



# VCU

VIRGINIA COMMONWEALTH UNIVERSITY

School of Medicine

Research Administration

Quarterly Meeting

(Presented February 11<sup>th</sup> and 13<sup>th</sup> 2014)

# AGENDA

1. Six Month update on Dashboard MER certification
2. NIH Salary Cap Cost share
3. Clinical Trial updates
4. Uniform Guidance for Federal Awards
5. Discussion
  - a) Source documentation, record keeping
  - b) SOM Research Administration website
  - c) Processing of awards, subcontracts

# PI Dashboard

## Monthly Expense Reports (MER)

### First six months of FY14:

- 7,000 MERs generated between July 2013 and November 2013
- SOM has 366 PIs responsible for certifying review of those MERs
- Out of 7,000 MERs, 330 are 60 days or more past due... **4.7%**
- 75 out of 366 PIs have at least one past due MER... **20%**

# PI Dashboard

## Monthly Expense Reports (MER)

### Who is past due in my area?

You can use the MER Review Certifications portlet in the RA Dashboard to see which PI's in your department have expense reports that are 60 days or more past due:

MER Review Certifications Shared: rdg\_RA

PI: [All PIs] ▼  
Filter: 60-Days Past Due ▼  
Refresh

PI	Date Sent	Award	Index	FA Assigned	Month	Report Access Date	Certification Date
Aggarwal, Arpita	08/01/2013	Pfizer Inc	545458	RaShel Charles, Fiscal Admin	July-2013	08/02/2013	
Aggarwal, Arpita	10/01/2013	Pfizer Inc	545458	RaShel Charles, Fiscal Admin	September-2013		
Aggarwal, Arpita	11/01/2013	Pfizer Inc	545458	RaShel Charles, Fiscal	October-2013		

# PI Dashboard

## Monthly Expense Reports (MER)

### How does a PI find a prior month MER?

- PI's access their MERs from the "Reports" portlet within the PI Dashboard.
- In the Reports portlet, they select "Monthly Expense Reports"
- Show your PI's how to use the drop-down menu once at the "Monthly Expense Reports" main screen to select a prior month/year, where outstanding expense reports still need to be reviewed and certified:

Select Month/Year: January 2014 Refresh

MONTHLY EXPENSE REPORTS

FOR THE MONTH OF January 2014

PRINCIPAL INVESTIGATOR: Test, Record

January  
February  
March  
April  
May  
June  
July

# PI Dashboard: MERs

## Administrator Responsibility in Monthly Reconciliation Process

- Incorporate working to assist PIs with review of their expense reports in the Dashboard into part of your overall reconciliation process, which should include:
  - Determine if charges to project are allowable per awarded terms and conditions/Federal regulations.
  - Evaluate budget, expenses, and forecasted spending; highlight any areas where PI input or feedback is needed and request the PI address those areas.
  - Ensure there is backup documentation for all expenses incurred. Provide backup documentation to PI as needed.
  - Verify award information is correct on Monthly Expense Report and PI Dashboard.
  - Verify salary charges and effort allocation are correct according to last PI approved levels.
  - **As needed**, meet with PIs to review project finances, personnel allocations, and provide support with Dashboard MER review/certification.

# PI Dashboard: MERs

## Mid-Year Report to Department Chairs and SOM Dean

- Memos will be sent to Department Chairs, with the SOM Dean cc'd, formally documenting PI's who currently have monthly expense reports in an un-reviewed and un-certified status between July 2013 and November 2013 (60 days or more past due).
- Memo will state the following:
  - “PI's receive email reminders each month asking them to review and certify their expenses. The SOM Research Administration office also regularly offers training materials on their website and live demonstrations on the monthly review and reconciliation process for grant funds. Department administrators are encouraged to work with PI's to review and certify their monthly expense reports.”
- The memo will ask that the department make further efforts to work with the PIs listed to ensure MERs are certified in a timely fashion

# NIH Salary Cap

**Effective January 12, 2014, Executive Level II pay rate was increased from \$179,700 to \$181,500**

- **Implications for grants and proposals include:**
  - Personnel with institutional base salaries (IBS) between \$179,700 and \$181,500 will no longer be subject to the NIH salary cap, effective 1/12/14.
  - Personnel costs at the proposal stage must be budgeted using the new cap of \$181,500.
  - Active personnel on grants with IBS above the new cap of \$181,500 will need to have their VCU PAF's adjusted accordingly.
  - Overall a slightly higher salary cap will allow us to reduce our cost share requirement for over-the-cap personnel
- See SOM Research Administration website, “Critical Administrative Compliance Areas: [Salary Cap Compliance](#)”



# NIH Salary Cap

## Upcoming Training Opportunity:

- March 5<sup>th</sup>, 9-10am, Sanger 1-038
- March 20<sup>th</sup>, 9-10am, Sanger 1-038
- Register at [training.vcu.edu](https://training.vcu.edu), enter sponsor “Medicine”
- Training will cover:
  - What is the NIH Salary Cap
  - How to manage at proposal, award, and on-going project stages
  - How to key PAFs with VCU only salary and VCU/MCVP salary (calculators)
  - How to use the RA Dashboard to help monitor cost share compliance

# Clinical Trial Updates

## SOMCT updates since new SOM Pre-Study process began July 1st:

- Over 60 Pre-study planning meetings have been held for new clinical trial studies in the school of medicine
- Focus of the Pre-study planning meetings:
  - Review of protocols for OnCore® entry
  - Cost Coverage Analysis
  - Budget development
- OnCore®:
  - Over 130 protocols have been entered in the system
  - OnCore® subject entry – currently being done in Pediatrics and some Cardiology studies
  - Continued OnCore subject management roll-out delayed due to: new study volume through SOM, recent billing compliance priorities, and institutional OnCore® implementation resources

# Clinical Trial Updates

## Recent Institutional Clinical trials updates and additions:

- Billing Procedures and Forms:
  - link: <http://www.cctr.vcu.edu/clinicalresearch/billing/index.html>
  - CR and CT Billing Setup form – REVISION
  - NCT Numbers required – effective NOW, NEW requirement 1/1/14
  - Enrollment logs – REVISED and REQUIRED upon enrolling each new participant
  - IAF Supplement for Clinical Research and Clinical Trial Billing form – NEW
    - Link [http://www.research.vcu.edu/forms/index.htm#osp\\_forms](http://www.research.vcu.edu/forms/index.htm#osp_forms)
- Ancillary Services – Pricing and New Request Process:
  - Centralized request process NEW:  
<http://www.cctr.vcu.edu/clinicalresearch/researchteams/ancillary.html>
  - Standardized Fee Schedule and Exception Process – NEW  
<http://www.cctr.vcu.edu/clinicalresearch/researchteams/exception.html>
  - Research Registration forms for each clinical area still apply

# Clinical Trial Updates

## Clinical Trial Deficits – Proactive Management

Data pulled February 5, 2014:

- 20% of SOM studies past their end date are in deficit
- 20% of SOM studies with less than 4 months to their end date are in deficit
- **Key steps** to avoid closing out a study in deficit:
  - Monitor studies monthly; project revenue expected based on study activity, pay patient care (VCUHS/MCVP) bills on time.
  - Communicate with study team; PI/Coordinator/Administrator to ensure expenses are appropriate based on study activity & expected revenue: special attention to patient care bills.
  - Close studies when they are not enrolling and start-up is exhausted
  - Conduct a pre-closeout financial review when ~ 120 days to end date; review expenses incurred, study data, outstanding AR/AP, contract/budget terms, etc. and bill for all revenue owed
  - **Do not sign-off on sponsor study closeout forms until you confirm ALL patient care bills are collected and paid and ALL revenue due is received from the Sponsor!**
  - Request assistance from [SOMCT@vcu.edu](mailto:SOMCT@vcu.edu) if ever in doubt

# Clinical Trial Updates

## Upcoming initiatives from SOM Research Administration

- Develop user friendly resource materials/guides for clinical trials and clinical research administration & management
  - For study teams actually conducting studies
  - For administrative personnel assisting in financial and administrative management
  - Guides tailored to study type – Industry, Federal, research vs clinical trial
- Host additional training/information sessions related to new initiatives in billing compliance and study pricing
- Outline school level process, procedures, expectations for study start-up, on-going management, and closeout
- Feedback, input, and willingness to help from department experts is always welcome!

# Uniform Guidance for Federal Awards

- See explanation: <https://cfo.gov/cofar-reform-grants/>
- Essentially the OMB was tasked with consolidating numerous guidance documents that guided various types of entities on how to manage federal awards into one comprehensive document.
- For VCU and other educational institutions, the new Uniform Guidance will replace OMB Circulars A-21, A-110, A-133.
- The new Uniform Guidance takes effect one year from its published date, which will be: December 16, 2014
- Our main question still remains the same:
  - What are allowable costs on federal awards?

# Uniform Guidance for Federal Awards

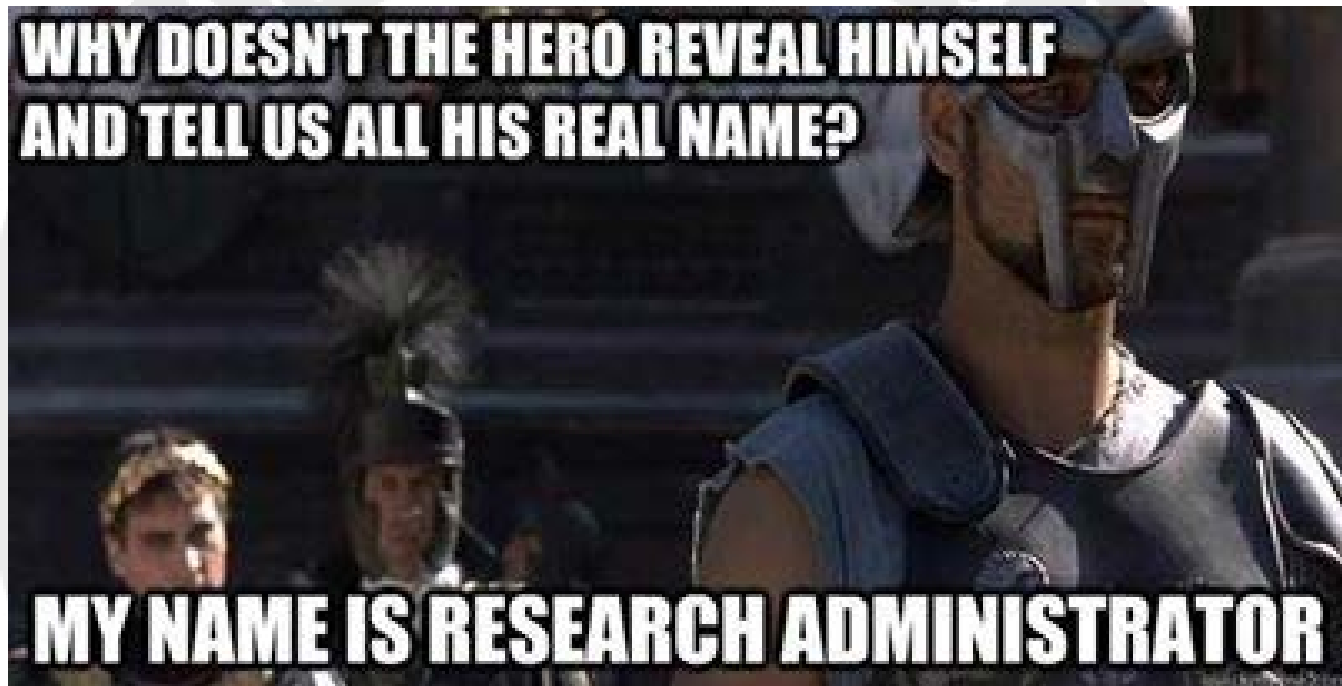
- **Links to the Uniform Guidance 1-27-14 Training Webcast**
- **COFAR Training Intro 1-27-14**  
<http://youtu.be/SOET4b-7my8>
- **COFAR Training Administrative Requirements 1-27-14**  
<http://youtu.be/BP3I3PjI1JQ>
- **COFAR Training Cost Principles 1-27-14**  
<http://youtu.be/q0rWXdy2ICM>
- **COFAR Training Audit Requirements 1-27-14**  
<http://youtu.be/g-U8HGbbC-Y>
- **Links to the Training Webcast Presentation Slides**  
[COFAR Training Administrative Requirements 1-27-14 Slides](#)  
[COFAR Training Cost Principles 1-27-14 Slides](#)  
[COFAR Training Audit Requirements 1-27-14 Slides](#)

# Discussion Areas

- **Source Documentation, Grant record keeping**
- **SOM Research Administration Website**
- **Proposal submission, award processing, issuing subcontracts**



# Questions?



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