

ROC Meeting Notes

Wednesday, December 12, 2018

9:00 – 10:00 AM

Multi-Purpose Room, Faculty Club

Angela Jordan, Office for Research Communications & Development

- Some revisions were made to the internal funding grants: Faculty Development Council Grant Program was formerly overseen by the Graduate School, but now managed by the Office of Research & Economic Development effective January 1, 2018. Divided program into two branches. Will still have the traditional Faculty Development Council Grant for up to \$5,000 – funds reduced. The competition will be a bit tougher, depending on the number of applications received. New part of the program is the Faculty Dev Council Fellows Program that is modeled after successful programs from other universities that is an incentivized actual faculty dev program. Will have 4 spots for the program where the faculty will have to apply, but would prefer if they were hand-picked from their Department Chair. Each awardee will receive \$500 to enter the program, 1 semester of programming with a variety of grant writing, mentoring, writing groups, etc. Will have to identify specific proposal that they want to work on with this program. Once they have completed the programming, if they complete the program, they will receive \$3,500 to use for activities r/t that project. Once proposal has been submitted, they will receive the last \$1,000. It's an incentivized and highly supportive program for faculty who are working on a proposal. No guidelines as to what type of proposal, but would like it to be geared more toward a CAREER type proposal. Will be able to make a case if it has an impact on their career. Will hopefully have the guidelines out today. Will run with this next year.
- Made some changes to the Seed Grant according to the A&H – open submission for the year, no semester-based deadline. Have had positive feedback from faculty. Current balance posted on OCRD website. No major changes to Res & Scholarly Development Grant program.

Deborah Musgrove, Sponsored Projects Administration

Cayuse Updates

- A question we get frequently is “why do we have to put the budget in (424 & SP) twice?” We usually see this if you start with your proposal in the system and pair it with 424. Here is the fix: if you complete your budget in 424 and then link it back to your proposal, under the budget tab, where it says “autofill”, it will autofill it from 424 to SP. Make sure that if you make any changes to the budget, you will need to go back and refresh it. This will help with our end of year reporting, especially if we have a detailed budget.
- Another issue we found is with the Submission Deadline. The date entered must be the correct date, especially in 424. In SP, the date can be changed any time before routing the proposal. If the deadline date is not correct in 424, the proposal will not go through electronically and we will receive an error message stating that the “particular opportunity is no longer available.”

- An issue we are seeing with NSF is a degree year and degree code warning. This just started and we do not know why this is happening. It all depends on how investigators have entered this information into their NSF ID. If what is in Cayuse doesn't match what is in the NSF profile, we will receive this message. NSF has changed the way they issue ID's. If you do not know your ID, the PI must send a request to the agency. Also, with new faculty, they must update their affiliation information because if they are submitting a proposal and do not know their NSF ID, it will go to the email address they have on file. This creates an issue, especially if there is a time constraint. A few months ago, NSF sent out an email to all users to update/refresh NSF ID. Please prompt your faculty to take care of this important task.
- We have a 424 update this weekend. Will be sending out a formal notice soon, will not be able to use 424 during this time period. Included in the update will be NIH-specific issues.
- For those who were not at the ROC meeting when we covered post-award in Cayuse, we will hold a mini-training session sometime in the near future to cover this function in Cayuse.
- January – May training dates will be posted soon. Please help us get this information out to your faculty so that they are aware of the training. We typically have support staff, but we would like to see more faculty because some would like to be able to use Cayuse on their own.

Brandon Strickland, Sponsored Projects Administration

- NSF PAPP Guide had a webinar regarding the significant changes that will be effective January 28, 2019. NSF does not have the webinar posted yet, but Karmen will upload the notes and PowerPoint on the ROC webpage. Once the webinar is posted, we will send out the link to ROC members. There are about four significant changes. Please see link below for Significant Changes and Clarifications and Policy Updates from the Fall Conference:

https://www.nsf.gov/pubs/policydocs/pappg19_1/sigchanges.jsp

https://nsfgrantsconferences.com/wp-content/uploads/2018/11/PolicyUpdate_fall18.pdf

Angela Williams, Research Compliance and Assurance

- The Office of Research & Compliance will be circulating a University announcement regarding implementation for the new IRB committee to review Behavioral and Educational research. We are finalizing our website where we will post updated information on the IRB Committee such as meeting dates, topics that will be reviewed, etc. Emails will also be sent out.
- The ORC&A office is currently developing a standard template for Conflicts of Interest policy on Familial Relationships in Sponsored Projects Research to be used as a management plan. This template will address familial conflicts and propose to mitigate via the Department Head. For example, when a husband/wife team are working on the project, a formal plan of action will be in place. This will address the conflicts and explain how they will be managed, i.e., salary, travel, etc.
- Common Rule update on Human Subjects Protections Regulations – the IRB office is updating their IRB applications forms to comply with Common Rule Updates that will take place in January, 2019. The majority of the updates impact exempt applications and the

elimination of minimal risk continuing renewals. There is a Common Rule Update section under Human Subjects on the ORC&A website.

- The next RCR training will be held on January 10th at the Student Center. Topics are Responsible Authorship, Publication, and Citations which will be presented by Dr. Sean Powers from the Marine Sciences department. Please pass the word along to your faculty.

ROC Meeting Notes

Tuesday, January 22, 2019

9:00 – 10:00 AM

Multi-Purpose Room, Faculty Club

Dusty Layton, Research Compliance and Assurance

Conflict of Interest Management Plan: Familial Relationships

- Research Compliance has drafted a conflict of interest management plan to address familial relationships in sponsored research. The management plan is intended to ensure the University manage actual or perceived conflicts arising from family members working together on sponsored research projects. The management plan collects information concerning the situation causing potential conflicts of interest, identifies the reporting structure to mitigate the conflict to avoid favoritism and compliance with the University nepotism policy. Additionally, the plan will address approval of sponsored research salary expenditures and disclosure to the research team via a written acknowledge form. It is hopeful that the policy will be in place by the next ROC meeting so that we can share with you the management plan template We will also investigate if a question can be added regarding familial relationships to the COI section page in Cayuse.

Harassment and Discrimination Protections

- NSF Harassment Protections, also referred to as the Notice 144, was initially disseminated in February 8th, of last year. This e policy was implemented to ensure that universities and other organizations that provide funds for NSF sponsored research, (to include work conducted of campus such as workshops, conferences, field work, online instruction, etc.) report findings/determinations and imposed actions related to sexual harassment and other forms of harassment. Ms. Layton referenced the new webpage outlining Harassment Protections and how the University expects to implement NSF's new agency notification requirements. The referenced link and policy is available at:<https://www.southalabama.edu/departments/research/compliance/responsible-conduct/harassmentandsicrimination.html>

Additionally, the NIH notice that was disseminated in November of last year was discussed. This new policy requires that for any new applications submitted after January 25, 2019, an institutional letter of support for training grants only must be submitted as supporting documents at the time of proposal submission. We expect these requirements will expand to other types of NIH grants. If this new requirement applies to any of your investigators and are responsible for helping prepare the grant proposal, please reference the website (link mentioned above) to access the letter. If you click on "University's Harassment Policy" under the NIH synopsis, you will find the signed letter that you will need to download for the application packet. Research Compliance worked with the Human Resources office and Title IX to develop wording, as they are offices that oversee University harassment policies and procedures.

Bubba Sheffield, Office of Grants and Contracts Accounting

Grant Closeout Policy

- On the Policies and Procedures tab under Post Award Management, you will find a dropdown titled, “Sponsored Project Termination, Expiration and Closeout Procedure” (see **Handouts** on the ROC webpage). Focusing on the 3rd paragraph under the heading Removing Expenditures from a Sponsored Fund at Closeout, which focuses on awards that are overspent. Overspent means the only reason those expenditures on that award are not allowable on the grant is because they are over budget, which also means that they hit between the time-frame of the grant, otherwise they would be an allowable expense on the award. The only reason they are unallowable is because they are over the budget. This is tracked through our F&A process which is negotiated every four years (F&A rate). One way of tracking these over-expenditures was through an account code, but then that code started being used for other things. So, we have now started using the two attached forms and use the code CLSOUT (see **Handouts**). Unallowable charges that aren’t an overexpenditure but the PI tried to buy on the grant, cannot be done and needs to be moved off the grant, but will still need a cost transfer and follow the same rule of the over 90 days, under 90 days. Please make sure to read through the entire policy. In cases where you only have payroll that needs to be moved, we will allow the use of the old account number (718140).

PAR Forms

- PAR forms will be coming out next week for Fall. It is extremely important because this is the only method we have for tracking effort. Our procedure states that you have to have the completed form back to us within 30 days of receiving the email. Also, this year, internal audit will be including research, whereas last year, they barely spoke with us about it. This year, they will be camped out in our office. If you have to revise the PAR form, please make sure to attach the PA(s) as back-up.

Another issue we’ve been having with monitoring travel lately is making sure there is a budget and if the traveler had effort on the grant. There have been incidences where travel was charged to a grant, but their effort was reflected on another grant. As long as it has been documented, it’s fine, as long as we can document it that the two grants are related. When you are looking at travel on these grants, please make sure it has a budget and that you can charge effort.

Deborah Musgrove, Sponsored Projects Administration

Cayuse Updates

- One of the updates done a couple of weeks ago was regarding the error in the degree type. Cayuse has worked with Fastlane and removed that information. You will still see it in 424, but it has been grayed out. The profiles will be validated in NSF, not 424. So the faculty still need to make sure that their NSF profile has been updated in NSF because that is where that information will come, from, NSF, not 424.

- Another update done in 424 was now you can add drafts to your attachments drafts. If you have a draft instead of a final, those drafts can be up to 100 characters in length. You won't see the whole thing but, if it was over 100 characters then you would see the whole name of it.
- Another update was the hyperlinks, they were previously all blue, but now, once you click on them, they turn purple. This helps you keep up with what you've looked at and what you haven't looked at because the hyperlinks will turn purple once you have worked with them. The NSF cover page added two questions: Funding International branch campus and Funding with Foreign Organization, which your faculty are aware of these. You only check it if it pertains to your proposal.
- In NIH, in the past, if you have letters of support, they were uploaded as one document, and if you had a change or needed to add one, you had to delete that document, scan them and re-upload them all. Now there is an appendix where you can them one at a time. It will ask you when you are uploading if you want to upload if you want to append or replace. So, now you can add one letter at a time instead of waiting to receive all of them to upload once. You can't tell it to put it in a certain order, it will automatically follow the previous one.

Brandon Strickland, Sponsored Projects Administration

- Please remember that if you are submitting an F&A Waiver it needs to be approved or disapproved in InfoReady before you route your proposal in SP because you don't know what your budget is going to be until you have that approval or disapproval of your F&A Waiver. Also, please make sure you attach your budget because Julie Schwindt will need to review that budget to know where the money is going.
- We have found that some of the updates that need to go from Fastlane to 424 were not happening due to the government shutdown and we have had a couple of instances where we weren't able to use Fastlane because of that. Please remind the faculty that they need to give us (Deborah & Brandon) submission access in Fastlane, and it needs to be 24 hours in advance before that proposal is due. If you have a Fastlane check early, make sure it is in the system because we are unable to contact anyone at the agency.

ROC Meeting Notes

Thursday, March 07, 2019

9:00 – 10:00 AM

Multi-Purpose Room, Faculty Club

Angela Jordan, Research Communication, Development & Learning

Introduction of Dr. Reichert, VP for RCDL

- On February 15th, Dr. Matthew Reichert is the new Assistant VP for Research Communication, Development and Learning. He joined the University in 2010 as an Assistant Professor in Chemistry. Has some active research in the area of ionic liquids and plans to continue that research and still teach part time. Dr. Reichert will reach out to members of the ROC in the near future to meet individually and discuss policies and procedures.

Internal Submissions and Cayuse

- Research Communications, Development and Learning (RCDL) just came through the major period of our internal competitions for the year and the routing has gotten better, however, please remind faculty that once the proposal has been submitted for routing they cannot make changes. They should double check the proposal to make sure everything is accurate and complete prior to submitting the proposal for routing.

Post-Award changes

- Post-award change requests will no longer be allowed on the Seed Grants; however, changes will still be allowed on the Faculty Council Development grants, and Research and Scholarly Development grants. Faculty must submit their change request for a No Cost Extension at least 60 days before the end of the award period. Re-budgets should be requested before 60 days. PI's should monitor their account so they are aware of their spending and make change requests well in advance of the end date. RCDL is working to build in reminders through InfoReady that can be sent to the PI reminding them to look at their budget to make sure everything is on track.
Addition from Gina: Some faculty applying for internal competitions tend to add extra departments such as Sponsored Projects or start proposals in 424. If there needs to be a refresher on internal competitions and how to enter them into Cayuse SP, Angela in RCDL or any of the staff in the Sponsored Projects Office would be happy to offer assistance. If the faculty member is new to all of this, not only is he/she working on what may be their first proposal, they're working in a new system. Please let them know that RCDL is available, if needed.

Gina Hedberg, Sponsored Projects Administration

Limited Submissions

- Everyone is familiar with competitions throughout the funding field that have requirements of a limited number of proposal submissions per institutions which are defined in the sponsor guidelines. Please make sure Angela Jordan is aware of your faculty who wish to submit and that the proposal has been circulated through her. We have seen evidence of some faculty who believe their proposal is the only applicant, only to find out that isn't the case. It is best for the

faculty to go through RCDDL's vetting process to make sure there isn't an issue of too many submissions.

Pre-proposal LOI Update

- Almost every college/unit has experiences of competitions that require an abbreviated proposal prior to a full proposal. It may be a LOI, a pre-proposal or could even be call another name, but it's a scaled down version of a proposal sent to a funding competition. Typically, entries are vetted and then a select number of full proposals are selected to advance. These pre-proposals at USA need to go through Cayuse. First and foremost, it acknowledges the activity your faculty are undertaking, which can be noted in the annual submissions for each unit. Also, many of these go through sponsor systems and some sponsor systems, by virtue of just entering those portals, bind faculty to agree to terms and conditions that may or may not be suited to USA. We have had a couple of issues with this over the past couple of years, i.e., a faculty member has submitted a pre-proposal or LOI without the benefit of their grant administrator's knowledge (and without SPA's knowledge). After the fact, it is discovered that there are some unsuitable terms and conditions. Please prompt your faculty to put these into Cayuse to allow SPA to capture the activity and to assure the terms and conditions are agreeable. If faculty are just exchanging ideas with program personnel, that does not need to be entered in Cayuse. **The rule should be:** if you cannot advance to a full competition without submitting a pre-proposal, it needs to run through Cayuse. Please call SPA if you have any questions.
- **Response to entering a separate full proposal in Cayuse:** Why should both the pre-proposal and full proposal that has advanced be entered into Cayuse? The reason for putting the proposal in twice is because the chair and the dean are approving an early document that is abbreviated and could even possibly change from the initial submission to the final submission. When submitting the full proposal, the budget could change and the PI could be required to submit more information and documentation for the full competition. Both should be reviewed and approved during each sponsor submission.

Brandon Strickland, Deborah Musgrove, Sponsored Projects Administration

Submission Policy

- A draft format can only be routed if the proposal is routed through Cayuse if you are three (3) days before the deadline and only the narrative can be in draft format. All business elements should be in final form. If you are routing with less than three days until the due date, all documents should be in final form.

Re-Open Proposals

- If a proposal is reopened, it must go through routing just like a new proposal. This is so that any changes that were made can be reviewed and approved by the dean and chair. If it is reopened the day it is due, the proposal will be considered late and will require a Late Waiver Notice form to be completed and attached to the proposal. The 24-hour policy states the proposal should be submission ready 24 hours in advance. The changes would need to be complete and the proposal re-routed before the 24-hour deadline in order to in compliance.
- SPA will be transitioning the Late Waiver Notice to InfoReady and should have it ready before the next ROC meeting. Brandon is working on it in InfoReady but still needs to test the routing prior to going live.

NSF Tightening Rules

- NSF is tightening up their review of proposals. SPA recently has two proposals returned prior to NSF review that had several issues. One proposal was missing specific information related to the subrecipient. NSF gave the PI a chance to correct these issues (2 days) and resubmit the proposal. However, NSF requested that SPPA withdraw the other proposal completely due to the errors. A lot of work was put into this by the PI, SPA and the college grant administrator only to have it rejected. This is another reason why the 24-hour policy is so important. When SPA receives a proposal too close to the deadline, SPA does not have time to address those errors when a proposal is returned by the agency. The policy states that SPA will not check proposal received 24 hours or less before the deadline. Not allowing our office time to check proposals and address the problems becomes a big issue when there is no time to make corrections and resubmit the proposal to the sponsor.

Bubba Sheffield, Grants & Contracts Accounting

- This is just a reminder that the deadline to turn in your PAR is **March 20th**.

ROC Meeting Notes

Wednesday, April 17, 2019

9:00 – 10:00 AM

Multi-Purpose Room, Faculty Club

Dusty Layton, Research Compliance and Assurance

Conflict of Interest Disclosures and PHS Applications

- A brief reminder about the requirements for the conflict of interest disclosure forms related to PHS grant applicants were presented. There are three scenarios that will assist in assessing what is required in terms of COI disclosures: 1) If the investigator is a PHS-funded investigator or receives funding from a non-PHS agency that is compliant with PHS COI regulations. The agency list can be found on Research Compliance website: <https://www.southalabama.edu/departments/research/compliance/conflict-of-interest/phs-organizations.html>. When you're filling out the internal processing form while you are submitting your proposal in Cayuse, in the COI section, there is also a link embedded in the form that takes you to the list of PHS and non-PHS applicable agencies. A PHS-funded investigator must have on file at time of proposal submission, a COI disclosure form. The Conflict of Interest Certification form is the method used to attest that the named PI, Co-PI and any listed key research personnel has a disclosure form on file prior to proposal submission. The COI form may have been completed within the last year, but must always be updated annually. 2) If an investigator has a financial COI that is associated with any sponsored research activity, regardless of funding agency, a COI disclosure form must be completed and updated as necessary. There are some nuances in what is required in terms of PHS and other agencies such as NSF whom does not require a COI on file at time of proposal. 3) If the Investigator is a new faculty member planning to submit to a PHS or applicable non-PHS agency, a COI form must be completed at the time or prior to proposal submission.
- The University, at one time, had a policy to annually collect COI disclosure forms from everyone in the University. The requirement to submit these forms annually is no longer applicable, in terms of institutional policy. The requirement to complete COI forms is only applies if there is an identified conflict, regardless of agency or PHS or applicable non-PHS funded investigator, and would also require annual updates.
- How do we determine we are meeting the PHS COI regulations? There is a link/trigger in Cayuse that inquires if the proposal submitted to a PHS or applicable to non-PHS agency. If marked yes, there is a link to the PHS Certification form that must be completed to include all applicable signatures, prior to proposal submission. Research Compliance does not require the COI disclosure form be uploaded; only attestation that disclosure forms have been filed. If the proposal is funded, COI training is required. Research Compliance will upload all applicable training certificates in Cayuse. Grants and Contracts Accounting will not set-up a fund account if all required training is not complete. The COI Certification form is used to identify what

individuals require completion of conflict of interest training. Training certification does not have to be completed until notice of award.

Brandon Strickland, Deborah Musgrove, Sponsored Projects Administration

SPA Update

- The SPA staff has spent the past couple of months updating the forms and information on our website and making sure all the links are up-to-date. If you happen to find a link that is not working, please let us know so that we can update it. Cayuse tabs have been separated – test page and training schedule on one page and the live page and change request on another.

Cayuse User List

- Our office will be sending out a current user list to all Grant Administrators to review so that we can remove any user no longer with the University. If any faculty or staff on the list have retired or left the university, please let us know so that their account can be deactivated. The best way to let us know is by utilizing the Change Request form.

InfoReady Late Waiver Form

- The Late Waiver form has been incorporated into InfoReady and is now live. The paper form is still on the website, but will be removed soon. You can proxy to your PI or the PI can complete the form. The form asks for your name, title and Cayuse proposal number, and requires you to select from one of the five approved rational that are in the policy. You must use one of these reasons as to why it is late or select that it is not an approved exception to the University policy. If “not an approved exception” is selected, you must add the reason to the comments section. The form will route to your dean for approval/disapproval, and will then route to Lynne Chronister for final approval/disapproval. The person who submitted the form will receive notice of approval/disapproval, and someone in the SPA office will upload into the Cayuse proposal file. If you would like to receive notification as well, please make sure the PI adds your email address in the form application.
- The Agreement Checklist will be going electronic over the next few months as well.

NSF Update

- Collaborative proposals will be going live in research.gov sometime this summer. If you are doing a collaborative proposal for NSF, you will need to start migrating over to research.gov. NSF will eventually shut down Fastlane collaborative submission and require all collaborative proposals be submitted through Research.gov. Make sure that both institutions are using the same portal with submitting a collaborative proposal to NSF. Cayuse 424 still does not allow us to link collaborative proposals. If we are the prime and with sub-recipients, you will use 424 instead of research.gov. If it is a linked collaborative where our PI is submitting our portion and the collaborative PI is submitting his then you still have to go through research.gov or Fastlane.

SRA Chapter Meeting

- The SRA chapter meeting will be held at USM in July. Membership is required to attend, but you do not have to hold a full membership to attend the Chapter meeting. An affiliate membership will suffice. Also, it is a good way to network with other universities within the southeast.

ROC Meeting Notes

Wednesday, July 17, 2019
9:00 – 10:00 AM
Multi-Purpose Room, Faculty Club

Brandon Strickland, Deborah Musgrove, Sponsored Projects Administration

NSF Updates

- NSF's new PAPPG due out in January of 2020 will require use of a new biosketch format called SciENCv. Any biosketch completed on or after January 2020, will have to be completed using this new format. The PI will build their biosketch in SciENCv and will no longer be able to upload a PDF of their biosketch. The site is live now, so they can start using it, but it will not be required until January 2020. Below is the link to the PowerPoint presentation on how to use this new system:

<https://dsp.research.uiowa.edu/sites/dsp.research.uiowa.edu/files/SciENCv-how-to.pdf>

Below is the link to the SciENCv webpage:

<https://www.ncbi.nlm.nih.gov/sciencv/>

Will this website be able to connect with Cayuse to pull this form in?

- As of right now, no, but Cayuse it typically ahead of the game when it comes to keeping up with updating NIH and NSF forms in the system to make sure we are not using anything outdated. The recent Cayuse update focused on validations, which makes the proposals more structured and secure. You can now validate forms as you complete them instead of waiting until the proposal is complete. Also, once they update to new forms, they will not go back and upload forms in older competitions.
- Collaborative proposals are now live on research.gov. If your PI is doing a collaborative proposal they need to coordinate with the Co-PI to make sure they are using the same portal, either Fastlane or research.gov, because these two portals do not talk to each other. We strongly encourage that both institutions use research.gov because Fastlane will be going away soon, however, we do not have a retirement date as of yet.

FDP Clearinghouse

- FDP is the Federal Demonstration Partnership website where we obtain our subcontract forms. This site contains the information for participating organizations that you would find on the Subrecipient Commitment form. If the subawardee is a member, in lieu of completing the form, you can go this website, find the institution and print out the information, then upload it into the Cayuse file. If they are not an FDP school, then they will have to complete the Subrecipient Commitment form. Please see link below:

https://fdpclearinghouse.org/organizations?order=common_name&orderDir=asc&pageSize=15&page=10

Gina Hedberg, Sponsored Projects Administration

NSF Updates

- A July 11, 2019 “Dear Colleague” letter from NSF addresses emerging risks in science and engineering:

https://www.nsf.gov/pubs/2019/nsf19200/research_protection.pdf

Highlights from the NSF letter:

- Foreign Talent Recruitment programs are especially highlighted.
- NSF is still committed to international collaboration but some governments are benefiting from U.S. supported research without transparency and openness.
- New steps to mitigate risk at NSF:
 1. All rotators working onsite at NSF must be U.S. citizens or have applied for U.S. citizenship.
 2. NSF staff are reminded of disclosure reports and federal ethics rules, especially where issues and gifts from foreign governments are involved.
 3. Renewed efforts to assure *Current and Pending Support* rules are known, understood and followed. The next PAPPG will include clarifications about reporting requirements on *Current and Pending Support* and professional appointments.
 4. Coming in 2020 (effective when the new PAPPG is issued) – requirement of electronic format for biosketch. An electronic format for *Current and Pending Support* is also under development.
 5. A policy will be issued which makes it clear NSF personnel (including IPAs) cannot participate in Foreign Talent Recruitment programs. This will follow the same rules recently put into place by other federal agencies, including Energy and Defense.

The President has appointed a University committee to address this issue which will look at all points of impact on campus. Formal policies and practices will be implemented over the course of the coming year.

If you would like to know more about the topic of Foreign Influences, Special Agent Mark Furman from the FBI is more than willing to come and talk with campus groups. Please contact Gina if you are interested. No area is immune; all should be aware.

NIH Updates

- In the most recent edition of the NIH Newsletter, Dr. Mike Lauer talks about clarifying NIH policies on disclosing other support:

<https://nexus.od.nih.gov/all/issue/june-early-july-2019/?q=all>

- Highlights from Dr. Lauer’s column:
 1. Long-standing requirement at NIH to be “fully transparent re: all research activities, both domestic and foreign.”
 2. Guide Notice NOT-OD-19-114 released 07/10/19

3. This information (transparent and full disclosure on all support) is necessary to make a judgement on funding and to also make sure “no scientific, budget or commitment overlaps” occur.
4. NIH must be notified promptly if there are any substantive changes to “other support” prior to an award or at the time of reporting.

Controlled Unclassified Information (CUI)

- Another hot topic in research administration is sensitive data in sponsored projects. A short session on CUI will be presented at the next ROC meeting, highlighting “what is” and “what to look for”.
- If you see “NIST 800-171” in the sponsor guidelines during proposal preparation, please contact Gina immediately. There will be a practice in place soon which will impact proposals containing this compliance, including a review prior to the regular routine process to determine if the University is able to support a project with specific protection terms.
- The agencies which handle CUI now are limited. But, coming soon is a FAR that will spread the requirements for CUI beyond the current federal sponsors requiring this compliance.

ROC Meeting Notes

Wednesday, August 21, 2019

9:00 – 10:00 AM

Multi-Purpose Room, Faculty Club

Deborah Musgrove, Sponsored Projects Administration

SPA Website Updates

- SPA has updated the website to include much easier navigation tools that include Finding Funding, Submitting a Proposal, Managing an Award, and Creating a Proposal. Within each category you will find all of the information related to that topic. This set up should make it much easier to locate the information you might be looking to find on the website. The Managing Award button also includes links to policies and procedures for G&C Accounting.

Cayuse User Manual

- The Cayuse user manual can be found on the Create a Proposal page under “Registering for access to proposal submission portals”. On the left side, you will find an outline that will make it easier to navigate and find the information in the manual. The new manual should be a good resource for faculty who may be working on proposals after normal business hours when they cannot reach someone for assistance. Right now, we are using the Cayuse FAQ page, however in the near future we hope to have available FAQ’s that address the needs of our institution.

Bubba Sheffield, Grants and Contracts Accounting

PAR Forms

- Reminder that PAR forms are due this Friday; and, on August 31, we will start the process all over again. We are looking into new ways to report effort. The changes won’t be in the near future, but it is on the to-do list.

Subcontract Invoice Review

- G&C Accounting is required and UG is very specific on how we monitor subcontracts. One way to assist us with this effort is to make sure that everything stated on the invoices is correct. The only way for our office to know is by the PI monitoring these invoices to make sure the charges are correct, verifying the work is being done on that project, and by signing the Direct Pay acknowledging the information is correct. The signature must be original and not someone signing for them.

Closeout Recon

- What flags us to send out a closeout recon is the end date in banner. We use the budget end date and not the project end date in banner. This alerts us that something needs to happen such as an extension of funds and/or no cost extension. If you know you’re getting a NCE or continuation, make a note of it and send it back to us. If the project is actually ending, look at the total. If you know you have charges that are processing through the system and have not hit Banner yet, that is a reconciling item and should be included on the recon.