September 18, 2019 Research Administration Forum

Agenda

- Research Gateway changes
  - Susan Mundt, SPCS Preaward Services
- General Proposal Preparation Checklist
  - Checklist sub-group: Erica Ortiz, College of Social & Behavioral Sciences
- NSF Proposal Checklist
  - Checklist sub-group: Wendy Turner, College of Engineering
- NSF PAPPG NSF 20-1 and SPCS Proposal Reviews
  - Kirsten Sherman Haynes, SPCS Proposal Services
- Stipends vs. payroll
  - Marcel Villalobos, SPCS Postaward Services
- Federal Purchases >10K, and cost transfer issues when initially purchased on non-sponsored funds
  - Tara Gonzales, SPCS Financial Compliance Services
- *Best Practices Discussion*
  - Full RFPs in UAR Proposals – Zach Sbragia, SPCS Proposal Services
  - Timing for RPPRs, JITs, etc. – Rachel Rice, SPCS Proposal Services
- Future forum topics?

- "Office Hours" - discussion after the meeting

rgw.arizona.edu changes

rgw.arizona.edu changes

Helping you be compliant

- Animal Care and Use
- Conflict of Interest
- Export Control
- HIPAA
- Human Subjects
- Research Lab & Safety

Feedback

rgw.arizona.edu changes

Frequently used resources

- Core Facilities
- F&A Rate Agreement
- Forms and Templates
- Report Misconduct: Ethics Hotline
- Research Office (RDI)

Feedback

rgw.arizona.edu changes

Training for you and your team

Required training

Seminars and workshops

Finding funding opportunities

Internal Funding

External Funding

Feedback

rgw.arizona.edu changes

Preparing a competitive proposal

Proposal Development

Institutional Information

Budget Help

Negotiation and acceptance

Feedback

rgw.arizona.edu changes

rgw.arizona.edu changes

Events

NEH Application Writing Workshop

Thursday, September 26, 2019
Environment & Natural Resources Building 2 Agnese Nelms Haury Lecture Hall, S107

Check-in starts at 8am, the workshop will start at 9am and run through 1:30pm. Lunch will be provided.

The workshop will be conducted by Russell Wyland, PhD. Deputy Director, Division of Research Programs and includes presentations on NEH programs, specific writing strategies for competitive applications, and Q&A sessions. There is no charge for the workshop and the workshop is open to all faculty, staff, and interested participants from across the region, regardless of institution.

read more >

View full calendar of events >

Feedback

Research, Discovery & Innovation

1401 E. University Blvd | Administration Building, Room 601 | PO Box 210066 | Tucson, AZ 85721 | fax: **520-621-7507**

University Information Security and Privacy

Checklist Working Group –
General Proposal Preparation Checklist

General Proposal Preparation Checklist

Goal: To provide a starting point for anyone preparing a proposal.

Purpose: To gather the general, basic, non sponsor specific information to begin the proposal development process.

Design: The document is currently created in Excel and was designed to "not create more work" for the user. There are drop down selections for the Yes, No, N/A categories. There are also comment boxes with brief descriptions / definitions.

General Proposal Preparation Checklist

UAR Initator:		UAR Routed date:	UAR Doc:
PI Name, Email, & Contact #:			
Project Title:			
Sponsor Name, Email, & Contact #:			
Sponsor Due Date:			
Solicitation/RFP/RFA/Guidelines:			
Sponsor Type:			
Project Activity:			
Project Type:	IP Number (if a resubmission):		
F&A Rate:			
Project Location:			
Project Start and End Date:			

Item	Action needed? Yes-No-N/A	Date for competion.	Who will provide.	Action complete? Y/N
Is PI set up in Sponsor system (ie: Commons, FastLane/Research.gov, Grants.gov)?				

Key Personnel:	Unit / Department	Lead Unit	F&A Split	Credit for Award Split
PI				
co-I/other				
co-I/other				
co-I/other				
co-I/other				
co-I/other				

Item: Documents	Type	Action needed? Yes-No-N/A	Date for competion.	Who will provide.	Action complete? Y/N
If so, what is the stipulated F&A rate requested?					
*** Is an F&A waiver needed?					
Is there cost-share and if so, is it approved?					
Budget					
Budget Justification					
Summary/Abstract					

Subcontracts / Subawards

SUB 1 Name & Contact	FDP Clearinghouse participant? Y/N	Action needed? Yes-No-N/A	Date for competion.	Who will provide.	Action complete? Y/N
Subcontract 1 commitment form					
Subcontract 1 budget					
Subcontract 1 budget justification					
Subcontract 1 scope of work					

SUB 2 Name & Contact	FDP Clearinghouse participant? Y/N	Action needed? Yes-No-N/A	Date for competion.	Who will provide.	Action complete? Y/N
Subcontract 2 commitment form					
Subcontract 2 budget					
Subcontract 2 budget justification					
Subcontract 2 scope of work					

SUB 3 Name & Contact	FDP Clearinghouse participant? Y/N	Action needed? Yes-No-N/A	Date for competion.	Who will provide.	Action complete? Y/N
Subcontract 3 commitment form					
Subcontract 3 budget					
Subcontract 3 budget justification					
Subcontract 3 scope of work					

Item: Additional documents if applicable	Action needed? Yes-No-N/A	Date for competion.	Who will provide.	Action complete? Y/N
Human subjects/IRB approval				
Animals/IACUC approval				
F&A Stipulation: If the negotiated rate is not applied, an F & A Stipulation is required (if stipulated within the sponsor guidelines, sponsor bylaws, or application kit; make PDF and add to the UAR attachments) if there is not a formal stipulation, a waiver request may be requested. An email from a sponsor stipulating a reduced rate does not qualify as an official stipulation.				
F&A Waiver: Signed by PI, Dept Head/Director, and College and on dept letter head				
Agreement(s): If there are terms and conditions or a contract for review, send document(s) to the contracting office (contracting@email.arizona.edu) and include UAR doc number in email (perferred to send before or at time of UAR routing)				

General Proposal Preparation Checklist

All feedback, questions, and comments are welcome!
Please email them by Wednesday, October 9 to:
Erica Ortiz
ericaortiz@email.arizona.edu

National Science Foundation (NSF) Proposal Checklist Working Group Update

September 18, 2019

NSF Proposal Checklist

What we wanted in a checklist:

- Simple and user friendly
- Contained core NSF proposal requirements and instructions
- Can be expanded for solicitation-specific requirements
- Included checklist of what is required for lead vs. non-lead in collaborative proposals
- Can be used by staff, faculty, and external collaborators
- Up-to-date and consistent with the NSF Policy Office

WWJFD?

NSF Proposal Checklist

- Word document

- Two pages + 1 additional for user to add any solicitation-specific requirements

- FastLane-specific (for now)

- Tailored for "Research – Not EAGER or RAPID" proposal types

- Lead vs non-lead required proposal components

NSF Proposal Checklist

DOCUMENT AND FORM REQUIREMENTS per NSF PAPPG; please review solicitation for program-specific instructions and/or deviations.

	Document	Page Limit	Additional Notes
☐	Project Summary	1 page	• 3 sections: Overview; Intellectual Merit; and Broader Impacts
☐	Project Description	15 pages	• Include separate sections labeled "**Broader Impacts**" and "**Intellectual Merit**" • Include "Results from Prior NSF Support" section for all senior persons; state if N/A or none to report • Do NOT include URLs, as this is viewed as circumventing the page limitations
☐	References Cited	None	• Verify page limits in solicitation
☐	Biographical Sketch	2 pages (per senior person)	• Required for each named senior person • Note that synergistic activities are limited to five distinct activities and not multiple sub-activities listed for each of the five activities
☐	Current and Pending Support	None (per senior person)	• Required for each named senior person • Should require all support regardless of salary support (including internally funded)
☐	Budget and Budget Justification	5 pages (for budget justification only)	
☐	Facilities, Equipment and Other Resources	None	• Should describe only those resources that are directly applicable • Should be narrative in nature and must not include any quantifiable financial information
☐	Data Management Plan	2 pages	
☐	Postdoctoral Mentoring Plan (if applicable)	1 page	• Each NSF proposal that requests funding to support postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for such individuals.
☐	Single-Copy Document: Collaborators and Other Affiliations (COA)	None	• Must be saved in .xlsx or .xls formats using the required NSF Excel spreadsheet template found here: www.nsf.gov/bfa/dias/policy/coa.jsp • Required for each named senior person
☐	Supplementary Doc: Letter(s) of Collaboration	1 page, typically	• Must follow the NSF-approved letter format • Letters of Support or Recommendation are *not permitted*

- List of required proposal documents

- Includes page limits/additional notes and guidance

- Additional page with blank boxes allows for users to tailor the checklist for solicitation-specific instructions

- Does not include guidelines for items such as human subjects, vertebrate animals, environmental requirements, etc.

Comments/Feedback

NSF Proposal Checklist Working Group
Alicia Cool
Adriana Kelly
Kirsten Sherman-Haynes
Wendy Turner

Group Leader:
Wendy Turner

Please email feedback by Wednesday October 9 to
wendyturner@email.arizona.edu

National Science Foundation PAPPG 20-1 Draft

Kirsten Sherman-Haynes, SPCS Proposal Services
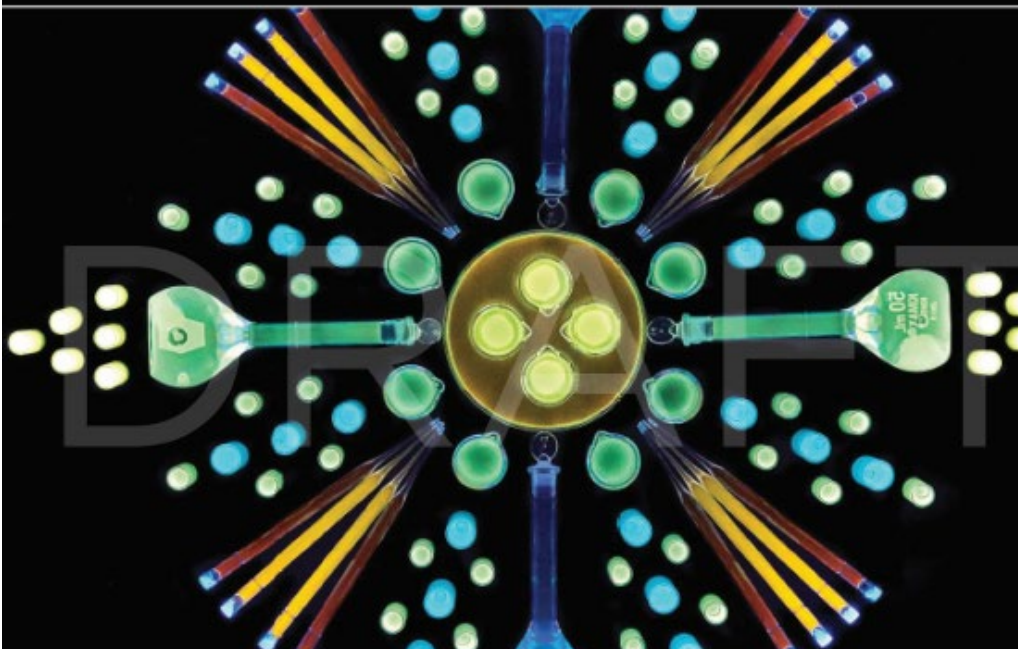
NSF PAPPG 20-1

National Science Foundation

➢ **NEW!!!** For-Comment **Draft** Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 20-1), dated May 2019

   • See Federal Register Notice dated May 29, 2019

• Comments due July 29, 2019

• Still a draft; final version not yet announced

Project Description Possible Updates

d. **Project Description (including Results from Prior NSF Support)**

(i) **Content**

The Project Description should provide a clear statement of the work to be undertaken and must include the objectives for the period of the proposed work and expected significance; the relationship of this work to the present state of knowledge in the field, as well as to work in progress by the PI under other support.

Commented [NSF6]: To ensure consistent treatment of proposals received, NSF has removed the requirement for the Project Description to contain, as a separate section within the narrative, a section labeled "Intellectual Merit".

Budgetary Items –

Participant Support – Further clarification being provided for the Costs associated with a workshop/conference

To help defray the costs of participating in a conference or training activity, funds may be proposed for payment of stipends, per diem or subsistence allowances, based on the type and duration of the activity. Such allowances must be reasonable, in conformance with the policy of the proposing organization and limited to the days of attendance at the conference plus the actual travel time required to reach the conference location. Where meals or lodgings are furnished without charge or at a nominal cost (e.g., as part of the registration fee), the per diem or subsistence allowance should be correspondingly reduced. Although local participants may participate in conference meals and coffee breaks, funds may not be proposed to pay per diem or similar expenses for local participants in the conference. Costs related to an NSF-sponsored conference (e.g., venue rental fees, catering costs, supplies, etc.) that will be secured through a service agreement/contract should be budgeted on line G.6., "Other Direct Costs" to ensure appropriate allocation of indirect costs.

Commented [NSF11]: Language has been revised to improve clarity.

Publication/Dissemination Costs

(b)   **Publication/Documentation/Dissemination (Line G2 on the Proposal Budget)**

The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the grant. This generally includes the following types of activities: reports, reprints, page charges or other journal costs (except costs for prior or early publication); necessary illustrations; cleanup, documentation, storage and indexing of data and databases; development, documentation and debugging of software; and storage, preservation, documentation, indexing, etc., of physical specimens, collections or fabricated items. Line G.2, of the proposal budget also may be used to request funding for data deposit and data curation costs.[19]

Commented [NSF12]: This section has been supplemented with additional types of costs that may appear under "Publication/Documentation/Dissemination" on Line G.2, of NSF budget. Definitions for each of these categories are provided in the footnote.

(c)   **Consultant Services (also referred to as Professional Service Costs) (Line G3 on the Proposal Budget)**

[19] A data deposit cost is a one-time charge paid at the time a data set is deposited into a data repository. Data curation costs are expenses associated with preparing data into a form that others can use.

Budgetary Items – Cont'd

Other Direct Costs – Line G.6.

g.   Meals and Coffee Breaks. Meals that are an integral and necessary part of a conference (e.g., working meals where business is transacted). Funds may be included for furnishing a reasonable amount of hot beverages or soft drinks to conference participants and attendees during periodic coffee breaks. Proposed costs for meals must be reasonable and otherwise allowable to the extent such costs do not exceed charges normally allowed by the grantee organization in its regular operations as the result of the grantee organizations written policies. In the absence of an acceptable, written grantee organizational policy regarding meal costs, 2 CFR §200.474(b)(3) will apply. Costs that will be secured through a service agreement/contract should be budgeted under Line G.6., Other Direct Costs, to ensure the proper allocation of indirect costs.

Commented [NSF21]: Language supplemented with text added in Chapter II.C.2.g.(v) to increase clarity.

Stipends and Payroll on Sponsored Agreements

Marcel Villalobos

SPCS Postaward Services

Common issues

- Stipends and payroll are two very different and distinct mechanisms
- Unfortunately, some sponsors, particularly nonfederal sponsors, use the terms interchangeably despite the fact they mean different things from a HR and Department of Labor perspective
- Using the wrong mechanism can violate sponsor, HR, and DOL policies

Stipends

- Stipends are payments for subsistence or tuition support
- Bursar payments for students, check request for post docs
- **Individuals who receive stipends are not engaged in an employee-employer relationship with the University, and the stipend is issued to the benefit of the individual, not the University or the Principal Investigator**

Payroll

- Employer-employee relationship
- **If an individual's activity is a benefit or work for a project, they should be hired and paid as an employee rather than issued a stipend**
- Not hiring them as an employee for services provided subjects the institution to human resource and DOL compliance issues
  - Wage Laws
  - Employee Benefits
  - Retirement
  - Social Security
  - Etc.

Sponsored Projects Allowability

- Research Grants
  - Payroll
  - Benefit to the grant and the institution
  - Services provided for the benefit of the project and institution

- Training/Fellowships
  - Stipends
  - Primary benefit to the individual
  - No employee-employer service expectations

UA employees who become trainees

- Individuals who are employees and plan to participate in these types of training programs, will generally need to **relinquish their employment** to be eligible for stipend support.

- Salaries and wages cannot be substituted for stipend support on these awards, since the two compensation mechanisms are for completely different types of activity.

- NIH fellowships – common issue. GA employee converts to individual receiving stipend.

More info

- Research Gateway – New Stipends section describing this content: https://rgw.arizona.edu/administration/build-budget/budget-categories/other-costs#Stipends
- NIH GPS – stipends, benefits, etc. https://grants.nih.gov/grants/policy/nihgps/html5/section_11/11.2.9_allowable_and_unallowable_costs.htm

Federal Purchases > $10K
&
Cost Transfers

Tara Gonzales

SPCS Financial Compliance Services

THE UNIVERSITY OF ARIZONA
Financial Services Office

To: University of Arizona Departments

From: Ted Nasser, Chief Procurement Officer

Subject: Purchasing Policy Manual, Section VII – Federal Procurement

Under the Code of Federal Regulations (CFR) 200.317-200.326 (or "Uniform Guidance"), effective July 1, 2018, the UA has new requirements for purchases made with federal money.

To address the requirements, Procurement & Contracting Services has updated the Purchasing Policy Manual to include Section VII - Federal Procurement. In addition, Purchasing Policy 4.6 - Preparation of Specifications and Response Evaluation Criteria has been revised to align with the federal guidelines and provide more detail for all other UA purchases requiring specification development.

Please direct questions and comments to Ted Nasser, Chief Procurement Officer.

Purchasing Policies Manual
VII. FEDERAL PROCUREMENT

Policy Title:

Procurement Requirements When Spending Federal Money
Policy Number: **7.1**
Effective: **July 1, 2018**

- Acquisitions over the $10,000 micro-purchase threshold that are purchased on non-sponsored accounts may <u>not</u> be transferred to federal sponsored projects at a later date due to the additional Federal purchasing requirements required at the time of purchase.

- The transfer would only be allowable if the Federal purchasing requirements were followed at the time of acquisition.

Solutions for cost transfers of purchases >$10K

For expenditure that may be allocable to a federal or sub-federal account later, at time of purchase:

Option 1

- Establish account with backstop to ensure purchase follows Federal guidelines

Option 2

- Notate Requisition to indicate Federal funds
- Notify PACS at time of Requisition
- Transfer expense as soon as possible, and provide SPCS documentation that Federal guidelines were followed

RFPs and UAR Proposals

"Why might this be a useful practice?"

Zach Sbragia, SPCS Proposal Services

Advantages:

- Saves Time
- Provides Context for F&A Stipulations
- Locate Terms and Conditions Sooner
- Ensures Accuracy
- Maintains Record for Reference

Internal Deadlines
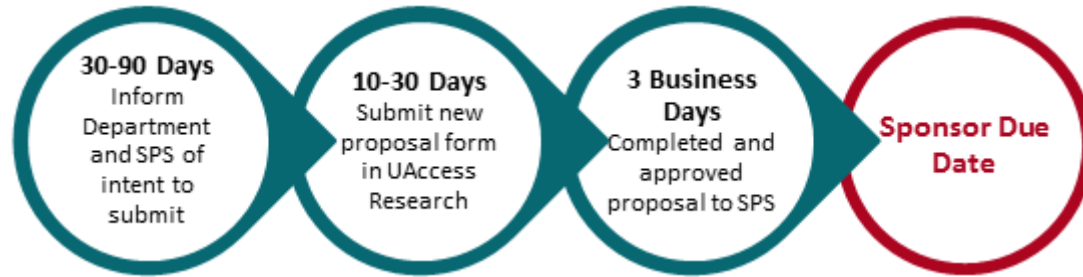
If I could turn back time, if I could find a way
- Cher

Rachel Rice – SPCS Proposal Services

RGW Timeline

30-90 Days Inform Department and SPS of intent to submit

10-30 Days Submit new proposal form in UAccess Research

3 Business Days Completed and approved proposal to SPS

Sponsor Due Date

3 Business Days Prior to Sponsor's Due Date

Proposal must be submitted to Sponsored Projects & Contracting Services in final approved form

Final form means that the proposal is **completely finished**, including final approval in UAccess Research, and ready for submission to the sponsoring agency. See **Internal Deadlines for Proposal Routing**.

Final approved proposal ➕ 3 Business Days prior to sponsor deadline ＝ Happiness & Joy

Submissions and the Three Day Deadline:
A tale of misconceptions of what SPCS submits

- Federal
- Non-Federal
- JITs
- RPPRs
- Revised Budgets
- Subrecipient Forms
- Bypass Requests
- Vendor Information Forms
- Signed Documents:
  - Documents for a proposal being submitted cannot be signed until the proposal has been reviewed and fully approved.
  - Terms and conditions will be reviewed and signed by SPCS Contracting Services
  - Proposal Services can sign proposal related documents such as reps & certs, but can only sign information they can attest to
- Pre-proposals
- Letter of Intent / White papers

The 3-Day Deadline

Proposal Review Priority Policy: 3-Day Deadline

- 3 Days: Guaranteed review and submission for proposals that:
  - Are submitted 3 full business days prior to the sponsor deadline
  - Are complete - all submission materials provided
  - No major errors – see web page for list of major errors
  - No F&A waiver request (allow 5 days)
  - No negotiated terms and conditions

- Earlier submission allows for time to address questions earlier

Future Forum Topics?

- Send suggestions for Future forum topics to sponsor@email.arizona.edu
  - Burning questions
  - Hot topics

- We love volunteer presenters!
  - Share your amazing research administration tools (reports, agents, etc.)
    - Tips and tricks
    - Preparations for coming changes