UNIVERSITY of WASHINGTON

MRAM

April MRAM Q&A

Greetings Colleagues,

Meeting materials are available for your review along with a list of links shared during the session. Q&A from our session are included here for reference and will be available with the other meeting materials shortly.

Within a week or so following every MRAM, an email like this one typically goes out with Q&A from the session and a link to the meeting materials.

- Federal Updates: NSF Proposals and Awards Policy and Procedures Guide (PAPPG)
- GCA Update
- Subawards - Foundational Steps & OSP Updates
- CORE Update

Federal Updates: NSF Proposals and Awards Policy and Procedures Guide (PAPPG)

Q 1: Does this mentor plan requirement mean we cannot list grads or postdocs in the budget as "to be named"?
A1: Per Part I: Chapter II: D. 2. i. (i) of the PAPPG, the Mentoring Plan is required for proposals that request funding to support postdocs and/or grad students. The Plan (1 page or less) describes the mentoring for all participating postdocs or grad students whether at UW, a subrecipient organization, or an organization participating in a collaborative proposal.

Given that the PAPPG's description of the Plan is generalized to all participating postdocs or grad students, it seems reasonable to budget for “to be named” postdocs and grad students in NSF proposals.

Q2: Does the Individual Development Plan requirement apply to all NSF proposals involving grad students (including research projects)?'
A2: Per Part II: Chapter VII: B. 7. of the PAPPG, Individual Development Plans (IDP) are required for each postdoctoral scholar and graduate student that has received one person month or more of support during the reporting period. This is regardless of the type of award. PIs or Co-PIs must certify during annual and final annual reporting that each postdoc and grad student has an IDP “that maps educational goals, career exploration, and professional development.”

Text from Part II: Chapter VII: B. 7.
7. Individual Development Plans for Postdoctoral Scholars and Graduate Students
In accordance with Section 10313 (42 U.S.C. § 18993) of the CHIPS and Science Act of 2022, for each NSF award that provides substantial support to postdoctoral scholars and graduate students, each individual must have an Individual Development Plan, which is updated annually, that maps the educational goals, career exploration, and professional development of the individual. NSF defines “substantial support” as an individual that has received one person month or more during the annual reporting period under the NSF award. See also Chapter VII.D.1.b (iv) for certification requirements.

GCA Update

Q1: Will there ever be a closeout status more like status 3 where grants are closed to new expenses but corrections (journals/accounting adjustments) can still be made? In order for our shared environment to transfer expenses, the award line cannot be in closeout, and sometimes new expenditures get slipped onto the grant when the grant is re-opened to the expired status. This means another expense transfer request has to be submitted to Shared Environment to remove additional expenditures that have posted in error, and further delays closeout.
A1: We don't have plans to work on a new status at this time. We will keep this in mind as we continue to refine how we manage awards in Workday.

Q2: When will we be able to start seeing the payments from Sponsors in Award Portal?
A2: This is on our list of Award Portal enhancements. We'll provide an update when we are closer to implementing this improvement. Please visit GCA's Frequently Asked

Question on how to find payment information in Workday.

Q3: How will PIs be able to approve reconciliations in Workday?
A3: The reconciliation processes are outside of GCA's purview. Please submit this question as a UW Connect Finance ticket so the appropriate team can respond.

Q4: Does "Pending Adjustment" status allow costing allocations to post?
A4: Yes, the new "Pending Adjustment" award line lifecycle status behaves similarly to "Open" and does allow costing allocations to post. Please visit GCA's Workday Award Line Lifecycle Status webpage for more information.

Q5: Do we have to request the pending adjustments status on WD or on Award portal?**A5**: Please use Award Portal to submit requests for the new "Pending Adjustment" award line lifecycle status. Please visit GCA's Closing Your Award webpage for more information.

Q6: Is there a workaround yet for tuition that needs to be charged to a grant, prior to the last pay date of a quarter? I have an RA on a grant who is registered for Spring quarter and the grant ended 3/31.
A6: GCA has been receiving a list from UW-IT requesting we change the award line lifecycle status to allow the tuition expense to post. However, if you have an award where you know the tuition won't post prior to the Final Action Date, please submit an Award Portal ticket asking GCA to change the award line lifecycle status to "Pending Adjustment" until tuition expense posts. Please be aware that, depending on the sponsor, TA/RA salaries and their tuition expenses may not be allowable if charged at the end of the budget period. Please visit Post Award Fiscal Compliance's Tuition webpage for more information.

Subawards - Foundational Steps & OSP Updates

Q1: Can you clarify why the subaward line is needed? As in, the business purpose? Workday allows creation of BPOs under a primary grant line.
A1: All subawards require a separate award line. The separate award line allows for accurate posting of F&A since subawards generally only allow F&A to be charged on the first $25k of direct expenses.

Q2: Is the award line considered set up when there is one SAGE budget with subaward worksheets attached to the primary worksheet, or do we need separate SAGE

budgets?
A2: You need separate subaward worksheets, not separate budgets.

Q3: Is becoming a supplier and subrecipient the same process?
A3: The supplier process is different from the subrecipient process in Workday. The supplier process happens first and is completed by Procurement Services. Once that's complete, GCA updates the supplier record in Workday to make the entity a subrecipient in Workday.

Q4: Are end dates of subawards considered when triaging requests? I have subawards that are nearing their end date and have not yet been processed.
A4: Yes. Although our standard procedure is to assign items in the order received, we have begun using the end date of the subaward action to prioritize our work.

Q5: If OSP cannot provide an estimate, what do we tell our subawardees that cannot float the work?
A5: We understand that many of our subrecipients that are not institutions of higher education do not have the ability to create something similar to our Advance Awards. Please see the guidance on urgent OSP requests to determine the best approach for your situation.

Q6: I just received instruction that I should submit 8 requests to OSPSubs to set-up subaward advance line items that didn't transfer over at FT. Confirming this Is the correct process?
A6: Yes. You will need to send an email request to ospsubs@uw.edu requesting a PO amendment from a "Subaward with Advance" to a "Subaward without Advance". You will receive a response detailing the information required to make this change. Please do not set up a Subaward Modification Request for this action since it is a change to a PO.

Q7: Does it help to attach the last Mod in our requests?
A7: You do not need to include the last subaward modification in the request.

Q8: For GCA - How accurate are the F&A calculations in WD? Is it reliable at this point or are you guys still working on the bugs?
A8: We have still discovered some bugs and generally prioritize those pretty high to fix. For subawards, having the subaward on its own award line with a basis limit established, has been working great. GCA recommends using the Calculated vs Actual IDC report mentioned in the GCA presentation to validate the F&A charged on your

award lines. There is currently an issue with Workday awards where there is a sponsor-imposed dollar limit on F&A. The details and current status are available on [GCA's Known Issues webpage](). We are working with the Financial Applications Management team on a solution.

Q9: It would be helpful to post the guides you mention on how to check Supplier and Subrecipient Status in Workday. Not the videos - but a guide that doesn't require us to watch videos.
A9: The Setup Subawards webpage includes both the videos as well as text that explains the steps along with helpful links to guidance such as this FAQ on How do we know that a subrecipient is a supplier in Workday? You don't have to watch the videos to get the information you need.

Q10: For subaward supplements, do we need to submit a SAGE MOD to GCA to supplement the subaward grant line in workday prior to submitting the subaward supplement request?
A10: You should have a processed MOD for the additional funding from the sponsor in place before requesting the subaward supplemental modification. If we already have the funding from the sponsor processed and the subaward line is already in place but a rebudget to increase the award line is needed, you do not need to wait for that rebudgeting MOD to be processed before submitting the subaward modification request in SAGE.

Q11: Once I established that a potential subrecipient is a supplier in WD and a subrecipient in WD, I went to SAGE to request a subcontract. The subrecipient was not available to select. I was told that I needed to obtain subrecipient certification forms from subrecipient first and submit them for review by OSP. Not knowing that this is now a campus responsibility has introduced an unexpected delay in setting up an subaward. Amanda did not include this in her presentation. Was I given incorrect instruction from OSPSubs?
A11: The instruction from OSPSubs is correct. As was the case before Workday, these are 2 separate processes led by different central offices for different purposes. The supplier registration process is necessary for all UW suppliers, including subrecipients. The New Subrecipient Entity Request Form and related risk assessment process is part of the UW's subrecipient monitoring obligations. We will look at our web guidance for an opportunity to clarify the New Subrecipient Certification Form requirements.

Q12: Regarding subawards and restricted supplements on NIH awards. NIH Y3 parent award already processed. Y3 Supplement NOT PROCESSED, NOT CLOSE. The

supplement has funds for new subaward. Will I be able to add a new subaward line item to the AWD and once approved request issuance of new subaward? Or do I need to wait for Supplement to process.
A12: The new award line for the subaward should be set up as part of the Award MOD for the supplement as long as there is a subaward worksheet in the SAGE Budget for the supplement. The supplement from the sponsor should be processed before requesting OSP set up the subawards associated with that supplement.

Q13: GCA did a helpful thing where they said "we are currently caught up on our backlog through August" and that helped us understand that they were backlogged X# of months. Any chance we could get something like that?
A13: Thank you for bringing this up. OSP leadership will look at additional data points we can provide on our website regarding our subaward backlog.

Q14: Now that everything is urgent - who/how will you triage what is actually urgent? We have a sub threatening to stop work. They are a university - so low on the list.
A14: We are doing our best to balance the variety of urgent requests we are receiving. When you run into situations like this, please reach out to OSP Associate Director, Amanda Snyder (acs229@uw.edu) to explain the situation.

Q15: I cannot even get the subaward through SAGE until I get the subrecipient in the system. How long does this process take?
A15: It depends. OSP conducts its entity risk assessment before adding the subrecipient to SAGE. This is an important component of the UW's subrecipient monitoring obligations. This process can occur as soon as you know you have a new subrecipient for an award the UW has received.

Q16: Related to both escalation requests and assurance notes: What does OSP consider a "significant delay" in terms of the context of urgency you are dealing with right now? e.g. project period ends in 60 days?
A16: This is difficult to define because we don't want to make the process too rigid. We understand that each situation is unique.

Q17: In what situation can an assurance note be issued to a subrecipient?
A17: Assurance emails can be requested judiciously in certain cases where an SA is in OSP, but has not yet been issued to the subrecipient. Please see our Urgent Requests guidance for details.

Q18: A lot of FDP institutions have a subaward cert form that is standardized

throughout the university. Would it be helpful to implement something like this for OSP subs? So at the time of proposal we are completing the sub cert form essentially?
A18: We do not have entities complete subaward certification forms at the time of proposal. Because there is a possibility the proposal will not be funded and the there are so many other requirements to manage at the time of proposal, the UW requests those after the award. Entity forms are required (for non-FDP clearinghouse institutions) the first time we work with them and every 3 years thereafter. If the entity maintains a profile on the FDP Expanded clearinghouse, we do not request the entity cert form because we are able to obtain all certifications by reviewing that profile. The overarching goal is to balance administrative burden and our compliance responsibilities as a Pass Through Entity. Project-specific certification forms are sent by the OSP administrator to the subrecipient to complete and return along with the subaward agreement or amendment.

Q19: Suppliers do not understand why they need to register as a vendor and then re register as a subaward recipient with another form.
A19: As was the case before Workday, these are two separate processes led by different central offices for different purposes. The supplier registration process is necessary for all UW suppliers, including subrecipients. The New Subrecipient Entity Request Form and related risk assessment process is part of the UW's subrecipient monitoring obligations.

Q20: Understanding the time it takes to train new employees, what is the projected timeline to work down this backlog? This would help us in communication with our PIs (who are subjecting our research admin teams to their and subawardee frustrations).
A20: We are actively working through the backlog, using information on the subaward requests to pull items forward when the subaward end date is imminent and/or the subrecipient is not able to operate without funding.

Week over week volumes show around 850 actions in OSP at any given time, at various stages. Each week, we are averaging 48 fully processed actions (meaning subrecipient has signed, UW has signed, and PO is created) and receiving an average of 46 new requests per week.

Know that we are working as efficiently as we can, and do have an escalation process, which should be used judiciously. We have also adjusted existing staffing from the contracts team to the subawards team to assist, anticipate filling two positions, and adding temp positions.

By early fall, our goal is to have subaward action totals in OSP down from an average of 850 to 350, which is historically how many items are "in-flight" at any given time.

CORE Update

Q1: Can you post a link for the reporting webinar mentioned?
A1: Procure to Pay a Journey through Workday Reports

Q2: If I have already completed the CORE certificate, am I allowed to do it again with all the new changes?
A2: Yes.

Q3: If we have our certificate, are there any new classes that might be good to take as continuing education?
A3: Updates to the courses are embedded where appropriate so it's hard to identify a single specific courses you would need to take.

Q4: If you complete a course and it's subsequently updated do we need to retake it?
A4: At this point in time there is no requirement but we may at some point recommend that updating the certificate courses is a best practice.

Q5: What do the colors mean on the charts?
A5: The color coding is: Red= high need, Grey= medium need, Blue=low need

Q6: How do you want us to provide feedback?
A6: For feedback about CORE courses, email corehelp@uw.edu

MEETING MATERIAL