AGENDA

Research Operations Council (ROC)
Monday, November 13, 2017
9:00 – 10:00 AM
Multi-Purpose Room, Faculty Club

Office of Sponsored Projects Administrations

1. Cayuse Updates
   - **Multi-year awards** – if you have a multi-year award in Cayuse, instead of submitting another proposal using the progress report, enter the progress report into the existing file; and, when the award comes in, SPA will add it to the existing project.
   - **Cost-share** – cost-share will be a reflection of a department or college fund when entered in Cayuse.
   - **424** – 424 will become a mandatory practice. Please try to start getting yourself familiar with the system so that when the time does come, you will be more prepared to use the system.

2. **OGA/SPA Database Sunset** – SPA is no longer actively using either of these databases, effective October 1, 2017. However, there will be limited use for those multi-year awards that are still a paper file and not in Cayuse. Also, SPA will no longer send out reminder notices regarding reports. PI and grant administrators will need to monitor required reporting for each award.

3. **F&A waiver -** will no longer require Lynne Chronister's signature. The form will require signatures from both Scott G. Weldon, VP for Finance and Dr. Johnson, Provost Academic Affairs for non-Health Science units. Please make sure this form is completed & signed <u>prior</u> to submitting proposal for routing. The updated form will be posted to the SPA website soon and notice will be sent to the ROC.

   Late Submission waiver – The Submission Policy was implemented in March 2016. After implementation, late submissions fell drastically but since have risen to the level prior to March 2016. Recent electronic submissions have come very close to deadlines and have narrowly missed being locked out of sponsor electronic systems. Units are reminded the policy does give relief to a number of reasons a proposal may be routed in the final hours before a deadline but does not guarantee a proposal will be submitted if it does not fall under one of the approved reasons.

4. **NSF Proposal and Award Policies & Procedures Guide (PAPPG), January 2018** – 2018 NSF PAPPG (1800-01) becomes effective January 28, 2018. Information can be found at: https://www.nsf.gov/pubs/policydocs/pappg18_1/index.jsp

5. In October, the Subrecipient Commitment Form was been updated. Please make sure that you are using the most current version of this form found at: http://www.southalabama.edu/departments/eforms/spa/subrecipient_commit_form.pdf
The date on the bottom of the form should read "**October 2017**".

Office of Grants and Contracts Accounting

1. Fixed Price agreements carry specific requirements, including required F & A costs. Details can be found at:
http://southalabama.edu/departments/financialaffairs/grantsandcontracts/policies.html

2. Financial Closeout was reviewed. Details can be found at:
http://southalabama.edu/departments/financialaffairs/grantsandcontracts/policies.html

Next ROC Meeting: Wednesday, December 13, 2017

ROC Meeting Notes

Wednesday, December 13, 2017
9:00 – 10:00 AM
Multi-Purpose Room, Faculty Club

Kimberly Littlefield, Assistant Vice President, Research
- **Coming in March, 2018**: Discovered@SOUTH – Quarterly research, scholarly and creative activity eNewsletter
- **Coming in January, 2018**: ResearchAdmin@SOUTH research administration eNewsletter
- If you have information that you would like to share in either eNewsletter you will find submission templates posted on the ORED and Research Communications, Development and Learning (RCDL) in **January, 2018**.
- RCDL is now managing the Faculty Development Council internal award program. Institutional approval via Cayuse SP is required. Applications are due **January 22, 2018** and may be submitted via InfoReady Review.

Dusty Layton, Executive Director, Office of Research Compliance and Assurance
- PHS grant proposals and Financial Conflict of Interest Training
  - Conflict of Interest Certification form and COI disclosure required upon proposal submission to PHS agencies or Non-PHS organizations who comply with PHS Financial Conflict of Interest Regulations.
  - COI Certification form must include all key personnel working on the project.
  - COI training must be completed prior to engaging in specified research. To ensure University complies, new processes have been implemented.
  - Research Compliance office responsible for:
    1. uploading COI training certificates on to Cayuse
    2. notifying PI if anyone listed on Conflict of Interest certification form is not up-to-date or has not completed COI training
  - Grants and Contracts Accounting responsible for:
    1. Validate COI training affiliated with grant award. An award account/fund number will not be established until COI training is complete and noted by Research Compliance.
    2. Contact Research Compliance if the process cannot be validated prior to creating grant account/fund number.
  - All projects that are subrecipients where the prime agency is on the PHS organization list must also complete the Conflict of Interest forms.
  - Notify Research Compliance if there is a NCE for a PHS or non-PHS project that adheres to FCOI regulations. If so and key personnel have been added, the PI must submit an updated Conflict of Interest Certification form and upload on to Cayuse.

Tammy Silcox & Bubba Sheffield, Grants and Contracts Accounting
- Updates
  - G&CA Closeout form sent to Financial Administrator for college/department on project end date.
  - One issue is not completing question on bottom of form: Has an NCE been requested and sent to SPA? Please make sure to send response via ogca@southalabama.edu.

Steve Croft, Associate Director, Sponsored Projects Administration
- Transition from Grants.gov to Cayuse 424 will take place during FY 2018.
  - Cayuse system was recently updated. Most updates were within the system rather than outward facing users.
  - Grants.gov has implemented WorkSpaces. There will be no impact to users submitting via Cayuse 424.
  - Also, NSF is transitioning from Fastlane to Research.gov in April, 2018. Same functionality, different system.

Deborah Musgrove, Assistant Director, Sponsored Projects Administration
- Cayuse 424 Training Dates
  - SPA has scheduled two (2) Cayuse 424 training days:
    1. Wednesday, January 24, 2018, 10 a.m. – 11 a.m.
    2. Wednesday, January 31, 2018, 3 p.m. – 4 p.m.

Next Scheduled ROC Meeting:

Tuesday, February 20, 2018

ROC Meeting Notes

Tuesday, February 20, 2018
9:00 – 10:00 AM
Multi-Purpose Room, Faculty Club

Tammy Silcox, Asst. Director, Research & Accounting Systems, Grants & Contracts Accounting
- Service Centers – please refer to Power Point posted on ROC's web page under "Handouts"

Kimberly Littlefield, Asst. Vice President, Research, Communications, Development & Learning
- The application deadline for the Research & Scholarly Development Grant Programs is March 1st. Applicants are not required to submit a late proposal approval request form when routing through Cayuse for institutional approvals on the due date.
- FRAP participants will receive their certificates soon. The cohort will be recognized at the next ROC Meeting on April 4th. Applications for the 2018 Program will be accepted through the Research Education and Learning portal beginning April 1, 2018.

Gina Hedberg, Executive Director, Sponsored Projects Administration
- The F&A Waiver Request Form has been revised to assure more oversight in the approval process. Three forms will be used: 1) College of Medicine, 2) Mitchell Cancer Institute, and 3) General (all units reporting to Academic Affairs). Revised forms will be uploaded to the SPA webpage.
- The College of Medicine's form will require the Principal Investigator's signature and Department Chair's signature. Dr. Marymont will have the final approval.
- The Mitchell Cancer Institute form will require both the Principal Investigator's and Dr. Finan's signatures. Lynne Chronister will have final approval.
- All other colleges will use the General form and are responsible for obtaining all internal signatures: Principal Investigator, Department Chair, and College Dean. Once completed, forward form to Sponsored Projects Administration (SPA) office, attn: Karmen Holmes. Additional reviews by Julie Schwindt, VP for Finance & Administration, Scott Weldon, VP for Finance & Administration, & Dr. David Johnson, Provost & Sr. VP for Academic Affairs will be managed by SPA and the outcome provided to the grant administrator and PI. Once a decision has been made by all three reviewers, SPA will upload to the Cayuse file.
- If there is a collaborative project between two colleges and the budgets are segregated, each college must complete the F&A Waiver form for their budget.
- The F&A waiver process must be completed and the form uploaded prior to initiating Cayuse proposal routing.
- All decisions – approved and disapproved – should be uploaded to the Cayuse proposal file.
- If applicable, please provide documentation if agency does not allow or mandates a reduction in F&A. A waiver form is not required but published documentation is necessary.

Dusty Layton, Executive Director, Research Compliance and Assurance
- The NIH sIRB (Single IRB) policy for multi-site studies became effective January 25,2018. The policy requires the use of on, single IRB of record to review and oversee studies conducted at more than one entity. The policy applies to sites of NIH funded multi-sites where each site will conduct the same protocol, however there are exclusions. The policy does not apply to career development, research, training or fellowship awards. Also, collaborative project in which multiple sites are involved but different sites may complete different parts of the study are excluded from compliance. These grant proposals must include a plan describing the use of a sIRB to serve as the IRB of record for all study sites. The human subjects website includes a template to assist in preparing the plan. Additionally, the website provides the Institutional policy and procedures for compliance with the NIH sIRB policy. If USA is the Prime, we are responsible for arranging the sIRB, but will not serve as the reviewing IRB. A University IRB or commercial IRB will be designated to serve in this capacity for USA and its participating sites.
- The investigator will need to work with the Office of Research Compliance and the IRB to facilitate compliance with these requirements.

Upcoming Scheduled ROC Meetings:

Wednesday, April 4th

Wednesday, May 16th

Tuesday, June 26th

Wednesday, August 8th

Please remind your faculty that there are still spaces open to register for the Cayuse 424 training session this **Friday, February 23rd, from 3-4 p.m. in the CSC Seminar Room.

ROC Meeting Notes

Wednesday, April 4, 2018
9:00 – 10:00 AM

Kimberly Littlefield, Asst. Vice President, Research, Communications, Development & Learning
- 2017 FRAP Certification Distribution – Jonathan Bowden, Michelle Clancy, Jennifer Collins, Ward Duke, John Hedberg, Emily Reeves, Kelli Roberson, Brandon Strickland, Heather Wainwright, and Angela Williams.

- **2018 program –** June – December, 2018; eligibility guidelines posted on InfoReady website; at least 3 years research admin experience; 6 months, twice a month; if access to laptop would be great; need letter of support from immediate supervisor.

Angela Williams, Assistant Director, Office of Research Compliance and Assurance
- CITI Online Training Update: Export Controls Compliance – The Office of Research Compliance and Assurance will be adding a new training module on Export Controls Compliance available through the CITI online program. A user account must first be created to access the Collaborative Institutional Training Initiative (CITI) program. All users must affiliate their account with the University of South Alabama. This web-based training offers eleven topic specific modules; however, designated modules will be selected for completion based on the user roles/responsibilities. Selected modules will be required for all user groups, while topic specific modules will also be required dependent on user roles/responsibilities. When users select the Export Controls Compliance module, the training module will be automatically tailored and set modules defined for completion of training dependent on user roles/responsibilities. Upon implementation, additional details will be provided.

Gina Hedberg, Executive Director, Sponsored Projects Administration
- Kim Littlefield and Angela Jordan are your resources for all Limited Submission and Internal Grant competitions. Even though they are in Cayuse for record keeping purposes, SPA does not handle these proposals or processes. Also, please remind faculty to read the guidelines to be aware of the rules and guidance for each competition.
- NSF user ID – On March 26, 2018, the National Science Foundation (NSF) introduced a new centralized and streamlined account registration process in Research.gov for the research community that provides each new user with a single profile and unique identifier (i.e., NSF ID) for signing in to FastLane and Research.gov for proposal and award activities. All current users are asked to "Update your Profile" and will receive a system-generated email invite from Gina to update your NSF profile. The update should just take a few minutes.
- Late Submission Waiver Form – Lately, there have been a few instances of deadline submission dates being changed in order to avoid filling out the Late Submission form. Please don't do this; there is a reason for these late waivers and the process.
- Updates to revised F&A Waiver Request Form – 1) The form must be completed in all areas, incomplete forms will be returned; 2) a fully detailed budget must be included in the project file in Cayuse so a full review and decisions can be made; 3) SPA is not a decision maker in the waiver process. If appeals are denied and PIs want to know why – there will be an automatic response stating why indirect cost/F&A is important. If general university PIs want further information, they will be directed to Scott Weldon and Dr. David Johnson; 4) please ask your PIs, if they are handling this process themselves, to follow process. Several forms recently have gone out of process and have been sent directly to Lynne Chronister. Circumventing only delays the process and takes that much longer to review. Process is detailed on the website; 5) <u>ALL</u> general university should to go to Karmen. Upload in Cayuse as well as emailing her to make sure she has a copy; 6) The InfoReady platform for F & A Waiver Requests will

be ready soon so that we do not have to rely on the email system. This system will be much quicker and you'll be able to follow it through the process. Once the InfoReady platform is deployed, we will have a training session to help navigate the system.

Tammy Silcox, Assistant Director, Research Accounting and Systems

- **ARGOS** – based out of Banner, written through ARGOS which is a reporting tool ; created reports that merge FRIGITD & FRAGRNT in to one page; OG&CA creates some reports with ARGOS to make it easier for the grant accountant to navigate information on a grant; will also be able to obtain detailed payroll information; you will also be able to go directly to the Match accounts that is tied in to the FUND number and with one click you will be able to go straight to the Match account - for G&CA; Research Administrators will have the same access but will be tied into your Banner or security; also going to make it available to faculty members – access will be granted based on their J number; if they are a faculty member or a PI there will be a list of projects where they are the PI – do not need to FUND number, it will be on the list so they can go in and review charges; hopefully, this will enable the PI to go and look to make sure staff is being added in a timely fashion which will reduce the number of cost transfers; collaborative projects – are setting up separate funds which gives you access to your ORG to the fund you need to be concerned with, and also gives you the F&A; set up a separate fund for collaborative projects and map it to the overarching grant – important for reporting and travel. Tammy does demonstration of ARGOS; hopefully will have link on OG&CA website once system has been tweaked and all security is in place; also, once it's online, please give us feedback on anything you may think that needs to be added. Working on revising effort reporting system. Ideally, would like to give Dean's a different option/view so that they can see all that is in their ORG.

- Banner upgrading to 9 soon.

- Re-budgets & things that have to go back to the sponsor – please don't go to the sponsor, let OG&CA go back to the sponsor; route re-budgets through OG&CA and we will be happy to take care of it for you; there's a process in place and would like it if you would stick to it if possible.

ROC Meeting Notes
Tuesday, May 22, 2018

Bubba Sheffield, Research Accounting and Systems
- **Closeout Update** – A brief update on the 90 day closeout was given as a reminder of the steps to be taken the award closeout process. Closeout reconciliation notices are sent out the last day of each award and is populated with information shown on Banner as of that day. Users should list any valid expenditure's that are not included in the balance shown. Some issues that have come up regarding closeout procedures are the importance of returning every Closeout Reconciliation to OGCA, which must be returned to the department 15 days before the final report is due. Also, the timely submission of Personnel Action forms removing payroll by the award end date.

Angela Jordan, Research Communications, Development & Learning
- **Research Administration eNewsletter** – rolled out first issue this month. If you think there is any information you would like to share for the next issue that you think would benefit other research administrators and other administrators, the deadline is coming up on May 31st. Below is the link where you can share your Research Administration news:

  http://www.southalabama.edu/departments/research/rdl/resadmin/sharenews.html

Kim Littlefield, Research Communications, Development & Learning
- **2018 Fundamentals of Research Administration Program** – we only had two sign up for the program so, we will not be holding sessions this round. Also, No Cost Extensions for internal awards will now be more closely monitored. The PI must have their NCE request to the RCD office no later than 15 days prior to the project end date. We will also look into adding the 24 hour deadline to our guidelines for internal submissions.

Gina Hedberg, Sponsored Projects Administration
- **Submission Deadline Update** – Effective June 1, 2018, proposals to external sponsors must reach SPA 24-hours prior to the submission deadline. Those failing to meet this timeline will not be submitted. There are no changes to the existing submission policy. The present policy notes any proposal received less than 24-hours prior to a deadline to the SPA office will not be submitted. SPA has been very soft on this policy; typically only a few hours remain from SPA receipt to deadline. In addition to this being a bad practice, it is a risky practice with traffic for online submissions elevating closer to the deadline.

  Exception is allowed for special circumstances. These are listed fully in the policy found at:
  http://www.southalabama.edu/departments/research/spa/project-management/policies-procedures.html

  Both the Submission Policy and the change (effective June 1) were discussed at the recent College Research Council meeting. All attending deans and the Vice President for Research and Economic Development are in full support of the deadline.

- **F&A Waiver Form & InfoReady** – Effective June 1, 2018, F&A waiver requests must be submitted through the InfoReady platform **prior** to routing proposals. InfoReady has been successfully used for internal and limited competitions and will not be used as an approval

system for SPA actions requiring administrative approval. The F&A Waiver Policy has not changed. The routing and approval sequence for F&A waivers remain the same, now using InfoReady.

To use the system, you must have a login and password, which you can do on your own. When you get to the site, it will show you what you need to do to set you up in the system. It is very user-friendly and the website link will be provided to you. All required information will have an asterisk "*". Please make sure it is completed. Once submitted and, depending the unit submitting, the system will direct the form on the correct routing path. (**Guidelines found under "Handouts"**.)

- **Cayuse 424** - Effective July 1, 2018, SPA will require Cayuse 424 be used for competitions requiring submission to Grants.gov, Research.gov, and FastLane. Cayuse 424 is a system-to-system submission for grants posted by NIH, NSF, AHRQ, CDC, NIFA, ONR, CDMRP, DoD, and other federal agencies, with full support for over 99% of Grants.gov and Research.gov opportunities. One exception is NSF collaborative proposals. Those must continue to be submitted through FastLane until further notice.

Cayuse 424 training dates for June:

6/6 – 3p.m. to 4p.m.

6/13 – 10 a.m. – 11 a.m.

6/20 – 3 p.m. – 4 p.m.

06/27 – 10 a.m. – 11 a.m.

Sessions will be held in the Computer Service Center's Seminar Room. Register at: http://www.southalabama.edu/departments/research/spa/eraonline.html

If a group of faculty and grant administrators would like to hold a training session in their college/department and has a dedicated area with computers for training purposes, SPA can provide on-site training.

ROC Meeting Notes
Wednesday, September 24, 2018

Gina Hedberg, Sponsored Project Administration
- **Introduction:** There are a few new ROC members – Ashley Lawson is the new Grants Administration Specialist in Family Medicine; Sandra Mareska is the new Financial Operations Specialist for the College of Nursing; John Hedberg has transferred from the College of Education to the College of Engineering; and Debra Armistead has temporarily taken over the duties for Heather Wainwright at MCI, who is now the new Research Administration Specialist for the Sponsored Project Administration office.

Dusty Layton, Research Compliance and Assurance
- **IRB Updates: New IRB Committee -** The USA IRB is creating a second IRB for the review and approval of social science, behavioral, and educational research. This committee will facilitate and streamline operational procedures for expedited reviews such that the process is timely. Additional information will be communicated with a formal announcement. Research Compliance is waiting on final approval for the DHHS Office of Human Research Protections.

- **Training Modules: Human Subjects Protection Training Update:** The USA IRB requires human subjects protection training for all persons involved in the conduct of human subjects research. The USA IRB has utilized the NIH Office of Extramural Research training course to fulfill this requirement; however, the government released a notice on August 28th announcing they will no longer offer the online training module. The IRB is transitioning to the Collaborative Institutional Training Initiative (CITI) platform for completion of the required human subjects training. Two basic courses will be offered, as applicable to scientific disciplines (biomedical vs. non-biomedical). The Office of Research Compliance website, **Human Subjects - Training tab**, has been updated to reflect these changes.

- **NSF Notice 144: Sexual Harassment Policy** - On February 8, 2018, the National Science Foundation released Important Notice No. 144. The notice articulates the Foundation's policy that it will not tolerate sexual harassment, or any kind of harassment within the agency, at grantee organizations, field sites, or anywhere NSF research is conducted. The Federal Register published final rule on September 21st and become effective October 21st. These terms and conditions require awardees to notify NSF of any findings/determinations regarding an NSF-funded PI or Co-PI relating to sexual or other form of harassment, as well as if they are placed on administrative leave relating to the incident. The new term applies to new awards and funding amendments on existing awards made after the effective date. The Office of Research Compliance and Assurance has been working with appropriate administrative offices to ensure institutional policies and procedures sufficiently address the NSF rule.

- **Export Controls: Online Training Modules** - It is the policy of USA to fully comply with U.S. export control laws. Therefore, to best facilitate basic understanding and knowledge regarding the subject matter, USA offers an online Export Control training module through CITI (Collaborative Institutional Training Initiative). Completion of training is required for specified users including research faculty in the professions of science and engineering; research administration; human resources; purchasing; and international programs. Additionally, a module designed for students is also available and may be added to any course syllabus as

required training. Training modules have been tailored to best fit each designated target audience. An email was disseminated regarding the training requirement, in addition to posting information in several research newsletters. The ROC was asked to help reminder faculty in their departments to complete the required training. Additionally, ROC members fall within research administration, and should also complete training.

Brandon Strickland and Deborah Musgrove, Sponsored Projects Administration

- **Use of Supplement in Cayuse** – If you receive a supplement for an active award, that supplement will be added as a secondary award to the primary award number. If you are asking the agency for additional funding, this will have to be put in Cayuse as a supplement, in which case it will be linked to the primary award.

- SPA has developed a workshop for the colleges where the primary focus is on budgeting and all the aspects of creating a budget such as determining how to calculate effort for the project and understanding F&A. If you would like to hold a session in your college, please contact our office. The sessions are usually one hour, questions are welcome.

- **Navigating the Awards side of Cayuse** – Every proposal is given a project number and an award number, and the reason being is that there are multiple years on an award. The Project gives the total for the award, for however many years it may be, and the Awards allows us to enter the total each year the project is funded, giving it a separate award number; for example A18-0004-001 is the award number for year 1 funding, and A18-0004-002 would be for year 2. All paperwork for Year 2 will go under the -002.

Upcoming Scheduled ROC Meetings:
October 31, 2018
December 12, 2018