SPA/SPAC Updates

Wednesday, August 21, 2024

2:30PM

SPA Agenda

- Personnel Updates
- Contact Us
- Kuali Build Updates
- Team Updates
  - Research Security Updates
  - Proposal Team
  - Incoming Contracts Team
  - Team State
  - Outgoing Subaward Team
- After the Fact Routings
- Compliance Checks
- Coming Soon!

SPA Personnel Updates

- New Hires
  - Stephanie Brandal – Research Security Specialist
  - Stephanie Portee – Subaward Compliance Administrator
- Several Current Vacancies and Soon to be Vacancies
  - 1 current vacancy on contracts team, Ezinne Onwuegbu leaving SPA as of 9/6/24
  - Assistant Director (Jeanne Galvin's position)
  - Acting AVP (Danielle's position)
- Active Postings
  - Contracts Administrator III
  - Coming Soon
    - Assistant Director
    - Director

Contact Us

For contact information and information on the responsibilities for each team please check out: https://www.umaryland.edu/spa/spa-contact-us/

- Team Red/Team White emails are no longer in use

Kuali Build updates

- Award Modification
  - 34 completed since go-live July 1; 30 more in progress
  - Use when the original proposal addressed all years of funding
    - Competing continuations and other modifications
    - Sponsor-approved agreement amendments
- No cost extension Request
  - 13 submitted since go-live for entire campus on 8/1
  - Use for requests for NCE (if already sponsor-approved, use the Award Modification to send to SPA)

Kuali Build updates

- New field in all forms: enter your distribution list (DL) or shared email
  - This will cue the SPA reviewer to include the DL on correspondence about the action
  - This does NOT affect who can see the form in KB, who receives KB notifications, etc.
- New fields in Award Mod & NCE: Sponsor contact name and email address

Research Security Program

- [Guidelines for Research Security Programs at Covered Institutions](#)

- Proposal Team – Standard Operating Procedure for research security / export control review

- Policy on Malign Foreign Talent Recruitment Programs – pending

- Updates to the [website](#)

Data Use Agreements

- Research Security Manager to partner with Contracts Team in the review and execution of data use and sharing agreements.

Proposal Team

General Guidelines

1. SPA's guideline for routing of proposal. All proposals should be routed to SPA 5 days before they are due. This has been on SPAs website for many years, it is not a new procedure.

2. (NEW) We are asking departments to add three Blank Attachments in the internal attachment section of the proposal. This will allow items to be updated without having to recall the proposal. You can upload a blank PDF into these spots.

3. The SPA Proposal Team has 24-48 hours to respond to emails. If you need a response earlier, please put Urgent at the beginning of the subject line of the email. If an email is meant for a specific person then contact that person and not the Team Email. If you receive an out of office message, then feel free to contact the Proposal Team email (SPA-Proposals). If you haven't received a response back with the 24-48 hour window then escalate to the Team Email.

Proposal Team

1. Proposal Deadline Dates – Please put the **actual** deadline date of when the proposal is due to the Sponsor. If the department needs the proposal to be submitted earlier, please work with the person assigned to the proposal.

2. Be mindful when naming your attachments for a system-to-system submission. Some sponsors require the attachments to be named a certain way and if you differ then it will create an error or cause the proposal to be rejected. **Quick tips: The longer the file name, the more likely it will cause an error. When naming please do not use spaces or special characters.**

Proposal Team

DOD Applications

- Upload the Pre-Application to one of the Internal Attachment place holders that you created, so we can verify the information that was submitted.
- Verify that the Authorized Official on all Pre-Application should be Christine To'alepai. KR will automatically put Christine's name on the system to system application of the full proposal.
- Remember that everything that goes into the attachment section (Except the budget justification) needs to go in the reverse order and then when you print up the attachment section everything will appear in the correct order.
- If there is a not applicable attachment between two needed attachments then a placeholder must be added to ensure proper spacing of the attachments and it will need to be named after the attachment that would appear in that spot.
- Remember every application will need a Sponsor Proposal ID Number that is assigned when the Pre-Application is created, and if you are partnering PI on a DOD the Sponsor Proposal ID Number will be followed by a P1.
- In the attachment section of the proposal, in the description box you should have the name of the attachment (Ex: Statement of Work).

Incoming Contracts Team

- Interviewing for SPA contracts administrators
- *NEW* contracts team assignment process
- Email notifications for contracts team assignments are being updated

Team State - Updates/Topics

- Guidelines for Submitting Team State

Proposal & Contracts

- Correspondence with Team State Protocol

- Best Ways to Get in Contact with Team State

- IPA Submissions – Overview & New VA IPA Requirements

- Question Time!

Team State – Guidelines for Expediting State Proposal & Contracts

- Items that need to be signed should be in a PDF format.

- Provide contact information (Name, email, phone#) for documents that need to be created, signed and/or sent to sponsor. ie.
  - Letters of Intent
  - Pre-award Post Proposal submission inquiries
  - Contract negotiations
  - etc.

- Every proposal should include RFA/ guidelines/letters from sponsor in the KR Attachments Internal Tab

kuali RESEARCH

Team State - Correspondence with Team State Protocol

- Use the Team State email for day to day processing tasks of proposals and contracts.

    SPA-TeamState@umaryland.edu

    Individual Team State personal emails can still be used for inquiries and matters that need further discussion.

    Do not send the same requests to both email addresses

    Prioritize using <u>just</u> the Team State email

ALWAYS include KR proposal development number or IP#s in the subject line of ALL correspondences.

   If you don't know either, use the Project ID

Team State - IPA Submissions – Overview

- Team State IPA Main Contact: Gabrielle Wolff

- KR Questionnaire: IPAs, are always a contract, please mark yes

- For VA IPAs - timeline for applications: submitted at a minimum of 60 days prior to the start date of the IPA.

- F&A is not allowed for VA & BREF IPAs

  – This is a *VA-specific requirement*, **not a federal-wide requirement**

Have a non-VA IPA? Wish to have no F&A?
Then you need:
- Internal FXed F&A waiver letter OR
- Letter/instructions from sponsor expressing that this is sponsor's requirement for the project the IPA is for
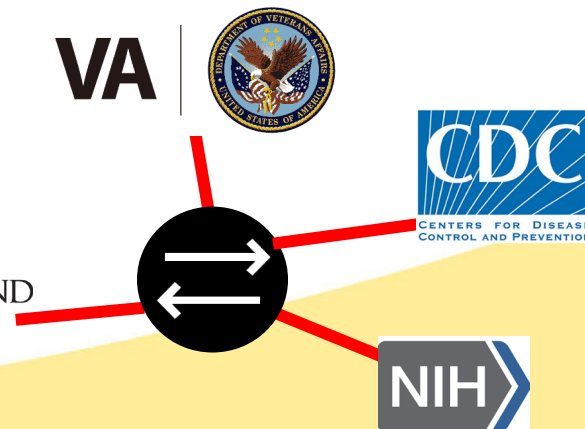
Team State - IPA Submissions – VA New Requirements

As of 7/29, The MD VA has a new HR Group reviewing/signing the IPAs UMB sends to Tim Foley/BALResearchIPA.

Currently IPA applications need: (prior in black, new in red)

- OF69 form
- VA IPA Worksheet
- The applicant's Resume/CV
- OIG Exclusionary search results
- OF178 form
  - Just needs the duties filled out at the bottom of page 2, box 3
- a letter or email attesting that the employee is in a non-temporary position for at least 90 days
  - from the applicant's supervisor/dept head, etc.
- IPA now need to be dated for 2 years
  - Want dated less than 2 years? Then once we submit, Tim Foley has to get a waiver from the VA, to then proceed with the IPA.
  - Tim has stated that this getting the waiver can possibly make the PO take longer to get.

Team State - Best Ways to Get in Contact with Team State

Have issues/questions? No email reply?
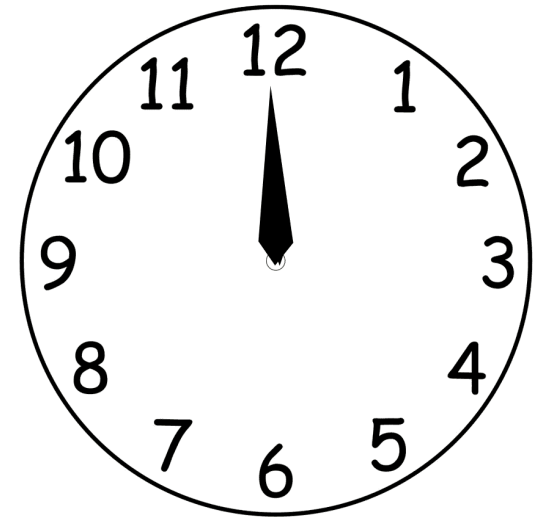Please call!
We'd love to hear from you!
We're just a phone away!

Richard's #: 410-706-8054
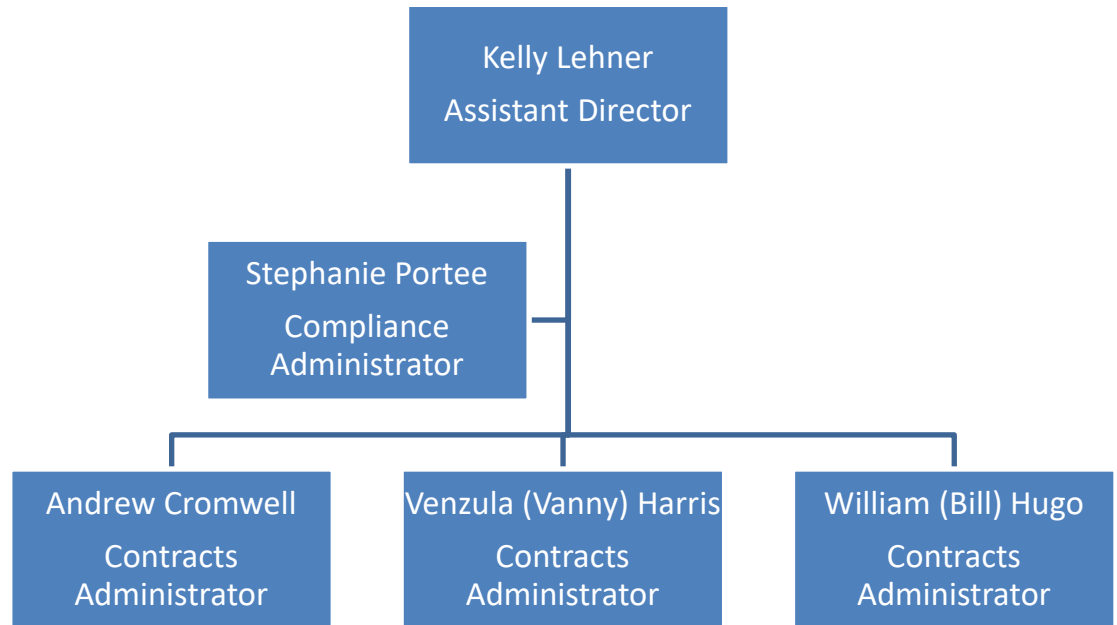
Gabrielle's #: 410-706-5480

Team State – Question Time!

SPA Outgoing Sub Team

KB Request Volume	
May 2024	78
June 2024	51
July 2024	97
August 2024*	64
*as of 8/18/2024	

Kelly Lehner
Assistant Director

Stephanie Portee
Compliance Administrator

Andrew Cromwell
Contracts Administrator

Venzula (Vanny) Harris
Contracts Administrator

William (Bill) Hugo
Contracts Administrator

New Fields in KB

- Sole Source Justification Field – required for subs issued under Federal contracts.
- More information can be found here: https://www.umaryland.edu/spa/collaborations-and-subrecipients/subrecipient-agreements/sole-source-justification-faq/
- Why?
  - FAR contains no distinction between subawards and contracts (vendor agreements)
  - 52.244-2 requires that FAR-based procurement processes be applied to all subcontracts
    - Cost/Price Analysis
    - Open competition/sole-source determination

After-the-Fact Routings

- ## What is an After-the-Fact Routing?
  – An after-the-fact routing is an agreement or award that resulted from a proposal that was submitted to the sponsor without SPA review and/or approval. In addition, there are some cases in which a PI may have conversations with a sponsor and the sponsor makes a verbal or written (via draft contract or email) guarantee of funding. Proposals, agreements and any other documentation previously signed by the PI or equivalent are non-binding and invalid by UMB standards.

- ## What do you do?
  – In all cases involving after-the-fact routings, the Department should create a proposal in Kuali Research, answer compliance questions, and upload the minimum required documents (SOW, Budget, Draft Agreement, Funding Announcement, etc.) to trigger SPA review. The Department should also upload any relevant correspondence between the PI and sponsor or the draft agreement (if applicable).

After-the-Fact Routings should be kept to a minimum. Many of the questions/certifications in KR are required in order to comply with Federal regulations.

Compliance Checks

- Contracts team currently asks for verification of IRB/IACUC protocols during contract review/negotiation
- SPA will start doing spot-checks with the IRB/IACUC office to verify that those protocols are valid for the current agreement
- Eventually, SPA will be verifying protocols with IRB/IACUC for every agreement, including grants

Coming Soon!

- Updated Uniform Guidance - October 2024
- NIH Updated Application Forms (FORMS-I) for application submitted for due dates on or after January 25, 2025
- NIH's Adoption of Common Forms for Biographical Sketch and Current and Pending (Other) Support by May 25, 2025 (https://grants.nih.gov/grants/guide/notice-files/NOT-OD-24-163.html)

One Last Thing!

SPA Book Club!

Join us as we read/discuss *Demystifying the Academic Research Enterprise.*

Next session is: Thursday, October 17, 2024.

For more info and to register please visit:
https://www.umaryland.edu/spa/research-administration-training/spa-book-club/