UCI Office of Research
Research Administration

Quarterly Research Administration Meeting

September 10, 2024

Agenda

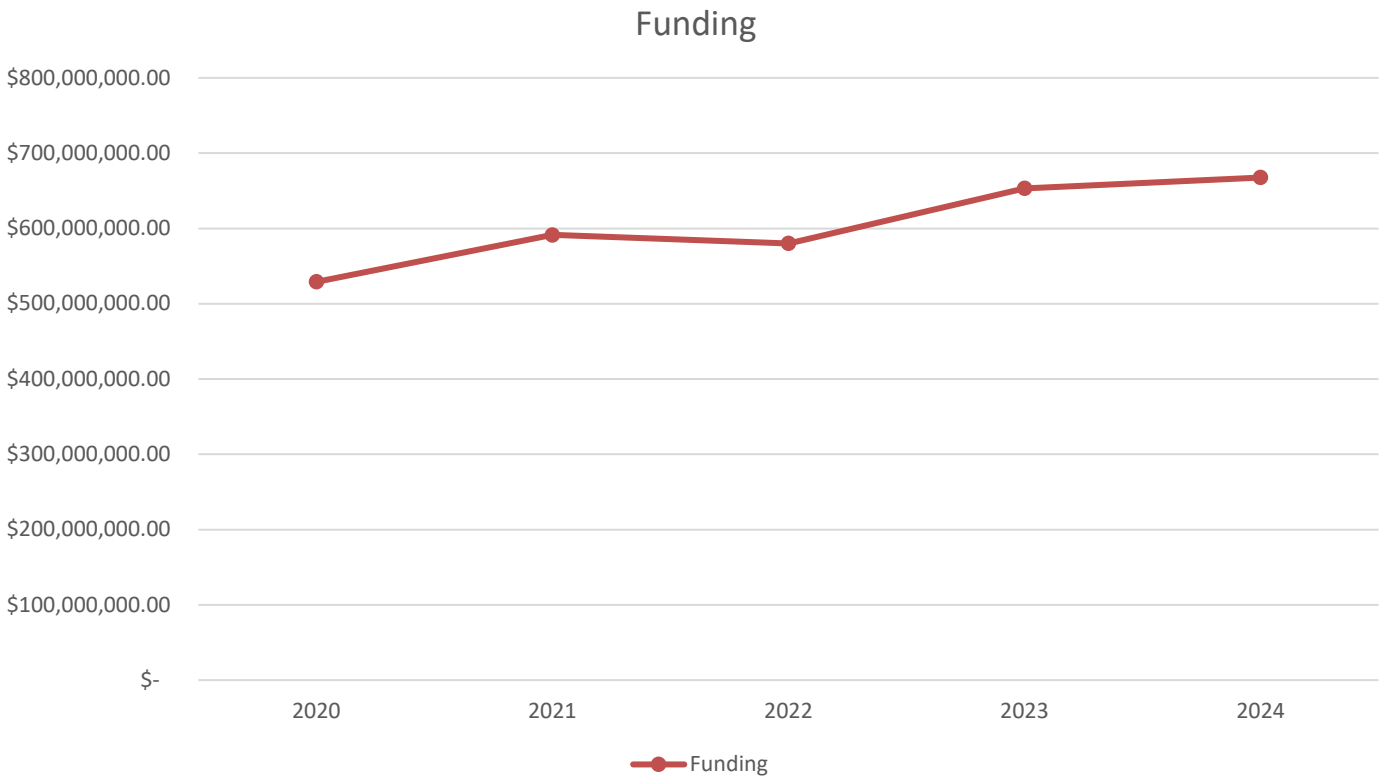
- Welcome
- FY 2024 Funding
- NCURA Annual Meeting Recap
- Area Updates:
  - ERA
  - Federal
  - Human Research Protections
  - Contracts & Grants Accounting
- Q&A and Closing

FY 2024 Funding Numbers

$667,789,497

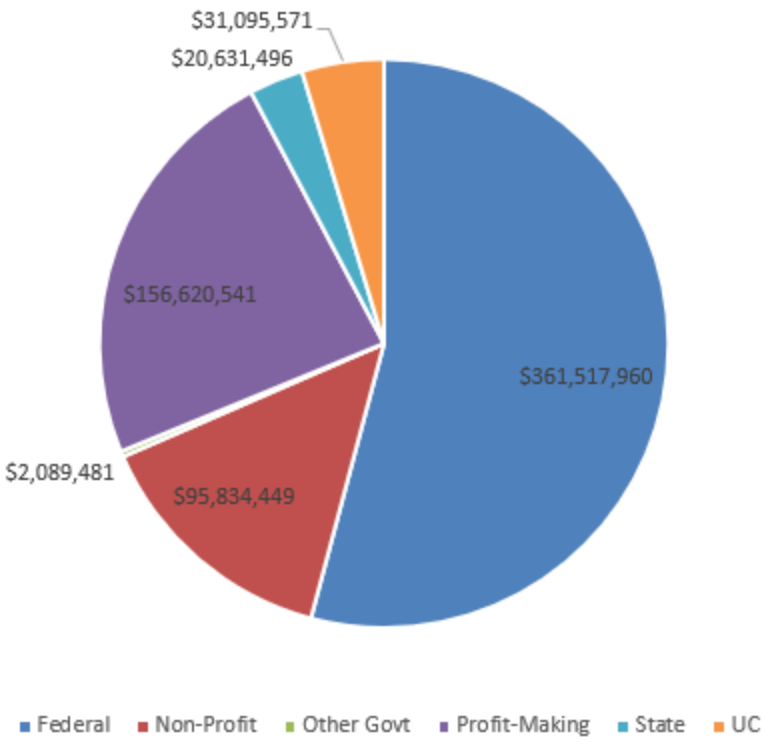
+2.2% over last year

FY 2024 Funding Numbers



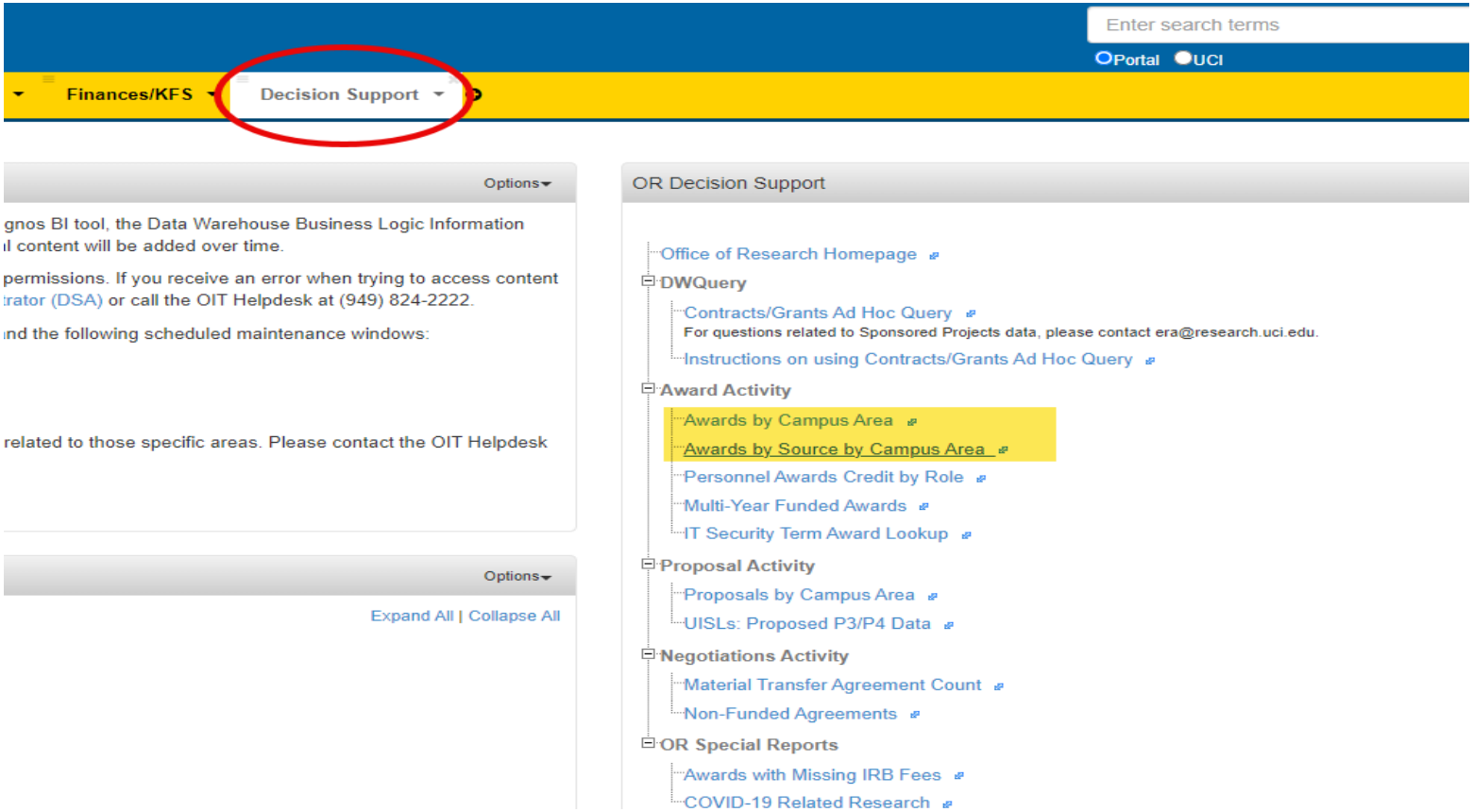
+26% over past 5 years

Breakdown by Source



Sponsor Category		Sum of Award Amount
Federal	**$**	**361,517,960**
Dept of Agriculture	$	1,424,899
Dept of Commerce	$	1,542,456
Dept of Defense	$	20,495,353
Dept of Education	$	9,907,387
Dept of Energy	$	15,838,822
Dept of Homeland Security	$	684,006
Dept of Interior	$	250,000
Dept of Justice	$	1,122,000
Health & Human Svcs	$	247,677,045
Housing & Urban Dev	$	343,244
Natl Arnactc & Spc Ad	$	5,077,184
Natl Fnd Arts & Hum	$	75,000
Natl Science Fnd	$	57,067,654
Smithsonian	$	12,910
Non-Profit	**$**	**95,834,449**
Other Govt	**$**	**2,089,481**
Profit-Making	**$**	**156,620,541**
State	**$**	**20,631,496**
UC	**$**	**31,095,571**
Grand Total	**$**	**667,789,497**

FY 2024 Funding Numbers



Questions on Office of Research Data?

Contact us at:

era@research.uci.edu

Breakouts

- 3-4 people
- 5 minutes
- Camera and mic ON!
- Introduce yourself
  - Name
  - Area
  - Role
- Highlight of your summer?

UCI Office of Research
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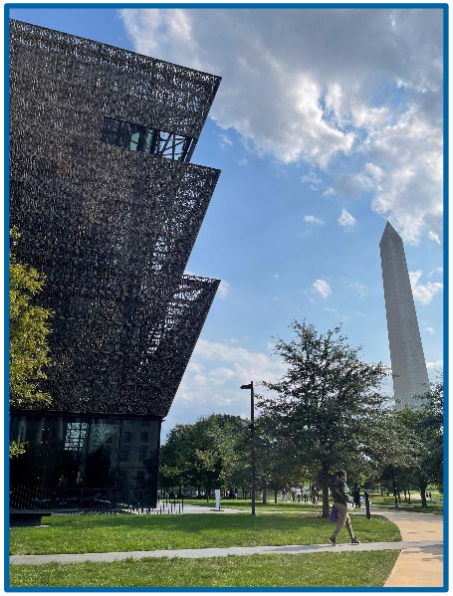
NCURA 66th Annual Meeting Recap
August 5-7, 2024
Washington, DC

Nancy Lewis

Recipient of the 2024 Robert C. Andersen Outstanding Achievement Award



About the Conference

- Program Topics
- Networking
- Conference Experience
- NCURA Resources
  https://www.ncura.edu/

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ERA Updates

Malign Foreign Talent Recruitment Program Certification

Barbara Inderwiesche, ERA

Nadia Wong, REC

Changes to KR Disclosure

What's Changing…

- KR COI Annual Disclosure ->

  KR Federal Disclosure and Certification

- Adding malign foreign talent recruitment program (MFTRP) question
- Labeling Conflict of Interest and Malign Foreign Talent Recruitment Program questions
- Contracts & Grants Officers will verify all Investigators are not participating in a MFTRP when required by the federal sponsor (NSF and DOD currently) prior to submitting applications
  - Investigators potentially participating in a MFTRP will be referred to Research Security & International Engagement
  - Status will show in KR PD Personnel tab along with COI status

Changes to KR Disclosure

What's NOT Changing…

- Conflict of Interest questions remain the same
- Responses to Conflict of Interest disclosure questions 1 and 2 will only be used when the federal sponsor has a conflict of interest policy (PHS, NSF, DOE, and NASA currently).
  - This is not an expansion of the conflict of interest disclosure requirements.
- Disclosure will still be required annually
- Contracts & Grants Officers will continue verifying all Investigators have an active Conflict of Interest disclosure on file for federal sponsors with conflict of interest policies

Changes to KR Disclosure

Implementation

- End of October 2024 timeframe
- Disclosures will become Incomplete.
  - ALL investigators submitting new federal proposals and participating on active federal awards will need to complete the new KR Federal Disclosure
  - Encourage your faculty to complete their new KR Federal Disclosure once implemented!!
- More information coming soon! Be on the lookout!

Questions?

NIH eRA Commons - JIT emails

Jonathan Lew, ERA

Automated JIT Request Notifications to be Retired on October 1st (NOT-OD-24-165)

- *Automated* Just In Time requests were sent out to all applicants that received an overall impact score of 30 or less - these emails could be misconstrued by an applicant as an indication of funding.

- *Official* Just In Time requests will continue to be sent directly by the GMO to the PI and SO.

- Reminder: the PI can upload and save the Just In Time information into the eRA Commons JIT module; however, only the SO can submit it.

Questions?

Updates to DocuSign 700U Form

Yui Saito, ERA

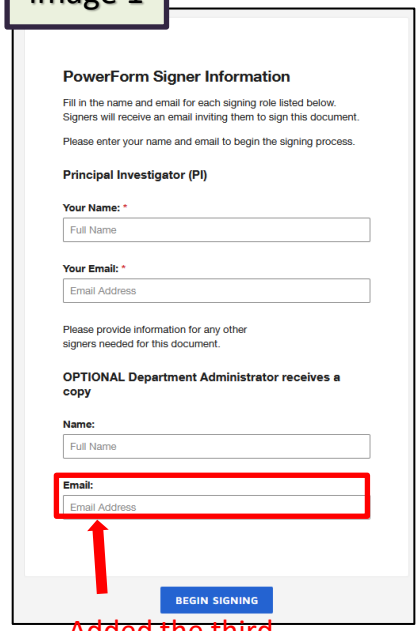
How the Discussion Started

- **Initial Discussion**:
  - During the RAU meeting, SPA explained their current workflow with the 700U form.
  - They manually send reminder emails to admins and PIs to forward the completed 700U DocuSign to them.
- **Proposed Solution**:
  - The process can be simplified by editing the routing options in DocuSign.
- **Key Blocker**:
  - Multiple groups within OR need the completed forms, and the routing depends on who initiates the form.
  - DocuSign has limitations on routing options.

Limitations of DocuSign

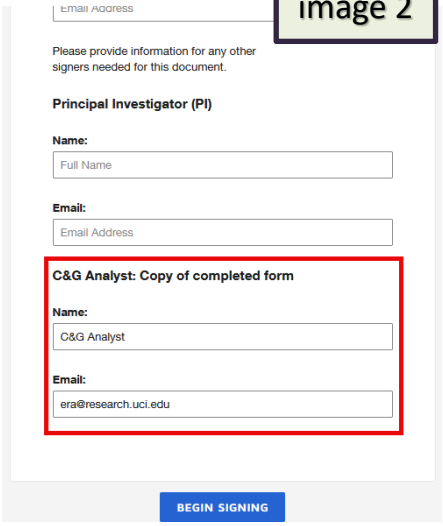
- Adding Recipients:
  - In DocuSign, recipients' fields can either be blank or pre-filled.
    - There is a risk of typos when manually entering the email addresses.
    - Pre-filled fields are not practical for our current process, which involves multiple potential recipients.
    - Pre-filled fields are not editable and are not visible on the Begin Signing page (see image 1)
      - Editable pre-filled fields can still result in typos (see image 2)
    - There is no option for choosing from pre-filled multiple choices.

image 1



Added the third recipient but it does not show

image 2



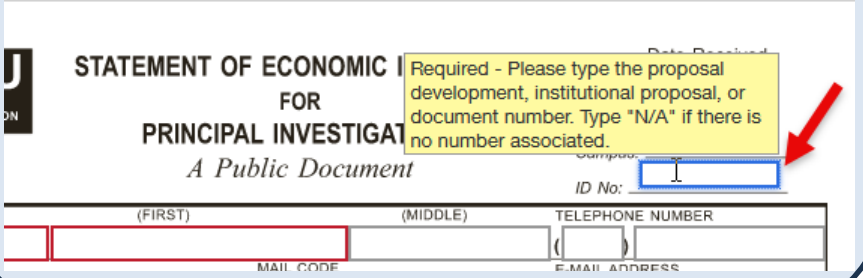
Improvements

Created a Dedicated Inbox for Completed Forms:

- **Access Control**:
  - Determined who will have access to the dedicated inbox.
- **Inbox Management**:
  - The inbox is used as data storage.
  - Attached PDFs are searchable within the Outlook email search box.

Added a Proposal Number field to the Form:

- The working group acknowledges that a proposal number may not always be assigned yet or not be applicable.
- The field is flexible and can accommodate different situations.



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Federal Update

Paul Lekutai
Director, Federal and Non-federal Sponsored Projects

2024 Revisions to the 2 CFR "Uniform Guidance"

- § 200.1 Equipment (Revised Definition) Increased threshold from $5K to $10K
- § 200.1 Modified Total Direct Cost (MTDC) Subaward threshold (Revised Definition) Redefines MTDC to include up to the first $50K (previously $25K) of each subaward and exclude any amount in excess of $50K.

These changes won't be implemented until we have a new negotiated F&A rate agreement that includes the new MTDC base.

2024 Revisions to the 2 CFR "Uniform Guidance"

- § 200.414 Indirect Cost Increased de minimis rate from 10% to 15% MTDC.

This new 15% de minimis indirect cost rate should be applied to all new awards executed on or after October 1, 2024.

For proposal budgeting purposes, you should start using 15% now for any subawardee who doesn't have Negotiated Indirect Cost Rate Agreements (NICRA).

For existing awards, please continue to use 10%.

NSF Award Terms and Conditions

- The NSF Award Terms and Conditions have been updated to implement the revised 2 CFR published in the Federal Register on April 22, 2024, by the Office of Management and Budget. As part of its implementation strategy, NSF has archived the Research Terms and Conditions (RTC) and the NSF Agency Specific Requirements. The revised award terms and conditions will apply to new NSF awards and funding amendments to existing NSF awards made on or after October 1, 2024.
- The NSF Prior Approval Matrix has been updated: https://www.nsf.gov/bfa/dias/policy/gc1/priorapprovals/oct24.pdf

- Please register for the Revision of NSF Award Terms and Conditions Implementing Revised 2 CFR webinar on Thursday, September 12, at 2:00 PM EDT.
  - Information regarding this webinar was sent out via CGNews listserv last Friday.

Clarification on the revised F&A rate agreement

- This is not a new Negotiated Indirect Cost Rate Agreement (NICRA).
- Our indirect cost rates are still the same (57% On-Campus/26.00 Off-Campus for Organized Research, etc.).
- This revised letter now includes FY25 CBR rates.
- There are no changes in guidance on budgeting for proposals which is consistent with UCI Cost Accounting website. Please continue to follow our guidance on the website: https://research.uci.edu/sponsored-projects/employee-fringe-benefits/

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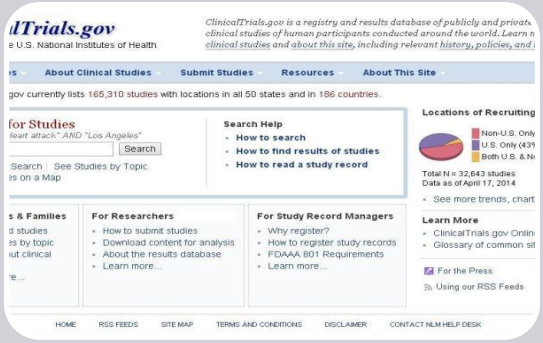
UCI University of California, Irvine

QRAM Summer 2024 Human Research Protections Updates

Anu Mathur, MS, CIP
Education and Quality Improvement Program (EQUIP) Manager
Human Stem Cell Research Oversight Committee (hSCRO) Manager
Human Research Protections
Office of Research



It is critical that all UCI ClinicalTrials.gov records are accurate and compliant!

The **FDA** has now ***publicly posted*** their [Pre-Notices for Potential Noncompliance]

Due to an [OIG audit], **NIH** has also ramped up sending **notifications of potential non-compliance**.

NEW!! ClinicalTrials.gov Registration Decision Tool

What? A NEW **ClinicalTrials.gov Registration Decision Tool** is now available!

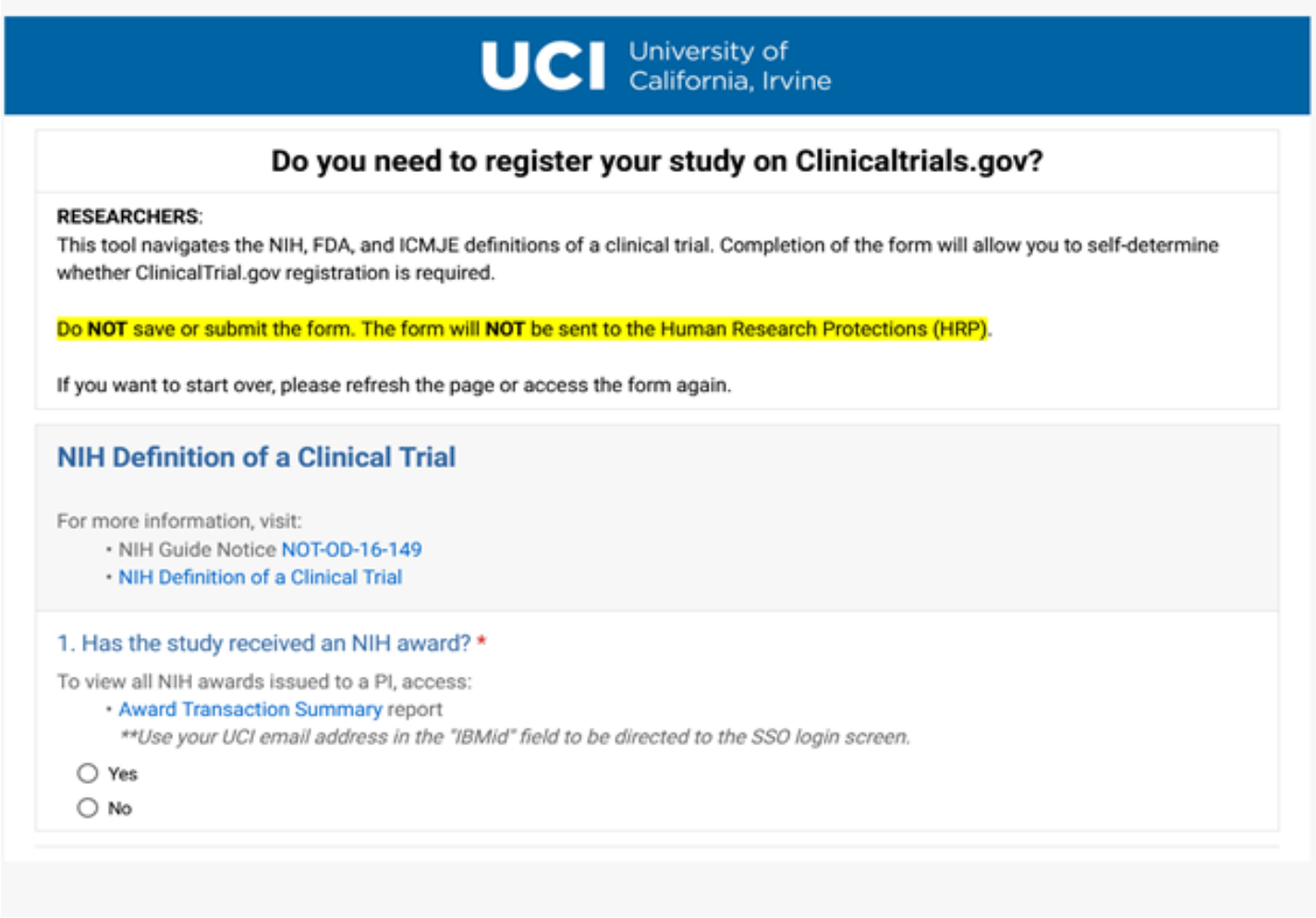
Why? To provide step-by-step guidance to help determine whether a study should be registered on ClinicalTrials.gov.

Where? On the HRPP main ClinicalTrials.gov webpage.

→ **Single Sign On (Duo)** requiring you to **log in with your UCInetID**.

→ Smart form - answer to each question determines the question/section that appears next.

→ Please do NOT save or submit the form.



UCI University of California, Irvine

Do you need to register your study on Clinicaltrials.gov?

RESEARCHERS:
This tool navigates the NIH, FDA, and ICMJE definitions of a clinical trial. Completion of the form will allow you to self-determine whether ClinicalTrial.gov registration is required.

Do **NOT** save or submit the form. The form will **NOT** be sent to the Human Research Protections (HRP).

If you want to start over, please refresh the page or access the form again.

NIH Definition of a Clinical Trial

For more information, visit:
- NIH Guide Notice NOT-OD-16-149
- NIH Definition of a Clinical Trial

1. Has the study received an NIH award? *

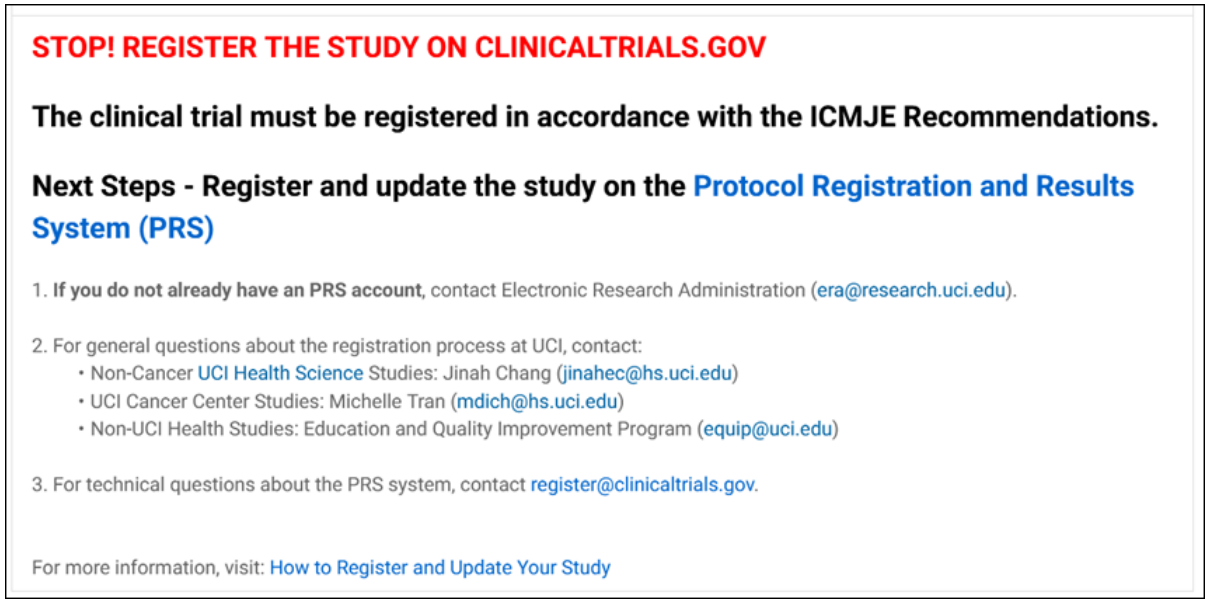
To view all NIH awards issued to a PI, access:
- Award Transaction Summary report

***Use your UCI email address in the "IBMid" field to be directed to the SSO login screen.*

- ○ Yes
- ○ No

- If this section appears, it indicates that your study is NOT likely required to be registered on CT.gov:

- If this section appears, it indicates that your study is likely required to be registered on CT.gov:



HELP is available!

Technical difficulties
Contact ERA:

email the ERA team at
era@research.uci.edu

ClinicalTrials.gov registration requirement questions:

UCI ClinicalTrials.gov guidance

email the EQUIP team at
EQUIP@uci.edu

EQUIP Office Hours:
Tuesdays 2pm and Fridays 11 am

NEW consent templates available on the IRB Forms page!

- The updated templates are for immediate implementation.
- Researchers should revise their consent forms, as necessary, considering the current state of their research.

e-Consent Rights

The Federal Electronic Signatures in Global and National Commerce Act ("eSIGN") and California's adoption of the Uniform Electronic Transactions Act ("UETA") were intended to facilitate the use of electronic systems to document legal transactions.

Under these acts, there are **specific rights that must be stated in the electronic consent form**. These rights have been added to the new consent template.

If a human research study will definitively not use electronic consent, the additional language does not need to be included in the consent template.

This Photo by Unknown Author is licensed under CC BY-SA-NC

HRP new mailing address!

The HRP have been 100% remote since March 2020. We maintain a mailing address, which includes space for the Vice Chancellor for Research's office. That physical office is moving.

To avoid future changes, we are simplifying the mailing address to exclude the street address.

University of California, Irvine,
Office of Research
Irvine, CA 92697-7600

QUESTIONS

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Contracts & Grants Accounting

Alice Han

Director, Extramural Funds Accounting

Agenda

- Contracts and Grants Accounting staff update
- NSF Award(s) with Canceling Funds
- Indirect cost rate
- C&G accounting training

Staff Update

- Effective 9/9/2024: New Director of Extramural Funds Accounting- Alice Han
- Open position: Contracts and Grants Accounting Manager

UCI Office of Research
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NSF Award(s) with Canceling Funds

From: DFM Payments and Analytics Branch
Sent: Monday, September 2, 2024, 8:03 AM
To: University Of California-Irvine
Subject: NSF Award(s) with Canceling Funds

Dear Awardee:
This email is to notify you that your organization has National Science Foundation (NSF) award(s) with appropriations that will be canceled this fiscal year. In accordance with 31 USC 1552(a), the appropriations will be canceled by the U.S. Department of Treasury after September 30, 2024, and **will not be available for obligation or expenditure for any purpose thereafter.**
Although the official canceling date is September 30, 2024, ACM$ will only be available for drawdown transactions until 2pm EDT on Monday, September 23, 2024, to allow NSF to financially close for the fiscal year.
Your institution may incur allowable costs against funds that will cancel this fiscal year through the award end date or September 30, 2024, whichever comes first. However, you must drawdown these funds before the ACM$ deadline of 2pm on Monday, September 23, 2024. Failure to do so before the ACM$ deadline will result in the cancellation of those funds, and they will be returned to the U.S. Treasury.
As of the date of this notification, the following awards have unliquidated funds that will cancel at the end of this fiscal year. Please review these awards and alert the appropriate principal investigator (PI), project director, or other project support staff for their attention.

Indirect cost rate

Use the same rates and conditions as those cited for fiscal year ending June 30, 2023.

Click here for the details from SPA website.

C&G Training

COURSE #1 (CGS 1) Introduction to Fund Management
Thursday, October 03, 10:30 a.m. – 12 p.m.

COURSE #2 (CGS 2) Direct vs. F&A
Tuesday, October 08, 10:30 a.m. – 12 p.m.

COURSE #6 (CGS 6) Ledger Reading and Award Closeout
Thursday, October 10, 10:15 a.m. – 12 p.m.

Available in UCLC as an e-Course

COURSE #3 (CGS 3) General Error Correction (GEC)/Cost Transfers
COURSE #4 (CGS 4) Payroll Certification
COURSE #5 (CGS 5) Cost Sharing

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See you next time!

December 11, 2024