


Grant Coordinators Meeting

February 15, 2018

KU THE UNIVERSITY OF
KANSAS

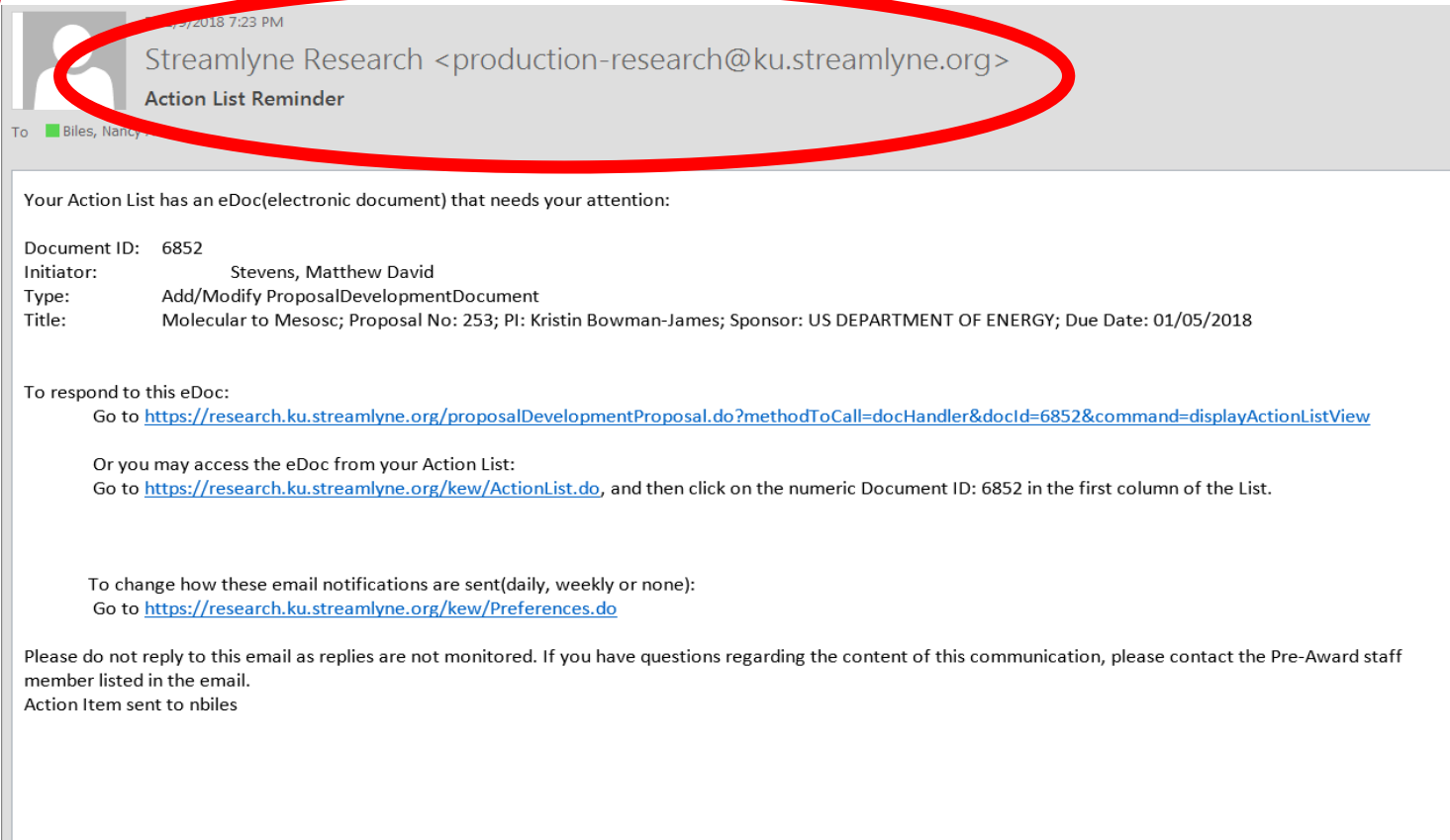


Today's Agenda

- **Streamlyne Update**
(Nancy Biles)
 - **FITC Update**
(Anita Abel)
 - **eCRT Update**
(Kara McDowell)
 - **Process and Policy Updates**
(Alicia Reed)
 - **RA 101 Changes**
(Alicia Reed)
 - **Open Forum**
- 



Be Alert for Streamlyne Emails: This is NOT Spam



1/9/2018 7:23 PM

Streamlyne Research <production-research@ku.streamlyne.org>
Action List Reminder

To: Biles, Nancy

Your Action List has an eDoc(electronic document) that needs your attention:

Document ID: 6852
Initiator: Stevens, Matthew David
Type: Add/Modify ProposalDevelopmentDocument
Title: Molecular to Mesosc; Proposal No: 253; PI: Kristin Bowman-James; Sponsor: US DEPARTMENT OF ENERGY; Due Date: 01/05/2018

To respond to this eDoc:
Go to <https://research.ku.streamlyne.org/proposalDevelopmentProposal.do?methodToCall=docHandler&docId=6852&command=displayActionListView>

Or you may access the eDoc from your Action List:
Go to <https://research.ku.streamlyne.org/kew/ActionList.do>, and then click on the numeric Document ID: 6852 in the first column of the List.

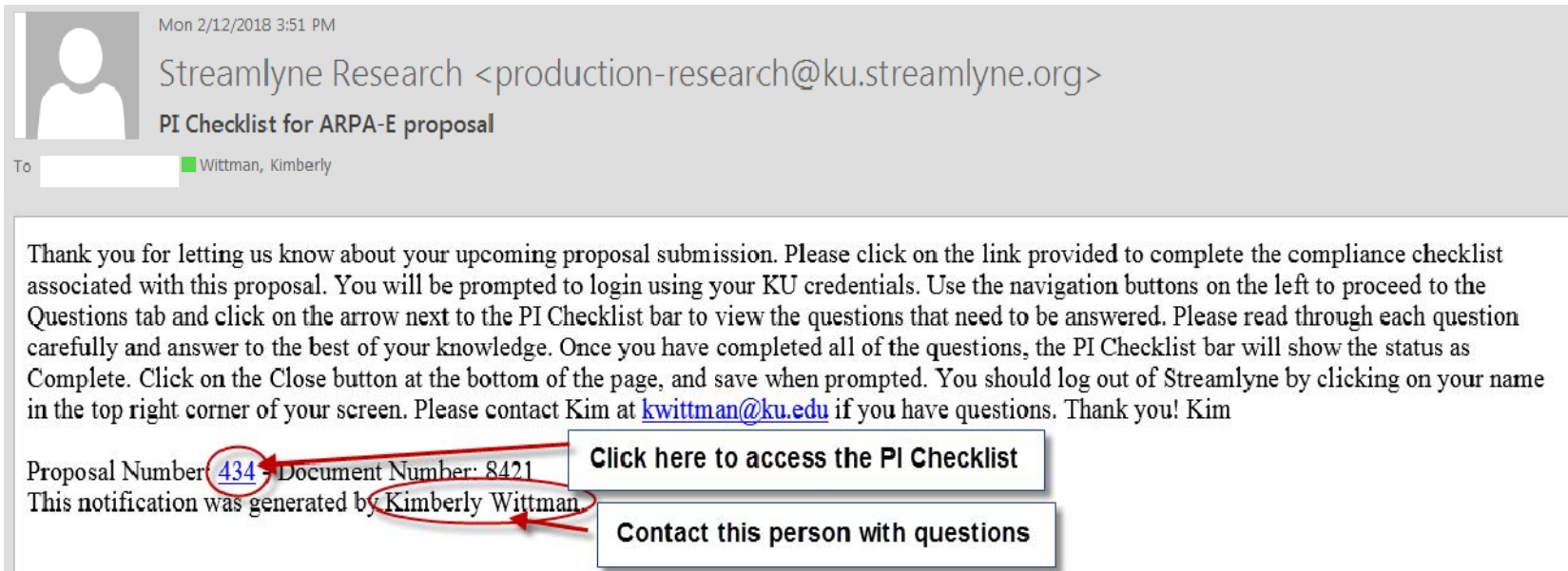
To change how these email notifications are sent(daily, weekly or none):
Go to <https://research.ku.streamlyne.org/kew/Preferences.do>

Please do not reply to this email as replies are not monitored. If you have questions regarding the content of this communication, please contact the Pre-Award staff member listed in the email.
Action Item sent to nbiles

DO NOT
Filter,
Ignore, or
Delete
without
taking action

PI Checklist

Pre-Award preparer will send a link to the PI via email



Mon 2/12/2018 3:51 PM

Streamlyne Research <production-research@ku.streamlyne.org>

PI Checklist for ARPA-E proposal

To: [Redacted] Wittman, Kimberly

Thank you for letting us know about your upcoming proposal submission. Please click on the link provided to complete the compliance checklist associated with this proposal. You will be prompted to login using your KU credentials. Use the navigation buttons on the left to proceed to the Questions tab and click on the arrow next to the PI Checklist bar to view the questions that need to be answered. Please read through each question carefully and answer to the best of your knowledge. Once you have completed all of the questions, the PI Checklist bar will show the status as Complete. Click on the Close button at the bottom of the page, and save when prompted. You should log out of Streamlyne by clicking on your name in the top right corner of your screen. Please contact Kim at kwittman@ku.edu if you have questions. Thank you! Kim

Proposal Number [434](#) - Document Number: 8421

This notification was generated by Kimberly Wittman.

[Click here to access the PI Checklist](#)

[Contact this person with questions](#)

Detailed instructions are available at

http://research.ku.edu/streamlyne_implementation



PI Checklist Tips

- Give us a minute to get out of the record
- PI Checklist is on the Questions tab
- After answering the questions, click Save
- Scroll up to make sure the checklist is complete
- Scroll back down and click on the Close button
- When prompted, click on Yes to save your changes.
- Log out

PI Certification and Approval

Budget must be final

All required docs uploaded – may be in draft status

**Complete
PI Certification
AND
Approval
BEFORE
submitting
proposal
to sponsor**

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Action Item sent to nbiles



PI Certification and Approval Tips

Proposal Summary tab is the best place to review proposal details

Certification must be completed on Key Personnel tab

Don't forget to Save

Scroll up to make sure Certification is Complete

Approval must be completed on the Proposal Actions tab

Click on Approve

If the PI is also a Department Chair, Center Director, or Dean

Click NO when prompted to forego additional review and approval for that role



DDDC Approval

Not currently required before submission
Must be in place before award set-up

1. PI Approval
2. Dept. Chair & Center Director
3. Dean

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DDDC Approval Tips

Proposal Summary tab is the best place to review proposal details

Approval must be completed on the Proposal Actions tab

Click on Approve

Option to click Reject if needed

Must provide an explanation

Revisions must be re-routed for approval before submission





FITC Updates – Expenditure Item Date

Expenditure Item Date Reminder:

- Invoices with an Expenditure Item Date after the end of the approved budget period will cause an error. This is applicable to all transaction types.
- At the end of the budget period, if invoices for expenses incurred DURING the approved budget period have an invoice date AFTER the end of the approved budget period, you need to change this date to the end date of the budget period.
- For Services Provided, such as for a consultant, enter the service dates. Example: End of budget period is 01/31/18 and the invoice dated 2/5/18 for services provided for January 2018 should have an EID of 1/1/18-1/31/18.





FITC Updates – Award Set Up

All Notices of Awards, Additional Time and/or Funds will be given priority for award set up. Required for set up are an Institutional Proposal, completed Compliance Review and approved action (Sponsor NOA, Sponsor NCE, Provisional, etc.)

- Contributors to backlog:
 - Shut down of system while awards continued to arrive
 - Security Issues
 - Streamlyne Issues
 - Budget Versions and other new functionality in FITC
- The budget summary is close to being completed.
- Thank you for your patience while staff learn the new systems.



FITC Updates - Invoicing

Invoices and Draws are being processed

- Challenges for new invoice system:
Reporting – OAC, Pre-Bill Reports, Invoice Template,
Receivables, Supporting Documentation
- Most issues have been worked out however still addressing some issues with FMS and IT
- Please refer all sponsor invoice inquiries to Anita Abel or Alicia Reed





FITC Updates - Budget Adjustments

- Budget Adjustments are being reviewed and submitted for log in upon approval by the PAS teams for processing by the Award Processing team.
- A budget adjustment form is not necessary only to add a line. The transaction will add the line once submitted.
- PAS request you submit a budget adjustment request to account for a previously unapproved budget line by the sponsor to ensure compliance.
- When submitting the budget adjustment, ensure there is reasonable budget for the budget period.



Update on eCRT

Questions?

Contact Kara McDowell at ecrt@ku.edu





Process and Policy Changes: Fixed Price Residuals

Policy under “**Fixed Price Agreement, Disposition of Funds**” in the KU Policy Library

Current Policy:

Remaining funds less than or equal to 15% of the originally budgeted direct costs, F&A is assessed and remaining amount transferred into the PI’s Research account.

Remaining funds are greater than 15% of the originally budgeted direct costs, F&A is assessed and an amount equal to 15% is transferred into the PI’s Research account, and the balance of the remaining funds is divided between the Dean/Director (2/3) and KUCR (1/3).

Upcoming Policy Change:

After all final expenses are processed, F&A is assessed and remaining amount (no matter the percentage of originally budgeted direct costs) will be transferred into the PI’s Research account. The budget will be adjusted to account for deficits on budget lines prior to F&A assessment.





Process and Policy Changes: FITC Grants Exceptions

Items in FITC Grants Exception Queues

- Conversion items - costs for projects that were overspent prior to conversion
- Payroll costs for projects that have a Pay Period End (PPE) date after the project end date and/or
- Payroll costs for projects that have inadequate funds to cover the expense

Effects of Items being in Queue

- Project Subledger will not match General Ledger
- Cannot bill or do financial reporting of any items in exceptions queue





Process and Policy Changes: FITC Payroll Exceptions

Processing an exception due to Pay Period End date being after project end

- PAS will check HR/Pay for appointment information.
 - If appointment ended on the project end date (or prior), EID will be updated on the payroll cost transaction in the Grants module by PAS to appointment end date and the cost will be posted to project subledger
 - If appointment to the project is ongoing/ended after project end date, PAS will contact the SSC Grant Coordinator to process appointment adjustment/RFA (as appropriate)





Process and Policy Changes: FITC Payroll Exceptions

Processing an exception due to inadequate funds

- Post Award queue monitor will check Award Processing queue for any upcoming actions that would mitigate the exceptions (additional time, funds, or both, depending on exception)
- If there is no pending action, the queue monitor alert the PAS Team and SSC Grant Coordinator that action is necessary
 - The SSC Grant Coordinator will need to confirm what action will be taken to address exception – non-payroll cost transfer, RFA, provisional for anticipated award action
 - If no response after 1 week, queue monitor will follow up with the SSC, and will include the Research Manager
 - If no response after 2 weeks, PAS will communicate to PI that no action has been initiated, copying the SSC, and will start process to RFA expenses to PI Research (F&A) account (if PI does not have an account, this will be discussed with the appropriate Center Director, etc.)





Process and Policy Changes: NIH RPPR

NOT-OD-17-037, <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-037.html>)

Competing Renewal Status	Workflow Process
Competing Renewal not submitted	Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.
Competing Renewal submitted	Submit an Interim-RPPR no later than 120 calendar days from the award end date. If the competing renewal is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
Competing Renewal submitted but not funded	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is not funded, NIH will treat the Interim-RPPR as the institution's Final-RPPR. To reduce burden NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.



Process and Policy Changes: NSF & NIH Policy Guides

New NSF PAPPG

- https://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp
- Effective January 29, 2018
- Significant Changes at https://www.nsf.gov/pubs/policydocs/pappg18_1/sigchanges.jsp
 - Collaborators & Other Affiliations Information including new template
 - Project Description-must now contain a separate section specifically identified as "Intellectual Merit"
 - Budget Justification-now allowed to be 5 pages
 - Grantee Notifications to NSF and Prior Written Approvals all covered in Research Terms and Conditions Appendix A, which is the authoritative source of NSF prior approval requirements.

NIH Grants Policy Statement

- <https://grants.nih.gov/policy/nihgps/index.htm>
- Effective October 1, 2017
- Significant Changes at https://grants.nih.gov/grants/policy/nihgps/Significant_Changes_NIHGPS_Oct2017.pdf
 - Clarification on Clinical Research and Certificates of Confidentiality
 - Addition of Federal-wide Research Terms and conditions
 - Interim Research Products- can now be cited as NIH-funded products
 - Interim and Final RPPR requirements



Process and Policy Changes: NSF Policy Newsletter

- <https://www.nsf.gov/pubs/2018/nsf18032/nsf18032.pdf>
- Overview of changes in the Proposal & Award Policies & Procedures Guide (PAPPG)
- NSF Account Management –moving to a single account this Spring
- Unfunded Collaborations - include description of the nature of the collaboration in the proposal's Facilities, Equipment & Other Resources section and a Letter of Collaboration
- Reminder of Public Access Policy – Results of NSF-funded research funded as a result of proposals submitted/due by January 26, 2016 or after
 - Are deposited in a public access compliant repository;
 - Are available for download, reading, and analysis within 12 months of publication;
 - Possess minimum set of machine-readable metadata elements; and
 - Are reported in annual and final reports with a persistent identifier.
- Outreach
 - <https://www.nsf.gov/cgi-bin/goodbye?https://nsfgrantsconferences.com/>
 - 9 sessions covering many NSF topics



RA101 Change in Structure

2-hour Overview:

- Sponsored Project Life Cycle Overview
- Pre-Award
- Contracts
- PAS
- Fiscal Affairs
- Compliance

8 1-hour topic-based sessions, such as

- Cost Share
- Export Control
- Balancing Customer Services and Compliances
- Compliance Issues
- Working with Industry
- Financial Compliances-Subawards and Effort

To get HR certification, attendance at the 2-hour overview and attendance at 6 of the 8 topic sessions is required.



Open Forum



Questions?



Concerns?



Suggestions?





*OUR
CHANT
RISES*

KU.