

# UCR



## Contract & Grant User's Group

Friday, December 13, 2019

9:00 a.m. – 10:30 a.m.

Alumni & Visitors Center

**BFS – Business & Financial Services**

*A Division of Business & Administration Services (BAS)*



UNIVERSITY OF CALIFORNIA, RIVERSIDE



# Agenda

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- Federal Disclosures
- Research Development
- Fellowship and Training Awards
- Unauthorized Purchases
- UCPath GL Update



**BFS – Business & Financial Services**  
A Division of Business & Administration Services (BAS)



# Federal Disclosures

Presented by: Charles Greer  
Assoc. VC for Research  
Office of Research and Economic Dev. (RED)



# Federal Disclosures

February 7, 2019 - President Napolitano Letter: Topline Recommendations (based on Tiger Team Reports):

- *International agreements and funding* – establish a common vetting process and establish risk mitigation strategies
- *International visits and visitors* – establish protocols for international travel; implement screening procedures for visitors
- *International students* – raise awareness of pressure on international students by their governments to self-censor speech and limit their freedom of association
- ***Research funding – implement UC Outside Activity Tracking System for COC disclosures; develop methods to compare COI and COC disclosures; develop training on what should be included in grant applications***



# Federal Disclosures

Today we will cover:

National Institute of Health (NIH)

National Science Foundation (NSF)

Department of Defense (DoD)

Department of Energy (DoE)



# Federal Disclosures - NIH

- March 2018 – NIH Issues Notice Number: NOT-OD-18-160
  - The purpose of this Guide Notice is to remind the NIH extramural research community that the requirements of 42 CFR Part 50, Subpart F, Objectivity of Research, apply to each institution, domestic and foreign, that applies for or receives NIH research funding in the form of grants or cooperative agreements. The regulation, also known as the Financial Conflict of Interest (FCOI) regulation, applies to both prime and subrecipient institutions, domestic or foreign, and through implementation, to each Investigator who is planning to participate in, or is participating in, such research. These regulations do not, however, apply to Phase I Small Business Innovative Research and Small Business Technology Transfer applications or awards.
  - One such area of the FCOI regulation requiring clarity is Investigator disclosures with respect to foreign financial interests. The regulation refers to exclusions of Institutions of higher education as defined in 20 U.S.C. 1001(a) or a federal, state or local government agency when disclosing financial interests. ***However, these references refer to a U.S. Institution of higher education or a federal, state, or local government agency within the U.S. Therefore, Investigators, including subrecipient Investigators, must disclose all financial interests received from a foreign Institution of higher education or the government of another country (which includes local, provincial, or equivalent governments of another country).***



# Federal Disclosures - NIH

- August 2018 – NIH Director Francis Collins issued a “Dear Colleague Letter”
  - Three areas of concern have emerged:
    1. Diversion of intellectual property (IP) in grant applications or produced by NIH-supported biomedical research to other entities, including other countries;
    2. Sharing of confidential information on grant applications by NIH peer reviewers with others, including foreign entities, or otherwise attempting to influence funding decisions; and
    3. Failure by some researchers working at NIH-funded institutions in the U.S. to disclose substantial resources from other organizations, including foreign governments, which threatens to distort decisions about the appropriate use of NIH funds.





# Federal Disclosures - NIH

Reminders of NIH Policies on Other Support and on Policies related to Financial Conflicts of Interest and Foreign Components

Notice Number: NOT-OD-19-114

Key Dates: Release Date: July 10, 2019

## Purpose

The intent of this notice is to remind the extramural community about the need to report foreign activities through documentation of other support, foreign components, and financial conflict of interest to prevent scientific, budgetary, or commitment overlap. NIH has long required full transparency for all research activities both domestic and foreign and does not consider these clarifications to be changes in policy. The requirements referenced in this Notice, along with the other obligations in the NIH Grants Policy Statement (NIHGPS) and other terms and conditions of award, are instrumental to achieving the mutual goal of NIH and the extramural community, to protect the integrity of biomedical research.





# Federal Disclosures - NIH

## Background

On August 23, 2018, the NIH Director issued a statement regarding the protection of the integrity of biomedical research conducted in the United States, and convened a working group of the Advisory Committee to the NIH Director to review this issue. NIH recognizes the importance of international collaborations for scientific advances. By clarifying NIH expectations for other support reporting, NIH seeks to improve the reporting of all sources of research support, financial interests and affiliations, both foreign and domestic, and to continue to support properly reported international collaborative research.

The NIHGPS, 2.5.1 , states that other support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including, but not limited to, research grants, cooperative agreements, contracts, and/or institutional awards to ensure no scientific, budgetary or commitment overlap.



# Federal Disclosures - NIH

## **Other Support**

NIH reminds applicants and recipients that other support includes all resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.).



# Federal Disclosures - NIH

## Other Support (cont)

NIH applicants must:

1. List all positions and scientific appointments both domestic and foreign held by senior/key personnel that are relevant to an application including affiliations with foreign entities or governments. This includes titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
2. Report all resources and other support for all individuals designated in an application as senior/key personnel – including for the program director/principal investigator (PD/PI) and for other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they request salaries or compensation. Information must be provided about all current support for ongoing projects, irrespective of whether such support is provided through the applicant organization, through another domestic or foreign organization, or is provided directly to an individual that supports the senior/key personnel's research efforts.
3. Report all current projects and activities that involve senior/key personnel, even if the support received is only in-kind (e.g. office/laboratory space, equipment, supplies, employees). All research resources including, but not limited to, foreign financial support, research or laboratory personnel, lab space, scientific materials, selection to a foreign “talents” or similar-type program, or other foreign or domestic support must be reported.
4. Provide the total award amount for the entire award period covered (including facilities and administrative costs), as well as the number of person-months (or partial person-months) per year to be devoted to the project by the senior/key personnel involved.



# Federal Disclosures - NIH

## Other Support (cont)

All pending support at the time of application submission and prior to award must be reported using “Just-in-Time Procedures” by providing all information indicated above. Applicants are responsible for promptly notifying NIH of any substantive changes to previously submitted Just-in-Time information up to the time of award, including “Other Support” changes that must be assessed for budgetary or scientific overlap. Further, if other support, as described as above, is obtained after the initial NIH award period, from any source either through the institution or directly to senior/key personnel, the details must be disclosed in the annual research performance progress report (RPPR). Post-award, recipients must address any substantive changes by submitting a prior approval request to NIH in accordance with the NIHGPS section on “Administrative Requirements—Changes in Project and Budget—NIH Standard Terms of Award.”



# Federal Disclosures - NIH

## Foreign Components

NIH requires recipients to determine whether activities it supports include a foreign component, defined as: The existence of any “significant scientific element or segment of a project” outside of the United States, in other words

1. performance of work by a researcher or recipient in a foreign location, whether or not NIH grant funds are expended and/or
2. performance of work by a researcher in a foreign location employed or paid for by a foreign organization, whether or not NIH grant funds are expended.

If a recipient determines that a portion of the project will be conducted outside of the U.S., the recipient then will need to determine if the activities are considered significant. If both criteria are met, then there is a foreign component. To aide with what may be considered significant, click on the FAQ link below. The addition of a foreign component to an ongoing NIH grant continues to require NIH prior approval, as outlined in the NIHGPS, Section 8.1.2 , Prior Approval Requirements.

If an activity does not meet the definition of foreign component because all research is being conducted within the United States, but there is a non-U.S. resource that supports the research of an investigator and/or researcher, it must be reported as other support.



# Federal Disclosures - NIH

## **Foreign Components (cont)**

For example, if a PD/PI of an NIH-funded grant has a collaborator outside of the U.S. who performs experiments in support of the PD/PI's NIH-funded project, this would constitute a foreign component, regardless of whether the foreign collaborator receives funding from the PD/PI's grant. Additional funding from a foreign source for the NIH-supported research of a PD/PI at a U.S. institution would not constitute a foreign component but would necessitate reporting as other support.



# Federal Disclosures - NIH

## Financial Conflict of Interest

This notice also reminds the extramural community of the requirements in 42 CFR Part 50, Subpart F, Objectivity of Research. This regulation, also known as the FCOI regulation, specifies the minimum requirements for investigators to disclose to their institution their significant financial interests. As outlined previously in NOT-OD-18-160, the requirement to disclose includes financial interests received from a foreign entity. This requirement is distinct and in addition to the reporting of other support and foreign components to the NIH.

The FCOI regulation acknowledges that an applicant/recipient's policy on financial conflicts of interest may have standards that are more stringent than those in the regulation, e.g., that require a more extensive disclosure of financial interests, in which case the institution shall adhere to its policy and shall provide FCOI reports to NIH regarding identified financial conflicts of interest in accordance with its own standards and with the protocol specified in the regulation.





# Federal Disclosures - NIH

December 5, 2019 - Council on Governmental Relations (COGR)  
-Commentary of Disclosing Other Support and Other Resources  
in Research Funded by the National Institute of Health

## Executive Summary

“The purpose of the document is to guide COGR member institutions in meeting the disclosure requirements under NIH Notice NOT-OD-19-114. These statements reflect COGR’s best assessment of NIH’s disclosure requirements, though NIH has not endorsed them.”

**Overarching Messages from NIH:** Complete and accurate reporting of research support from internal and external sources, and the relationship to NIH funding, is critical for NIH and grantee institutions to assess scientific and budgetary overlap, and availability of time to commit to NIH funded projects.



# Federal Disclosures - NIH

## Reporting Consulting and Outside Professional Activities

- Key personnel must disclose funding for all research activities, regardless of where the research will be carried out.
- Outside activities that are not considered research do not appear to require reporting to NIH.

## Training Awards, Gift, and Prizes/Institutional Support

- Key personnel must disclose start-up packages and support for research from entities other than the applicant institution, even if the research will be carried out at another institution; and institutional grants and awards that are “separately budgeted and accounted for” per the Uniform Guidance.
- Key personnel are not responsible for disclosing start-up packages from the applicant institution in any form; gift funds that meet the formal definition of a gift, endowed chair funds and other endowment allocations.

## Reporting In-Kind Support

- Key personnel must disclose in-kind resources that are uniquely available fo key personnel (office/laboratory space, equipment, supplies, employees) including those available outside the applicant institution; details about in-kind personnel who are expected to work directly on proposed project; report details of in-kind support in the Facilities and Other Resources section or in Other Support section of the application; report details of individuals who have expended at least one month of effort during the year (compensated or uncompensated) in the annual report (no change).
- Key personnel are not responsible for disclosing institution-wide resources such as core facilities or shared equipment that are made broadly available.



# Federal Disclosures - NIH

## Reporting Appointments and Affiliations

- Key personnel must disclose affiliations or appointments that are likely to be cited in NIH-funded publications in the biosketch section of the application.

## Foreign Component

- Prior approval is required before initiating a new “foreign component” per current NIH policy (no change).
- COGR reminds institutions that informal collaborations with international researcher could meet the NIH definition of a Foreign Component; therefore, it will not always be apparent to the sponsored programs office when a foreign component arises. Educating PI about the NIH requirement is essential for PIs and institutions to comply with NIH policy.



# Federal Disclosures - NSF

May 2019 – NSF issued their draft 2020 Proposal and Award Policies and Procedures Guide (PAPPG) for comment.

## Current and Pending Support.

Current and pending support information must be separately provided for each individual designated as a senior personnel on the proposal through use of an NSF-approved format. Information must be provided about all current and pending support, including this project, for ongoing projects, and for any proposals currently under consideration for whatever source, irrespective of whether such support is provided through the proposing organization or is provided directly to the individual. All projects and activities, current or proposed, that require a time commitment from the individual must be reported, even if the support received is only in-kind (such as office/laboratory space, equipment, supplies, employees, students). The total award amount for the entire award period covered (including indirect costs) must be provided, as well as the number of person-months (or partial person-months) per year to be devoted to the project by the senior personnel involved.

**NSF Comment:** This section has been revised to clarify NSF's longstanding requirements regarding submission of current and pending support information.

- Information must be provided for all current and pending support irrespective of whether such support is provided through the proposing organization or directly to the individual
- Examples of current and pending support have been expanded to include non-profit organizations and consulting agreements.
- All projects and activities that require a time commitment must be reported (non minimum has been established), even if the support received is only in-kind.
- NSF does not consider these clarifications to be changes in policy.
- New electronic format (or formats will be implemented to collect current and pending information. Upload of pdf will no longer be permitted.



# Federal Disclosures - NSF

July 2019 – NSF Issues Dear Colleagues letter

The NSF Dear Colleague letter outlined a few steps it is taking to mitigate the risks in concert with other agencies and stakeholders. Highlights from the letter:

- **Citizenship Requirements**

- To ensure that NSF is applying consistent standards to all staff members, each of whom has access to sensitive merit review and other information, we issued a requirement in April 2018 that rotators working onsite at NSF must be U.S. citizens or have applied for U.S. citizenship.



# Federal Disclosures - NSF

- **Disclosure Requirements**

- Since 1978, NSF has required senior project personnel on proposals to disclose all sources of support, both foreign and domestic.

- **Proposal and Award Policies and Procedures Guide**

- A renewed effort is now underway to ensure that existing requirements to disclose current and pending support information are known, understood, and followed.
- For example, in May, we published in the Federal Register a proposed clarification of our proposal disclosure requirements (open for public comment through July 29). Our draft NSF Proposal and Award Policies and Procedures Guide includes clarifications regarding reporting requirements for both current and pending support and professional appointments.
- To streamline the process for providing these disclosures to NSF, we are proposing use of an electronic format for submission of biographical sketches, including disclosure of all appointments. As currently envisioned, this will become effective in January 2020. We are also working to develop an electronic format for disclosure of current and pending support information.



# Federal Disclosures - NSF

- **Foreign Government Talent Programs**

- Finally, we are issuing a policy making it clear that NSF personnel and IPAs detailed to NSF cannot participate in foreign government talent recruitment programs. There is a risk that participation in foreign government talent recruitment programs by NSF personnel and IPAs will compromise the ethical principles that bind us. Moreover, such participation poses significant risks of inappropriate foreign influence on NSF policies, programs, and priorities, including the integrity of NSF's merit review process—risks we simply cannot accept.





# Federal Disclosures - NSF

**December 12, 2019** – Update on Proposal and Award Policies and Procedures Guide (PAPPG) for use in 2020.

Important information to assist the community in preparing for this new PAPPG as it relates to the preparation and submission of the Biographical Sketch and Current and Pending Support sections of NSF proposals that fall under this revised PAPPG.

- NSF is partnering with the National Institutes of Health (NIH) to use [SciENcv: Science Experts Network Curriculum Vitae](#) as an NSF-approved format for use in preparation of both the Biographical Sketch and Current and Pending Support sections of an NSF proposal
- **Use of an NSF-approved format for the Biographical Sketch and Current and Pending Support documents will be required upon implementation of the PAPPG. NSF is encouraging proposers to begin using SciENcv for preparation of the Biographical Sketch now.**
- SciENcv allows proposers to integrate their ORCID to enable pre-population for the Biographical Sketch. Additional information is available on the [ORCID website](#).
- SciENcv will produce NSF-compliant PDF versions of these documents. Proposers must save these documents and submit them as part of their proposals via FastLane, Research.gov or Grants.gov.



# Federal Disclosures - DOD

March 20, 2019 – Under Secretary of Defense for Research and Engineering issued a memorandum on: Actions for the Protection of Intellectual Property, Controlled Information, Key Personnel and Critical Technologies

The National Defense Authorization Act (NOAA) for FY 2019, Section 1286, pages 443-445, directs the Secretary of Defense to establish an initiative to work with academic institutions who perform defense research and engineering activities:

1. To support protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security; and
2. To limit undue influence, including through foreign talent programs, by countries to exploit United States technology within the Department of Defense research, science and technology, and innovation enterprise



# Federal Disclosures - DOD

I direct that Department of Defense (DoD) Grants Managers and other personnel supporting the award and administration of grants, cooperative agreements, Technology Investment Agreements, and other non-procurement transactions shall take the following actions for all research and research-related educational activities supported by these types of DoD instruments.

- (1) Thirty business days after the date of this issuance, all new DoD Notices of Funding Opportunities (NFOs) pertaining to research and research-related educational activities shall include the following requirements:
  - (a) Proposers shall submit the below information for all key personnel, whether or not the individuals' efforts under the project are to be funded by the DoD:
    - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
    - Title and objectives of the other research projects.
    - The percentage per year to be devoted to the other projects.
    - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
    - Name and address of the agencies and/or other parties supporting the other research projects.
    - Period of performance for the other research projects.



# Federal Disclosures - DOD

(2) This information shall be included in the Senior Key Person Profile form included in the NFO. This collection only applies to persons identified as key personnel. This information shall not be included in the overall proposal page limits. The NFO shall notify proposers that failure to submit this information may cause the proposal to be returned without further review, and that the DoD reserves the right to request further details from a proposer before making a final determination on funding the effort.

(3) For all other types of grants, the capture of the above information is optional.



# Federal Disclosures - DOE

June 7, 2019 U.S. Department of Energy issued ORDER DOE O 486.1

## PURPOSE

To ensure the continued flow of scientific and technical information consistent with the Department of Energy's (DOE) broad scientific mission, while also ensuring protection of U.S. competitive and national security interest and DOE program objectives, and limiting unauthorized transfers of scientific and technical information.

DOE will take appropriate actions to prohibit DOE employees and DOE contractor employees, while employed by DOE or **performing work under a contract**, from the unauthorized transfer of scientific and technical information to foreign government entities through their participation in foreign government talent recruitment programs of countries designated by DOE as a foreign country of risk.

## REQUIREMENTS

DOE federal and contractor employees, as defined by sections 7.c. and 7.a. of this Order respectively, are prohibited from participating in certain foreign government talent recruitment programs.



# Federal Disclosures

Is the Federal Government serious about disclosure requirements?

NIH sent inquiries to about 100 institutions. These inquiries stated, “It has come to our attention that there are issues of potential noncompliance with NIH policies regarding disclosure of outside research support and relevant affiliations or foreign components.” The institutions were/are required to confirm that the investigators and the institution complied with NIH polices.



# Federal Disclosures

NIH probe of foreign ties has led to undisclosed firings and refunds from institutions

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Michael Lauer leads the National Institutes of Health's extramural research program. NATIONAL INSTITUTES OF HEALTH

## NIH probe of foreign ties has led to undisclosed firings —and refunds from institutions

By Jeffrey Mervis | Jun. 26, 2019, 5:10 PM

An aggressive effort by the National Institutes of Health (NIH) to enforce rules requiring its grantees to report foreign ties is still gathering steam. But it has already had a major impact on the U.S. biomedical research community. A senior NIH official tells ScienceInsider that universities have fired more scientists—and refunded more grant money—as a result of the effort than has been publicly known.

Since August 2018, Bethesda, Maryland–based NIH has sent roughly 180 letters to more than 60 U.S. institutions about individual scientists it believes have broken NIH rules requiring full

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# Federal Disclosures

Three Researchers Ousted from MD Anderson

the-scientist.com/news-opinion/three-researchers-ousted-from-md-anderson-65772



Home / News & Opinion

## Three Researchers Ousted from MD Anderson

The center had received letters from NIH about researchers' violations of granting agency policies and intellectual property theft in 2018.

Apr 22, 2019  
CHIA-YI HOU

Update (May 31): MD Anderson Cancer Center says the last researcher under investigation has been cleared, according to [Science](#).

**M**D Anderson Cancer Center has ousted three researchers for violating granting agency policies, reports the [Houston Chronicle](#). Last year, the National Institutes of Health (NIH) notified the center of five grantees there who were under investigation, reports the [Chronicle](#). The senior researchers violated confidentiality of peer review and disclosure of connections to foreign countries, specifically China, according to [Science](#).

[Science](#) confirmed that the three researchers are ethnically Chinese. Chinese American scientists have expressed concerns that the investigations and forced resignations may stem from racial profiling. "Scientific research depends on the free flow of ideas. Our national interest is best advanced by welcoming people, not by racial stereotyping based on where a person comes from," Frank Wu of the

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# Federal Disclosures

## Federal fraud indictment: KU professor secretly worked for Chinese university

BY MARÍA ROSE WILLIAMS  
 AUGUST 21, 2019 06:43 PM



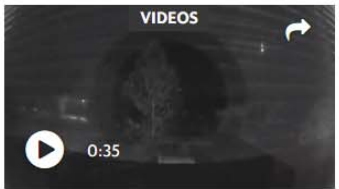
**UP NEXT:**  
 FBI director says two employees disciplined for botched Parkland shooter tips

White collar crime is a financially motivated crime done to obtain or avoid losing money, property, services, or to secure a personal or business advantage. Here's the most common types. BY CANDI BOLDEN

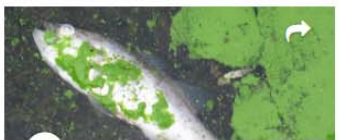
A University of Kansas associate professor on Wednesday was indicted on federal charges alleging he concealed he worked for a Chinese university while doing U.S. government-funded research.

Feng “Franklin” Tao, 47, of Lawrence, who taught chemical engineering and chemistry at KU’s Center for Environmentally Beneficial Catalysis, is charged with one count of wire fraud and three counts of program fraud.

If convicted, he faces up to 20 years in federal prison and a fine up to \$250,000 on the wire fraud count, and up to 10 years and a fine up to \$250,000 on each of the program fraud counts.



Meteor trails across Missouri night sky



TOP ARTICLES



# Federal Disclosures

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## Questions





**BFS – Business & Financial Services**  
A Division of Business & Administration Services (BAS)



# Research Development

Presented by: Randy Black

Director, Research Development



# Research Development – Who We Are

- Reports to the VCRED
- Research Development Staff

- Director, Randy Black



- 23 years experience in grant writing, Randy previously was a science writer in UCI public information and freelance for popular science magazines.

- Senior Grant Writer, Lynda Jenkins



- Lynda has grant writing experience with Keck School of Medicine USC, City of Costa Mesa and freelance grant writing for local cities.



# Research Development – What We Do

## Grant proposal writing and editing

- Edit draft proposals written by faculty
- Offer recommendations to align with agency priorities
- Work with faculty teams initiating responses to agencies
- Work within RED on our own proposals, other texts, letters and relies on all RED units for guidance



# Research Development – Our Mission

- Coordinate funding request activity among all grant writers on campus. Operating under the philosophy that “credit clones” and consistent with the quote, “It's amazing how much can be accomplished if no one cares who gets the credit” \* central RED grant writers team with writers in the units: Mitch Boretz-BCOE, Helen Chen-CNAS, Lynda Jenkins-CHASS, Beth Tamayose-GSOE and SPP, Bryan Carlson-Foundation Relations.
- Consistent with the concept “If you want to increase transactions, decrease transaction costs” reinvention of the wheel is discouraged. Boilerplate texts and templates are stored at <https://research.ucr.edu/OrApps/RD/proposals/>. Campus grant writers are both sources and users of proposal components, e.g. org trees, timelines, tight generic boilerplate on UCR general facilities. Specialized folders address specific needs, e.g., CAREER, GAANN.
- A picture is worth 1,000 words and the right picture can be worth millions of dollars. Research Development funds proposal graphics: 1) generated internally in C&C (Sohail Wasif) and 2) via a subscription to Getmygraphics.com. Pls commission graphics not only relevant for proposals but also re-usable for presentations and journal articles (magazine editors often want graphics more than words).
- Research Development is available to the VCRED for a variety of projects and tasks, including draft support letters, review and editing suggestions for any text, support for faculty teams initiating centers, Fulbright Scholars and any other projects that advance UCR’s strategic plan to triple funding.





BFS – Business & Financial Services



# Fellowship and Research Training Awards

Presented by:

Pauline Librenjak, Asst. Controller



# Fellowship and Research Training Awards

- The terms and conditions of each award should be reviewed and restrictions noted.
- Some award restrictions may be outlined in award proposals
  - If there is a restriction that conflicts with UC Policy, ensure there is a process to comply with the restriction before submitting the proposal to ensure the award can be accepted and/or transactions can be processed
- Special attention should be paid to Fellowship, Research Training, and other less common awards
  - Recent examples of Post Doc fellowships that were very restrictive, e.g. the award states the Post Doc stipend amounts can not be treated as salary.
  - If there is a perceived conflict of opinion between the award and university policy, the issue needs to be escalated to RED-SPA and Accounting-EMF



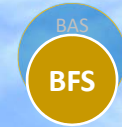
# Fellowship and Research Training Awards

## NIH Grants Policy Statement on Ruth L. Kirschsten National Research Service Award Restrictions

- Stipends
  - Subsistence payment, not salary
  - Fellowship not provided as a condition of employment with either the Federal government or the sponsoring institution; therefore, the fellow should not be treated as an employee
  - Explicit stipend amounts based on years of experience established by agency
  - Stipend amount changes based on award year and amounts established by the agency
  - Agency pre-approval required for certain situations (e.g. leave)
  - Note: Grad Students subsistence stipends should be processed via SIS and Post Doc subsistence should be paid via Accounts Payable (not UCPath)
  - Subsistence amounts cannot be re-budgeted
- Institutional Allowance
  - Health Insurance allowable, but not as an employee benefit; should be treated as reimbursable expense to fellow



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# Unauthorized Purchases

Presented by:  
Pauline Librenjak, Asst. Controller



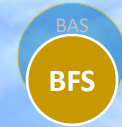


# Unauthorized Purchases

- Principal Investigators are NOT authorized to sign agreements on behalf of the University.
- If agreement requires payment to a vendor that is not a subaward, a PO will need to be created.
  - Some public entities (like school districts) may require an agreement with terms and condition as well as a PO
  - The PO should include:
    - The agreed upon cost of the service
    - The timeframe that the services must be performed and invoiced to adhere to fund begin and end dates
  - PO should be generated in advance of services being provided (like any other PO)
  - Failure to adhere to these requirements may be designated as an “unauthorized purchase”



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# UCPath GL Update

Presented by:

**Bobbi McCracken, Assoc. VC Business and Financial  
Services & Controller**



# UCPath Update

- UCI and UCSC Transition to UCPath
  - Adds 29,000 employees; total number of employees served by the UCPath center increases to 164,000
  - Key Dates & Times UCPath will be unavailable (UCPC will be available to take calls, but will not be able to resolve issues requiring access to the UCPath system)
    - Downtime 1: December 5 at 5 p.m. – December 9 at 8 a.m.
    - Downtime 2: December 18 at 5 p.m. – December 22 at 8 a.m.
- Monthly paid employees December Earnings will be dated 1/2/20
- UCR Pilot-Phase 2 in progress





# UCPath GL Update

## TARS

- **Biweekly time reporting period 12/01/2019 – 12/14/2019:**
  - Bi-weekly paid employees are asked to project their time worked (and/or leave taken) from Thursday, 12/12/2019 to Saturday, 12/14/2019 (if applicable), and **submit timesheets by 11:00 PM on Wednesday, 12/11/2019.**
  - Supervisors are asked to **approve these timesheets by 11:00 PM on Thursday, 12/12/2019.**
  - If adjustments to the time projected are necessary, supervisors should coordinate with their Shared Services Center or initiate a correction using the TARS “prior pay period adjustment” functionality.
  - Notes: Time clock users do not have the ability to project hours worked. Employees can continue to clock in/out up until the end of this pay period (11/30/2019). Supervisors will be required to approve these timesheets by **Monday, 12/16/2019 at 10:00 AM.**
- **Biweekly time reporting period 12/15/19 – 12/28/19 (Campus Closure):**
  - Bi-weekly paid employees are asked to project their time worked (and/or leave taken) from Thursday, 12/19/2019 to Saturday, 12/28/2019 (if applicable), and **submit timesheets by 11:00 PM on Wednesday, 12/18/2019.**
  - Supervisors are asked to **approve these timesheets by 11:00 PM on Thursday, 12/19/2019.**
  - If adjustments to the time projected are necessary, supervisors should coordinate with their Shared Services Center or initiate a correction using the TARS “prior pay period adjustment” functionality.
  - Notes: Time clock users do not have the ability to project hours worked. Employees can continue to clock in/out up until the end of this pay period (12/28/2019). Supervisors will be required to approve these timesheets by **Monday, 12/30/2019 at 10:00 AM.**



# UCPath GL Update

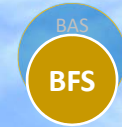
- Vac Leave Assessment Errors
  - FY2019 reversals completed (exception June 2019 recalled retirees)
  - FY2020 reversal pending UCPath resolution
  - UCPath “planned” for January 2020
- SCTs
  - Duplicates, Dropped, Benefit Assessments, High Risk SCTs
- Prior Year Payroll Reversals
  - Incorrect CBR and other Assessment Rates
- Unclaimed Checks
  - UCPC now reprinting instead of reversing and reissuing
- Complex ServiceLink FAU Change Requests
- Instant Pay Card
- Overpayments
- Missing Data Fields



**BFS – Business & Financial Services**  
*A Division of Business & Administration Services (BAS)*



# Questions



# Thank you for attending today's C&G Users Group Meeting

- The next C&G Users Group Meeting will be held on Friday, March 13, 2020 from 8:30 – 10:00 a.m. at the Alumni Center.
- We welcome your feedback and recommendations for additional topics that would be beneficial. We would appreciate your taking this short survey by copying and pasting this link in your browser which will remain open through Monday, January 13, 2020.
- <https://forms.office.com/Pages/ResponsePage.aspx?id=xCpim6aGnUGbnr-zPOXAVJsWanN-tRIPqKJ6H0W4sWBUNIFLVE80QTQ4VTBQWIRFMEVXNjlyQTEwNy4u>