

SESSION

Fall 2019

- Intro & Updates
- Science and Security
- Accounts Receivable





Science and Security's
impact on Research and
Sponsored Programs.



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Importance of Collaboration

- Collaborations are often the cornerstone of success in the research community. The diversity of perspectives, ideas, and knowledge is critical, and the University remains strongly committed to that idea, encouraging and supporting collaborative efforts worldwide. Recently, concerns have been raised by many Federal entities that certain international activities have begun to threaten the integrity of the U.S. research enterprise.
- This **concern is commonly referred to within the University as “Science and Security”**. It is important that all faculty and staff understand these concerns and how they have impacted the research efforts of our University.



Main Areas of Concern

- Perceived Failure by Researchers to Fully Disclose Available Resources
- Sharing of Confidential Information In the Peer Review Process
- Loss of Intellectual Property



Direct Impacts to Research Enterprise

- Increased scrutiny of university and researcher activities by Federal agencies
- Various Federal agencies are coming out with their own guidelines regarding Science and Security
- Lack of detail in the new or clarified Federal guidelines, particularly those from NIH



Current Impacts to Proposals/Projects

- Requirements for NIH Other Support documents
- Expectations for capturing updated information on RPPR's
- More scrutiny over the use of foreign components
- Greater scrutiny of intellectual property terms during negotiations involving international sponsors



NIH Other Support Documents

- **ALL resources** made available to a researcher in support of and/or related to **ALL** their research efforts
 - Financial resources and **IN-KIND** resources
 - Resources provided by outside entities **AND** provided by the University
 - Resources provided to another party in support of a researcher or research project



UNC NIH Other Support Example

OTHER SUPPORT

DOE, JANE

ACTIVE

5R01A1XXXXXX-03	07/01/18 – 06/30/23	0.24 Cal
NIH/NIAD (PI: Doe)	\$325,678	
Plant Anti-HIV Agents		
The major goal of this project is to discover new anti-HIV clinical trial candidates based on natural products from higher plants.		

Domestic

Gifts (directly used to subsidize expenses related to your NIH funded project)

Appointments

- Name of Affiliate
- Appointment Type: (honorary, visiting or adjunct)

In-kind Lab or Office Space (Please defer to application Letters of Support, IAB's, EAB's, OSC)

- Name of Institution
- Lab name
(Ex: UNC Children's Hospital, Dr. Seuss)
Includes use of facilities or instrumentation

Collaborations

- Collaborators Name and Institution (OSC)

Foreign Component

Gifts (directly used to subsidize expenses related to your NIH funded project)

- Type of Gift
- Name of Gift giver

Appointments

- Name of Affiliate
- Appointment Type: (honorary, visiting or adjunct)

- Material Name
- In-Kind or Dollar amount

Collaborations

- Collaborators Name and Institution (OSC)
- Including anticipated to result in co-authorship

Visiting faculty/scholars/scientists/post-docs supported from foreign resources who are participating in your NIH project.

- Supported from foreign resources: Yes or No
- # for each category (Ex: Scholars – Zero; Post-Docs – 2)

Affiliations with foreign entities or governments, including talent programs.

- Institutional Name

PENDING

1R01-A1XXXXXX-02	04/01/18-03/31/21	0.60 Cal
NIH/Duke University (PI: Moe)	\$31,878 (Doe lab)	

Small molecule HIV-1 entry inhibitor with novel mechanisms of action

The major goal of this project is the discovery and identification of optimized ~~alopering~~ derivatives with low anti-HIV-1 entry activity for further drug development against persistent HIV-1 infection.

Domestic

Appointments

- Name of Affiliate
- Appointment Type: (honorary, visiting or adjunct)

In-kind Lab or Office Space (Please defer to application Letters of Support, IAB's, EAB's, OSC)

- Name of Institution
- Lab name
(Ex: UNC Children's Hospital, Dr. Seuss)
Includes use of facilities or instrumentation

Scientific Materials (In-kind or Dollar amount)

- Name of Institution



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

Types of Other Support Resources

- Active and Pending awards, funded externally (direct or pass-through, domestic or international) **OR** by the University
- Domestic or International positions, honorary, adjunct, or otherwise, held by senior/key personnel. This includes those associated with Talent programs
- In-Kind lab or office space, regardless of location of that space
- Scientific materials with or without monetary value that are not freely available to anyone



Additional Types of Other Support Resources

- Collaborators whose efforts support your research in some way
- Visiting Faculty/Scholars/Scientists/Post-Docs supported by foreign resources
- Gifts used to directly subsidize a Federally funded project
- Start-Up funds provided by an outside entity
- Graduate students whose efforts directly support a researcher's project but whose salary isn't paid by that project



FAQs on Other Support

Is there a sample Other Support template available to us?

Yes, a sample template is available on the OSR website in the forms section and can also be obtained from SPO. Focus on required content rather than format

I have an unpaid appointment at a foreign site with access to a lab. Should I report it?

Yes, you should report both the appointment and the in-kind lab space

How many years back is one supposed to go in listing support?

In the absence of a hard number from NIH, we advise going back 3 years. If NIH wants additional information, they'll ask for it



FAQs on Other Support

I have hundreds of collaborators I work with. Do I really list all?

In situations like this, we recommend a summary approach. Instead of listing all the collaborators, summarize them into groups with relevant details for each group and a promise to provide full details upon request. For example, you might say:

“Prevention Trials Network Collaboration: 20 sites involving 12 domestic institutions and 8 foreign institutions, approximately 150 investigators in total, considered collaborators because we share ideas and data that directly benefits my research. Full details can be provided upon request.”

Are personnel named on the proposal considered collaborators?

No, if they are named in the proposal, they are not considered collaborators



NIH Foreign Component Definition

- NIH currently defines a foreign component as the existence of any **significant scientific element** or segment of a project performed outside the United States
- In other words, it means:
 - The performance of work by a researcher in a foreign location, whether NIH funds are expended or not expended; and/or
 - The performance of work by a researcher in a foreign location employed or paid for by a foreign organization, whether NIH funds are expended or not expended



Significant Scientific Element Information

- Some examples of activities that might be considered significant:
 - Collaborations with individuals at a foreign site anticipated to result in them being named co-authors on publications attributed to the project
 - Use of facilities or equipment at a foreign site
 - Receipt of financial support or resources from a foreign entity
- The University will make the initial determination of significance, but NIH will make the final determination



FAQs on NIH Foreign Component

I have a foreign visiting scholar/scientist/faculty/post-doc in my U.S. lab who is working on my research project. Is their work a foreign component? Does it matter who pays their salary?

No, because they are performing their work on your project in the United States. It does not matter who pays their salary; it's based on where the work is being performed. However, they should be reported on your Other Support document

I have a foreign visiting scholar who has gone back to his home country. I'd like him to still work on my project. Would their work be considered a foreign component?

If their work is determined to be a significant scientific element of your project, then yes, their work would be considered a foreign component and would require prior approval from NIH.



FAQs on NIH Foreign Component

Do I need NIH prior approval to add a foreign component to an active award?

Yes. You'll need to submit a prior approval request to OSR who will review it and send it to NIH. Work can not begin on the foreign component until NIH approves it

Do I need NIH prior approval before a foreign visiting scholar/scientist/faculty/post-doc can work on my NIH funded project?

It depends. NIH has requested that we discuss it with your Grants Management Officer first. In these cases, you should reach out to OSR with relevant information on the visitor and they will contact NIH on your behalf.



Other General Questions

What happens if NIH or another Federal Agency believes we withheld information or failed to get prior approval when necessary?

That depends on the infraction and the severity of it. If it's something small, like forgetting to include something on an Other Support document, we'd probably just be asked to update it. If it's something more severe, and NIH has reason to believe the researcher or the University acted in a purposeful manner, the penalty could be much steeper. It's in everyone's best interest to always be as accurate and reasonably transparent as possible.



Other General Questions

Is the Science and Security issue going to impact the University in other ways besides research?

Yes. The University has convened a National Security Working Group to review numerous areas throughout the University to determine where we have gaps in our operations. Areas being reviewed include, but aren't limited to, COI, export control, international travel, and visiting scholars



Useful Information Links

- <https://research.unc.edu/compliance/foreign-influence/>
- <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-114.html>
- <https://grants.nih.gov/grants/faq-other-support-foreign-components.htm>
- <https://nexus.od.nih.gov/all/2019/07/11/clarifying-long-standing-nih-policies-on-disclosing-other-support/>
- <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-115.html>
- <https://www.aspph.org/event/aspph-presents-webinar-managing-compliance-challenges-involving-global-collaborators/>

NOTE: OSR is also working on a [webpage](#) that will provide detailed information on areas relevant to research.





Accounts Receivable

Jenifer Gwaltney
Director of Sponsored Projects Accounting, OSR

Dawn DiLello
Cash Manager, OSR

Accounts Receivable (AR)

Grants accounts receivables are **any amounts billed for a sponsored project by means of an invoice or cash drawdown**. Receivables include billings for expenditures on a reimbursement basis, payment schedule, or a fixed price contract. Invoices are generated via Connect Carolina in accordance with the award agreements. Once an invoice has been submitted to the sponsor, OSR tracks the invoice to confirm payment. For active awards the assigned sponsored project accountant monitors accounts receivable. Once the final invoice or report has been submitted, OSR's cash management team takes over collection efforts for any outstanding AR.

While most sponsors pay invoices timely, occasionally a sponsor is slow or unable/unwilling to pay. In these instances, OSR may reach out to the PI or department to assist with collection efforts.



Accounts Receivable (AR)

Questions on outstanding invoices?

- Use the SAS **OSR Payments Report** to monitor what payments are outstanding for your award
- Also contact OSR's Cash Management Team or OSRBilling@unc.edu for assistance.

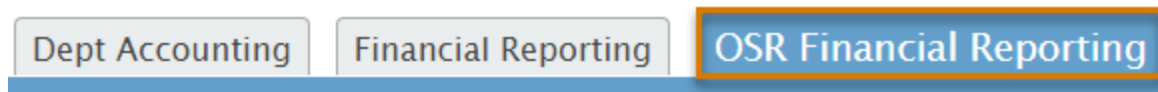


Running SAS Reports in InforPorte

1. Login to InforPorte
2. Select Finance button in upper right corner.



3. Select OSR Financial Reporting tab.



4. Click the hyperlink for the report that you would like to view

[OSR Contract Closeout Report](#)

Used to facilitate Award/Contract closeout

[OSR Payments Report](#)

This report displays all AR payment transactions

Notes:

**OSR Financial Reports only provide data beginning from October 1, 2014.*

**It may be necessary to select three (3) dots in upper right corner and “Refresh” report if no reports show up in the list.*



**Toggle between Summary format or Detail format.*



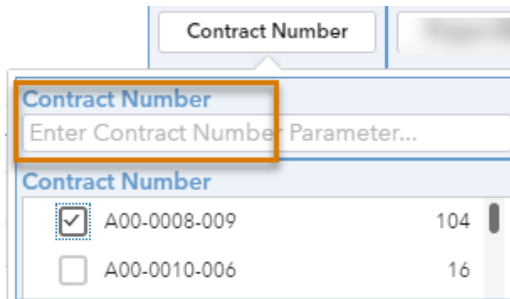
Running OSR Payment Report

1. After you select the OSR Payment Report link, the report will open
2. While you may view the report by either project ID or contract number, contract number provides more comprehensive results.

Contract Number	Project ID
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3. Enter the contract number (Axx-xxxx-xxx), then select check box.



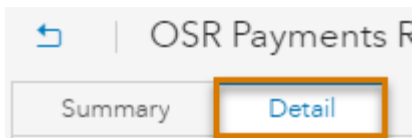
Contract Number

Contract Number

Enter Contract Number Parameter...

Contract Number	
<input checked="" type="checkbox"/> A00-0008-009	104
<input type="checkbox"/> A00-0010-006	16

4. You may select a Summary or Detail report view, select Detail to see all columns.



OSR Payments F

Summary Detail



5. Expand menu by clicking on double arrows.



6. Select Export data button.



7. You may customize the data that you wish to export.

Export Data

Rows:

Columns:

Select all

Contract Number

Project ID

Options:

Formatted data

Detailed data



8. OSR leaves the default selection and confirms that Excel workbook is the default file type.

Export Data

Rows:

|1-12

File type:

Excel workbook (*.xlsx) ▼

OK Cancel

9. Click ok and save the file how you would like.



Reading the OSR Payment Report

1. Open the exported excel.
2. You will see all cash transaction information, including the Deposit ID.

Contract Number	Project ID	Deposit ID
A18-0722-001	5109433	9267
A18-0722-001	5109433	9267
A18-0722-001	5109433	9267
A18-0722-001	5109433	9267

3. You can custom sort the information to better view the flow of transactions.



4. Sort by the following:

- a. Deposit ID from A-Z
- b. Account from Z-A
- c. Amount from Largest to Smallest

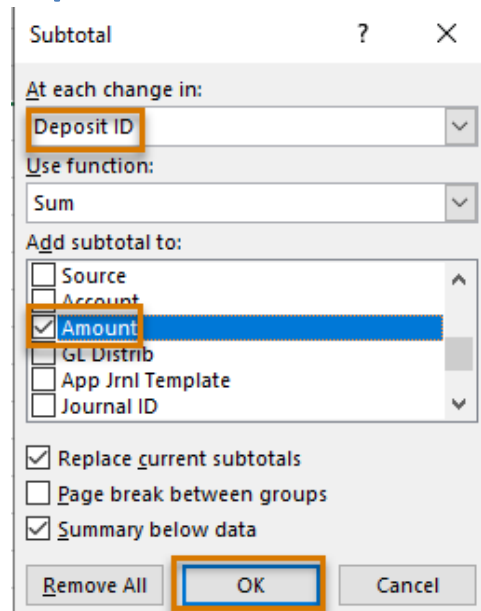
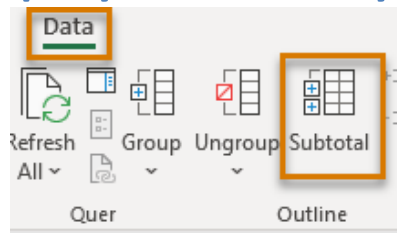
Sort

Add Level Delete Level Copy Level My data has headers

Column	Sort On	Order	
Sort by	Deposit ID	Cell Values	A to Z
Then by	Account	Cell Values	Z to A
Then by	Amount	Cell Values	Largest to Smallest



5. In the Data tab, use the Subtotal action to view the payments by Deposit ID.



6. This shows the subtotal by Accounting Date and the grand total for all payment.
7. This project had two payments equaling \$393,506

Accounting Date	Deposit ID	Fund	Dept	Source	Account	Amount
12/13/2018	0267	25210	44010	49200	111999	\$202,406.00
12/13/2018	0267	25210	44010	49200	111999	\$-202,406.00
12/13/2018	0267	25210	44010	49200	111002	\$202,406.00
	0267 Total					\$202,406.00
5/9/2018		25210	44010	49200	111002	\$191,100.00
	Grand Total					\$393,506.00



Helpful Links

Who is my Access Request Coordinator?

https://ccinfo.unc.edu/files/2017/03/Infoporte-Admin_Access-Request-Coordinator-list.pdf

