



# Research Administration Forum

# Research Administration Forum

- New Meetings Series held three times a year
  - October
  - January
  - May
- Research Administration Networking Group (RANG) and Research Administration Forum (RAF) website

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# How UAB is Balancing Scientific Collaboration and National Security

Dr. Suzanne Austin  
Senior Vice Provost

# TODAY'S LANDSCAPE

**The Chronicle of Higher Education**  
The independent news organization

**Science**  
Contents News Careers Journals

**Duke U. Administrator Steps Down After Telling International Students to Speak English on Campus**  
By Fernanda Zamudio-Suarez | JANUARY 27, 2019

**U.S. groups urge restraint in investigating academic espionage by China**  
By Jeffrey Mervis | Aug. 12, 2019, 9:55 AM

**How one graduate student allegedly stole Duke research to create a billion-dollar Chinese company**  
New book describes how foreign intelligence can manipulate American universities  
By Neelash Moorthy | 10/29/2017

**Professor Indicted for Alleged Undisclosed Chinese Links**  
A professor at the University of Kansas was indicted Wednesday on federal fraud charges for allegedly failing to disclose a full-time appointment he held with a Chinese university while conducting research at Kansas funded by federal research contracts.

**CHINA: THE RISK TO ACADEMIA**  
The annual cost to the U.S. economy of counterfeit goods, pirated software, and theft of trade secrets is \$225-\$600 BILLION

**INSIDE HIGHER ED**  
Admissions Digital Learning Fund-Raising Diversity

**DEPARTMENT OF HEALTH & HUMAN SERVICES**  
Public Health Service  
National Institutes of Health  
Bethesda, Maryland 20892

August 20, 2018  
Dear Colleagues:  
For many decades, the National Institutes of Health (NIH) and institutions like yours have participated in productive partnerships that greatly advance biomedical science. Scientists at universities and academic medical centers, supported by NIH, have made seminal biomedical discoveries that have led to dramatic improvements in human health. The scientists whose work NIH is proud to help support come from all over this country and the world, bringing rich, diverse perspectives and backgrounds to the biomedical research enterprise.  
The NIH-funded biomedical enterprise depends on a competitive system, which, to be successful, must be fair, transparent, and trustworthy.  
Unfortunately, threats to the integrity of U.S. biomedical research exist. NIH is aware that some foreign entities have mounted systematic programs to influence NIH researchers and peer reviewers and to take advantage of the long tradition of trust, fairness, and excellence of NIH-supported research activities. This kind of inappropriate influence is not limited to biomedical research; it has been a significant issue for defense and energy research for some time. Three areas of concern have emerged:  
1. Diversion of intellectual property (IP) in grant applications or produced by NIH-supported biomedical research to other entities, including other countries.  
2. Sharing of confidential information on grant applications by NIH peer reviewers with other entities, including other countries, or otherwise attempting to influence funding.

**DUKE INTELLECTUAL PROPERTY**

**FEDERAL BUREAU OF INVESTIGATION**

**500**  
EST. 1969

# EXAMPLES WHERE PEER INSTITUTIONS MAY NOT HAVE MET DISCLOSURE EXPECTATIONS

- Faculty member affiliation with foreign universities
- Inadequate reporting of “*Other Support*” or “*Foreign Component*” in grant applications
- NIH-funded publications that suggest support from foreign governments
- Foreign Talent Program involvement
- Animal studies conducted in foreign laboratories
- International travel paid or sponsored by foreign organizations

# UAB Response to promote productive international partnerships

- Coordination through UAB Taskforce
- **Building Awareness & Communicating Expectations**
- **Supporting International Visitors to Campus**
- Ensuring Compliance with Sponsor Disclosure Requirements
- Protecting Data – Cyber Security and International Travel Safeguards
- Protecting Intellectual Property and Using Technology Control Plans – Export Control Compliance
- **Training faculty & students**
- Reviewing Foreign Gifts, Grants, Contracts and Collaborations
- Managing Interactions with Federal Security and Intelligence Agencies

# 5 Things You Can Do Now

1. Obtain advance approval for all external activities with foreign entities. (See [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#) and [Request for External Activity Approval Form](#))
2. Ensure Other Support pages, Foreign Components, and Biosketches in grant proposals, just-in-time submissions, and progress reports appropriately reflect affiliations and/or resources made available to you in support of and/or related to your research endeavors. (*Additional instructions and templates to come*)
3. Before traveling outside the U.S. or Canada on UAB business – regardless of what entity is paying for the travel – complete [UAB-related International Travel Registration Form](#)
4. Contact the Office of Compliance & Risk Assurance if your work involves shipment, transfer, or transmission of export-controlled items or information. (See [UAB Export Control website](#))
5. If in doubt, contact the Office of Sponsored Programs or your dean's office. (*Website in development*)

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Break for Door Prize





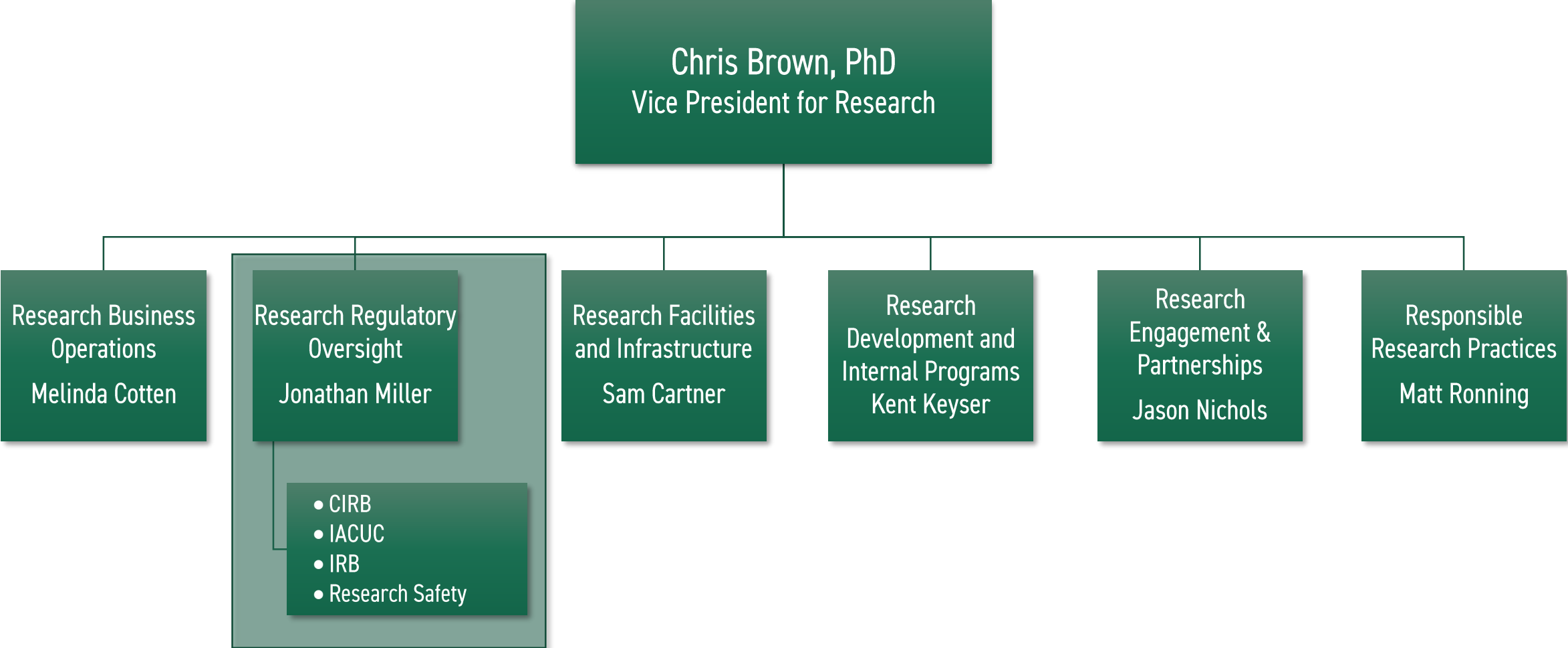
# Research Regulatory Oversight Updates

**Jonathan Miller**

**Assistant Vice President**

**Research Regulatory Oversight**

# Research Regulatory Oversight



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# Conflicts of Interest

**Dr. Karen Iles**  
**Director - Office of the CIRB**

# Office of the Conflict of Interest Review Board

- Disclosures of financial interests (1300+)
  - *Bottom line?*
- Financial conflict of interest (FCOI) training
  - *Bottom line?*
- Reviewing and managing financial conflicts of interest with research (1500+)
  - *This includes...*

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# Updates for IACUC

**David Cannon**  
**Director, Office of the IACUC**

# Important Details of the IACUC Approval Process

- Protocols begin the review process the day they are submitted.
- Almost all protocols are reviewed via the designated member review process rather than having to come to the full committee.
- The average review time for a new protocol or 3<sup>rd</sup> year renewal is about 40 days.
- Protocol titles must match the funding source title if externally funded.

# Important Details of the IACUC Approval Process

- Protocols and personnel have been separated in the IRAP system
  - Diminishes possibility of holding up protocol approval.
  - Allows personnel changes to occur at the same time as a protocol review taking place.
- Protocol approvals can occur even if EH&S requirements are outstanding.
- PIs should provide a short update on all 3<sup>rd</sup> year

# Important Details of the IACUC Approval Process

- PIs should respond as quickly as possible to reviewer questions or contact the IACUC office if they have questions about the questions.
- Annual review requirements can be satisfied if a significant modification has been approved (non USDA species only) at any time during the year.
- The single most important detail is:.....



# Important Details of the IACUC Approval Process

FOLLOW  
YOUR  
PROTOCOL

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# IRB Updates

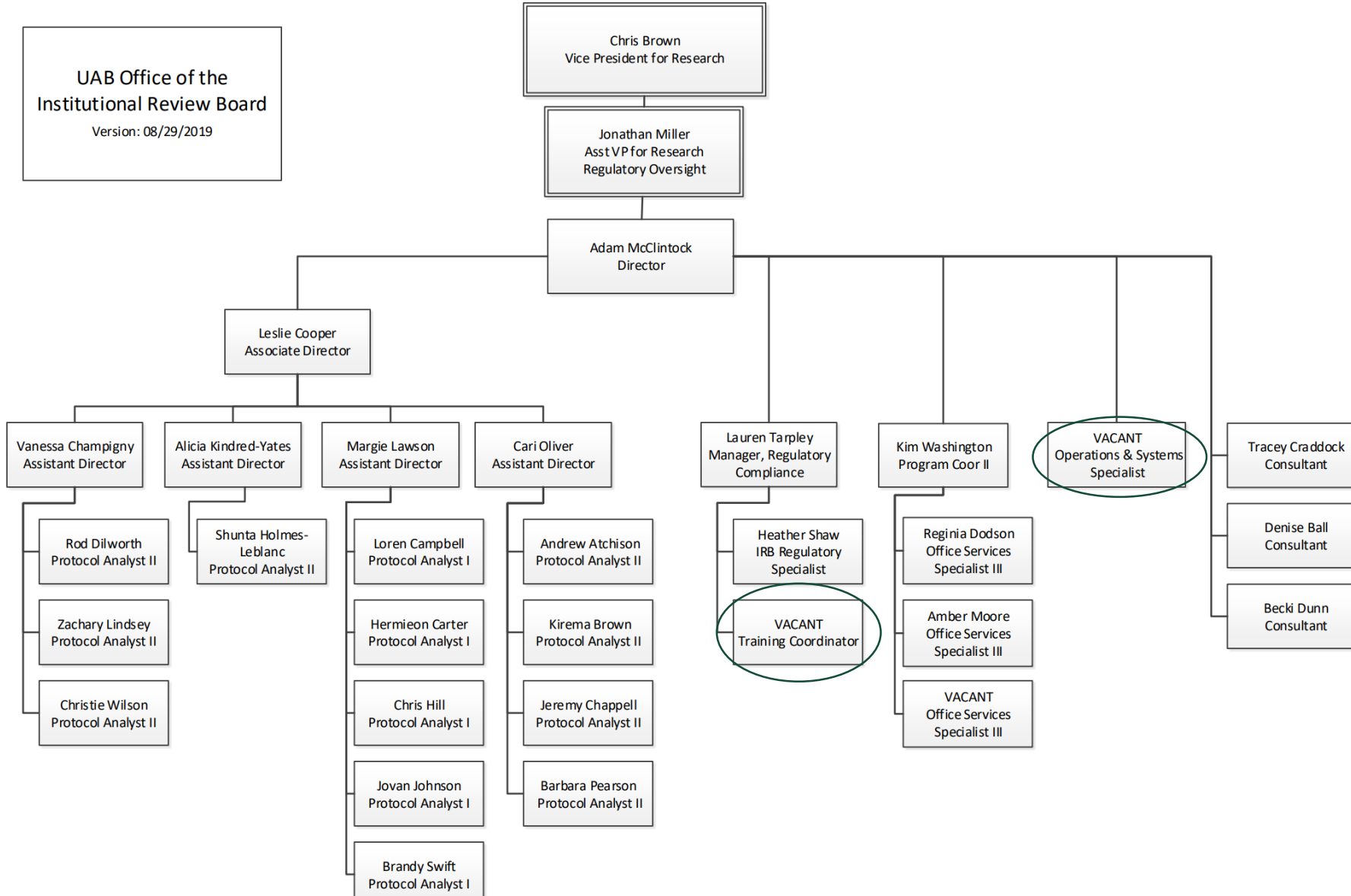
**Adam McClintock**  
**Director, Office of the IRB**

# Office of the Institutional Review Board

- Provides administrative & regulatory support for submissions to the IRBs
- Seeks to ensure compliance and minimize administrative burden
- Manages a portfolio of approximately 4,800 active protocols at UAB
  - Approximately 1,150 new protocols approved annually by local IRB
  - Over 200 new protocols approved annually by commercial IRBs and other academic partners
  - Several thousand amendments processed and approved annually
- Manages human subjects compliance activities
  - Engages in post-approval monitoring activities
  - Maintains AAHRPP accreditation of the UAB Human Research Protections Program

# Office of the Institutional Review Board

UAB Office of the Institutional Review Board  
Version: 08/29/2019



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# Research Safety Updates

**Amanda Smith**  
**Assistant Director**  
**Research Safety Committees**

# Research Safety Committees

- Institutional Biosafety
  - Lab/animal research
  - Human gene therapy
- Radioisotope & Radiation Safety
  - Lab/animal research
  - Sub-committee for Human Use
  - Radioactive Materials License processing
- Chemical Safety & Environmental Management
  - Animals
  - High hazard

# Research Safety Committees

- Staff

- Donna Williamson, Director

- [dsw@uab.edu](mailto:dsw@uab.edu)

- 934-4752

- Amanda Smith, Assistant Director

- [awigley@uab.edu](mailto:awigley@uab.edu)

- 934-1673

- Cathy Pierce, Protocol Analyst II

- [cathyp@uab.edu](mailto:cathyp@uab.edu)

- 934-3238

- [projects@uab.edu](mailto:projects@uab.edu)



# Grants & Contracts Accounting Update

**Tina Ealy**  
**Director, Accounting**



# Monitoring Expenditures - Subcontracts

- Remember all Subcontract invoices should be received and paid within 60 days after the award ends.
- The expenses on the subcontract invoices should have occurred within the time frame of the grant budget period.
- We need all expenses to hit the account in order to draw down the funds. Including commitments.
- Remember because we are drawing by award, they close those out timely now and if a subcontract payment comes in late, there is a chance it will not get paid.
- The expenses on the account in Oracle needs to match the expenses on the FFR along with the Drawdown report.
- Because we have to drawdown by award now, the agencies can see how we are spending.

# Monitoring Expenditures - Subcontracts

- When funds are drawn down, it uses the old funds first for NSF, Department of Education and NIH SNAP awards. Or funds that you haven't requested carryforward on.
- When your unobligated balance is large and old, the sponsor will send out emails like this.

Dear Signing Official:

Through an internal audit, the Office of Financial Management has noted that this grant has an unobligated balance per the Payment Management System of \$430,401, which is the total amount award for the budget period 2/1/2016-01/31/2019. This balance is being identified as "stale" since the funds were obligated/issued on 1/22/2016 and have no disbursement/drawdowns.

Please respond by COB 4/18/2018 with a detail explanation and a spend down/disbursement plan regarding this unobligated balance. Thank you for your immediate attention to this matter.

# FFR - Federal Financial Report

- Except for awards under the Streamlined Noncompeting Award Process (SNAP) and awards that require more frequent reporting, the FFR expenditure data is required on an annual basis. Annual expenditure data is required for awards to foreign organizations and federal institutions, whether or not they are under SNAP. When required on an annual basis, the report must be submitted for each budget period no later than 90 days after the end of the calendar quarter in which the budget period ended. The report also must cover any authorized extension in time of the budget period. If more frequent reporting is required, the NoA will specify both the frequency and due date.
- Automatic carryforward when reporting annually we will put in the next years budget when the original FFR has been excepted by the agency.

# FFR - Federal Financial Report

- For awards that don't have automatic carryforward, you will need grants management approval for the next year.
- NIH closes out a grant as soon as possible after the project period end date if the grant will not be extended or if continued funding is not provided. Closeout consists of the timely submission of all required reports and adjustments for amounts due the grantee or NIH. Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Following closeout, the grantee remains obligated to return funds due as a result of later refunds, corrections, or other transactions, and the federal government may recover amounts based on the results of an audit covering any part of the period of grant support.

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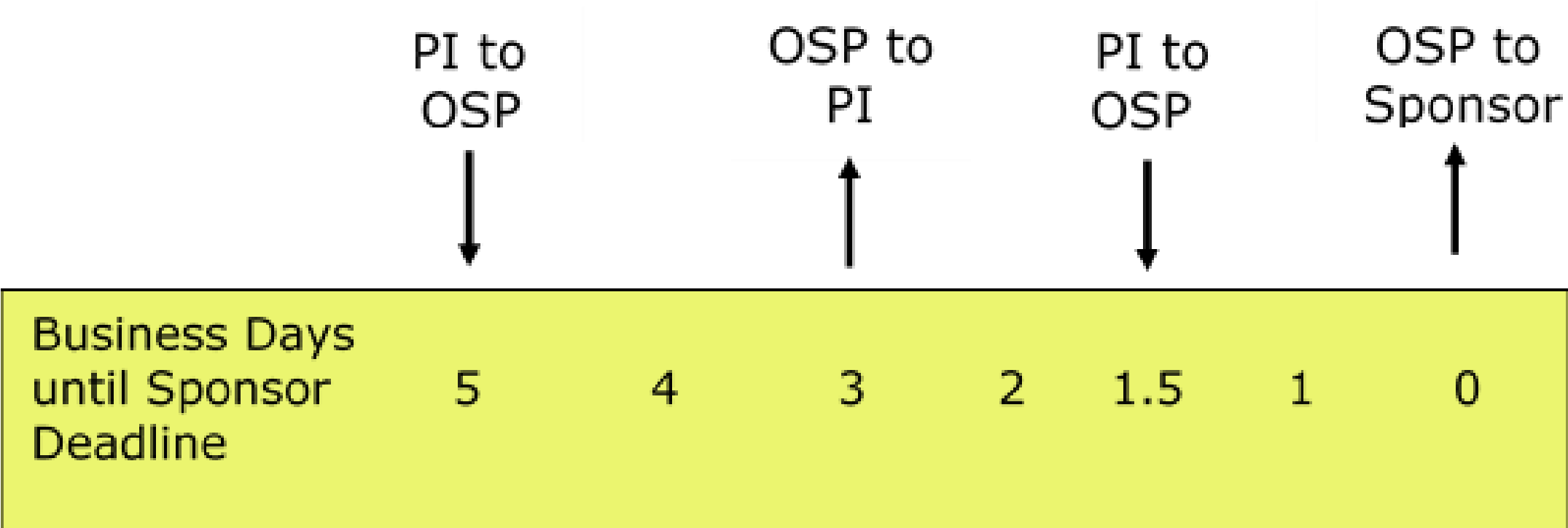
# Proposal Submission Requirements

**Melinda Cotten**  
**Associate Vice President**  
**Research Business Operations**

# Elements

- Effective January 1, 2020
- Final Proposals (final draft of research plan included) in a Complete Submission are due to OSP 5 full business days prior to sponsor's deadline.
- Final Complete Proposal for submission to sponsor due to OSP by 12 noon the day before the sponsor's deadline.
- In rare instances, there is an exception process. The PI must submit a letter request, signed by their department chair and dean, to the Vice President for Research (VPR) detailing the mitigating circumstances. If approved, the signed letter should be included in the submission to OSP. Exceptions after 12 noon the day before the sponsor's deadline will not be considered.

# Proposal Submission Timeline





# What can happen if OSP does not have time to review a grant...

- Rejected by the sponsor's electronic system,
- Administratively rejected by the Center for Scientific Review (NIH) and other federal sponsor's equivalent, or
- Deemed out of compliance with the instructions by the sponsor's program official or grants manager.

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Other Support

# What is Other Support?

Other support includes all resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.

- Scientific overlap occurs when (1) substantially the same research is proposed in more than one application or is submitted to two or more funding sources for review and funding consideration, or (2) a specific research objective and the research design for accomplishing the objective are the same or closely related in two or more applications or awards, regardless of the funding source.
- Budgetary overlap occurs when duplicate or equivalent budgetary items (e.g., equipment, salaries) are requested in an application but already are provided by another source.
- Commitment overlap occurs when an individual's time commitment exceeds 100 percent (i.e., **12 person months**), whether or not salary support is requested in the application.

# NIH Reminder and Clarifications

NOT-OD-19-114 issued July 10, 2019

**Big change: Previous to this, only direct costs were shown. This notice says to include F&A costs!**

Faculty must list:

- All paid and unpaid positions and appointments, foreign & domestic
- Titled academic, professional, or institutional appointments whether or not whether full-time, part-time, or voluntary
  - Including adjunct, visiting, or honorary
- Report all current projects and activities that involve senior/key personnel, even if in-kind like space, equipment, supplies, or employees
- If an activity does not meet the definition of foreign component because all research is being conducted within the United States but there is a non-U.S. **resource** that supports the research of an investigator and/or researcher, it must be reported as other support.

# NIH Reminder and Clarifications

NOT-OD-19-114 issued July 10, 2019

- UAB is working on new guidance
- Revising our training programs
- OSP is happy to attend faculty and administrative meetings to convey updated information

# Call to Action

## Update Other Support for Just-in-Time (JIT)

- If new projects/resources/activities have been awarded or started since a JIT was submitted and the pending grant has yet to be awarded, we need to submit a Revised Other Support to the federal sponsor.
- If a recently submitted Other Support was incorrect, we must send a Revised Other Support to the federal sponsor.

# Call to Action

## Update Other Support for Progress Reports

- If new projects/resources/activities have been awarded or started since a Progress Report was submitted, no action is required.
- If the progress report should have included an updated Other Support and it did NOT, then we must submit a Revised Other Support to the federal sponsor.
- If the Progress Report included an updated Other Support but under the “clarifications” it is now incorrect, we must submit a Revised Other Support to the federal sponsor.

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# Procurement

**Ron Collins**  
**Executive Director, Procurement**



# Procurement

- State Bid Law
  - Competitive Bid Requirements
  - Joint Purchasing Agreements
  - Sole Source Justifications
- University of Alabama System
  - Summary of Recent Board of Trustee Expenditure Threshold Changes
- Purchasing Cards
- BuyUAB
- ESM Contract Management System

# Code of Alabama 1975 – Article 2 – State Bid Law

## When is a competitive bid required?

With the exception of contracts for public works, whose competitive bidding requirements are governed exclusively by Title 39, all contracts of whatever nature for labor, services, work, or for the purchase or lease of materials, equipment, supplies, other personal property or other nonprofessional services, involving fifteen thousand dollars (**\$15,000**) or more, made by or on behalf of any state department, board, bureau, commission, committee, institution, corporation, authority, or office shall, except as otherwise provided in this article, be let by free and open competitive bidding, on sealed bids, to the lowest responsible bidder.

*Chapter 16 – Article 2 – Competitive Bidding on Public Contracts Generally 41-16-20*

# Code of Alabama 1975 – Article 2 – State Bid Law

## What is a joint purchasing agreement?

The Division of Purchasing, Department of Finance, is hereby authorized to enter into joint purchasing agreements to purchase, lease, or lease-purchase child support services, materials, equipment, supplies, or other personal property which have been let by competitive bid or competitive solicitation process by any group or consortium of governmental entities within or without the State of Alabama upon a finding by the Purchasing Agent that such joint purchasing agreements are in the best interests of the State of Alabama.

*Chapter 16 – Article 2 – Competitive Bidding on Public Contracts Generally 41-16-21.1*

# Code of Alabama 1975 – Article 2 – State Bid Law

## Under what circumstance is a sole source justification accepted?

The declaration of a "sole source" purchase must be exercised judicially and always with good faith. The following test must be applied and all criteria met when a declaration is made.

"Sole source" - A good's or service's "uniqueness" alone cannot qualify the producer or supplier of the good or service as a "sole service" of a good or service under Alabama's competitive bidding laws; instead, to so qualify under subdivision (a)(11), the good or service offered must be unique; that uniqueness must be substantially related to the intended purpose, use and performance of the good or service sought; the entity seeking to be declared a "sole source" must show that other similar goods or services cannot perform the desired objectives of the entity seeking the goods or services.

*GE Co. v. City of Mobile, 585 So. 2d 1311 (Ala. 1991)*

# University of Alabama System

## Summary of recent changes to Board of Trustees expenditure thresholds

### Rule 401 – Finance Committee Operations

- Technology acquisition threshold increased from \$500,000 to \$750,000 for projects not already included in the annual technology plan. The revised rule clarifies technology as inclusive of all aspects - hardware, software, and associated services.

### Rule 406 – Contracts on Behalf of the Board

- Consulting or professional service contracts involving \$250,000 or more, *for the term of the agreement*, regardless of whether the contract results from a competitive process
- Contracts for goods and services involving an expenditure of \$1,000,000 or more, *for the term of the agreement*, not procured through a competitive process

# University of Alabama System

## Summary of recent changes to Board of Trustees expenditure thresholds

### Rule 415 – Planning and Management of Facilities and Other Capital Assets

- Purchase or lease of equipment threshold increased from \$500,000 to \$750,000
- Capital projects that involve construction, demolition, or renovation of University facilities threshold increased from \$750,000 to \$1,000,000

# UAB P-Card

The UAB P-Card Program is designed to be a flexible form of payment that permits UAB employees to place orders for allowable purchases without the delays of paperwork that can accompany larger transactions. All purchases must be made in compliance with:

- State of Alabama Bid Law
- UAB Expenditure Guidelines
- Existing UAB contract vendor agreements



# UAB P-Card Information

- Pilot Phase (July 1, 2017 – July 31, 2018)
  - Used as trial period to define process and procedures
  - Limited number of P-Cards were issued to organizations
- Production Phase (August 1, 2018 - Current)
- Authorization via WAM (PCARD-AUTHORIZE)
- Transaction approval via WAM (PCARD-INTERSECT)
- More Information at [uab.edu/financialaffairs/buying/p-card](https://uab.edu/financialaffairs/buying/p-card)



# E-Procurement Totals (Jan 19 – Aug 19)

	January	February	March	April	May	June
<b>UAB AP</b>	\$ 1,534,448	\$ 2,042,678	\$ 1,594,819	\$ 1,410,260	\$ 1,509,617	\$ 1,609,450
<b>UAB GHOST CARDS</b>	\$ 110,518	\$ 17,430	\$ 111,406	\$ 111,400	\$ 11,576	\$ 13,053
<b>UAB P-CARD</b>	\$ 687,553	\$ 938,617	\$ 956,634	\$ 833,498	\$ 1,097,316	\$ 785,306
<b>Total</b>	\$ 2,332,519	\$ 2,998,725	\$ 2,662,859	\$ 2,355,158	\$ 2,618,509	\$ 2,407,809

	July	August	September	October	November	December
<b>UAB AP</b>	\$ 1,337,993	\$ 1,603,771	\$ -	\$ -	\$ -	\$ -
<b>UAB GHOST CARDS</b>	\$ 12,914	\$ 11,484	\$ -	\$ -	\$ -	\$ -
<b>UAB P-CARD</b>	\$ 1,551,850	\$ 2,040,191	\$ -	\$ -	\$ -	\$ -
<b>Total</b>	\$ 2,902,756	\$ 3,655,446	\$ -	\$ -	\$ -	\$ -

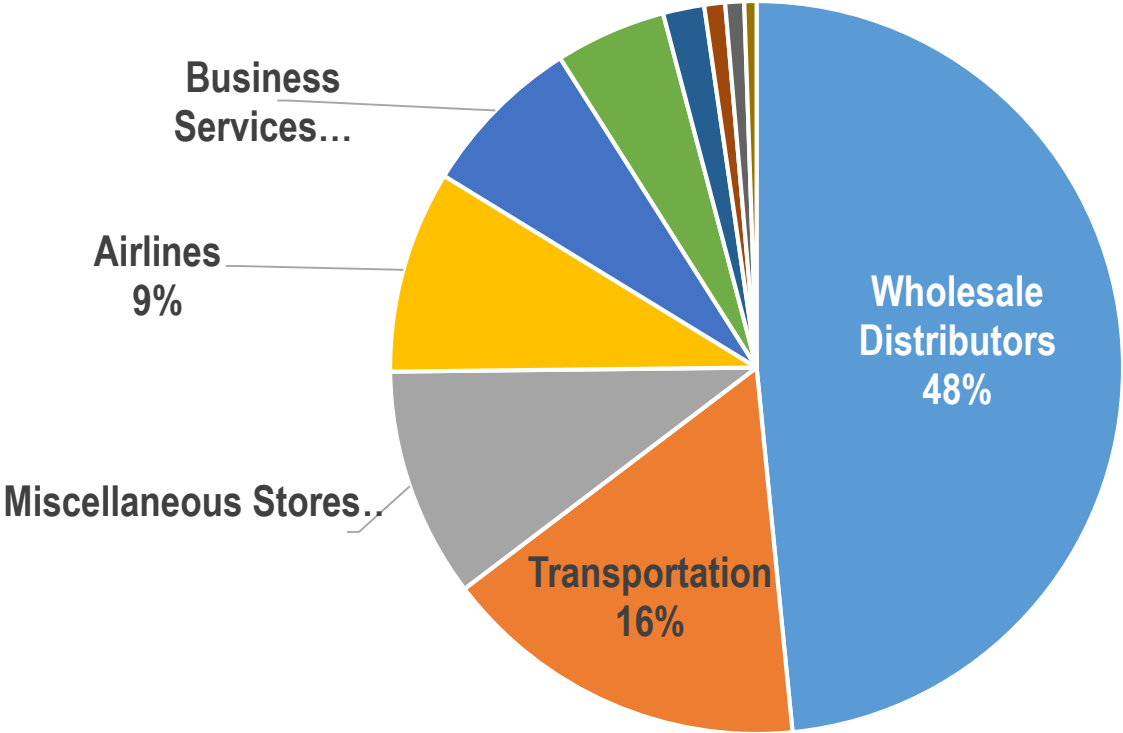
**Total Spend YTD - \$21,933,781**

# P-Cards - who were the users during August 2019?

ORGANIZATION	TOTAL	ORGANIZATION	TOTAL	ORGANIZATION	TOTAL
FACILITIES	\$ 640,194	PUBLIC HEALTH	\$ 34,222	OPTOMETRY	\$ 7,459
INSTITUTIONAL	\$ 318,602	NURSING	\$ 28,212	CHRO	\$ 6,755
MEDICINE	\$ 236,566	UNIV RELATIONS	\$ 26,316	BUSINESS	\$ 6,195
UAB ATHLETICS	\$ 200,825	EDUCATION	\$ 24,740	DEVELOPMENT & ALUMNI	\$ 6,123
STUDENT AFFAIRS	\$ 120,798	SVPFAA	\$ 22,928	UAB LIBRARIES	\$ 5,426
CAS	\$ 103,760	RESEARCH	\$ 15,061	DENTISTRY	\$ 3,488
HEALTH PROFESSIONS	\$ 50,625	HOSPITAL	\$ 13,462	UAB ARTS	\$ 2,202
FIN AFFAIRS	\$ 49,611	GRADUATE SCHOOL	\$ 12,767	OEDI	\$ 1,057
ENGINEERING	\$ 38,417	HLTH SYSTEM	\$ 10,080	UNIV COMPLIANCE	\$ 1,006
PROVOST	\$ 35,309	HONORS COLLEGE	\$ 8,388		

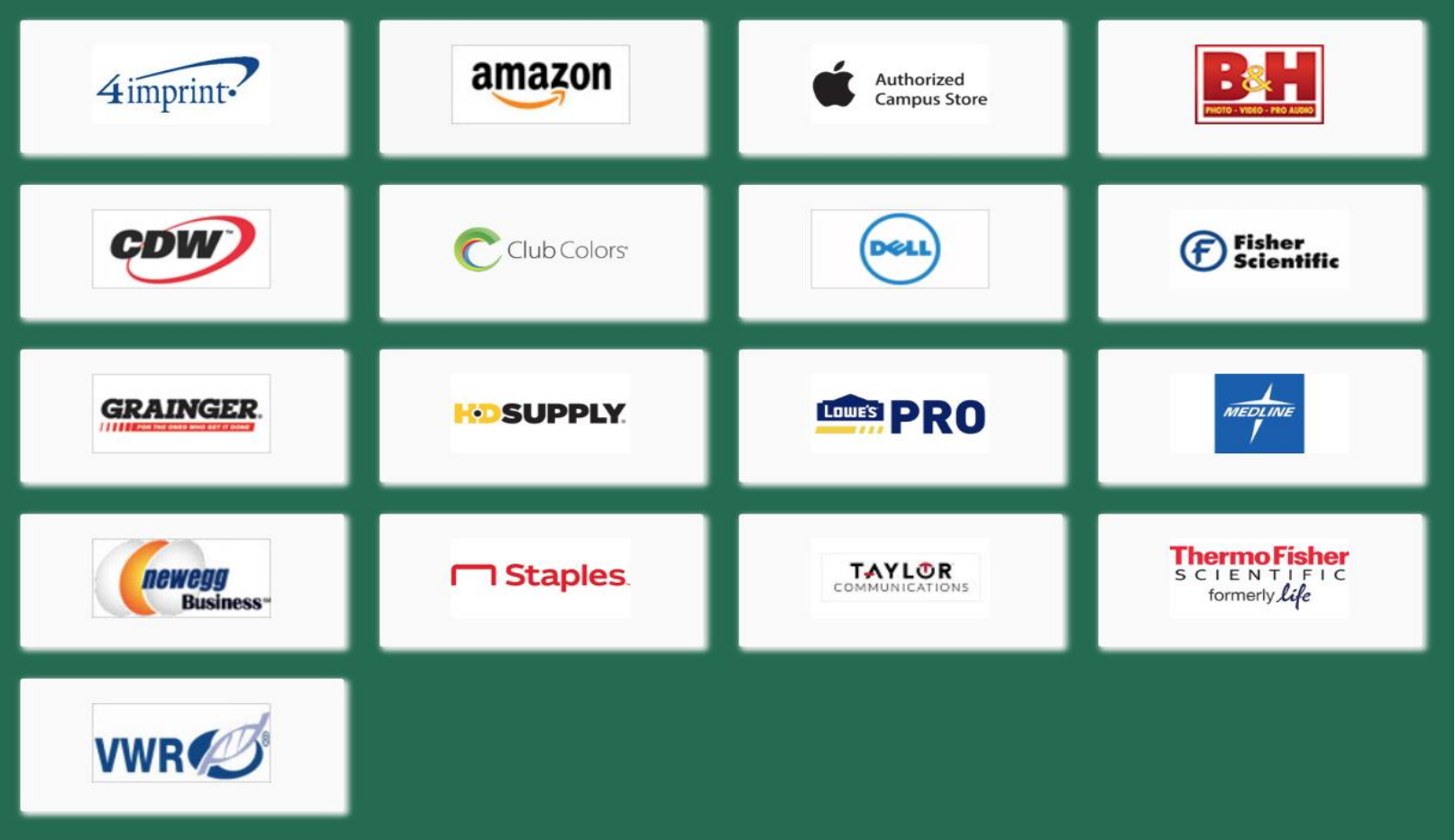
**August 2019 Total Spend - \$2,040,191**

# P-Cards - where are they being used?



# BuyUAB

BuyUAB

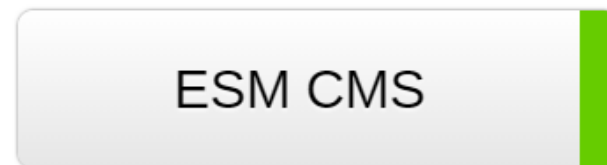


[uab.edu/financialaffairs/buyuab](http://uab.edu/financialaffairs/buyuab)

# ESM Contract Management System

## Contract Management Module

- Assigns a contract number prior to departmental approval
- Tracks the contract through the routing process (i.e., Office of Counsel, Information Technology, University Purchasing, etc.)
- View comments or questions related to a certain contract from a central reviewer
- Houses contract data in one central location per departmental organization numbers



[uab.edu/financialaffairs/contracting/cs](https://uab.edu/financialaffairs/contracting/cs)

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## Questions?

University Purchasing – (205) 934-4515  
[purchasing@uab.edu](mailto:purchasing@uab.edu)

or

P-Card Services – (205) 975-2467  
[pcardservices@uab.edu](mailto:pcardservices@uab.edu)

# Closing Remarks

- Zoom link
- Take survey
- Reminder: Research Administration Network Group (RANG) and Research Administration Forum (RAF) website
- Next meeting: January

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Questions?