Research Administration Update
January 2021

Grants & Contracts Administration

Agenda

University of Massachusetts Medical School

❏ Welcome!

❏ UPST Updates – Rob Hyde

❏ Post Award Update

❏ Closeout – 120 day checklist

❏ Pre Award Update

❏ Research Management System Implementation and Training

❏ Continuing Resolution

❏ eRA Commons & LogIn.gov

❏ Prior Approval Memo

Grant Accounting Updates

Award Closeout & Reporting

- Effective 10/1/2020 – Financial Reporting for HRSA, ACL, CMMS, ACF transitions to Payment Management System

- Effective 1/1/2021 – Financial reporting for NIH, SAMHSA, AHRQ, FDA transitions to Payment Management System

    Receipts = Disbursements=Expenditures

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

PSC | Payment Management System
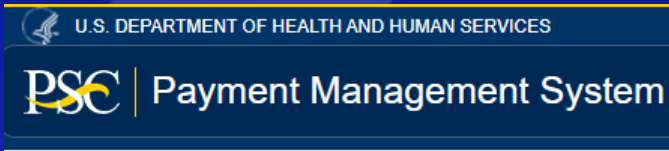
- ❖ Letter of Credit draws
    - ❖ Draw = Paid
- ❖ Financial Report
    - ❖ Interim
    - ❖ Final
- ❖ Federal Cash Transaction Report
    - ❖ Quarterly report
    - ❖ Receipts, Disbursements and Expenditures

UMASS
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Current State

- Accounts not being reviewed monthly
- ePAFs/DEFAs not being processed to remove personnel charges
- Purchase Orders not being closed

- Financial Reports
  - Filed with errors

  - Revised

- **UMMS Policy No. 05.02.05**

  - **120 Day Notice of Expiring Accounts with Grant Closeout Checklist**

  - **30 Day Reminder**

Deficit Balance Report

We asked – You answered

- ePAF/DEFAs - required to be processed by budget period end date (Grant Closeout Checklist) – Why aren't they done?
    - "PI is waiting for new grant"
    - "PI doesn't want to address the issue right now"
    - "Other deadlines"

- Purchase orders (excluding subawards) required to be closed within 45 days of end date – Why aren't they closed?
    - "Can't close the PO – we will lose our place in line to receive the item"
    - "UPST hasn't closed the PO yet."
    - "Item has shipped."

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Process Changes to Address these Issues

- ePAFs/DEFAs
  - PA Forms can and will be processed to move 100% of an employee that continues to be charged to a project that will be closed to meet a financial report requirement.

- Purchase Orders
  - Departments need to process a PO Change Request moving the encumbrance to a different Chartstring

OSP Updates

Research Management System

- Project kicked off back on March 10, 2020
- Completed User Acceptance Testing
- Current activities
  - Reviewing and documenting business processes
  - Developing training materials
  - Developing and fine tuning reports
- Estimated "go live" in April 2021
- Please be on the look out for e-mails about training events

UMass Training

Huron System + Business Workflow

Training Objectives and Goals
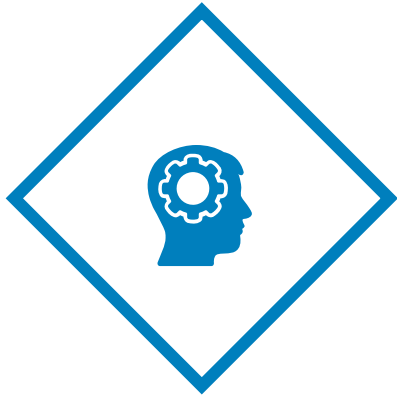
Familiarize stakeholders with UMass RMS (Huron) system and research business workflows.

Build on staff current knowledge and skills to improve research administration efficiency.

Support the development of an effective and efficient research management culture.

Champion change for UMass Research Administration and provide supportive space for personnel to discuss change in processes.

Training Content and Approach

Training provided by:
- Al Buckley- Training
- OSP Driver for the Day-
  - OSP Specialist will be assigned to training sessions as Subject Matter Experts
- Maria Ortiz-Rodriguez- Manager

Resource Center will include:
- Access to training material built in RISE living in the RMS Resource Center including:
  - Business Flows
  - Huron Guides & Videos
  - RMS Job Aids for Step-by-Step process overview
  - RMS training videos and FAQs posted as we go

Live training delivered by:
- Live "virtual" sessions on Teams/ZOOM platforms
- On-demand sessions housed on GCA Intranet site
- Office hours (post-live only) by:
  - Al Buckley
  - OSP SMEs on rotation
- One-on-one session (post live only)
- Ad-hoc session (post live only)

Expectations of End Users:
- Ensure access to UMass Intranet and secure internet connection
- Commitment to attend training sessions
- Follow expectations set forth by training leaders
- Ask clarifying questions
- # of trainees per class
- Logging training hours
- Tracking training attendees

Training logistics to be considered:
- Management of communications to trainees
- Tools to measure trainee learning

Training Audience

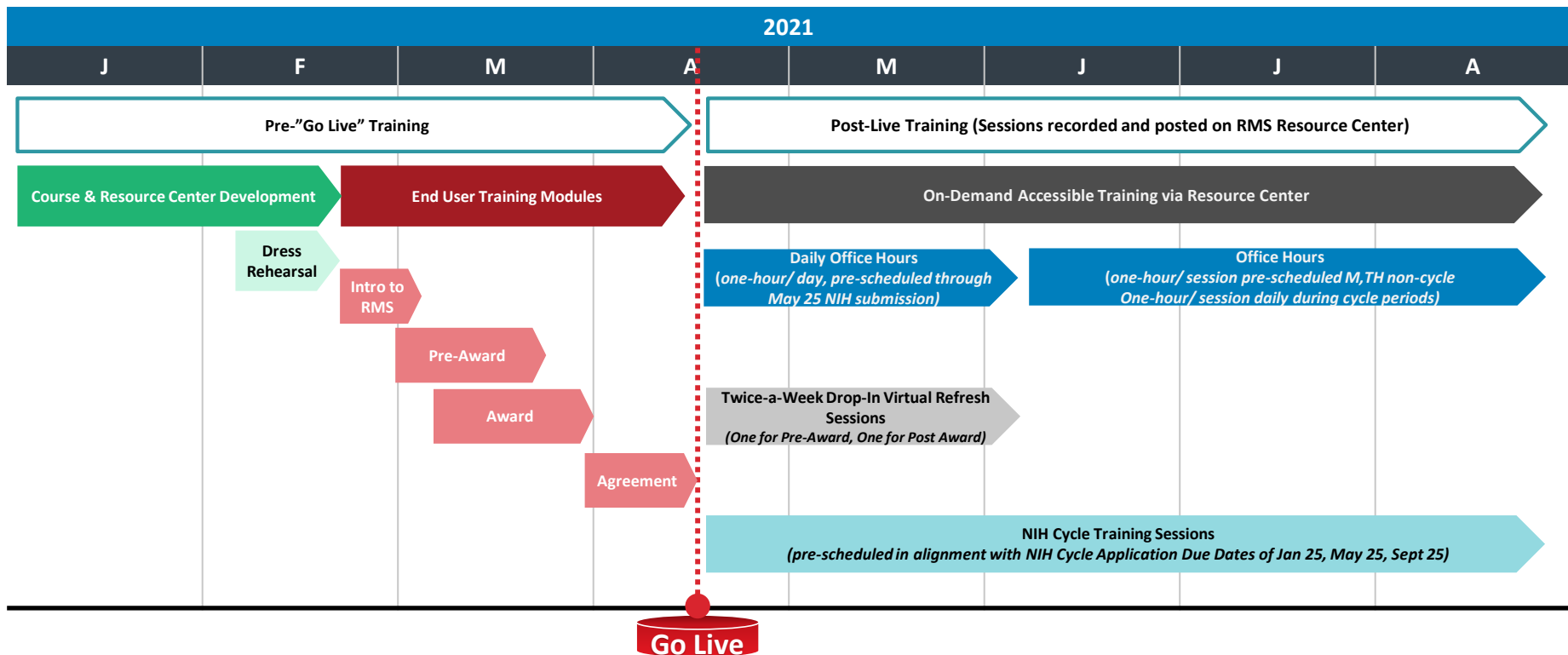| Description	Audience	Count
Executive Leaders, Project Sponsors, Center / Department Leaders	**Executive Leaders | Department Chairs**	TBD |52
Frontline researchers managing awards and grants, including supporting departmental/academic administrators	**PI | Department Administrators**	529 | 53
Staff that manage pre- award and award processes	**OSP**	10
Staff that support all financial processes related to award activities	**Grant Accounting**	10
Staff that provide both direct and indirect support to research management processes	**Department Staff**	~ 300
Representatives from the OCR and OTM that support research agreements	**Office of Clinical Research | Office of Tech. Management**	3 | 3
Additional individuals identified that support research activities	**Research Admin (IRB, IACUC, Compliance) |Other**	TBD

Expected Training Audience
450

Training Timeline

2021								
J	F	M	A		M	J	J	A

Pre-"Go Live" Training →

Post-Live Training (Sessions recorded and posted on RMS Resource Center) →

Course & Resource Center Development → **End User Training Modules** →

On-Demand Accessible Training via Resource Center →

Dress Rehearsal

Intro to RMS

Daily Office Hours
(one-hour/ day, pre-scheduled through May 25 NIH submission)

Office Hours
(one-hour/ session pre-scheduled M,TH non-cycle One-hour/ session daily during cycle periods)

Pre-Award

Award

Twice-a-Week Drop-In Virtual Refresh Sessions
(One for Pre-Award, One for Post Award)

Agreement

NIH Cycle Training Sessions
(pre-scheduled in alignment with NIH Cycle Application Due Dates of Jan 25, May 25, Sept 25)

Go Live

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March 2021

	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
March Week 2	**1**	**2**	**3**	**4**	**5**
A.M.		**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [8:00]* PI DA DS OSP	**COURSE 5: AWARD** *Set Up/Activate Award [10:00]* PI DA DS OSP	**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [10:00]* PI DA DS OSP	**COURSE 4: PRE-AWARD** *Complex Proposal [10:00]* PI DA DS OSP
P.M.	**COURSE 5: AWARD** *Set Up/Activate Award [1:00]*	**COURSE 3: PRE-AWARD** *JIT [1:00]* PI DA DS OSP	**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [3:00]* PI DA DS OSP	**COURSE 3: PRE-AWARD** *JIT [1:00]* PI DA DS OSP	**Make Up Session Wrap Up Week**
March Week 3	**8**	**9**	**10**	**11**	**12**
A.M.		**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [10:00]* PI DA DS OSP	**COURSE 3: PRE-AWARD** *JIT [8:00]* PI DA DS OSP	**COURSE 6: AWARD** *Change Award/ Mod. [8:00]* PI DA DS OSP	**COURSE 4: PRE-AWARD** *Complex Proposal [10:00]* PI DA DS OSP
P.M.	**COURSE 5: AWARD** *Set Up/Activate Award [3:00]* PI DA DS OSP	**COURSE 6: AWARD** *Change Award/ Mod. [1:00]* PI DA DS OSP	**COURSE 7: AWARD** *Subaward [1:00]* PI DA DS OSP	**COURSE 3: PRE-AWARD** *JIT [3:00]* PI DA DS OSP	**Make Up Session Wrap Up Week**
March Week 4	**15**	**16**	**17**	**18**	**19**
A.M.		**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [8:00]* PI DA DS OSP	**COURSE 6: AWARD** *Change Award/ Mod. [10:00]* PI DA DS OSP	**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [10:00]* PI DA DS OSP	**Course 8: AWARD** *Activate Complex [10:00]* PI DA DS OSP
P.M.	**COURSE 4: PRE-AWARD** *Complex Proposal [10:00]* PI DA DS OSP	**COURSE 7: AWARD** *Subaward [1:00]* PI DA DS OSP	**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [3:00]* PI DA DS OSP	**COURSE 6: AWARD** *Change Award/ Mod. [1:00]* PI DA DS OSP	**Make Up Session Wrap Up Week**
March Week 5	**22**	**23**	**24**	**25**	**26**
A.M.		**COURSE 6: AWARD** *Change Award/ Mod. [10:00]* PI DA DS OSP	**COURSE 7: AWARD** *Subaward [10:00]* PI DA DS OSP	**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [8:00]* PI DA DS OSP	**Course 8: AWARD** *Activate Complex [10:00]* PI DA DS OSP
P.M.	**COURSE 2: PRE-AWARD** *Simple/ Budget Dev [3:00]* PI DA DS OSP	**GA [NOON]** GA OSP	**COURSE 6: AWARD** *Change Award/ Mod. [3:00]* PI DA DS OSP	**GA [NOON]** GA OSP	**Make Up Session Wrap Up Week**

Thank you…. Questions?

New eRA Commons

Purpose

- eRA Commons, an online interface where grant applicants, recipients, reviewers and federal staff at NIH and other eRA partner agencies can access and share administrative information related to applications and awards, will see two of its main screens redesigned and launched in January 2021.

- The modernized home screen (log-in screen) and the landing screen (screen once logged in) will provide a simpler interface that reflects user feedback. The new look will also come with enhanced security and stability for the eRA Commons module.

New eRA Commons

New eRA Commons

- Key information will be front and center – eRA Service Desk contact info, links to register an organization, create an account, submit a reference letter, and learn more about how to use eRA systems via information on the eRA website.

- A significant change is that, once logged in, access to other eRA modules within eRA Commons will be through an apps menu at the top left of the screen.

New eRA Commons

New eRA Commons

New eRA Commons

New eRA Commons Login and Landing Screens

Resources

- Guide Notice NOT-OD-21-028

- Demonstration Video: New eRA Commons Login and Landing Screens

- Take a Sneak Peek: Redesigned eRA Commons Home Screen Coming in 2021 webpage

- Twitter Video

Login.gov for eRA Commons

- ***Transition Early to Use of Login.gov to Access eRA Commons, ASSIST, IAR and Commons Mobile***

- New two-factor authentication (2FA) login method to access those modules, before the mandatory **deadline of September 15, 2021** for all users

Login.gov for eRA Commons

Why is eRA using login.gov?

- The move is part of HHS's Reinvent Grants Management (RGM) Initiative to provide the applicant and grantee community the ability to log in to four different grants systems (eRA, Grants.gov, GrantSolutions and Payment Management System) using the same user name and password via login.gov.

- The overall goal is to eliminate duplication, waste, and reduce the burden on grantor and grant recipients. One of the ways the RGM team has worked together to achieve this is by providing a single credential experience across the grants ecosystem by implementing Login.gov.

- Login.gov uses two-factor authentication, and stronger passwords that meet new National Institute of Standards and Technology (NIST) requirements for secure validation and verification. By using login.gov, you'll get an extra layer of security to help protect your profile against password compromises.

Login.gov for eRA Commons

- Guide Notice NOT-OD-21-040
- Web page: Two-Factor Authentication: Accessing eRA Modules via login.gov
- Two-factor authentication video tutorials:
  - Two-Factor Authentication: Accessing eRA Modules via login.gov
  - What to Do If You Already Have a login.gov Account
  - What to Do If You Want to Switch to a Different login.gov Account

Continuing Resolution

Continuing Resolution

- Continuing Resolution or CR is based on the failure of Congress to pass appropriations bill by the end of the fiscal year. Instead Congress passes a CR to provide budget authority for federal agencies to continue operating until regular appropriations are enacted.

- Missing the October 1st deadline to enact all 12 appropriations bills is not unusual. The deadline has not been fully met since FY1997. Lawmakers have come to rely heavily on CR's. Since FY1998, 124 CRs have been enacted.

- Currently for FY2021 Congress and the current White House administration continue to enact CR's for appropriations that deal with a number of emergency funding provisions, including funding for the COVID-19 pandemic.

- How this translates to awards continuing procedures identified in NOT-OD-21-009 and NOT-OD-20-068 NIH will issue non-competing research grant awards generally up to 90% of the previously committed level. Upward adjustments to awarded levels will be considered after FY2021 appropriations are enacted.

Prior Approval Memo

Sent: Friday 12/18/2020

Dear Colleagues,

I am writing to remind you of the prior approval requirements for federally funded projects. You can find a summary tool here for easy reference.

Common NIH situations that would need prior approval are as follows and can be found in more detail here.

Change in Scope – indicators of a change may include, but are not limited to, the following:

- Change in the specific aims approved at the time of award.
- Substitution of one animal model for another.
- Change from the approved use of live vertebrate animals.
- Change from the approved involvement of human subjects that would result in an increased risk.
- Shift of the research emphasis from one disease area to another.
- Significant rebudgeting.
- Incurrence of research patient care costs if not previously approved by NIH.
- Purchase of a unit of equipment exceeding $25,000.

Second no cost extension
Carryover of unobligated balances
PI transfer
Foreign component added to a grant

Moving forward, it is imperative that prior approval be requested and obtained for indicated situations. They can be funneled through the Office of Sponsored Programs.

Questions & Comments

GCA Updates

- RAU – Next meeting Feb 11th at 1 PM
    - Research Management system update
    - Foreign updates
    - Advancement