SPA/SPAC Updates
4th Quarter 2019

June 27, 2019

2:30 – 4:00 pm

SPA Updates
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Carryforward Form

- New form

- Submit to SPA FIRST!!!!
  - SPA must review each award
  - SPA teams will assist with obtaining prior approval if necessary

- SPA will forward the carryforward to SPAC for processing

RPPRs and Publications

- RPPRs are being submitted last minute and publications are out of compliance
  - Causes an error message on submission/validation
- If publications are out of compliance it takes 30 days to bring them to compliance
- It is not appropriate to remove a publication that is part of the progress report.
- NIH Grants Management is not issuing awards until publications are in compliance.
- START EARLIER, validate and fix.

RPPR

(Research Performance Progress Report)

- RPPR Due Dates : https://public.era.nih.gov/chl/public/search/index.jsp
  - Updated monthly on the 30th
  - Automated emails
  - eRA Commons Status
- SNAP
  - Due on 15th of the month
    ex. 11/30 end; RPPR due 10/15
- Non-SNAP
  - Due on 1st of the month
    ex. 11/30 end; RPPR due 10/1
- Fellowships
  - 2 mos. Before budget/project anniversary

RPPR
(AHRQ)

- AHRQ
  - Use eRA Commons RPPR (effective 1/1/15) NOT-HS-15-001)
  - Awards >12mos. use paper PHS 25902
    - Budget and project periods same and > 12 mos.
  - Guidance HHS Grants Policy Statement
    - Prior approval requirements

Kuali Research

- UMB / UMCP combined KR instance 5/20/19
- Routing
  - Routing rules have *NOT* changed!
  - Extra stops in routing due to configuration changes (to match UMCP)
  - Bypassing
- Proposal triaging occurs 24 hrs. ***AFTER*** proposal creation!

Kuali Research

- NSF Science Code beginning 8/1/19
  - New requirement for anything with research activity code
- July 5th deadline
  - Please, please, please get your proposals in early!
  - SOM routing deadlines

DOD Proposals Pre-Proposals

- You must select the Sr. Administrator as the Business Official during the Pre-Proposal phase
  - Team Red: Marie Coolahan
  - Team White: Christine To'alepai

Kuali Research Reminders…

- Info & Guides on SPA website
  http://www.umaryland.edu/kualicoeus/user-resources-and-help/
    Navigating and searching in KR
    PI certification and approval

- KR New User Training Dates (CITS enrollment database)
    7/17/19 9:30-12:00PM

- New email for KR "Report a Problem"
  DLKualiResearchHelp@umaryland.edu

KR Proposal Reminders

- Subrecipient Commitment Form is *still* a requirement at the time of proposal

- PI's must certify the proposal

- Do not use old proposals!

- Proposals with human subjects
  - Instructions for NIH proposals with human subjects http://www.umaryland.edu/kualicoeus/user-resources-and-help/nih-human-subjects-forms/

Reminders

- Please, please use the team emails when communicating with SPA, unless an action has been triaged and you know who the SPA person that is working on that action.

- Ask your general questions at Research Matters http://researchmatters.umaryland.edu

- If you change the deadline date, please update your team or the person working on your proposal *immediately!*

- Please give SPA adequate time to review your proposal.

- Get your proposals in early!!!

Cost Agenda

- FY20 Finalized Fringe Rates
- FY19 Year End Reminders –DR'S
- Quantum –DR's
- NIH salary increase-Cost Sharing
- Effort and OTC
- Effort Certification
- Online DR Form
- Space Survey

FY20 Finalized Fringe Benefit Rates

- Final approval was received in March 2019
- A memo was sent out to Campus to announce the Implementation of the approved Fringe Benefit Rate Agreement
- FY20 rates are set up in HRMS from 20-01
- The memo and rate agreement have been uploaded to our website
    - http://www.umaryland.edu/cost/fringe-benefit/

FY20 Finalized Fringe Benefit Rates

	Apply to Accounts	FY19 Finalized	FY20+ Finalized	Costs Recorded in Account
Faculty	1011 – Faculty 9/10 mo. 1012 – Faculty 12 mo.	26.1%	25.3%	2790 – Fringe rate Faculty
Staff	1013 – Exempt staff 1014 – Non-exempt staff	39.6%	39.2%	2791 – Fringe rate Staff
Legislated Benefit	2071 – Faculty 2072 – Exempt staff (C1) 2073 – Non-exempt staff (C1) 2080 – Summer salaries 2085 – Supplemental Pay 2110 – Overtime 2120 – Shift differential 2130 – On call pay 2140 – Bonus Payments 2074 – College Work study (summer) 2075 – Students (other than CWS) (summer) 2090 – Contractual employee (C2) (Until FY16)	8.3%	8.4%	2793 – Fringe rate Legislated Benefit
Limited Benefit	1021 – Post Docs/Fellows 2090 – Contractual Employee (C2) (FY16+)	19.2%	18.5%	2792 – Fringe rate Limited Benefit
Students	1020 – Graduate Assistants 2074 – College Work Study (CWS) 2075 – Students (Other than CWS)	0%	0%	N/A
Other	2196 – Accrued Leave Payout	0%	0%	N/A

FY20 Fringe Rates

- The FY20 fringe rates will be applied to the entire first pay period in FY20
    - PP20-01 (6/23/19 to 7/06/19)
- The fringe for PP20-01 will be posted as follows:
    - 6/23/19 to 6/30/19 – Posted to FY19
    - 7/1/19 to 7/6/19 – Posted to FY20

FY20 Fringe Rates Summary Chart

Pay Period	Rate Used	Posted in FY
19-26	FY19	2019
20-01	FY20	2019 (6/23-6/30)
		2020 (7/1-7/6)
20-02	FY20	2020

FY20 Retroactive Distributions

- DEADLINE to submit Direct Retros to be posted in FY19 is Wednesday, 7/3/19

- All Direct Retros received on Thursday 7/4/19 and forward will be posted to FY20

- The direct retro cut off date for the 19-26 pay period was Friday, 6/21/19 by 2pm

  - Note that this is different from the usual Tuesday prior to the payday deadline to allow Costing and Compliance enough time to process the anticipated fiscal year end increased volume.

Direct Retro Cut Off Dates

When Received by Cost Analysis	Pay Period Processed	Posted in Fiscal Year (HRMS and Financials)
Tuesday, 06/11/19 @ 2pm	19-25	2019
Friday, 06/21/19 @ 2pm	19-26	2019
Wednesday, 07/03/19	20-01	*2019*
Thursday, 07/04/19 and beyond	20-02	2020

FY20 EFP Cut Off Date

- **Tuesday- 6/25**
    - This was communicated via email to the RAC
    - All EFPs for FY19 not <u>approved</u> in *e*UMB before the 8pm deadline were deleted

- No budget retros for FY19 after 6/25, 8pm

To Avoid a PCA balance

- Check all Funding End Dates (FED) on your EFPs and make applicable changes by the FY19 EFP deadline (06/25/19)
  - No FED $\Rightarrow$ no change required
  - FED > 6/30/19 $\Rightarrow$ no change required
  - FED < 6/30/19 $\Rightarrow$ change now so that payroll expenses do not charge PCA
  - FED = 6/30/19 $\Rightarrow$ OK to change now; must be changed in FY20 to avoid charging PCA
- All changes not entered by the deadline will be corrected via DR and posted to FY20

DR Processing - Reminders

- Physician Services Contracts Exception:

  – No Direct Retros moving payroll to or from a PSC account in FY19 will be processed after the FY19 DR deadline on Wednesday 7/3/2019

- A direct retro and a budget retro cannot be processed in same pay period

Plan accordingly!!!

Direct Retros for PP19-27

- Cannot be processed until the 20-01 payroll posts
  - DRs will not be accepted without PCDs
  - Please submit DRs affecting 19-27 after the 20-01 payroll posts to your Payroll Charge Detail (PCD) report on 07/11/19
  - 20-01 Payroll will be posted to RAVEN on pay date Friday 07/12/19

Quantum and Direct Retros

- We need to ensure that all older DR's have been completed prior to GO LIVE

- There is a plan to handle DR's in the new system

- Cleaner the data is the better

Questions or Comments on Fringes or DR Processing

KEY CONTACTS

SPAC- Costing & Compliance- 6-2987
Direct Retros
effort@umaryland.edu

Cost Sharing for Payroll Expenses

- NIH Salary Cap for 01/06/2019 to 09/30/19 is $192,300

- This will not be reflected in ERS for the 033119 effort reporting period

- Check employees who may go over the cap

    - Amount is based on annualized salary- Ex. FTE=.20 and amount paid at UMB= $40K → Annualized= $200K

- This only applies to NIH agencies. See link below for all NIH sponsors and awarding agencies:

    https://www.nih.gov/institutes-nih/list-nih-institutes-centers-offices

- Position owner creates EFP but may be unaware that a project from another department requires Over The Cap - communicate!

Effort and Over the Cap

- Grants funded by PHS agencies
  - NIH, ACF, ACL, SAMSHA, AHRQ, CDC, HRSA, FDA
  - **not**, for example, DOD, NSF, or NASA
- Other non-federal types of agencies
  - USAID
- Other non-federal types of agencies
  - PCORI
- This is required for any federal pass-thru funds

Effort and Over the Cap

- Remember:
  - based on Institution Base Salary (IBS)
  - Read your agreement
  - Salary over the cap cannot be used to meet committed cost sharing obligations because it is considered an unallowable expense on the award

Effort Certification

- Open discussion
- What are your thoughts of certifying 4 x's per year
- What are your thoughts about reducing this to 2x's per year

Online DR Form

- The DR form is being developed for online submission

- Holding release until Quantum is finalized so that it uses the Quantum protocol

- Will be an online approval

- This will require certain approvals online from your PI

Starting a Space Survey

- Federal Government does not endorse a base year in a split financial system

- HSF III and implementation of financial system F&A is expected to rise

- Delaying the cost proposal until a 2021 base year could result in lost revenues

Starting a Space Survey

- Currently working with consultants on best approach

- Campus space survey where we start is not scheduled to be completed until November

- In order to retain info of where everyone is in 2019 start a draft survey

Starting a Space Survey

- Load information into an online survey
- Make this available to departments at the beginning of the year
- Review and approve
- This online version will be used for all future surveys

SPAC AGENDA

- Staffing Updates
- Preparing for Quantum
- Closure Updates
- Problems with Closure
- Billing Issues
- Project setup changes
- NCE and carryover request
- Updates – VA, NSF Desk Audit, SCCU
- Tidbits
- What's coming!

SPAC Staffing Updates

New Hires

Danijela Macakanga-

Accountant 1 – Central Team

Michelle Ward

Acting Director

OPEN POSITIONS

- NOT A ONE!

Interns
Tyler Lazeroff
Raj Shah

SPAC Staffing Updates

Promotions:

- **Marcelle Finyom Djiogo**
  Financial Analyst with Team White

- **Claude Street**
  Financial Accountant Analyst

- **Jean Idrova Gonzales**
  Financial Accountant Analyst

- **Christopher Hook**
  Financial Accountant Analyst

SPAC Staffing Updates

COST	CENTRAL	
Beryl Gwan Sr. Manager	Lilly Liu	Manager
	Mary Miller	Accountant
	Danijela Macakanga	Accountant 1
Binita Shah Cost Accountant	Shane Dubiel	Accountant 1
	Assa Cisse	Accountant 1
Amy Sallese Pt Cost Accountant	Neli Georgieva	Financial Acct
	Ajesh Singh	Financial Acct
Tracy Nguyen Accountant 1	PI Leaving - SPACrelinquishing@umaryland.edu	

SPAC Staffing Updates

KRISTA SALSBERG, SENIOR MANAGER	
TEAM RED	**TEAM WHITE**

Chris Hook - DELIVERABLES

Financial Analyst – rs-spac-dlb-billing@umaryland.edu

Brenda Hester

Accountant
- Reporting Support
- Collections

ADMINISTRATION

Laura Scarantino, Acting AVP

Michelle Ward, Acting Director

Nathan Hollaway - Administrative

Contracts

Esther Ndiangui
– Senior Contract and Grant Financial Accountant
spaccontractteam@umaryland.edu

SPAC Staffing Updates

WHITE TEAM	RED TEAM
Mila O'Callaghan Manager	**Cheryl Williams-Smith** Manager
Tammira Barnes Financial Accountant Analyst	Shernett Wynter Financial Accountant Analyst
Ron Hill Financial Accountant Analyst	Krissy Long Financial Accountant Analyst
Marcelle Finyom Djiogo Financial Accountant Analyst	Neda Karimi Financial Accountant Analyst
Claude Street Financial Accountant Analyst	**Jean Idrova Gonzales** Financial Accountant Analyst

Preparing for Quantum

- Finishing up the closure lists

- We need to prepare for an early close in September for implementation

- Deadlines will be similar to our early close in December due to the holidays

- Once these dates have been determined, we will publish them through the RAC

Preparing for Quantum

- These dates will be focused
  - Project setup deadlines
  - Grant Expense deadlines
  - ROE deadlines for both September & October
  - FFR Reporting deadlines for September reports
  - DR's deadlines
  - Communication Plan to Sponsor

THIS MEANS NO SPECIAL DRAWS FOR FFR'S

CLOSURE UPDATE

- 2 years ago over 2400 projects to close
- We set up approximately 1200 projects per year
- As of today we have about 700 left 400 are current and 300 are old
- All 300 have been catalogued and accounted for
- The 400 your teams are contacting you monthly

Problems with Closure

- 4861/4862 balances
- Encumbrance balances
- Trailing charges
- Non payment of invoices
- Slow closure of Deliverables

Expect another several hundred closed in next couple of weeks! Keep you posted on old ones

Billing Issues

- Without an agreement
- Billing Ahead
  - Asking SPAC to bill for expenses that are not in the systems
  - Need support for these types of requests
- Projects with no expenses

Project Setup Changes

- Auto carryover awards will remain in one project – the reporting is determined by Commons and Grants Solutions and billing notes

- Fellowship awards will remain in one project since there is no reporting requirements for the Sponsor. There is only final sign off by the department on the reconciliation

NCE and Carryover

- All NCE &Carryover requests must go through SPA.
- SPAC will not process any NCE directly
- SPA will route it through to us after approval
- Automatic carryover awards are set up under 1 project and SPAC extends the date
- When carryover comes in on an NOA, SPAC will budget it to the parent project and then the parent is responsible for approving the redistribution of the funds via a budget modification submitted by the child to your team

YEAR END UPDATE

- Billing may run a little lat in June
- Wont be able to bill until People Soft closes
- Will send letters to our sponsors who expect billing on or before the 20th of the month

VA UPDATE

- Secured $1.4M of old award receivables

- Allowed us to close around 30 projects

- Still slow in getting us PO's

- We will not bill without a PO

- Trying to reduce the amount of contact with Carol Roberts

NSF Desk Audit

- UMB's guidance on unallowable costs is brief and appears unlikely to provide sufficient guidance to ensure that unallowable costs are appropriately identified. Specifically, the half-page policy consists of one sentence describing its stance on cost allowability and short definitions of reasonableness, allocability, necessity, and consistency. In addition, UMB has not developed a list of commonly unallowable costs, but instead refers employees to the federal cost principles established in the 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, a practice that, because it requires employees to go to an additional reference document, may not provide adequate guidance to these employees.

SCCU Update

- Too many projects going to 180

- Especially in the DLB category

- SPAC is not 100% responsible for collection, the burden also falls on the department

- Will be changing collection instructions to include the department in the collection efforts from the 60 days delinquent

SCCU Update

- We are completing the SCCU process in SPAC

- There will be more referrals to SCCU

- Still need to determine how we handle the fees

- The AR will be written off the project to the SCCU account

- Need to determine how long it remains on that account and SCCU

TIDBITS   AND   NEW STUFF
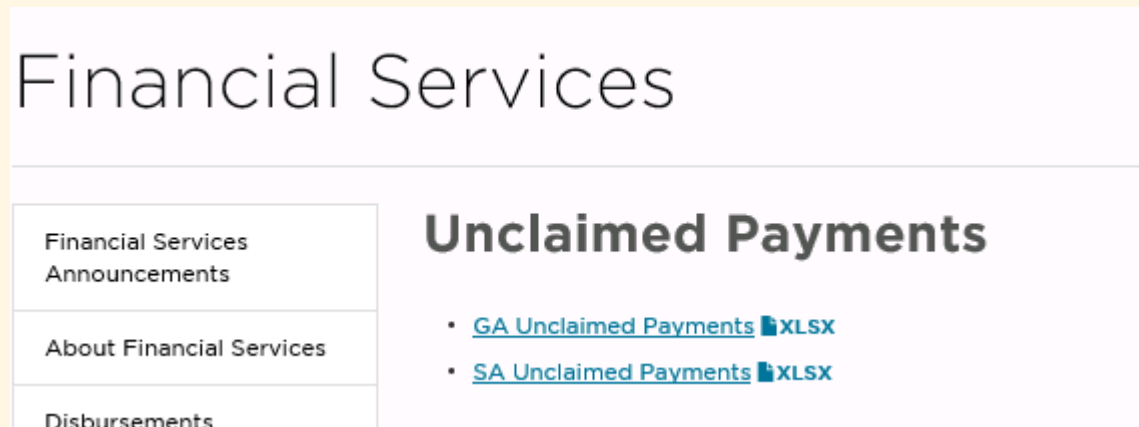
TIDBITS

- Make sure when route your award
  - Identify the correct agency
  - Make sure you ID federal pass-through
  - Ask for your OTC or Required cost share

TIDBITS

- Unclaimed Payments
  - https://www.umaryland.edu/financialservices/unclaimed-payments/

Things Coming

- Relinquishing sign off form instead of an FFR
  - You tell us what you are reporting in that final year
  - Based on what is currently in the financial system per year
- Financial reporting on training grants guidance
  - Includes a sheet for reconciliation of charges
- SCCU updated process and effect
  - Signing off for collection
  - Responsibility if uncollected by SCCU

SPAC Website

- Will be released in the next several weeks
- New look
- Still working on the educational content
- Cross cutting processes
- Creating an information bank for grants financial administration (Financial questions for proposal development, subrecipients monitoring, A133 reporting, internal control questionnaires)
-   Making the information available in a Central site so the departments can input the inform any of the redundant forms

Developing Audit Site

- With MAS Beginning journey to capture audits around the University

- Calendars

- Findings

- Responses

- Allows us target training

What is coming!

- SCR Reporting
  - Due by October 11th
  - For Federal Service Contracts Only
  - Esther Ndiangui from our office will notify you with your list
  - Remember, if you have a service contract, you need to have your subs track their hours for invoices posted in our system 10/1/18-9/15/19

What's coming

- More online forms if the solution can not be identified by Quantum
  - Child requests
  - Temp accounts
  - Budget mods
  - Carryover requests

- Cost Model
- Possible upgrade to the Effort system
- That 2 question – questionnaire!

- QUANTUM!!!!

http://www.umaryland.edu/quantum/