RA Open Forum

July 15th, 2015
Agenda

8:30-8:40  Opening Remarks (Alan Rudolph)
8:40-8:50  OVPR and OSP Updates (Christa Johnson)
8:50-8:55  Huron Assessment (Christa Johnson)
8:55-9:00  Uniform Guidance (Christa Johnson)
9:00-9:10  Other Federal Agency Updates (Dave Doty)
9:10-9:20  KC Implementation Update (Doug Leavell)
9:20-9:30  Digital Measure Update (Doug Leavell)
9:30-9:45  Compliance Update (Kathy Partin)
9:45-10:00 Questions—Suggestions for Future Topics (Christa Johnson)
OVPR and OSP Updates

Huron’s Research Administration Assessment, June 2014

**Strengths:** Skills in OSP, some local college research administration structures working very well, growth in research volume consistent, foundation being built for managing a strategic vision for research administration at CSU

**Challenges:** Variability in local college faculty support and infrastructure, lack of clearly defined policies and procedures, confusion about roles and responsibilities, relationship between OSP and local research administration
Huron’s Recommendations/Themes

- **Organization/People:** Enhance consistency, standardize functions, create career paths, improve training, clarify roles and responsibilities, establish robust performance metrics
- **Proposal Development:** Create greater flexibility in pre-review process
- **Contract Negotiation:** Clarify CSU risk assessment for common contractual issues
- **Subcontract Negotiation:** Segregate duties, e.g. complex/routine (FDP).
- **Effort Reporting:** Technology improvements, proxy certifiers, consider frequency of certification
- **Post-Award:** Improve AR process, invoicing, monitoring/reviewing cost transfers
- **Subrecipient Monitoring:** Risk assessment prior to executing sub, comp. policy
- **Cost sharing:** Electronic signature, standardize requirements and procedures, increase training
- **Technology and Transparency**
CSU Evaluation and Response

1. **Explore Re-organization**
   - Satellite offices: partner with colleges to develop robust teams
   - Collaborate to develop clear roles and responsibilities at all levels: individuals, colleges, departments, OSP
   - Consolidate OSP post-award accounting techs and implement quality control measures
   - Analyze (re-define as appropriate) other OSP duties, e.g. complex negotiation from routine (FDP)

2. **Formalize process (committee) to address Uniform Guidance compliance**

3. **Implement training programs: improve skills and knowledge base in OSP and local research administration: RA Forum**

4. **Implement KC Research Suite: Proposal Development, KC Effort Certification, KC Subawards and Negotiation**
Pre-Award and Award/Project Management

Financial Management (Draw downs, financial reports, account reconciliation, monitoring)

CSU Research Administration: Proposed New Direction

OSP Director

OSP Assoc. Director

 Colleges

Satellite 1

Satellite 2

Satellite 3

Satellite 4

Flex Team 1

Flex Team 2

Acct. Tech

Acct. Tech

Acct. Tech

Acct. Tech

Acct. Tech

Acct. Tech

Finance
Huron’s Recommendations/Themes

✓ Organization/People: Enhance consistency, standardize functions, create career paths, improve training, clarify roles and responsibilities, establish robust performance metrics: Re-org?
✓ Proposal Development: Create greater flexibility in pre-review process: KC Prop Dev
✓ Contract Negotiation: Clarify CSU risk assessment for common contractual issues: OSP Duties
✓ Subcontract Negotiation: Segregate duties, e.g. complex/routine (FDP): OSP Duties
✓ Effort Reporting: Technology improvements, proxy certifiers, frequency: KC Effort (interim steps)
✓ Post-Award: Improve AR Process, invoicing, cost transfers: Post-award consolidation
✓ Subrecipient Monitoring: Risk assessment prior to executing sub, comp. policy: UG Committee
✓ Cost sharing: Electronic signature, standardize requirements and procedures, increase training: KC
✓ Technology and Transparency: KC Negotiation Module and RA Forum
OSP Changes

• Doug Leavell, Director, Research Analytics and KC Project Manager
• Search Committee for new OSP Director
  Chair: Michael Carolan, Liberal Arts
  Stu Tobet, Natural Sciences
  Dave Ryan, CSU Controller
  Jeff Fotsch, Engineering
  Jeff Steiner, Agricultural Sciences
  Sonia Kreidenweiss, RAD, Engineering
  Staci Folot, CVMBS
  Neil Shropshire, NREL
Uniform Guidance: OSP Web Page
Uniform Guidance Page
UG Committee

Sponsors:
Christa Johnson, AVP for Research Administration
Dave Ryan, Controller

Members: TBD
General areas to consider

- Internal controls and documentation requirements
- Effort certification and institutional base salary
- Policy on charging administrative and clerical costs as direct costs on federal awards
- Subrecipient risk assessment and monitoring
- Procurement (micro-purchase thresholds, competitive bids)
- Compensation and HR policies, e.g. terminal leave
- Developing guidance for CSU research administration
Uniform Guidance Update

Some items of note:

• Awards are being received and identified as subject to the UG
• For some on-going awards that are being modified, some portions will be under the “old” rules (OMB Circulars) and some portions under the UG.
• Differences in agency implementation: NSF and NIH apply the UG to new awards and to funding increments on existing awards. DOD is applying the UG to new awards only.
Uniform Guidance Update

Some “uniform” items of note:

• UG/NSF/NIH requirements for fixed-price subawards: prior approval?
• Long-term visa costs are not allowable
• Participant support costs now recognized across all agencies. **NIH**: allowable only when identified in the funding opportunity announcement. Continue to use NIH terms: trainee, trainee-expenses, and trainee travel.
• Cost sharing is not expected on research projects
• Administrative and clerical costs may be charged—4 specific requirements must be met:
  1. “Integral” to the project
  2. Individuals can be specifically identified
  3. Included in the budget and justification or have prior written approval from the sponsor
  4. Are not recovered in the indirect cost rate
Other Federal Agency Updates

• NIH
  • Grants Policy Statement – March 15, 2015
  • Subaccounting and Final Transition starts on October 1, 2015.
  • 120 day closeout

• NSF
  • Proposal and Award Policies and Procedures Guide (PAPPG) – December 26, 2014

• AFOSR
  • Continued emphasis on timely billing

• OTHER
  • SP Staffing update
Kuali Coeus

- Award Phase II
  - Integration with KFS
- Negotiation and Sub-award Modules
  - Process Transparency
- Labor Distribution and Effort Certification
  - Process and Compliance Improvement
- Contracts and Grants Billing
  - Infrastructure Improvement Replacing Ledgers
- Proposal Development
  - All of the Above
- Compliance Modules
Digital Measures

• Activity Insight
  – Faculty and Staff Activity System (FSAS)

• Aggregation of Faculty Information
  – General (Education, Administrative Assignments, Awards and Honors, etc.)
  – Teaching (Scheduled Teaching, Advising, Guest Lectures, etc.)
  – Scholarship and Research (Creative Activities, Publications, IP, etc.)
  – Service (Department, College, University, Professional, Public)
  – Goals

• Analytics, Promotion and Tenure, Accreditation

• IT Group

• Implementation Kick-Off with Digital Measures Next Week
Research Compliance Update

- Sept. 24 implementation of NIH/CSU Dual Use Research of Concern (DURC) policy
- Jan. 16 implementation of NIH Data Rigor & Transparency Policy and Genomic Data Sharing Policy (proposal implications)
- Upcoming stakeholder input into planned new CSU Data Use & Access Policy
- Export compliance policy revision – fast track
- Upcoming split of IRB into SBER and BMR
Questions?