

Office of Sponsored Programs

RESEARCH ADMINISTRATORS FORUM

December 2017



NEW YORK UNIVERSITY





Agenda

- Feedback on Subawards Process
- What is FFATA and what does it mean to the Research Administration community at NYU?
- University Export Control Compliance Officer/VPR Search Updates
- COGR update



COGR Updates-Regulatory Reform

- Regulatory Reform—21st Century Cures Act
 - Proposed changes to regulations for research involving animal subjects
 - Direct costing charges for single IRB Review-FAQ's
- Implementation of the Common Rule
 - “Federal Policy for the Protection of Human Subjects: Proposed 1-Year Delay of the General Implementation Date While Allowing the Use of Three Burden-Reducing Provisions During the Delay Year.”
 - certain exclusions and exemptions, elimination of the continuing review requirement for certain types of research, and IRB review of grant applications
 - NPRM has not been published. Until a final revised rule and revised effective or compliance date is published, the current date (January 19, 2018) remains in effect



COGR Update

- The budget and administration's efforts to cut F&A
- Alternatives to effort reporting
 - National Council of University Research Administrators (NCURA) the impetus for a cohort of institutions (now 90) developing alternative policies, procedures
 - Goals: reduce administrative burden for faculty and the institution, minimize audit risk, facilitate research within an ethical and compliant framework



COGR Update-Effort Reporting Alternatives

- Keys to transition: Risk assessment and identifying audit vulnerability
- 25 institutions from the Cohort transitioning to new systems
- Single audit results demonstrated that alternative systems implemented by Cohort members are acceptable
- General consensus is that the FDP Payroll Certification model is a strong alternative
 - Tenets of the FDP alternative model
 - Effort Reports (Old): Salary and wage amounts are acceptable based on percentage of effort
 - Payroll Certifications (Alternative) Salary and wage amounts are acceptable based on their relationship to work performed



COGR Update

- Federal Subawards and Subrecipient Monitoring:
 - 5 key areas that remain to be addressed with federal subawards and subrecipient monitoring
 - De Minimus F&A Rate of Establishing Valid & Acceptable F&A Rates for **For-profit entities**, use of De Minimus Rate for Entities with Expired F&A Rates, Risk Assessments, Timing of risk assessments
 - Reliance on Federal audit Clearinghouse (FAC) for audit findings, Safe Harbor, Lack of direct link to the FAC audit package
 - **Fixed Price Subawards**, Mechanisms for exceeding the simplified acquisition threshold, Burden and lack of standardization for prior approvals, Reducing burden of multiple fixed price subawards to same subrecipient for same project, Difficulty of managing Clinical Trial fixed price subawards with variable enrollment and costs, Adding fixed price subawards that involve cost-sharing.
 - **Foreign Subawards**, Lack of Clarity about whether SAM Registration is required or just a DUNS number, Establishing standards for appropriate foreign subrecipient risk assessment and monitoring, Developing and determining appropriate terms and conditions
 - Other: Federal Agency acceptance of negotiated F&A Rates, Pass-through Entity Acceptance of Negotiated F&A Rates



Agency Updates

- NIH's definition of "clinical trial" has been significantly expanded through the set of case studies published
 - Ongoing discussions at the federal level to clarify
 - OSP and CORIHS working to find ways to help PI's make determinations
- NSF BIO Directorate Use of Preliminary Proposal Review
 - Limited the number an investigator could submit per cycle to two proposals
 - Required a four-page preliminary proposal
 - Switched from a semi-annual to an annual submission deadline
 - After 3 rounds, NSF BIO will return to at least two deadlines per year and eliminate the preliminary proposal
 - Elimination of grant deadlines reduces burden