

THE  
UNIVERSITY  
OF RHODE ISLAND

# Research Townhall

September 23, 2021

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# Contact Info and Responsibilities

Tasks	PI	Dept	Dean	OSP	SCA
<b>Proposal Preparation</b>					
Write technical narrative	X				
Identify subcontractors and request budget and statement of work	X				
Develop budget and budget justification	X	X			
Identify need for cost sharing funds	X				
Provides approval of cost sharing requests		X	X	X	
Evaluate requests for F&A waivers or reductions		X	X	X	
Coordinate space arrangements		X	X		
Provide expert guidance on proposal preparation				X	
Complete Cayuse and route proposal for approval	X	X			
<b>Regulatory Requirements</b>					
Complete compliance forms: Institutional Review Board, Animal Care and Use, Institutional Biosafety Committee	X	X			

- <https://web.uri.edu/research-admin/files/Roles-and-Responsibilities-Matrix-2.13.20.pdf>
- OSP Contacts – some changing responsibilities
  - [Preward](#)
  - [Postaward](#)

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# Sponsored Projects Updates

- New NIH Working Group
  - Quarterly meeting of interested staff responsible for management of NIH awards
  - First meeting was held on September 15, 2021
- Federal Agency Information
  - Federal Agency [webpage](#)
  - NIH and NSF proposal checklists
  - Agency updates

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# Sponsored Projects Updates

- Federal Agency Updates – Federal Demonstration Project - <http://thefdp.org/default/meetings/previous-meetings/september-2021-meeting/>
- Key changes for NSF and NIH biosketch requirements
  - Bios are being changed from 2-3 page limit
  - All senior key people and PIs MUST have an ERA commons user ID.
  - PIs must disclose all appointments, even the ones at other institutions
  - PIs should contact their AOR before contacting the agency.
  - C&P blank pages will be trimmed
  - Make sure you are aware of the disclosure table. It is on our website also. the link is <https://web.uri.edu/research-admin/submit-a-proposal/federal-agency-information/>
  - There will be a requirement to state how much is being spent on foreign consultants.

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# Issuing of Subawards

1. PI initiates process by submitting requisition in PeopleSoft
  2. Post-Award reviews (must include appropriate paperwork)
  3. Subawardees are screened (Federal requirement)
  4. Pre-Award creates sub agreement (Review of award agreement)
  5. Signatures needed (Delays can happen at subawardee location)
  6. OSP creates PO (Email to subawardee and Dept)
- Detailed guidance and forms: <https://web.uri.edu/research-admin/submit-a-proposal/subcontract-requisition-po-internal-processes/>

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# Reminder: RPPRs

- Reminder: Research Performance Progress Reports (RPPR)
  - No longer routed through InfoEd
  - In order for OSP to submit to NIH, OSP must receive updated FCOI disclosures for all URI key investigators
  - More information on our [website](#)

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# Reminder: Allowable Costs

- Cost principles and restricted expenditures for federal projects are covered in the [Uniform Guidance at 2 CFR 200](#)
- [URI webpage on Allowable vs. Unallowable Costs](#)
- Generally unallowable costs:
  - Telephone
  - Office furniture
  - Office supplies

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# InfoEd Updates

- New InfoEd Working Group – First meeting scheduled for Tuesday October 5 at 2PM. Contact [tedmyatt@uri.edu](mailto:tedmyatt@uri.edu) to be added to invite.
- **OSP is requesting the proposals be submitted at least 5 days prior to deadline (OSP will be submitting all proposals the latest by 4:30 pm the day of the deadline)**
- Links, Training, Etc - <https://web.uri.edu/research-admin/infoed-era-system/>
- Request to add new sponsor form / Request to add a subaward entity / Request to add consultant

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# What is the status of my award?

- If you have access to the proposal in InfoEd, you can use the “Record Status” to determine where your project lies in the OSP award set up process.
- In InfoEd, go to Locate Records tab and then search by Record Status
- Statuses:
  - Submitted to Sponsor – Awaiting information from Sponsor
  - Award Notice Received – Award has been received, uploaded in InfoEd
  - Post Award Review – Award has been set up in InfoEd, undergoing Post Award review
  - Awarded Processing – Award has been sent to Post Award Specialist for set-up
  - Awarded Processing Complete – Award has been set up in PeopleSoft

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# New Process for Award Notification

- Replacing “RAN” with “batchcomm” email generated from InfoEd

## Notice of Sponsored Project Incremental Funding

Dear [REDACTED]:

We have received an incremental funding notification from your sponsor. Attached is a copy of the award notice, with pertinent information summarized below. Initiation of the expenditure of funds is authorized in accordance with the terms and conditions stated in the attached sponsor's award document and/or policy statement. Expenditures more than the total funded project amounts will be the responsibility of the Department and College.

As a reminder, when you applied for this award as PI, you certified that you would 1) accept responsibility for the scientific, fiscal, and ethical conduct of this project, 2) would provide the required progress reports, 3) would comply with all relevant state and federal regulations, sponsor requirements, and University policies. The Office of Sponsored Projects and the Office of Research Integrity are here to help you comply with these requirements. If you have questions about this Fund, please contact your assigned Post-Award Administrator. Best wishes on a successful project.

For post-award assistance, including contact information: [web.uri.edu/research-admin/manage-your-grant-award](http://web.uri.edu/research-admin/manage-your-grant-award)

For any questions about how this award will be billed to the sponsor, please contact Michele Wood in the Office of the Controller, Sponsored & Cost Accounting ([mjwood@uri.edu](mailto:mjwood@uri.edu))

### Award Details

Principal Investigator	[REDACTED]
College	CELS - College of the Environment and Life Sciences
Department	2012 - CELS Academic Unit 1
Center	N/A
InfoEd Proposal Number	P10664
PeopleSoft Award Number	AWD07273
PeopleSoft Project Number	0007949
Project Title	Biology, Management and Reducing the Impact of the Spotted Lanternfly on Specialty Crops in the Eastern USA
Direct Sponsor	Pennsylvania State University
Primary Sponsor	Department of Agriculture
Sponsor Reference	S000323-USDA
Current Budget Period	01-Sep-2021 - 31-Aug-2022
Total Anticipated Project Period	01-Sep-2021 - 31-Aug-2022
Award Date	02-Sep-2021
Type of Action:	Continuation
Amount of this Action	[REDACTED]
Total Funding to Date	[REDACTED]
Total Anticipated Funding	[REDACTED]
F&A Rate	42.86
Cost Sharing	Yes
PeopleSoft ChartField String	500 2012 0000 [REDACTED] 100 2012 0000 [REDACTED]
CFDA Number	10.309
Overall Comments	

NOTE: Previous increment is not included in InfoEd. Total obligated to date is \$87,820

Incremental Comments

Sponsored and Cost Accounting: Please see award notification for information regarding a new financial system.

Relevant Award Terms and Conditions (if any):

Sincerely,

Office of Sponsored Programs

# Sponsor and Cost Accounting Updates

- Roles and Responsibilities
- External Audit Activity
- Billing Notes
- Reporting Notes
- Special Topics

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# Roles & Responsibilities

- Office of Sponsored Projects – under VP Research
  - Pre and Post Award
    - Proposal development
    - Research compliance oversight and management
    - Award acceptance
    - Award modification management
    - Expenditure and cost share oversight
    - Award close out
- Office of Sponsored & Cost Accounting – under VP Administration & Finance
  - Financial focus on billing, cash collections, reporting and audits, financial close out (in coordination with Sponsored Projects)
  - Indirect cost calculation (i.e., F&A rate)
  - Service center reviews

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# S&CA Staff/Key Responsibilities

- Chen Gu, Chief Accountant, PS matters, F&A analysis
- Ann Cannon, Chief Accountant, Service Centers, F&A rate calc
- Eileen Tobin, Director, Sponsored & Cost Accounting
- Accountants handle billing, reporting, collections, journal postings, financial closeouts
  - Steve Rydell (NSF, HHS, USAID, NASA, DoD, foundations, non profits, for profits)
  - Jeanette Vaganek (USDA, DoI, DoE State, DoC, DoEnergy)
  - Daniel O'Toole started 9/13/21 (State and others TBD)
  - TBD (federal subcontracts and others TBD)

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# External Audit Activity

- Single audit – annual, with research focus every 3 years
- Agency monitoring – desk reviews, agency audits, Office of Inspector General audits
  - Recent audits:
    - FY 16:
      - US Department of Interior; no findings
      - US Department of Justice; audit concluded in 2018 \$917 returned
      - US Small Business Agency bi-annual desk review; recommendations only
    - FY 18:
      - National Science Foundation desk review; recommendations only
      - US Small Business Agency bi-annual desk review; recommendations only
    - FY 19:
      - US Department of Justice desk review; no findings
    - FY 20:
      - US Agency for International Development Agency Review; recommendations only
    - FY 21:
      - National Science Foundation Office of Inspector General audit; Epscor Awards. Part of NSF workplan.
        - Audit began Fall 2020 and is ongoing
  - Indirect Cost Rate; audited by US Department of Health and Human Services, Cost Allocation Services, when rate is submitted

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# Billing Notes

- Staffing – recent hires, possible shifting of portfolios - TBD
- Billing issues – reach out to me for initial review ([mgwood@uri.edu](mailto:mgwood@uri.edu))
- Contracts/agreements – please try to include sponsor billing contact in agreement to speed up review
- June/July/August billing cycles – timing is off due to URI year end and vacancies
- September onward – should be back on track

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# Reporting Notes

- SF-425 is a common financial report submitted by S&CA staff
- Frequency can be quarterly, annually and/or final
- Notices, please send to Eileen Tobin ([etobin@uri.edu](mailto:etobin@uri.edu)), Michele Wood ([mgwood@uri.edu](mailto:mgwood@uri.edu))

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# Special Topics

- Cost sharing/match – budgets, actuals, monitoring
  - Match is typically required to be reported with invoices and financial reports
  - If you have match on your awards, please review to ensure match is being met throughout the life of the award
- Final invoices/reports – final expenditures, EAFs, subawards
  - We will confirm final expenditures, match, etc. for final invoice and reports with department/PI/fiscal staff and OSP (part of joint close out process)

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# Responsible Conduct of Research (RCR)

- Graduate student RCR requirement
- October 6 at 4PM
  - Samantha Meenach, Associate Professor, Chemical Engineering - Mentor/mentee responsibilities and relationships
  - Amanda Izenstark, Professor, University Library, - Plagiarism
- November 10 at 4PM
  - Judith Swift, Director of the Coastal Institute and Professor of Communication Studies and Theater - Collaboration

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# Research Integrity Updates

- Export Control
  - Carol Connolly, Assistant Legal Counsel for Research, Export Control and Compliance
    - Technology Control Plans (TCPs) are required for all sponsored projects that have export-controlled items
    - Export-controlled items can include hardware, software, information, and defense services
    - Export training modules are available for Researchers and Research Administrators
- Human Subjects Research
  - Institutional Review Board (IRB) 101 Training seminar on using URI's IRB scheduled for: **October 19 at 3PM**
- Animal Welfare
  - New IACUC form set will be released later this month

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# COVID-19 Updates

- Currently in Phase 5 of the Division of Research and Economic Development COVID plan
- Research related COVID information:  
<https://web.uri.edu/research-admin/uri-research-covid-19-update/>
  - For IRB protocols, add vaccination for PI/study staff and participants to minimize risk for participants
- General University COVID information:  
<https://web.uri.edu/emergency/covid/>

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# Questions?

- Future Brownbag Series

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