

OSP News & Updates

Office of Sponsored Projects

12/21/2021

2021 Volume 4, Issue 6

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. [Subscribe to OSP News & Updates](#)

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1 OSP CLOSED FOR WINTER RECESS

The Office of Sponsored Projects will be closed for the winter recess beginning December 23, 2021, through January 2, 2022. All action items sent to the GCAT mailboxes or any individual during this time will be responded to when the office reopens on Monday, January 3, 2022. Best wishes for a wonderful winter RECESS and holiday season!

2 CLARIFICATION ON REALLOCATION OF EFFORT (CORRECTED ARTICLE)

Salary allocations are initially made based on estimated effort over an extended period of time. Cost transfers do not include changes to these allocations when actual effort is determined to be different prior to, or due to, effort certification by the Faculty member or PI.

A new Change Reason, "Grant Adjustment – Reallocate Effort (Pre-Certification)", is available for selection when completing a PAA or making changes to an Effort Certification Statement. Please review the [Business Update](#) from November 3, 2021 for additional information.

A reallocation is modifying percentages between existing awards. It is not clearing temp charging, adding salary to an award not previously charged, or correcting previously certified effort.

[Policy 1305 Cost Transfers Involving Sponsored Projects](#)
[Procedure 1305 PR.02 Cost Transfers Involving Sponsored Projects](#)

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FAQ on Reallocation of Effort

Q: What backup documentation is required for PAAs submitted for reallocation?

A: There should be documented support for any adjustment. The reason the transfer is being done should be clear and appropriate authorization should be documented. (As a reminder, attachments from effort certification now pull into the PAA generated from effort.)

Q: If a PI states they had effort on a new award, is this a cost transfer?

A: Yes, adding effort to an award not previously charged is a cost transfer. The costing allocation should have been updated appropriately. This is not a change to an estimate, but a correction of an error.

Q: Is there a threshold for reallocations?

A: Allocations are based on a reasonable estimate. The modification of percentages should be reasonable in order to comply with policy.

Q: If we add a new award, do we need to state why an at risk wasn't set up?

A: Yes, this is a cost transfer and should be included in the justification.

Q: Does PI approval need to be attached in PAAs from effort certification?

A: No. Faculty or PI certification of the effort report serves as approval of the effort on the sponsored awards. The overall process in the PAA will show the PAA is from the Effort Certification process.

Q: Is there a cut-off for completion of PAAs from effort certification?

A: There is not a cut-off for completion of PAAs from effort, however PAAs should be completed timely to complete the effort certification process. Certifications are not made whole until the PAA has been successfully completed. Untimely completion of PAAs can result in salary charged to incorrect awards, denied cost transfers, and financial reports being filed without the inclusion of expenses.

Reminders

No changes should be made to a PAA that generates from effort certification without review by the ECM. This includes changes to the individual pay periods as well as the reason code.

A review of PAAs in progress is now included as a part of the Financial Review Checklist 1101 FR.01.

Newly added Workday Report 'PAA Requiring Action – Yale' should be utilized to identify outstanding PAAs. Enter Worker's Department (example: HDCC1522 MEDINT Digestive Diseases) to return results.

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3 REMINDER: UPCOMING CHANGES TO THE REGULATORY FORM

As announced in the December 17th OSP Newsflash, the following two fields are being added to the PD Regulatory Form, effective January 1, 2022:

- Major Goals of the Project
- Type of Special research

The Major Goals field is a user-defined field (UDF) with a limit of 4,000 characters, where the major goals of a project can be entered. This information will then be captured in the newly created Other Support reports that can be generated in the Data Mart. This field will not be mandatory.

The Type of Special Research is to capture information on research relating to COVID-19 and other areas of special research. The question is “Does this proposal involve special research, i.e., COVID-19?” If the PI answers yes, then the type of special research must be selected from the drop-down menu. This question will be mandatory.

The screenshot displays the 'PROPOSAL REGULATORY INFORMATION' form. Under the 'Overview' section, the 'Proposal Number' is 22-001016 and the 'Proposal Short Title' field is empty. A red box labeled '1' highlights the 'Major Goals of the Project' text input field. Below this, there are fields for 'Instrument Type', 'Originating Sponsor Award ID (if known)', and 'Administrative Contact'. A question asks 'Does this proposal involve special research, i.e., Covid 19?' with 'Yes' checked and 'No' unchecked. A red box labeled '2' highlights the 'Type of Special research' dropdown menu, which has 'COVID-19' selected over 'Stem Cell'.

If you should have any questions, please reach out to your proposal manager.

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4 REMINDER: EXPENSE REPORT DUE DATE

Per Yale [Policy 3215 Yale Purchasing Card](#), "Individuals are expected to prepare and submit expense reports, with supporting documentation, within **thirty (30) days** from the date the expense is incurred." Please ensure all expense reports are submitted during this time frame.

5 PROPOSAL TEAM STAFFING UPDATE

OSP is pleased to announce the promotion of Danielle O'Brien to Assistant Director, Proposal Management. Danielle has been with Yale (at OSP) for 7 years, first joining us in Business Operations and quickly advancing into the Award Set Up team. Danielle accepted a position with the proposal team in June 2017 as a proposal manager and has served as the Proposal Team Lead for the past 3 years. She brings to the position in-depth knowledge of PD, PT and proposal management, as well as her boundless energy.

6 OSP TRAINING

Visit the [OSP Grants and Contract TMS training website](#) for a description all OSP classes or to register for a class (*VPN required*). Registrations for instructor-led classes close several days prior to class.

Until further notice, all instructor-led classes will be held via Zoom. Zoom links and class handouts are emailed to registered students prior to class.

Instructor-Led Training (ILT): Upcoming Classes

- January 10: Introduction to Sponsored Projects Administration (SPA)
- January 20: Effort Reporting Principles
- January 26: Proposal Development (IRES PD)

Online self-paced learning

The following OSP training courses are available online. If after completing the course, you have any questions about the course content email osp.trainings@yale.edu and we will forward your question to the appropriate subject matter expert.

- Allocating Allowable Costs - Online
- Clinical Trials: Create a Clinical Trial Record in PD
- Cost Transfer Principles - Online *Revised*
- Direct Charging of F&A Type Costs on Sponsored Awards - Online
- Export Compliance (CITI Program) - Online

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- IRES Proposal Tracking (PT) Overview - Online
- NIH K Award Fundamentals - Online *New*
- Subrecipient Basics and Monitoring - Online
- What Research Staff Need to Know About Spending Sponsored Projects Funds - Online

NCURA Webinar Videos

View videos of recent NCURA (National Council of University Research Administrators) webinars by visiting the [OSP Research Administrator Training website](#).

- **Audits: What's Hot**
This webinar provides an in-depth look at audit issues is provided through a combination of audit trends, a review of Federal audit reports, and a discussion of day-to-day best practices.
- **Cost Share: Tackling the Challenges**
This webinar discusses how cost share challenges are tackled throughout the life of the project. Case studies are used to demonstrate how to proactively manage cost share.
- **In-N-Out: Here's What PI Transfers are all About**
This webinar takes an in-depth look at the PI transfer process and provides you with questions to ask and the things to look out for in order to be prepared to handle a PI that is either coming in or leaving from their institution.
- **Participant Support Costs: An Overview of Dos and Don'ts**
This webinar will help you understand what participant support costs are and why they are special. Discussions include: the rules and regulations governing participant support costs; how to budget, set up, and manage participant support costs; and audit considerations.
- **COMING IN JANUARY: Work Smarter, Not Harder: The Tools, Methods and Technology to Increase Productivity!**
This webinar will review the history and theory of "Work Smarter Not Harder" through examination of related research administration case studies; discuss methods of organizing work to be more effective, efficient, and productive; and review tools and tricks that increase productivity and save time.

¹ 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. Use the following link to [unsubscribe to OSP News & Updates](#). For archived issues, visit [OSP News & Updates archives](#).