Campus Approval and Tracking Processes – the Scoop for PI's

Overview

- At time of Proposal Routing/Submission
  - 10/5/2
  - F&A Waiver
  - Cost Share
  - Off-campus F&A rate
  - Project Specific COI and Export Controls disclosure
  - IRB – Human Subjects
  - IACUC – Animal Subjects

Overview Cont.

- Award Setup
  - IRB – Human Subjects
  - IACUC – Animal Subjects
  - Biological Safety
  - Chemical Safety
  - Project Specific COI and Export Controls
  - Proposal Revisions

Overview Cont.

- Award Management
  - Award Setup/Notification
  - Award Extensions/Modifications
  - PI Portal
  - PI Portal Expense % & Balances
  - PI Portal Flags
  - Cost Share Tracking
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  - Unallowable Cost
  - Cost Exceptions in eTRACS
  - Subcontract Monitoring
  - 120-90-60 day Notifications
  - Final Reporting/Closeout
  - PI Closeout Attestation

10/5/2

- 10 - Proposals should be worked on in eTRACS at least 10 business days prior to submission.

- 5 - The proposal should begin routing within eTRACS for approvals at least 5 days prior to submission. All documents must be finalized with the exception of the Research Strategy.

- 2 – The final, submission ready proposal should be routed to ORA at least 2 business days prior to submission deadline.

F&A Waiver

- eTRACS Pre-Review
- Requesting a rate lower than ECU's federally negotiated rate
  - Funding opportunity
  - Sponsor published policy
  - Sponsor request
- ORA will approve or passes on information to VC, Dr. Sharon Paynter

Cost Share

- eTRACS Pre-Review
- Three types: Mandatory, Voluntary-Committed, and Voluntary-Un-Committed
- Requires Fund and Org numbers
- Cost share: Only requested when REQUIRED by the sponsor in the funding opportunity
- Approved by department, ORA, and VC

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Off-Campus F&A Rate

- eTRACS Pre-Review

- Requirements for Off-Campus:
  - Project occurs in facility/space not owned by ECU
  - Lease agreement for facility/space is in place
  - More than 50% of project will take place in leased facility

- Approval by Vice Chancellor

Project Specific Conflict of Interest Disclosure

- <u>Project Specific COI Disclosure</u> needs to be submitted in COI Risk Manager by all Investigators prior to proposal submission

- Required for all proposal submissions

- Must be reviewed by Office of Research Integrity and Compliance (ORIC) prior to award setup

Export Controls

- Now included with the Project Specific COI and Export Controls disclosure

- Examples include, but are not limited to, international travel or shipping, foreign national(s) working on project, foreign subaward

- Must be reviewed by Office of Research Integrity and Compliance (ORIC) prior to award setup

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IRB – Human Subjects

- On rare occasion, a sponsor may require at the time of proposal. Typically, completed when notified proposal will be funded

- IRB submitted via ePIRATE

- Approved by IRB review committee(s)

- This process will likely take a few weeks, so it is best to start as soon as possible

- ORA confirms approval

IACUC – Animal Subjects

- Like IRB, typically not required at time of proposal

- Needed forms should be emailed to iacuc@ecu.edu

- Link to Submission Deadlines and IACUC Meeting Dates

- ORA confirms approval prior to awarding

Biological Safety

- All individuals are required to file a registration with the [Office of Prospective Health/Biological Safety](), if they wish to work with a covered biohazard

- ORA sends notification email to Biological Safety (Courtney Williford)

- ORA can proceed once notification email sent

Chemical Safety

- ECU requires all awarded grants involving use of [hazardous chemicals](#) be reviewed by an institutional review committee or their designee prior to initiation.

- ORA sends notification email to Chemical Safety (safety@ecu.edu)

- ORA can proceed once notification email sent

Project Specific COI and Export Controls Disclosure

- Investigators must submit or update if
  - added after proposal submission
  - financial interests have changed
- ORIC reviews PSDs and implements management plans when necessary. The review occurs during the award routing process in eTRACS.

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Award Setup/Dept Notification

- ORA Grants Administrator receives final executed agreement in eTRACS

- Setup Banner FOAP's (Fund Org Account Prog)

- Fund Keyed by ORA's Award Setup Team

- Award letter sent to PI/Dept by your Grants ORA Administrator

- New Award PI Meetings

Award Extensions/Modifications

- Extension/Modification approved by sponsor

- Route Change Request through eTRACS

- ORA Grants Administrator/Award Setup team makes necessary end date changes/modifications to budget

- Budget IDT keyed by ORA Grants Administrator if needed

- ORA Grants Administrator notifies PI/Dept/College of changes made

PI Portal

Days to Close	Clinical Trial	Grant	Grant Manager	Fund	Fund Status	Sponsor	Sponsor Number	Fund Title	Fund Budget Period	Project Start	Project End
Late Travel Transactions											
45	False	216777	Fly, SammyJo F.	216779	A	The Oak Foundation	OFIL-20-019	College Star Phase 5	05/01/2020 to 04/30/2022	05/01/2020	04/30/2022

Export Fund Details

Fund Budget and Expenditures As of 3/15/2022

Fund	Account Pool	Account	Budget	Expenditures	Encumbrances	Budget Balance	Expenditure Rate	
⊞ 216779	Fund Budget Period: 5/1/2020 to 4/30/2022		$135,701	$71,116	$8,424	$56,161		52.41%
	⊞ 72000 Supplies Budget Pool		$38,001	$7,850	$0	$30,151		20.66%
	⊞ 73000 Purchased Contractual Svcs Pool		$50,000	$39,986	$0	$10,014		79.97%
	⊞ 73200 Travel Budget Pool		$30,000	$1,720	$0	$28,280		5.73%
	⊞ 73400 Current Services Pool		$0	$5,081	$0	($5,081)		0.00%
	⊞ 73700 Other Expenses and Adjustments		$0	$7,204	$0	($7,204)		0.00%
	⊞ 73764 Indirect Overhead Cost		$17,700	$9,276	$8,424	$0		52.41%

Available Balance

$56,161

🟨 EXPENDITURES 🟪 BALANCE
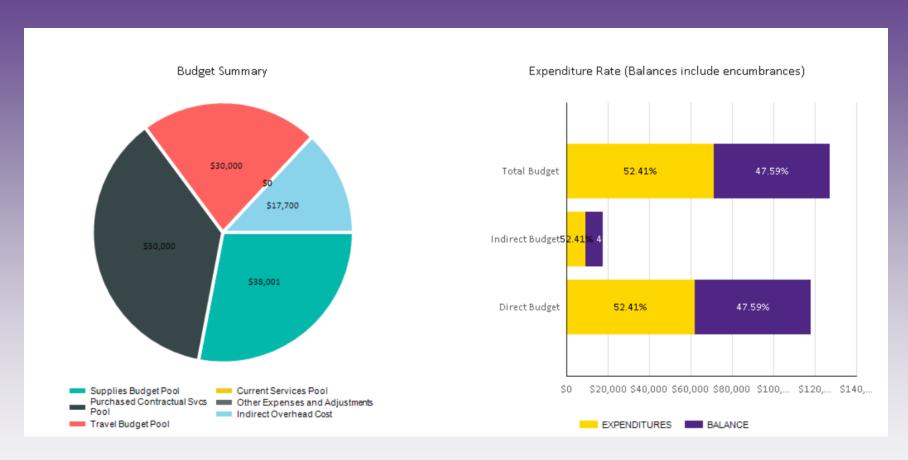
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PI Portal Expense % & Balances

Link to PI Portal: https://rede.ecu.edu/ora/about/piportal/)

PI Portal Flags

- Late Equipment

- Late Travel

- Charges after the grant end date

- Budget Overrun (greater than 120 to close) & 70% or more of expenditures

- Budget Underrun (between 120 & 180 days to close & less than 50% of expenditures)

Cost Share Tracking

- Cost Share listed on Award

- Salary/Fringe Cost Share must be input into ERS during the 3 Effort Reporting Cycles

- Cost Share is tracked by ORA grants administrator

- Cost Share Reconciliation Form required

- ORA notifies PI/College/Dept of any discrepancies

- Unmet Cost Share discussion & corrections of expenses in banner if determined by sponsor

Effort Reporting

- As a PI you must report some level of effort for any/all sponsored projects even if a specific level of effort was not committed in the proposal or award documents.

- A minimum of 1-5% effort will be reported on each sponsored project.

- The University certification process is completed on a three-period basis, reflecting the academic periods. The reporting periods are:

  - August 16 – December 31

  - January 1 – May 15

  - May 16 – August 15

Unallowable Cost

Some Examples Include:

- General Office Supplies (Envelope, Paper, Pen)
- General Purpose Equipment (Computers, Monitors, Printers, Refrigerators)
- Travel by other than a U.S. Carrier
  - Postage
  - Membership Dues
  - Legal Costs

Link to Additional Unallowable Cost

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Cost Exceptions in eTRACS

- A Cost Exception Change Request must be routed in eTRACS for any unallowable cost account code.

  – Budget justifications help verify expense is reasonable & necessary

  – Budget moved by your ORA Grants Administrator

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Subcontract Monitoring

- Risk Assessment completed and subcontracts issued by our Pre-Award group.

- Post Award Grants Administrators monitor all activity of subawards on the grant to ensure all expenditures are reconciled and invoices are paid on time.

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120-90-60 day Notifications

- Automated Notifications sent to PI/Dept

Greetings Dr. Sarah Williams, Grant 216779 is closing in 90 days.

E ecubic@ecu.edu
To ● Fly, SammyJo Felts; ● Williams, Sarah Carver
ⓘ If there are problems with how this message is displayed, click here to view it in a web browser.

Grant 216777 Fund 216779 is closing in 90 Days

The sponsored project described below will end in 90 days. Please review the information and procedures in this e-mail. If you have any questions, please contact SammyJo Fly . **Personnel being paid from this grant/fund are listed here**. To view more detailed budget and expenditure data click here.

GRANT	FUND	Financial Analyst	AGENCY	GRANT TITLE	PRINCIPAL INVESTIGATOR	BUDGET START DATE	BUDGET END DATE	TOTAL AWARD AMOUNT
216777	216779	Fly, SammyJo F.	The Oak Foundation	College Star Phase 5	Williams, Sarah C.	5/1/2020	4/30/2022	$135,701

Direct Cost Remaining
$60,693
(Direct Budget - Direct Expenditures)

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120-90-60 day Notifications

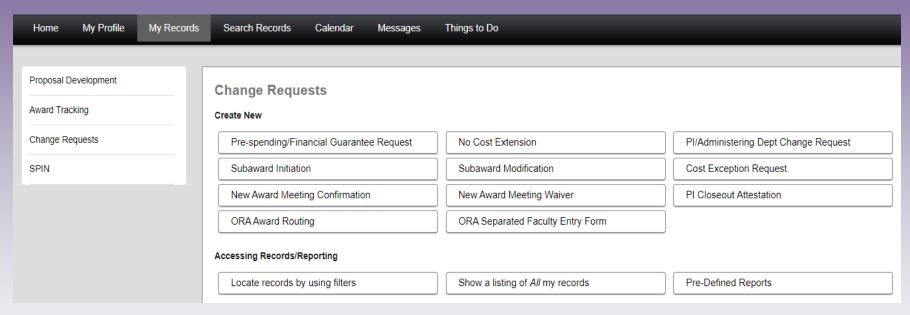| Issue	If Yes, Then . . .
Is the sponsor awarding another year of funding?	• Confirm that any necessary progress report is on target for submission. • Evaluate your spending on the project thus far. Contact SammyJo Fly if you expect to carry forward funds into the next funding period.
Do you need a No-Cost Extension?	• If your award is active in eTRACS – use the Change Request in that system. • If your award is not yet in eTRACS – use the No Cost Extension form.
Are personnel still being paid on this project?	• Contact your Departmental or Hub Administrator to remove personnel from this project as of 4/30/2022 12:00:00 AM. There should be no active Position Change forms (with or without budget) or EPAF payroll past the grant fund budget period end-date; funds cannot be closed/inactivated until this is completed.
Did this project involve cost-sharing?	• Contact your Department Administrator and/or your designated Financial Analyst to coordinate the final certification/verification of required cost sharing.
Did this project involve subawardees?	• Verify that any subcontractors are current in billing/invoicing. • Communicate with the subcontractor project lead regarding the scheduled project end date and related deadlines for required reporting/information.
Additional guidance:	• Review the 90 day closeout guidance / checklist.

Final Reporting/Closeout

- Termination Notification sent by GA

- Expenditures Reconciled/Overrun Cleared

- Final Invoice/Financial Report

- Technical Report

- PI Closeout Attestation

- Fixed Fee Award Residual

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PI Closeout Attestation

- PI Closeout Attestations approval takes place in eTRACS.

- PI's are required to verify that all expenditures on the Final Invoice match their records and their departments grant fund reconciliation.
- Notify your ORA Grants Administrator if any issues arise.

Questions?

- Suzanne Sparrow: IRB

- Drs. O'Rourke and Deshayes: IACUC

- Kelly Shook: Chemical Safety

- Tony Rowe: Export Controls & COI

- Courtney Williford: Biological Safety

- Karen Mizelle: mizellek16@ecu.edu

- Kevin Mills: millsk@ecu.edu