bill Sharp)
• Subaward payment/invoice approval process (Anita Abel)
• PI departures (Anita Abel)
• Change in PI (Anita Abel)

Open Forum

Announcements:

Future Grant Coordinators meeting dates for 2016 (Simons Auditorium, 10:30-noon):
• November 18
ecrt at KU
SUMMARY

Pre-Review by Effort Coordinators: June 19-July 2

Effort Certification Opened: July 3

Currently:
1,989 certifications exist for effort period
780 have been certified
39% in less than 2 weeks
POLICY AND PROCESS

Change is who certifies
- All faculty and staff with effort committed (paid or cost share). This includes Post Docs and temporary employees
- PIs certify only for graduate students

Possible Consequences of Non-Compliance
- Pre-Award will not submit proposals
- Post Award will not establish awards
RESOURCES

KU Research Website:
https://research.ku.edu/effort-reporting

Email:
ecrt@ku.edu
PAPER FORM CLEAN-UP
OVERVIEW

• 205 questions after they made their transactional selections

• Additionally questioning
  o 2 month salary equivalency for approximately 50 individuals
  o All expenses compared to awarded budget for student support and participant support on 18 awards

• $1,953,520 in questioned costs, not included the expenses for the awarded budget to actual expenses
QUESTION FOCUS

• Cost Allocations
• Cost Transfers
• Equipment
• Indirect Costs
• Lab Fees
• Late Purchases
• Participant support
• Payroll
• Stipends
• Subawardee Costs
• Travel
Examples of Questions
Allocation of Costs
• Why was the expense allocated between various NSF awards? Various sources?
• Why wasn't it charged to [NSF award] in its entirety?

General Purchases and Cost Transfers
• Please explain how expenses benefitted [NSF award].
• The proposal and budget make no mention of the need for the purchase of [specific item] to meet the requirement of the grant agreement. Please provide an explanation as to how this purchase benefitted the award.
• Please explain how the cost transfer benefitted the project to which it was transferred.
• Did these charges relate to a potential cost overrun on another project?
Subaward Invoices

• Please provide evidence of PI approval. The signor of the certification stamp (subcontract invoice) is not identified as PI or Co-PI in the award.

Payroll

• Please provide effort report.
• Please provide time sheet.
• How was funding split determined for pay period [date – date]?
• Why was employee payroll for pay period ended [date] charged on award when award ended [date]?
• Please explain how hours and rate charged tie out to payroll charge in period of [amount].
• Why was employee charged on NSF award for over 2 months of work?
Travel

• Please explain why the travel expense report was submitted almost 2 years after the event. This doesn't appear reasonable.

• Please explain why KU paid this travel claim which was in gross violation of the travel policy requiring expenses to be submitted within 30 days of date of travel.

• Please describe the necessity of this 3 month trip, immediately prior to this 4 year award expiring. "Collaboration visit" is not descriptive enough to support this lengthy trip.

• Please explain why the budget didn't include a trip to [location] but instead only included a short trip to [location].

• Please explain why the travel was not included in the NSF proposal budget.
Anticipated Timeline

• Finish responses to initial question sets (July 2016)

• Answer subsequent questions on materials provided for these question sets

• Exit interviews with audit firm

• Firm presents findings

• Resolution phase
Thank you!

- Post Award

- Fiscal Affairs

- Payroll

- Staff in Research Centers, SSCs, and Departments
RESEARCH ADMINISTRATION 101
Fall 2016

Research Administration 101 is a certificate program offered by the KU Office of Research to members of the KU community engaged in the administration of externally sponsored projects. Many of the topics that will be addressed are relevant to all sponsored projects, including research, educational service agreements, training grants, and public service projects. Other topics will be relevant to any research activity, regardless of whether or not it is externally funded. The course is intended to provide an overview of what sponsored projects are, how they are administered at KU, and who bears responsibility for seeing that they are administered responsibly. The course will be taught by a variety of in-house experts from the KU Office of Research as well as invited guests from the broader KU community who will address specific topics and concerns relevant to sponsored project administration.

Persons interested in qualifying for the certification offered with this program must attend a minimum of eight of the ten class sessions. Participation will be recorded in the Human Resources Learning Management system.

Topics include:

- Overview of sponsored projects administration
- Finding funding
- The proposal process
- Grant award terms and conditions
- Types of agreements
- Roles and responsibilities in project management
- Human subjects
- Conflicts of interest
- Responsible conduct of research
- Scholarly misconduct
- Data security
- Animal subjects
- Export controls
- Environment, Health and Safety
- Hiring persons on sponsored projects
- Business services
- State statutes on acceptance of gifts
- Shared service centers
- Using DEMIS
- Effort reporting/salary certification
- Award spending and monitoring
- Project changes
- Cost transfers
- Program income
- Project close-out
- Audits
- Intellectual property and technology transfer

Classes will begin September 7 and continue for 10 weeks every Wednesday from 2:30-4:30 in the Ron Evans Apollo Auditorium in Nichols Hall on West Campus (EXCEPT that the sixth class session will be held on Thursday, October 13, instead of Wednesday, October 12, due to a conference conflict).

To enroll, email resadmin-events@ku.edu.
PI Changes on Active Sponsored Projects

In the event a change in PI is required:

- The current PI names a new PI.
- To be a PI, the named individual must have PI Status.
- The PI Status policy is managed by the Vice Chancellor for Research Office – contact Dr. Rodolfo H. Torres, Associate Vice Chancellor.

http://policy.ku.edu/research/principal-investigator-status-policy

- Approval for PI status is an internal action within KU and the approval of by the sponsor to be the PI is a separate action.
- The PAS Team will contact the sponsor with regard to a PI change. Traditionally, the sponsor will request a current vita for the new PI and a summary of the reasons for the change.
- When approval has been received by the sponsor for the new PI, an action is logged in the financial system to make the change. A new budget summary will be distributed.
PI Departure Procedures for Sponsored Projects

I. If a sponsored project, or a portion of the project, is remaining at KU a new PI needs to be identified by the departing PI and accepted by the proposed PI. Does the proposed replacement have PI status? If not, procedures to request PI status can be found here:

http://policy.ku.edu/research/principal-investigator-status-policy.

Once the new PI is determined, contact the appropriate PAS Team to request sponsor approval of the new PI. Traditionally, the sponsor will want to have a recent vita provided and reason for the PI change.

II. If the departing PI wishes to transfer the entire award to his/her new institution, the University of Kansas will need to close out and relinquish those awards. After the project is closed at KU, the sponsoring agency will issue a new award to the new institution. While not required, it is suggested that the PI discuss their intent to transfer their award(s) with their Chair or Director prior to initiating any transfer. KU Office of Research will discuss determinations on equipment transferability and other transfer-related items with Department, School, and Center stakeholders, as appropriate.

Important details:

- Is the award transferrable?
- When is PI’s last day?
- Are employee terminations necessary?
- Will there be equipment or supplies transferred?

Responsibilities:

PI/Research Center Role:

- Determines PI’s final day at KU

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• Required reports submitted on recently ended awards such as patent and technical reports.
• Alerts the new institution of intent to transfer awards
• Estimates approximate timeline for transfer of awards
• Alerts any investigators/collaborators at sub-awardee institutions of intent to transfer
• Coordinates final expenses with the SSC
• Works with new institution to prepare budgets to be submitted from new institution for sponsor acceptance of transfer
• Confirms request for any equipment to be transferred:
  Prepare list of equipment, locations, inventory identifier numbers, original source of funds for purchase – coordinate details with Annie Rajaei, Fiscal Affairs. PAS will review for approval to leave KU per terms of the award and KU policy. If the property was purchased with a federal contract, there will be additional review as this property may be U.S. Government property.

**SSC Role:**

• Reassigns employees on affected awards to another funding source or terminates employees
• Ensures all transactions are posted timely
• Ensures all travel expenses are posted and cash advances cleared
• Ensures all encumbrances are liquidated
• Ensures all p-card transactions are reconciled
• Cancels p-cards in adequate time
• Confirms final estimated expenditures with PAS team
• Notifies the Equipment Coordinator of potential equipment transfers

**Office of Research**

➢ Post Award Services –
  • Approves release of equipment purchased with sponsored funds
• Submits relinquishing document to the sponsor after confirming final estimated expenditures with the SSC team
• Collects revenue for the final expenses
• Ensures reports are filed for recently ended awards.
• Closes the project

➢ Contract Negotiations – Modifies or terminates sub-awards upon request of PI/Research Center

➢ Fiscal Affairs –
  • coordinates sale of equipment
  • releases encumbrances
  • p-card cancellation

➢ Rex Burkhardt – coordinates move of equipment to new institution

➢ Pre-Award Services –
  • If the PI departing wishes to sub award funds back to KU- the new PI at KU will need to submit a sub-award proposal to the departing PI’s new institution.
  • The PI should alert Pre-Award of any pending proposals and plan for their disposition should they be awarded after his or her departure.

❖ NIAID Newsletter primer regarding changing institutions:

http://www.niaid.nih.gov/researchfunding/newsletter/2016/Pages/0706.aspx#advice01