WestVirginiaUniversity.

Research Administrators' Round Table

Recap

- Set framework for going forward
- Review new Uniform Guidance driven WVU policy changes
  - *Sponsored Agreement Closeouts (WVU-FS-23)*
    http://adminfin.wvu.edu/policies/finance/financial-services/wvu-fs-23-policy
  - *Cost-Sharing/Matching on Sponsored Projects (WVU-FS-39)*
    http://adminfin.wvu.edu/policies/finance/financial-services/wvu-fs-39-policy
  - *Charging Costs of Computing Devices (WVU-FS-40)*
    http://adminfin.wvu.edu/policies/finance/financial-services/wvu-fs-40-policy
  - *Administrative and Clerical Salaries (WVU-FS-44)*
    http://adminfin.wvu.edu/policies/finance/financial-services/wvu-fs-44-policy
  - *Sub-recipient award management (RO-1)*
    http://osp.research.wvu.edu/sub-award
- Proposal Submission Policy – effective July 15th
    http://osp.research.wvu.edu/pre-award/proposal-preparation

Today's Discussion

- Uniform Guidance & WVU
- New proposal routing and management tool
- Polishing the Round Table
- National Update
- Fundamental Questions

Uniform Guidance & WVU

West Virginia University Research Corporation Award Notification
Office of Sponsored Programs

Principal Investigator: Anthony Realini

OSP Ref.: 13-215 **Version:** 1
Transaction Date: 09/11/2015 **OSP Version Date:**
Transaction Type: Non-Competing **OSP Version:**

Co-Investigator/Task Managers:

Project Title: Glaucoma Management in the African-Derived Developing World Using Laser Trabeculoplasty

Sponsoring Agency: US DHHS-NIH-National Eye Institute
Prime Sponsor: NA

Budget Period **From:** 09/01/2015 **To:** 08/31/2016
Award: *(Direct Costs)* $263,341.00 **Grant/Contract No.:** 5 R01 EY023620-02
(F&A Costs) $117,491.00
(Total Award) $380,832.00 **Modification No.:**

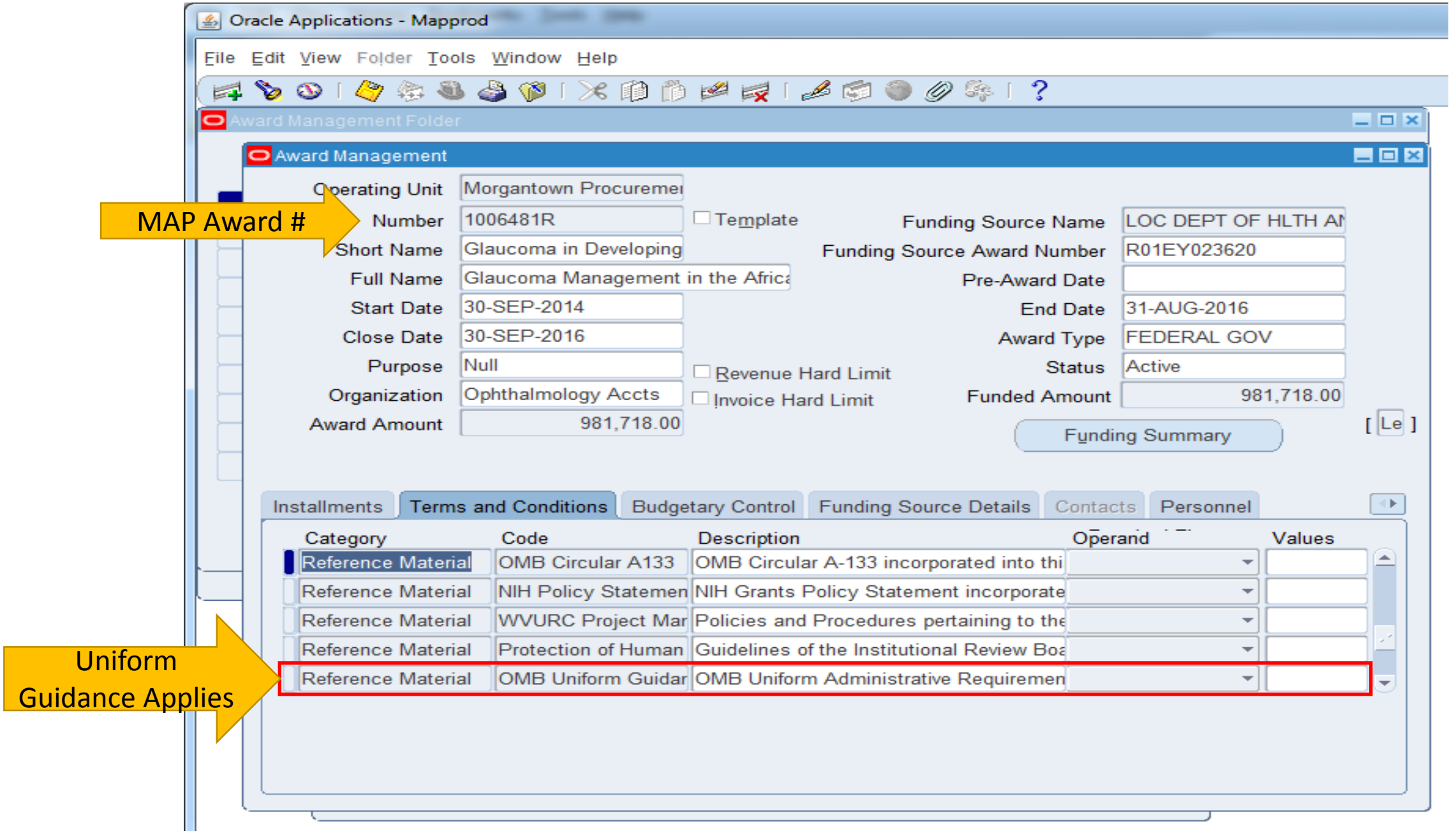
Cost Sharing Required: No
Cost Share Comments:
NA

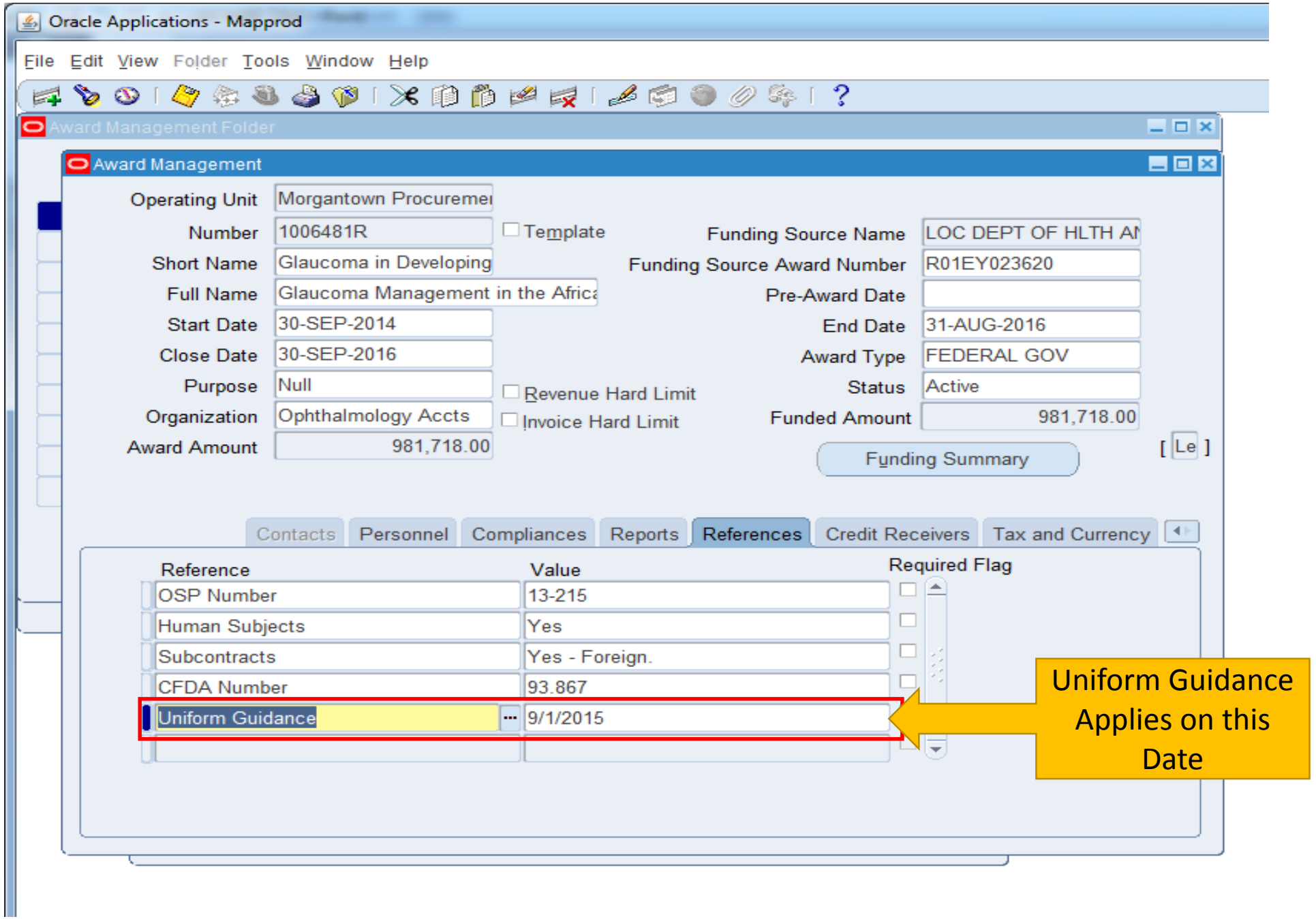
Explanatory Remarks:

The Notice of Award provides funding for this project in the amount of $380,832 for the period of 9/1/2015 - 8/31/2016. A separate Task/Award has been established in MAP due to the different F&A rates applied. Award 1006481R at 49% F&A has been increased by $325,973 for the period of 9/1/2015 - 8/31/2016. Award 1006481AR established at 50% F&A for $54,859 for the period of 7/1/2016 - 8/31/2016. Please note: OSP has used the Year 2 budget from the original submission and prorated figures due to the 2 F&A rates applied by the sponsor.

MAP Award #

Award	DA	Fund	Function	F&A Rate	Amount
1006481R	Ophthalmology Accts	71603289	152	49%	$325,973.00


MAP Award #
Uniform Guidance Applies
Oracle Applications - Mapprod
File Edit View Folder Tools Window Help
Award Management Folder
Award Management
Operating Unit Morgantown Procuremer
Number 1006481R
Template
Short Name Glaucoma in Developing
Full Name Glaucoma Management in the Africa
Start Date 30-SEP-2014
Close Date 30-SEP-2016
Purpose Null
Revenue Hard Limit
Organization Ophthalmology Accts
Invoice Hard Limit
Award Amount 981,718.00
Funding Source Name LOC DEPT OF HLTH AN
Funding Source Award Number R01EY023620
Pre-Award Date
End Date 31-AUG-2016
Award Type FEDERAL GOV
Status Active
Funded Amount 981,718.00
Funding Summary
Installments
Terms and Conditions
Budgetary Control
Funding Source Details
Contacts
Personnel
Category
Code
Description
Operand
Values
Reference Material OMB Circular A133 OMB Circular A-133 incorporated into thi
Reference Material NIH Policy Statemen NIH Grants Policy Statement incorporate
Reference Material WVURC Project Mar Policies and Procedures pertaining to the
Reference Material Protection of Human Guidelines of the Institutional Review Boa
Reference Material OMB Uniform Guidar OMB Uniform Administrative Requiremen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Pre-Award Date
End Date 31-AUG-2016
Award Type FEDERAL GOV
Status Active
Funded Amount 981,718.00
Funding Summary
Contacts Personnel Compliances Reports References Credit Receivers Tax and Currency
Reference
Value
Required Flag
OSP Number 13-215
Human Subjects Yes
Subcontracts Yes - Foreign.
CFDA Number 93.867
Uniform Guidance 9/1/2015
Uniform Guidance Applies on this Date

Transition

Electronic Blue Sheet

- Unstable software platform
- Reporting limitations
- Uni-dimensional
- Limited interface options

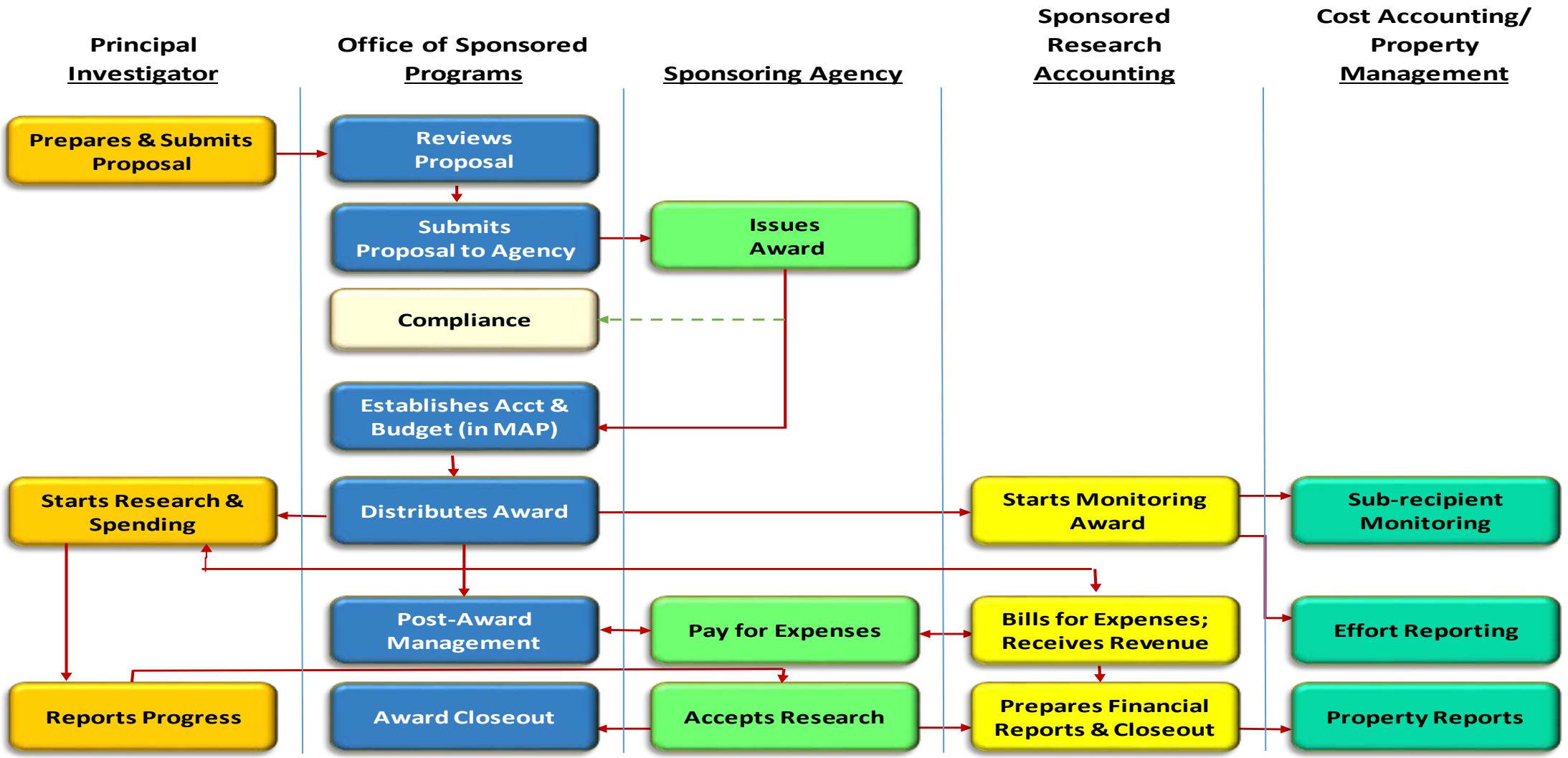
KC-BlueSheet

- Integrated software platform
- Reporting flexibility
- Multi-dimensional
- Can work with other software
- Foundation for System-to-System (S2S) proposals

KC-BlueSheet

KC-BlueSheet Questions

Life Cycle of a Project at WVU



Polishing the Round Table

- **Prepares & Submits Proposals**
  - Grants.gov packages
    - Other electronic submission tools
    - Budget and cost sharing
    - Allowable/unallowable costs
    - Intra-university consulting
    - Equipment
    - Sub-awards vs. Vendor purchases
  - Compliance
    - Human Subjects
    - Animal Welfare
    - Biohazards
    - Conflict of Interest
    - Export Control

- **Starts Research & Spending**
- **Reports Progress**
- **Establishing Accounts > MAP**
- **Post-Award Administrative Support**

National Update

- 10 agencies have partnered in developing standard research terms and conditions (NSF and NIH leading this project)
- NSF's Proposal and Award Policies and Procedures Guide (PAPPG) should be published this month with a January 2016 implementation date
- Department of Defense (DoD) reorganizing the DOD Grant and Agreement Regulations (DoDGARs) which may have some deviation from Uniform Guidance
  - (use regulations to ensure compliance)
- Army has lots of funding for higher education; particularly Research Medical Management
- Ideas for Reducing Compliance Burden

National Update - Procurement

- The Federal Demonstration Project (FDP) collected procurement statistics from 55 institutions

Average	# of transactions	$ of transactions
$0 - $2,999	52.39%	14.01%
$3,000 - $4,999	45.25%	12.72%
$5,000 - $9,999	1.05%	4.68%
$10,000 - $14,999	0.36%	3.02%
$15,000 - $24,999	0.33%	4.44%
$25,000 - $49,000	0.28%	6.58%
$50,000 - $74,999	0.10%	3.96%
$75,000 - $99,999	0.06%	3.11%
$100,000 - $149,999	0.06%	4.18%
$150,000 +	0.12%	43.30%

*** Data is based on the average numbers for FY 12, FY 13, and FY 14**

Cumulative Federal Awards for Participants	$	13,212,291,665
Total number of transactions		22,285,684
Total Procurement dollars	$	30,326,755,937
Procurement FTE		872.1
Increase in procurement FTE due to UG		164.4
Percent increase in FTE		18.80%

- The FAQ's for the Uniform Guidance (UG) were revised in September of 2015 and included an extension of the grace period to comply with the procurement standards to **two** years after the effective date of the UG. For WVU, the UG procurement standards will go into effect for the fiscal year beginning July 1, 2017.

Recent OIG Audit Findings

- Columbia University - DHHS audit 10/28/2014 - University admitted to Mischarging Federal Grants and agreed to pay more than $9 MILLION to resolve false claims lawsuit.
  - Findings included effort reports for nearly 200 individuals were not created and verified by the individuals
- University of Illinois Champaign – NSF audit 9/25/2014 - questioned Costs of $173,290 included equipment purchased in the last 30 days of an award
- University of California, Los Angeles – NSF audit 8/14/2014 – Findings included late effort report certifications
- University of North Carolina Chapel Hill – DHHS audit 6/27/2014 – Found $335,874 of questioned costs including inadequately documented cost transfers

Effort reports for the January – June 2015 period were due on:

October 2, 2015.

Questions from the Group

Question - When I review an effort report, should I be validating the dollar amount or the percentage?

Effort Reporting is the percentage effort.

Question - When an employee's signature is unobtainable, who should sign their effort report?

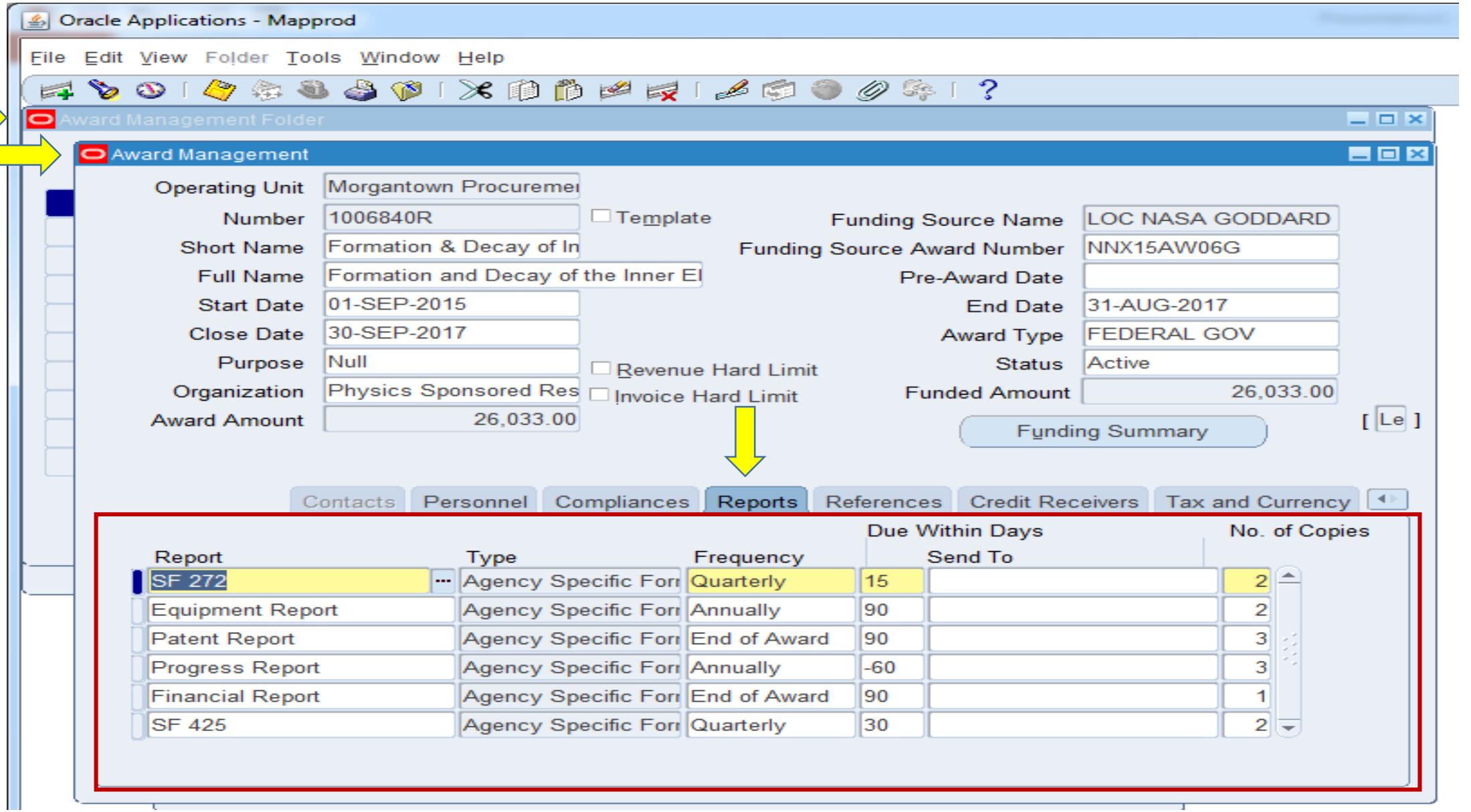
If the employee is not available, the person with the most direct knowledge of the effort should sign (e.g., supervisor or PI). Situations where an employee may not be available are:

a. They are no longer employed at WVU
b. They are a student (a supervisor uses discretionary authority to sign on their behalf in these cases)
c. They are "out in the field", out of the country, on medical leave, etc.

Questions - In MAP-OGM, where can you see what reports are required for a sponsored award per the terms and conditions of the award agreement?

The reporting requirements are shown under the reporting section rather than the terms and conditions section. To get to the reporting section, click on the arrow midway down on your screen. This will give you access to the reports tab, which you can then click on to see all reports associated with that particular award.

Screenshot from MAP



Question - I'm not sure when I should call the Office of Sponsored Programs (OSP) or Sponsored Research Accounting (SRA). Who handles what?

- **OSP** should be contacted for all pre-award activities up through your initial award set up. They also handle administrative actions that require agency approval once an award is in place, plus subcontracting and questions related to the non-financial aspect of an award.

- **SRA** is the point of contact for any accounting related questions. Among the things they handle are internal budget modifications, budget transfers, financial closeout.