SPA/SPAC Updates
1st Quarter 2018

September 21, 2017
2:30 – 4 pm
Pharmacy Hall: N103 Lecture Hall
SPA Updates
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TODAY’S AGENDA

• Staffing
• NIH Updates
• Submission Updates
• New Proposal Review process
• Kuali Research Update
• New Survey
SPA Personnel Changes

• Suzanne Hollis, Administrator
  – Proposal Team Red

• Michael Starace, Administrator
  – Proposal Team White

• Richard Ingrao, Manager
  – All MD agreements/awards/proposals

• Christine Toalepai, Administrator
  – Moving to SPA Contract Team White

• One open position for a Contract & Grant Associate
  – Non-exempt Position
SPA Teams

• Team Red—Proposals
  – Managed by Greg Sorensen
  – Processes all proposals
    • Marie Coolahan (lead)
    • Towanda Gilliam
    • Suzanne Hollis

• Team White—Proposals
  – Managed by Greg Sorensen
  – Processes all proposals
    • Debbie Griffith (lead)
    • Mike Starace
    • Shelley Tiemann
SPA Teams

• Team Red—Contracts
  – Managed by Stephen Peterson
  – Processes all contracts
    • Stacey Boyd (lead)
  – Process all subawards
    • Venzula Harris
    • Adrianna Dunnock

• Team White—Contracts
  – Managed by Stephen Peterson
  – Processes all contracts
    • Emmanuel Shodeinde (lead)
  – Process all subawards
    • William (Bill) Hugo
SPA Teams

• Contact your SPA team red or white for any questions **unless** you have been triaged to a specific person in SPA.

• Use the SPA team email addresses (including questions about awards)
  – Team-white@ordmail.umaryland.edu
  – Team-red@ordmail.umaryland.edu
NIH Updates

• Updated NIH Policy Statement expected to be available 10/2017
  – Significant changes have been released in Notices

• Defined NIH Clinical Trial (*also provided clarification on this definition*)
  – Any application for a clinical trial MUST use FOA for clinical trial
  – Case studies available
NIH Website

https://grants.nih.gov/policy/clinical-trials/definition.htm

Does your human subjects research study meet the NIH Definition of a clinical trial?

The NIH definition of a clinical trial is very broad. Some investigators conducting human subjects research may not be aware that NIH considers their study to be a clinical trial. Use this tool to help determine if your research meets the NIH definition of a clinical trial.

For application due dates on/after January 25, 2018, identifying whether your study is a clinical trial will be important for:

• picking the right NIH funding opportunity
• ensuring your application includes all the information required for peer review
• complying with the appropriate policies and regulations

Answer a few simple questions to set you on the path for success

Note for ancillary studies:
When answering the following questions, take into account only the work being proposed in the ancillary study, not the work being done in the parent project.

1. Does the study involve human participants?

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When answering the following questions, take into account only the work being proposed in the ancillary study, not the work being done in the parent project.

1. Does the study involve human participants?

Unsure how to respond? Our case studies and FAQs may help you decide.
NIH Updates

• *Interim-RPPR* NOT-OD-17-037
  – An Interim-RPPR is to be submitted 120 calendar days from the period of performance end date while a renewal application (Type 2) is under consideration.
  – If a renewal is submitted but not funded, the Interim-RPPR will be treated by NIH as the Final-RPPR.

• NIH released final policy on sIRB for multi-site research

• xTRACT
  – allows applicants, grantees and assistants to create research training tables for progress reports and institutional training grant applications
NIH Updates

• Forms-E required after 1/25/2018 NOT-OD-17-062
  – Parent Announcements will be reissued with new FOA #’s
  – Forms will be incorporated into KR in November 2017

• All active FOAs with due dates both before and after January 25, 2018 will be updated to add FORMS-E application packages between October 25, 2017 and November 25, 2017

• Transition Period for both Forms-D and E

• Must choose the appropriate application package for your due date when presented with both FORMS-D and FORMS-E application packages on the same FOA
<table>
<thead>
<tr>
<th><strong>Opportunity</strong></th>
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<tr>
<td><strong>Opportunity ID:</strong></td>
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</tr>
<tr>
<td><strong>Opportunity Title:</strong></td>
<td>NIH Research Project Grant (Parent R01)</td>
</tr>
<tr>
<td><strong>Submission Type:</strong></td>
<td>Application</td>
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<td><strong>S2S Revision Type:</strong></td>
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<td><strong>Competition Id:</strong></td>
<td>FORMS-D</td>
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<tr>
<td><strong>Opening Date:</strong></td>
<td>04/17/2019 12:00 AM</td>
</tr>
<tr>
<td><strong>Closing Date:</strong></td>
<td>05/07/2019 12:00 AM</td>
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<td><strong>Instruction Page:</strong></td>
<td><a href="https://apply07.grants.gov/apply/opportunities/instructions/oppPA-16-160-cidFORMS-D-instructions.pdf">https://apply07.grants.gov/apply/opportunities/instructions/oppPA-16-160-cidFORMS-D-instructions.pdf</a></td>
</tr>
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</tr>
<tr>
<td><strong>S2S Provider:</strong></td>
<td>Grants.Gov</td>
</tr>
</tbody>
</table>

*Submission details will be available after the proposal is submitted.*
Submission Updates

• Grants.gov Workspace
  – Legacy Application Package (Adobe) phased out 12/31/2017
  – Applicants will no longer be able to download the older, single PDF application package of forms
  – For any funding opportunities where applicants have downloaded the legacy PDF application package, they will be able to continue to submit that package until March 31, 2018
Submission Updates

• Workspace Training and Tutorial Videos
  – https://www.youtube.com/user/GrantsGovUS

• The use of ASSIST, Adobe (while available), or Workspace must be approved by Dennis Paffrath, unless KC does not allow you to use S2S

• SPA is developing a guide for how to work in Workspace

• At this time ALL applications that can be processed via KC should be submitted via KC
Submission Updates

• NOT-OD-16-129 Appendix Materials *(rel. 08/2016)*
  – Applications **will be rejected** if unapproved materials are included in the Appendix

• NOT-OD-15-032 New Biosketch Format *(rel. 12/2014)*
  – Applications not in compliance with new Biosketch format
  – Letters sent however application still being reviewed

• NIH Deadline 10/5/2017
  – Currently SPA has **41** proposals in progress!!!
SPA Proposal Review Process

• Effective 7/17/17

• SPA review of proposals occurs after being submitted for routing
  – Budget final
  – All tabs completed

• Changes to the application?
  – @ department/school level, **Recall** the proposal
  – @ SPA level, the proposal will be **Rejected** by SPA

• If changes were made/requested, SPA will review the proposal once it is **Final** and ready for submission
SPA Proposal Review Process

• Subrecipient Commitment Form
  – If you have a subaward, this *signed* form is mandatory
  – FDP schools have a one (1) page form
  – Must have this form for all subawards
Kuali Research Update (KR)

• SPA still looking for department administrators to test KR (email Janet Simons)

• Go Live date for the new instance is March 18, 2018

• Janet Simons is working with members of SPA to develop training for UMB

• UMB and UMCP KR (working w/SRAG on combined KR)
FDP Update
(Federal Demonstration Partnership)

• New template forms available
  – Subawards
  – Data Use and Transfer Agreement
# New SPA Survey

## Overall Satisfaction Level
- Extremely Satisfied
- Satisfied
- Dissatisfied
- Extremely Dissatisfied
- N/A

## OSP was timely and responsive in addressing my needs and inquiries
- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- N/A

## OSP provided accurate information and sound guidance
- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- N/A

## OSP anticipated my needs and met them proactively
- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- N/A

## OSP provided effective communication
- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- N/A

## When I had a need, my OSP contact was accessible
- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- N/A
Reminders

• Please, please use the team emails when communicating with SPA, unless an action has been triaged and you know who the SPA person that is working on that action.

• Ask your general questions at Research Matters [http://researchmatters.umaryland.edu](http://researchmatters.umaryland.edu)

• If you change the deadline date, please update your team or the person working on your proposal **immediately**!

• Please give SPA adequate time to review your proposal.

• SPA will only bypass on the deadline day.

• Get your proposals in early!!!
Questions?
SPAC Updates
1st Quarter 2018

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Today’s Agenda

– Cost
– Staffing Update
– Closeouts
– State Agency Invoicing Support Development
– DIRRF update
– Relinquishing Form
– Reminders
  • FFR Deadlines & Charges
  • Child Request Compliance
  • SCR Reporting
COST

September 21, 2017
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1. Regular pay reported as one row on paycheck during crossover pay period (PP) 18-01 with earnings date 06/25/17-07/08/17
   - 06/25/17 to 06/30/17 FY2017
   - 07/01/17 to 07/08/17 FY2018
2. During PP18-02 to 18-04, employee reports leave applicable to the 18-01 crossover PP
3. System does a proration process for earnings dates related to crossover PP18-01 to
   - Credit RGS code for the applicable holiday hours reported
   - Debit applicable leave earnings code for the same amount

4. HRMS does rounding adjustments to keep check amount and distribution amount balanced

5. The redistribution process ended up adding $0.01 to the FY2017 portion and $(0.01) in FY2018, or vice versa
Penny Balances on Department PCA

• No Fixed EFP for FY17, except Non-Exempt employees for the first 4PPs. Charges fell to PCA
• Employees who reported leave for the crossover pay period (PP18-01, 06/25/17-07/08/17) in PP18-02 through 18-04
• Cost Analysis will not be processing Direct Retros to correct the PCA balances
• After 093017 initiation, affected effort forms will be manually corrected by Cost Analysis
Finalized Fringe Benefit Rates

• A memo was sent out to Campus to announce the Implementation of the approved Fringe Benefit Rate Agreement by Laura Scarantino

• Approved faculty and staff rates are slightly lower than the previously published proposed rates

• Adjusted rates were set up in HRMS from 18-01
  – no system corrections necessary

• The memo and rate agreement have been uploaded to our website
## FY18 Finalized Fringe Benefit Rates

<table>
<thead>
<tr>
<th>Apply to Accounts</th>
<th>FY18 Proposed</th>
<th>FY18+ Finalized</th>
<th>Fringe Account</th>
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<tbody>
<tr>
<td><strong>Faculty</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1011 – Faculty 9/10 mo. 1012 – Faculty 12 mo.</td>
<td>27.2%</td>
<td>27.1%</td>
<td>2790 – Fringe rate Faculty</td>
</tr>
<tr>
<td><strong>Staff</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1013 – Exempt staff 1014 – Non-exempt staff</td>
<td>43.6%</td>
<td>43.4%</td>
<td>2791 – Fringe rate Staff</td>
</tr>
<tr>
<td><strong>Legislated Benefit</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2071 – Faculty 2072 – Exempt staff (C1) 2073 – Non-exempt staff (C1) 2080 – Summer salaries 2085 – Supplemental Pay 2110 – Overtime 2120 – Shift differential 2130 – On call pay 2140 – Bonus Payments 2074 – College Work study (summer) 2075 – Students (other than CWS) (summer) 2090 – Contractual employee (C2) (Until FY16)</td>
<td>8.4%</td>
<td>8.4%</td>
<td>2793 – Fringe rate Legislated Benefit</td>
</tr>
<tr>
<td><strong>Limited Benefit</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1021 – Post Docs/Fellows 2090 – Contractual Employee (C2) (FY16+)</td>
<td>21.4%</td>
<td>21.4%</td>
<td>2792 – Fringe rate Limited Benefit</td>
</tr>
</tbody>
</table>
FA Rate Negotiation for FY19 and beyond

• UMB’s Base year is FY2017
• We are currently preparing a draft proposal based on FY16 financial statement, to see how rates will change
• We are leaning towards requesting an extension until completion of implementation of new financial system – Quantum
• Tentatively FY19 could be our new base year if approved
• More information to come
Effort Reporting Reminder

• Due date for 063017 Effort forms is next Tuesday, 09/26/17
• Total delinquent forms in ERS: 184
• The new 093017 period will be initiated the day after, on 09/27/17
• No FY17 Fixed EFP, so all FY17 earnings fall to PCA, and should be move via Direct Retro (DR)
• The DR needs to redistribute these expenses to the projects on which the employee worked during the period in question
Overpayment Direct Retros

- Overpayment credits for FY17 which fall to PCA should be moved to where employee was originally paid from
  - Do not default to revolving account
  - Applicable grants must be credited

- All other direct Retros related to overpayment are done by Costing and Compliance, based in information provided by UMB’s Central Payroll office

- Refer to procedure manual via the link below
  - Overpayment Compensation and Recovery Procedure
SPAC Staffing Updates

• Lynn McGinley, Reporting Project Lead for the Quantum Financial Implementation Project
• Laura Scarantino, Acting AVP
• Cost and SPAC reporting
• International - Moji reporting to Jennifer Flinn, Executive Director of MGIC
• Kevin Cooke, Grants Project Lead for Quantum
• Duration – next 15-18 months
SPAC Staffing Updates

• 3 Areas in SPAC: Cost, Central, Red/White Teams – Each area covered by a Sr. Manager
• Beryl Gwan – Cost
• Kathleen Furey – Central Team
• Introducing Jocelyn Klucar – Red/White Teams
  – Point person for issues that can’t be solved by the Red/white Team Managers
• Esther – Contracts Team
• Nathan Hollaway - Administrative
<table>
<thead>
<tr>
<th>COST</th>
<th>CENTRAL</th>
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</thead>
<tbody>
<tr>
<td><strong>Binita Shah</strong></td>
<td><strong>Colin Fleming</strong></td>
</tr>
<tr>
<td>Cost Accountant</td>
<td>Accountant 1</td>
</tr>
<tr>
<td><strong>Amy Sallese</strong></td>
<td>Neda Karimi</td>
</tr>
<tr>
<td>Pt Cost Accountant</td>
<td>Accountant 1</td>
</tr>
<tr>
<td><strong>Damita Brown</strong></td>
<td>Neli Georgieva</td>
</tr>
<tr>
<td>Administrative Support</td>
<td>Financial Accountant</td>
</tr>
<tr>
<td></td>
<td>Larcell Pannell</td>
</tr>
<tr>
<td></td>
<td>Financial Accountant</td>
</tr>
<tr>
<td></td>
<td>Mary Miller</td>
</tr>
<tr>
<td></td>
<td>Brenda Hester</td>
</tr>
<tr>
<td></td>
<td>Accountants</td>
</tr>
</tbody>
</table>
# SPAC Staffing Updates

<table>
<thead>
<tr>
<th>WHITE TEAM</th>
<th>RED TEAM</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Krista Salsberg</strong></td>
<td><strong>Cheryl Williams-Smith</strong></td>
</tr>
<tr>
<td>Manager</td>
<td>Manager</td>
</tr>
<tr>
<td><strong>Krissy Long</strong></td>
<td><strong>Shernett Wynter</strong></td>
</tr>
<tr>
<td>Financial Accountant Analyst</td>
<td>Financial Accountant Analyst</td>
</tr>
<tr>
<td><strong>Tammira Barnes</strong></td>
<td><strong>Ron Hill</strong></td>
</tr>
<tr>
<td>Financial Accountant Analyst</td>
<td>Financial Accountant Analyst</td>
</tr>
<tr>
<td><strong>AJ Singh</strong></td>
<td><strong>David Addy</strong></td>
</tr>
<tr>
<td>Financial Accountant Analyst</td>
<td>Financial Accountant Analyst</td>
</tr>
<tr>
<td><strong>Claude Street</strong></td>
<td><strong>Jean Indrova Gonzales</strong></td>
</tr>
<tr>
<td>Accountant 1</td>
<td>Accountant 1</td>
</tr>
</tbody>
</table>
Closeouts

- In order to transition to the new financial system we need to clean up our backlog
- Big push for closeouts coming in the next 8 months
- Scheduling meetings with departments to discuss action plans on closures
State Agency Invoicing Support Development

- To comply with payroll and nonpayroll support SPAC is in development with CITS on a report to generate from eUMB that will provide the detail that was required.

- The payroll report requires signature by the PI and a designated management staff in SPAC
- This support must accompany the invoice
- Currently this only applies to Interagency Agreements – with another State Agency – for either procurement of a good/service or hiring an employee
- First quarter invoices go out in October
- We have the first draft of the report
State Agency Invoicing Support Development

• Payroll report
  – This will satisfy Section I.D.2.a.1 and I.D.2.a.2.A

• Non payroll costs
  – Copies of all consultant and subcontractor invoices
    • All consultants and subcontractors must provide us with this same level of invoice support
  – Report of all other direct costs at the transaction level
    • Must be certified by SPAC that this transaction listing came from our general ledger
DIRRF Form Update

• Adding a “CANCEL” option
  – Original submission #
  – PCBU
  – Requestor
  – Sponsor
  – Amount

• Adding Final Language – If invoice is final and requires a final financial accounting, your team must be notified

• Roles out 10/2/2017
DIRRF Form Update

• Remember - Only use DIRRF for PCBU’s
  – 0185/018/0192

• If you project was set up incorrectly using a standard PCBU, these invoice will be handled by team red or team white directly – do NOT use the DIRRF for PCBU 0184/0187/0191

• Best solution for a wrong set up is to confirm the set up when receive email from SPAC is correct. We can change it before any expenses hit the project
Relinquishing Form

- Roles out November 1, 2017
- Biggest challenge we face is when a PI leaves the University and their grants are not closed out
- This online form will be used instead of the normal email to SPA or SPAC
- The form captures the information that is needed to transfer or relinquish any funds to the PI’s new institution
- These notifications should be done well in advance
Relinquishing Form

• We will send link to the online form and instructions on how to fill out through the RAC listserv – pass on the word

• Any deficits on awards that are relinquished late will be the responsibility of the departments
REMINDERS
FFR Deadlines & Charges

• Federal Financial Reporting:
• To guarantee that all funds are drawn on your project. FFR must be in 20 days prior to submission date. All subrecipient encumbrances should be cleared or find support for expected invoice
• Any charges that are not on the FFR when due to the federal government, or accounted for by the department cannot be guaranteed to be drawn. Any deficits not collectable due to department late filing will be the responsibility of the department
Child Request Compliance

• Last meeting we talked about Child Request Forms
• Requiring parents to be set up before children
• Requiring a Raven access forms
  – The RAF can come over without a PID
  – SPAC will fill in the PID for you
  – SPAC will forward the form to CITS for you
  – Make sure all required signatures are on forms

[Links to form]

tps://www.umaryland.edu/media/umb/af/spac/forms/SPAC-Child-Project-Request-Form.pdf
SCR Reporting for Federal Service Contracts:

• Subrecipient reporting that requires amount invoiced and hours worked for the federal reporting year Oct 1 to Sept 30. This includes subcontracts under the award. (Put in federal wording) We sent out a reminder that this information is due in August and we forwarded the spreadsheet in September. The report is due to SPAC on 10/20/2017 for us to report to the federal government by 10/31.
Final Notes

• We would like to hear from you on subject matter you want to explore. Working on a platform to post your ideas. Will keep you posted

• Both presentations will be available on SPA and SPAC websites

• Thanks for joining us today!