UCR C&G User Group Meeting
January 13, 2009

NEWS AND UPDATES
OPEN SKIES AGREEMENTS

- Bilateral agreements with other countries (e.g., EU) that liberalize air travel.
  - Per GSA, applicable to all Federally funded travel including travel funded through sponsored awards
    - **Exceptions**: DoD funding and City Pair Program
  - Federal agencies need to update policies to implement

- NSF change in travel policy effective January 5, 2009
  - Clarifies when travel on foreign flag carriers is permissible

- No change in UC Policy yet
  - Comply with Fly America Act

Reached with DOJ to resolve allegations that Yale violated the False Claims Act and the common law regarding management of federal grants

DOJ investigation covered grants from 31 federal agencies awarded between January 2000 and December 2006

DHHS, NSF, DOE, DOD and NASA awards made up ~94% of the $3 billion in federal grants received by Yale during that period
YALE UNIVERSITY - $7.6M SETTLEMENT

- Allegations and Focus of Investigation
  + **Cost transfers** - Yale researchers improperly authorized/ordered the transfer of charges to a federal grant to spend down remaining funds in the absence of any benefit to the charged award
  + **Salary charges** – Yale researchers certified time/effort reports to substantiate 100% of their summer salary, which was charged to federal awards, but where the researchers had devoted significant effort to performing other, unrelated work
YALE UNIVERSITY - $7.6M SETTLEMENT

- Yale cooperated fully during the investigation, producing more than 1M pages of documentation
- During the investigation, Yale made significant efforts to improve its management of federal grants
  - Established Office of Research Administration and Compliance and established new positions, including Research Compliance Officer
  - Strengthened the charter of its audit committee
  - Mandatory training programs for faculty and staff
  - Revised and updated numerous policies and procedures
  - Implemented a new web-based effort reporting system
  - Tightened oversight of cost transfers through a robust documentation and review process.
Yale joins a growing list of major research institutions fined for sponsored programs non-compliance

- U of Alabama, Birmingham
- Florida International University
- Mayo Foundation/May Clinics
- Harvard University
- Northwestern University
- Johns Hopkins University
- University of Connecticut
- Cornell University
YALE UNIVERSITY - $7.6M SETTLEMENT

- Picked up by AP, articles in New York Times and widely circulated dailies, Federal Grants News, Report on Research Compliance, etc.
- DOJ Press Release
- Yale Statement
- Chancellor, EVC and VCR have all expressed concern
COMMITTEE ON ENHANCING ACCOUNTABILITY

- FY 2007 Post-Award Audit
- Summary Recommendations – Enhancing Accountability and Resolving Sponsored Programs Noncompliance
  - Reviewed and endorsed by EVC/Provost and Dean’s Council
- Committee on Enhancing Accountability
  - Charged and Chaired by the VCR
  - Broad representation
Defined scope of activities and responsibilities

Technology Projects Subcommittee
- Reviewed Summary Recommendations
- Identified and prioritized potential technical solutions
  - Training
  - Effort Reports
  - Cost Transfers
  - Award Close Out
  - Preaward Expenditures
Examples of projects under consideration

- UC Effort Reporting System
- PI Financial Statement/Certification System
- Award Close Out System
  - Automated report reminders (interim and final)
- Preaward Request System
- Training for Department Chairs, PI and Staff
- Financial System Business Rules
  - Prevent deficit spending
  - Inhibit transfer of previously transferred costs
STATE OF CA CONTRACT SUSPENSIONS

- August - Executive Order S-08-09
- December - Governor’s directive to halt work on all State bond-funded projects
  - Department of Finance Budget Letter 08-33 (December 18, 2008)
  - Effects awards and subawards received by UCR under Prop 13, 40, 50 and 84 funding.
- State entities must cease:
  - Making new grants
  - Authorizing new phases of existing grants
  - Suspend all projects
HEADLINES FROM THE OR WEBSITE

- NSF Regional Grants Conference in Tempe, AZ (ASU) on March 30 - 31
- NIH “K” Award Applications Transitioning to Grants.gov Effective February 12
- Grants.gov to Complete Transition to Adobe Forms by February 21
- IGERT Preproposals due to OR on January 29 at 4pm
Grants.gov Stakeholder Webcast
- January 21 @1pm ET (10am PST)

Proposal and award data requests
- OR Web Portal

Research Administration Certification Council – Body of Knowledge Revision Session
- March 23 at UCR

Electronic Sponsor Proposal Submission Systems
- Recent issues, challenges and technical problems