February 24, 2021
Research Administration Forum
Zoom etiquette reminder

• Please keep yourself muted unless you are actively speaking

• If you have a comment/question, please type it in the group chat and a facilitator will call on you as soon as we can

• Sessions are recorded and may be made available for future reference
Agenda

- Conflict of Interest (COI) at time of proposal
- Subaward Process & Revised Forms
- Zoom Meeting Attendance Best Practices
- Open Discussion/Q&A
CONFLICT OF INTEREST (COI) AT TIME OF PROPOSAL
COI Investigator

• A COI Investigator is “any person who is responsible for the design, conduct or reporting of Research.” This includes all persons who are responsible for the design, conduct or reporting of Research regardless of their title, employment status and percentage of effort.

Federal Regulation:

42 CFR 50 subpart F(c)(1) Require that by the time an application is submitted to PHS each Investigator who is planning to participate in the PHS-funded research has submitted to the designated official(s) a listing of his/her known Significant Financial Interests (and those of his/her spouse and dependent children):
UAR Routing Changes

- New Custom Data Question: Have all COI Investigators been identified either in proposal Key Personnel OR via COI Investigator template attachment?

Departments/Colleges must verify each COI Investigator has a current annual disclosure at the time of proposal submission.

Response: Yes/No
UAR Routing Changes

• New Attachment Type: Additional COI Investigators

For additional Conflict of Interest Investigators that are not included in the contacts tab of the UAR proposal.

• New Question: Is funding for additional scope of research project?

Response: Yes/No
Relevant Links:

- **Conflict of Interest Investigator Definition**
  Who qualifies as an Investigator?
  https://rgw.arizona.edu/compliance/conflict-interest-program/faqs

- **COI Investigator FAQ for Business Managers**
  https://rgw.arizona.edu/compliance/conflict-interest-program/coi-information-business-managers

- **42 CFR 50 Subpart F**
  https://grants.nih.gov/grants/compliance/42_cfr_50_subpart_f.htm

- **COI Investigator Dashboard**
  https://analytics.uaccess.arizona.edu/analytics/saw.dll?Dashboard
Coming Soon!

- Change of Scope Definition
- Additional COI Investigator Template
SUBAWARD PROCESS & REVISED FORMS
Meet the Team

**Subaward Services – Sponsored Projects & Contracting Services**

- **Manager:** Brandi Gaulin
- **Admin:** Aileen Quezada (presenter)
- **Admin:** Susanne Borchalouei (presenter)
- **Admin:** Deborah Holmstrom

- **Contract Officer:** Melissa Kramer
Goals

- Subaward Definition
- Subaward Process
- Revised forms for Subaward Submission
- Q & A
What is a Subaward?

- Subaward – legal agreement by which UArizona provides **outgoing** funds to a subrecipient to perform a portion of the sponsor supported project (grant, cooperative agreement or contract).

- Subrecipient – an outside entity receiving funds to collaborate with UArizona to perform a portion of a project and is closely involved with **programmatic decision-making**
Subaward Process

1. Department / PI Initiation
2. Subaward Review
3. Department / PI Review
4. Subrecipient Negotiation
5. Subaward Signature
6. Fully Executed
# Subaward Submission

<table>
<thead>
<tr>
<th>Current Process</th>
<th>New Process/ Revised Forms</th>
<th>Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Subaward Initiation Form</td>
<td>New Subaward Initiation Form</td>
<td>Revised Form</td>
</tr>
<tr>
<td>Subaward Budget Negotiation Documentation Form</td>
<td>Subrecipient Qualification Form</td>
<td>Combined BND &amp; SSJ into one form</td>
</tr>
<tr>
<td>Subaward Sole Source vs. Competitive Bid Request Form</td>
<td>Subrecipient Commitment Form OR Letter of Intent*</td>
<td>PI Signature requirement is now only on this form</td>
</tr>
<tr>
<td>Subrecipient Commitment Form</td>
<td>Scope of Work, Budget &amp; Budget Justification</td>
<td>Acceptance of LOI for FDP Clearinghouse Members only</td>
</tr>
<tr>
<td>Scope of Work, Budget &amp; Budget Justification</td>
<td>Scope of Work, Budget &amp; Budget Justification</td>
<td>No Change</td>
</tr>
</tbody>
</table>

*only if Subrecipient is an FDP Clearinghouse Member
Subaward Submission

- Revised Forms available for Subaward Submission beginning **March 1st**
  - New Subaward Initiation Form
  - Subaward Modification Initiation Form
  - Subrecipient Qualification Form

- Previous forms will no longer be accepted for subaward submission effective **April 1st**

- Proposal Submission
  - Subrecipient Qualification Form required for proposal submission beginning **March 15th**
    - Only for proposals that include subawards/subrecipients
New Subaward Initiation Form

In order to initiate a new subaward, please submit this form, along with any additional forms and information as indicated below, to SPCS - Subaward Services. If you are requesting a modification to an existing subaward, please use the Subaward Modification Initiation Form instead. Please contact us by email if you have any questions or need assistance.

A. Subaward Information
1. Subrecipient Name:
2. Subaward Project Title:
3. Subrecipient Contracting Contact:

4. Please enter the following information for the initial period of the subaward:
   a. Subaward Start Date: ____________________________
   b. Amount Funded:
   c. Is automatic carryforward of unspent previous period funding approved? [ ] Yes [ ] No
   d. If funding is not automatic carryforward for unspent previous period funding, is the
      amount funded for the subaward? [ ] Yes [ ] No

5. If the subaward will be incrementally funded, please enter the following information for the estimated period of the entire project:
   a. Estimated Project End Date: ________________
   b. Estimated Total to be Funded: ____________________________

6. Start Date of Prime Award: ____________________________
   Estimated End Date of Prime Award: ____________________________

B. UA Contact/Invoicing Information
1. Principal Investigator Contact Information
   a. Name: ____________________________
   b. Email: ____________________________
   c. Phone: ____________________________

2. Financial Contact Information
   a. Name: ____________________________
   b. Email: ____________________________
   c. Phone: ____________________________

3. Invoicing Information
   a. Email Invoices? [ ] Yes [ ] No
   b. Address for Invoices (if different from Financial Contact’s address):

C. Subaward Details
1. Data Sharing, if the prime award is federal or sub-federal, does it include a requirement that a data management/sharing plan be established with the subrecipient?
   a. Yes – Please attach a data management/sharing plan
   b. No
   c. N/A – Not a federal or sub-federal prime award

D. Risk Assessment
1. Human Subjects
   a. Will the subrecipient be conducting human subjects research under this subaward?
     [ ] Yes – It is the department’s responsibility to ensure that appropriate IRB review is in place prior to the initiation of any human subjects research at the subrecipient
     [ ] No
   b. Will human subjects data be exchanged with the subrecipient?
     [ ] Yes – Please complete the Human Subjects Data Questionnaire
     [ ] No

2. Vertebrate Animals
   a. Will the subrecipient’s research involve work with vertebrate animals?
     [ ] Yes – Please contact IACUC at ORCE-IACUC@email.arizona.edu. The subagreement cannot be signed until the UA IACUC office provides Subaward Services with approval to proceed
     [ ] No

3. Equipment
   a. Will the subrecipient acquire equipment with awards funds in order to fulfill the scope of work for this project?
     [ ] Yes – Please describe the location and purpose of the foreign travel:
     [ ] No

4. Foreign Travel
   a. Will there be any foreign travel funded on this subaward action?
     [ ] Yes – Please describe the location and purpose of the foreign travel:
     [ ] No

E. Additional Information

F. Comments

Please provide any additional comments or information below:
New Subaward Initiation Form

Subaward Identifiers

Section A: Subaward Information
• Subaward information per Notice of Award and project specific information

Section B: UA Contact/Invoice Information
• Captures UA’s PI and Fiscal Officer contact information
New Subaward Initiation Form

Section C: Subaward Details

- Additional agreement information that must be attached to subaward (if applicable), requires further review and must be addressed in agreement.

Section D: Risk Assessment

- To adjust subrecipient monitoring if required.
New Subaward Initiation Form

Section E: Additional Information
• List of forms required upon New Subaward initiation.
  • Description of all required forms to process agreement.

Section F: Comments
• Provided for comments or additional information.

No signature required on this form

* Data Management/Sharing Plan Required Per section C.1
* Human Subjects Data Questionnaire Required Per section C.2
Subaward Modification Initiation Form

In order to initiate a modification or amendment to an existing subaward, please submit this form, along with any additional forms and information as indicated below, to SPS-Subawards@email.arizona.edu. Please contact us by email if you have any questions or need assistance.

A. Modification Actions
1. End Date Change. Is the end date of the subaward being changed?
   - No
   - Yes - Please enter the new end date:

2. Budget Change. Is funding being increased/decreased with this action?
   - No
   - Yes - Please enter the funding changes as appropriate and attach the new budget and budget justification as described in E2 and E3 below. If the budget and budget justification for the current period are already included in the original agreement, and there are no changes, the budget and budget justification (see E2 and E3 below) do not have to be attached.

   - Funding for period covered by this modification:
   - Funding decreased by this amount:

   Comments or other budget instructions:

3. Workscope Change. Is the workscope being modified with this action?
   - No
   - Yes - Please attach the new workscope as described in E1 below.

4. Other Changes. Please describe any other changes that need to be made to this subaward.

B. Subaward Details
1. Human Subjects
   - Will the subrecipient be conducting human subjects research under this subaward?
     - No
     - Yes - It is the department’s responsibility to ensure that appropriate IRB review is in place prior to the initiation of any human subjects research at the subrecipient.

   - Will human subjects data be exchanged with the subrecipient during the period covered by this modification?
     - No
     - Yes - If you did not complete the Human Subjects Data Questionnaire at the time the initial subaward was put into place, please complete it and submit with this modification request.

C. Subrecipient Monitoring
Has the performance of the subrecipient been satisfactory, and has the subrecipient submitted the required invoices, backup documentation, and progress reports?
   - Yes
   - No - Please explain:

D. Cost/Price Analysis and Certification
Complete this section only if this action increases the budget and the budget increase is not described in the original multiple-year budget contained in the parent agreement.

   - All costs proposed by the subrecipient under this subaward modification were reviewed and approved by the UA Principal Investigator as reasonable and necessary for the proposed scope of work. Items reviewed include:
     - Salaries and level of effort have been reviewed and appear to be reasonable for the proposed scope of work.
     - Specific equipment, fabricated equipment, and/or supplies are separately listed and are appropriately based on standard or catalog prices, vendor quotes.
     - Travel, if any, appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates, and per diem rates.

   - Indirect cost rates and fringe benefits were based on either the current negotiated rate with the federal government, or a 10% de minimus indirect cost rate (2.8% for foreign recipients with an NDIC prime) was used.

   I, the UA Principal Investigator on the prime award, certify that the information I have provided above is, to the best of my knowledge, an accurate assessment of the subrecipient’s budget, and I have retained supporting documentation.

   PI Signature: ___________________________ Date: ____________

Please retain supporting documentation for the above certification in departmental files for seven years. You may be required to produce this documentation in the event of a federal audit.

E. Additional Information
Include the following documents with your Subaward Modification Initiation Form, and indicate below which items have been included. Failure to include the required item will cause the review to be put on hold.

1. Subrecipient Scope of Work. Only include if required per Sec. A1 above. Please provide an accurate and clean copy, since this will be inserted directly into the contract. This should be specific for subrecipient activities, not UA activities, and cover the work funded under this action. It should include details on what the project hopes to accomplish, methodology used, timelines, and deliverables.

2. Subrecipient Budget. Only include if required per Sec. A2 above. Please provide an accurate and clean copy, since this will be inserted directly into the contract. If this will be incrementally funded, the budget must clearly separate the budgeted amount for the period funded under this action, matching the amount listed in Sec. A3 above.

3. Subrecipient Budget Justification. Only include if required per Sec. A2 above. The budget justification must be specific for the subrecipient activities, not UA activities, and cover the work funded under this action.

4. Additional Attachments. Please list any additional attachments included with this form.

F. Comments
Please provide any additional comments or information below:
Subrecipient Qualification Form

Replaces Subaward Budget Negotiation Form AND Subawards Sole Source vs. Competitive Bid Request Form

Completed by UA Principal Investigator
Subrecipient Qualification Form

Section A: Subrecipient vs. Vendor Determination

- **Purpose:** Assist in determining whether a subrecipient relationship is correct based on roles
- **Properly classifying the relationship is important in reference to compliance, sponsored project and applicable regulations (F&A, 2 CFR 200, FAR, etc.)**
- **Form required at proposal only if the relationship is determined as a Subrecipient/Subaward**
Subrecipient Qualification Form

Section B: Sole Source Justification

• **Purpose:** Document compliance with University and Board of Regents procurement policies for selecting the subrecipient
• **Provide reasoning for subrecipient based on expertise or resource**

---

### B. Sole Source Justification

1. Please choose one of the two options below:
   - □ Subrecipient’s proposal is included in UA’s proposal package to the prime sponsor and is evaluated by the prime sponsor along with UA as part of the overall selection process conducted pursuant to the sponsor’s guidelines. Sponsor’s award of this proposal indicates that the technical aspects of the subrecipient’s proposal are acceptable, and therefore, this subrecipient is the logical and justifiable choice for this subaward. *Please skip the remaining questions in Sec. B and proceed to Sec. C*
   - □ The subrecipient’s proposal is not included in UA’s proposal package to the prime sponsor.

2. Were competitive bids sought?
   - □ Yes – Please retain in your file the documentation that evidences the competitive bid process, including justification for why the other sources could not be used, for a period of seven years, if we receive the prime award and proceed with this subaward. You may be required to produce this data in the event of an audit. *Please skip the remaining questions in Sec. B and proceed to Sec. C*
   - □ No

3. Provide specific justification for selecting the subrecipient on a sole source basis by answering the following questions.
   a. Based on what expertise or resource was this particular subrecipient selected to perform this work?
   b. Why is this particular subrecipient’s expertise or resource critical to the project?
Subrecipient Qualification Form

Section C: Cost/Price Analysis

- Purpose: Compliance with OMB Uniform Guidance (2 CFR 200) and Federal Requisition Regulation (FAR)
- Certifying the budget is reasonable and necessary for the effort performed

C. Cost/Price Analysis

All costs proposed by the subrecipient under this subaward were reviewed and approved by the UA Principal Investigator as reasonable and necessary for the proposed scope of work. Items reviewed include:

- Salaries and level of effort have been reviewed and appear to be reasonable for the proposed scope of work
- Specific equipment, fabricated equipment, and/or supplies are separately listed and are appropriately based on standard or catalog prices, or vendor quotes
- Travel, if any, appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates and per diem rates.
- Indirect cost rates and fringe benefits were based on either the current negotiated rate with the federal government, a 10% de minimus indirect cost rate (8% for foreign recipients with an NIH prime), if allowed, or 0%.

☐ Yes
☐ No – Please explain:

Please retain supporting documentation for the above certifications in departmental files for seven years if we receive the prime award and proceed with this subaward. You may be required to produce this documentation in the event of an audit.
Subrecipient Qualification Form

Section D: UA Conflict of Interest
• Purpose: Document compliance with University COI policy
• Allows evaluation of potential conflicts

Section E: PI Certifications
• Signed by PI

Form Retained only if award is issued
https://rgw.arizona.edu/administration/home/forms-and-templates
Questions?

Contact Us:
Subaward Services Main Inbox:  SPS-Subawards@email.arizona.edu
Brandi Gaulin, Manager:  brandig@arizona.edu
Aileen Quezada, Admin:  aileenr@arizona.edu
ZOOM MEETING
ATTENDANCE
BEST PRACTICES
Best Practices

• Zoom Meetings are frequently used now to record attendance at various training opportunities.

• At times, we may want to distinguish between attendance at a general information session and a targeted training.

• Certain methods of logging in allow us to accurately record and apply credit for those who have actually attended such training.
Best Practices

• Log in with NetID at https://arizona.zoom.us/
• Log in with NetID through Zoom Desktop App
  • To download the application based on the type of device you are using:
    • Laptop or desktop computer: https://arizona.zoom.us/download
    • Tablet or smartphone: App Store (Apple device), Google Play Store (Android device)
  • Ensure you choose the Sign in with SSO option and arizona.zoom.us for the company domain. It will bring you to the UA WebAuth page.
Best Practices

• If you do not or cannot login with your NetID, please ensure you enter both your First and Last Name.
• It is very difficult to record/match attendance for an individual with the login/screen name of James or Mary, for example.
• Some meetings may be set up to only accept authenticated participants.
https://it.arizona.edu/service/zoom
Future Forum Topics?

- Suggest/request future forum topics
  shana@arizona.edu

- Present a topic
  - Share research administration tools (reports, agents, forms, etc.)
  - Lessons learned
  - Tips & tricks
  - Upcoming changes
  - Timely information gained from conferences/workshops
QUESTIONS?
CONCERN?
OPEN SHARE