

OSP News & Updates

Office of Sponsored Projects

1/24/2019

2019 Volume 1, Issue 2

The [OSP News & Updates](#), published by the Office of Sponsored Projects, is a bi-weekly subscription-based newsletter that provides OSP and sponsor updates and reminders, quick facts, guidance and training in all aspects of sponsored projects administration. To subscribe, visit <https://subscribe.yale.edu/browse?search=OSP>.

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1 REMINDER: RESPONSIBLE PERSONNEL ON SPONSORED AWARDS

As a reminder, in accordance with [Yale's Policy on Conflict of Interest](#) and sponsor requirements, a responsible investigator identified in a sponsored projects proposal or after the award is issued, is required to complete the appropriate External Interest Disclosure form prior to the submission of the proposal or if added to an existing award, prior to their participation in the research. A responsible investigator always includes Principal Investigators (PIs) and co-Principal Investigators (co-PIs) and any other individual (faculty, students, collaborators, consultants, etc.) the PI has determined to be responsible for the design, conduct, or reporting of the research.

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Whenever there is a change (to add or delete) a responsible personnel on a sponsored award, the PI and Department Business Office are required to immediately complete and submit a [Responsible Personnel Change Form "RPCF" \(1304 FR.06\)](#) to your OSP Award Manager via email to your assigned GCAT. Failure to submit a timely RPCF may result in delaying the investigator's participation in the research.

2 OSP TRAINING

2.1 BROWN BAG MEETINGS

Thank you to everyone who participated in the January meeting. We hope it was a productive use of your time.

Remember, we would like to encourage more collaboration with departments, so if you have a topic you'd like to present please let us know: osp.trainings@yale.edu We'd be happy to help you develop your ideas into a presentation.

The next Brown Bag meeting will be held on Wednesday, February 13th, at 25 Science Park. [Visit the TMS Brown Bag webpage](#) to register for in-person or remote (Zoom) participation.

2.2 BROWN BAG COMMENTS AND QUESTIONS

2.2.1 Payroll Accounting Adjustments (PAA)

We received several Payroll Accounting Adjustment reporting questions and we would like to address this issue and find solutions, but we need more information about the challenges you face.

- Would you send us more information such as: examples of information you're trying to view, tasks you're trying to complete, or any difficulties you're experiencing with PAAs, and we'll try to find solutions.
- Screenshots are very helpful – include if possible.
- Please send your emails to: osp.trainings@yale.edu.

2.2.2 Questions and Comments

Thank you to everyone who participated in the Brown Bag Survey. Be assured that your responses are captured and reviewed and as a result we've compiled a list of future topics of interest, and we've implemented many of your suggestions – so keep them coming!

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We wanted to follow-up with the unanswered questions and comments received in the Zoom online chat and the Brown Bag survey.

2.2.2.1 Award Closeout Dashboard

1. While talking about the Award Closeout Dashboard, it was mentioned that it would identify manual journals that are In Progress. Does it, or can it, also identify all In Progress transactions that include an award line (grant) on the award being closed out, for example, invoices in progress or Payroll Accounting Adjustments in progress?
 - The Award Closeout Dashboard under development is intended to facilitate the Award closeout process by bringing together several reports in one location. The major sections of the dashboard in its current iteration include:
 - Ways to evaluate high-level balances
 - Ways to assess risk of completed transactions (including the accuracy of the IDC posted)
 - Ways to identify in-progress transactions that may impact the closeout to the extent possible
 - And other items potentially needing follow-up.
 - Included in the report specifications were all in-progress transactions, from procurement transactions to journals to PAAs.
 - The report is currently in unit testing, which means we are finding out what's possible and what's not. Prior to release, end users of the dashboard will be invited to test the report and will be asked which gaps must be addressed prior to release, and which gaps can be logged for future resolution.

2.2.2.2 Subrecipient Monitoring

2. Is there any conversation about updating the award line funding amounts to include the Yale IDC, because we need to include that with our budgets in order for our reports to be accurate.
 - OSP is not aware of any discussions to have Yale IDC added to subaward grant lines.

2.2.2.3 Data Use Agreements

3. Do all Data Use Agreement (DUA) requests go to a Contract Manager for processing?
 - Yes, all data use agreements that are intended to facilitate academic research go to a Contract Manager for processing.
4. Can you please include all required information on the first page of the DUA form, so we know what information we need from the PI. For "type of data", add a selection "other" and allow comments to be added for data that is neither PHI or de-identified data.

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- Great suggestion. You'll soon see a link to a list of all the questions on the DUA form which will help you gather the necessary information prior to starting the form; and there is a comments box at the end of the form where you can add any additional information.
- 5. What is the turn-around time for DUA agreements?
 - Turn-around times vary. If Yale is able to use its own template agreement, turn-around time can be within two weeks. If Yale must use another institution's agreement, turn-around times increase. All contracts are subject to negotiation, the timing of which is unpredictable.
- 6. Who is supposed to fill-out the DUA form?
 - Any Yale personnel working with the Principal Investigator with sufficient knowledge of the project, can fill out this form for the Principal Investigator.
- 7. How is a DUA different from the MTA?
 - An MTA (Materials Transfer Agreement) transfers materials, while a DUA (Data Usage Agreement) transfers data.

2.2.2.4 Post Award Closeout

- 8. Is there a Post Award closeout checklist?
 - Regarding a non-financial closeout checklist: because every sponsor requires different non-financial reports, different forms, different submission methods, etc, there isn't a non-financial closeout checklist.
 - However, here are some resources to help track your monthly and closeout tasks:
 - Each month, an email is sent to department business offices listing which non-financial closeout reports are due that month for the department.
 - Departments can monitor reports due by running the Workday report: *Sponsored Report Tracking (Award Tasks) – Yale*
 - Attend the *Financial Reporting & Closeout* class to learn about the roles and responsibilities of those involved in financial reporting and closeout and review the closeout process cycle.
 - [Register for Financial Reporting & Closeout class](#)
 - [View the Financial Reporting & Closeout presentation](#)
 - View the [Business Operations Financial Review Checklist](#) online guide
 - View the [1101 Fr.01 Financial Review Checklist](#)

2.2.2.5 OSP Org Chart

- 9. Can we see an OSP Org chart?
 - Yes, the [OSP organizational chart](#) can be viewed on the [OSP website home page](#) and it's updated regularly.

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2.2.2.6 Presentation Deck and Zoom

10. Can you please provide slides of the presentation in advance so we can determine if it's worth our time to attend?
 - We are trying our best to accommodate your requests and respect your time – we have started emailing the meeting agenda a few days beforehand, and we have finally mastered Zoom so you can attend remotely. But quite honestly, we are still often finalizing the presentation minutes before the meeting starts. We all have a lot on our plate and unfortunately getting the presentation finalized and posted on the website in advance of the meeting just isn't going to happen.
11. Zoom: Please provide microphones to participants that have comments or questions.
 - It sounds like a great idea, but it's not quite that simple. You can't just switch on a microphone and have it work. An appointment with Classroom Services has to be scheduled for each meeting to have them come over and configure the microphone to the sound system in the room, and then test it, and of course there's an expense for this. And if you think back to prior meetings when we tried to use microphones, people were reluctant to walk up to the microphone when we placed them at the front of each aisle, or when we had a runner, they would start asking their question before the microphone 'runner' could get over to them. And these were just some of the hurdles we faced. Bottom line, we don't see microphones in the near future, but we'll see...
12. Zoom: It would be helpful if we could see the speaker in addition to the PowerPoint presentation.
 - Many of you have made this request and at last, we were able to provide a view of the presenter at the podium; and for the next meeting we have learned how to adjust the camera angle for better viewing!

2.3 UPCOMING CLASSES

Time for a refresher? [Register to attend](#) one of the upcoming OSP training classes.

- 2.3.1 **[Cost Transfer Principles](#)**: This module provides individuals with an understanding of Yale's policies and procedures regarding labor and non-labor cost transfers associated with sponsored awards including:
 - Federal regulations related to cost transfers
 - Sponsor and University Policy
 - The process to properly and efficiently prepare, document, approve and submit a cost transfer

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2.3.2 [Financial Reporting and Closeout](#): This course is designed for administrators responsible for the financial reporting and closeout of sponsored awards including:

- The roles and responsibilities of those involved in financial reporting and closeout
- Policies and procedures related to these functions
- University processes supporting sponsor requirements
- The closeout process cycle
- The steps necessary to properly close sponsored awards

2.3.3 [Fly America Act & Open Skies Agreement](#): This course is designed to help those who schedule travel arrangements to understand all the nuances of the Fly America Act and the Open Skies Agreement and to learn more about these restrictions and exceptions, and ensure that reservations and flight arrangements are made in compliance with current policies and procedures. Topics include:

- The Fly America Act and exceptions
- The Open Skies Agreements
- Compliance regulations with these policies
- The GSA City Pair search tool
- Egencia the online booking and reservation tool
- Case studies and discussion

2.3.4 [Subrecipient Basics and Monitoring](#): This course is designed to review the process of managing a subaward including:

- Understand the roles and responsibilities of individuals involved in the subaward process
- Be able to differentiate between a subrecipient and a vendor relationship
- Gain a greater awareness and understanding of Yale's policies and procedures regarding subrecipients
- Understand the requirements and expectations for subrecipient monitoring and the processing of invoices
- Know where to find resources to assist in the subaward process

ⁱ Thank you to all who have contributed to this newsletter. Please direct questions or suggestions regarding newsletter content to Tracy Coston at osp.communications@yale.edu or tracy.coston@yale.edu. To unsubscribe, visit <https://subscribe.yale.edu/browse?search=OSP>. For archived issues, visit [OSP News & Updates archives](#).