

SRAS Steering Committee Minutes

4/12/2018

Present: Alan Daugherty, Jim Geddes, Beth Garvy, Larry Goldstein, Anne Wray, Beverly Baesler, Teri Walters, Susan Stark.

Dr. Larry Goldstein, Chair of the Department of Neurology, was welcomed to the committee.

Dr. Alan Daugherty briefed the group on the issue that had occurred recently regarding potential non-compliance with NIH guidelines on how investigator salaries are stated in the “base salary” field of detailed-budget grant proposals when they exceed the NIH salary cap. In the “base salary” field, either the actual salary can be included or the field may be left blank. Including the current NIH salary cap in this field isn’t an option offered by NIH. The budget request should be based on the current salary cap. OSPA supports this. Subrecipients may follow other guidance, based on their institution’s preference, which is okay.

Dr. Daugherty also shared some recent concerns expressed by a couple of departments regarding the providing of a department name for NIH applications in order to be fully recognized in NIH data that is collated by in the Blue Ridge rankings. In some cases, College of Medicine departments do not have a corresponding department name in the NIH systems. There was some discussion amongst the group about how these rankings are used. Dr. Goldstein mentioned that in addition to supporting those faculty in centers to use their academic home department on NIH proposals, he had asked faculty in his department to contact NIH Reporter and have the department associated with their funded grants changed in order to ensure all were counted as Neurology awards. SRAS GPSs will continue to advise on this process and prescribed options at the proposal stage, as they have been doing. If they choose, it would be up department chairs to advise their faculty to have department information changed on active projects via Reporter, as that can only be requested by a PI directly.

Dr. Jim Geddes informed the group on the agreed upon prescribed faculty effort levels expected on certain types of sponsored research proposals. This information has been agreed upon by the Council of Chairs and the Dean. Once in written form, Dr. Geddes will provide this information to Susan so it can be posted to the college’s website and shared with the SRAS GPSs. The GPS will then be able to advise PIs accordingly at the proposal budget development stage, ensuring compliance with college standards.

Dr. Daugherty and Dr. Beth Garvy were in attendance at the recent quarterly COM Research Administration meeting to hear the presentation on the new IACUC Congruency process by Kim Carter, OSPA, Veronica Taylor, OSPA, and Noe Tirado-Muniz, Office of the Attending Veterinarian. Both Dr. Daugherty and Dr. Garvy agreed there is a need for additional training for faculty on this process, as well as concerns about the timeline, whether it’s necessary at the JIT stage or prior to the expenditure of funds. There will likely be additional/on-going discussions about this. SRAS will bring to Dr. Daugherty’s and Dr. Geddes’ attention any instance where this is causing a delay in a JIT submission for their consultation.

Susan Stark reported on the SRM follow up she had completed since the previous Steering Committee meeting. The purchasing pilots in the UKHC AP/Accounting Office remain on-going, per discussions with Amy Longeway, as the BEST initiative is continuing. Craig Locke with Campus Purchasing provided via email some preliminary information on likely forth-coming enhancements (replacements) for SRM that

would appear to provide greater reporting opportunities as well as facilitate a true reconciliation process. Dr. Geddes has said he's asked for a meeting soon with Campus Purchasing to discuss more about these plans.

For context, Susan provided two months of figures on the amount of overtime removed from grants each month vs. the amount of purchases made via SRM for comparison. Research Financial Services considers overtime to be an unallowable expense and requires it be moved on a timely basis, preferably monthly. SRM transactions are not currently part of any standardized/consistent reconciliation process in the COM. For January, overtime removed was .3% (\$14,473) of personnel expenses; SRM expenses were 16.15% of non-personnel expenses. For February, overtime removed was .16% (\$8,221) of personnel expenses; SRM expenses were 15.67% of non-personnel expenses. Approximately 1.0 FTE in SRAS is devoted to keeping up with preparing, reviewing, and signing the overtime JVs.

Susan provided the following SRAS staffing updates.

- The newest GPS, Holly Hammond, started in January. It took two postings to fill this vacancy. Her hire was related to Drew Speer's promotion to fill Mariann's retirement in September.
- Interviews are scheduled this week for the GPS Vacancy created by Michael Miles departure. Michael left to take a position in the College of Nursing.
- Lauren Brown has been promoted to Sr. GPS, via a reclassification of her position. Susan expressed appreciation to Bev for suggesting reconsideration of this option.
- For the Reconciler vacancy created by Tish Roussos departure in January to take a position in OSPA, use of a temp via STEPs has been in place. This arrangement seemed reasonable with the BEST activities underway. It was determined, however, to go ahead and post the vacancy after all, as it's expected that Reconciler positions will remain even with BEST recommendations. This position is in the PM queue to be posted.
- One of the Grant Analyst Associates has submitted her resignation. Related to the BEST initiative, changes to this position will likely be occurring. Susan is working with the Post-Award Manager on plans for covering the work of this vacancy as well as discussing plans with HR and Compensation for how to move forward.

Susan provided a BEST Update related to Post Award. The Post Award Implementation Team completed a review of roles and responsibilities. This included a review of tasks related to post-award and making preliminary assignments of who's responsible for each – PI, DA, or the new post-award/GMS position. The new position is proposed to be established with some additional FTEs designated within the shared service unit/SRAS and some department based. Following this review, another team took on the review of some of some specific post-award processes:

1. Account Creation and Pre- to Post-Award Handoff
2. Outgoing Subcontract Set up
3. Reporting and Projections
4. Subcontract Invoicing, Renewals, and Amendments
5. Payroll Distribution Review and eCRT
6. Grant Related Expenditure Reconciliation
7. Annual Progress Report Submission
8. Grant Close Out Process

Huron is finalizing drafts of the maps of each of these processes for review by Dr. Jim Geddes, Roxie Allison, and the newly established DA Council. A draft Service Level Agreement, which outlines the details of the work and tasks of post-award, and specifically addressed how it would be allocated between/among the SRAS and DA/PI/Dept., is currently being written by Susan Stark and Julie Combs, with Huron's guidance. This is something that was not done with initial shared service/IBU arrangements.

Susan reported that the SRAS staff will begin piloting work from home for several staff in the next week – two pre-award, two post-award. It should be seamless from DA and PI perspective, one day each per week. This is being explored in an attempt to be better prepared as space becomes more of an issue. For example, SRAS is having to loan two currently vacant cubicles to ENT for 6-9 months (or more). The staff working from home have been set up with laptops with docking stations, Kronos set up to clock in on that laptop from home, and will have the use of virtual phone on the computers so the UK/Work phone will "ring" and be accessible from the laptop. The only anticipated cost related to CNS fees to connect the virtual phones.

Arrangements will be forthcoming for a next SRAS Steering Committee meeting in July.

Respectfully submitted,

Susan Stark