College/Division Administrator Meeting Minutes
August 9th, 2018

Valerie Coleman-Ferguson, Associate General Counsel
Kate Hammons, Immigration Specialist

University of Houston Foreign National Information Addendum

- Speaker and performer agreements have a box for the vendor to check if they are a foreign national, and they also have to fill out the University of Houston Foreign National Information Addendum
- If the individual is not on a B-1 Visa, the department needs to work with General Counsel to determine their immigration status.
- If General Counsel is not aware of the contract or immigration status in advance, this can cause compliance issues as some Visa statuses are not allowed, but the University has also been contractually obligated to pay. Please contact General Counsel in advance.
- General Counsel is updating the form.
    - One update is to address F-1 J-1 Visas, where, if the individual is an independent contractor, the department can provide the approved UH sponsored I-20 or DS-2019 form and not have to route the form through General Counsel.
    - Please review the form and send comments and suggestions to Valerie Coleman-Ferguson.
    - The Foreign National Information Addendum will be published after it has been approved by OGC Contracts Administration.

H-1B Updates

- There have been several recent immigration changes that affect H1-B employees and their employers
- Previously, if an individual was applying for a change of status or an extension, they could generally stay in the country while the application was being reviewed, even after their current authorization expired.
- Currently, U.S. Citizenship and Immigration Services (CIS) is putting people into removal proceedings if their application is denied and their current authorization is expired.
- Removal proceedings are deportation processes that include court dates, and the individual can no longer leave the country on their own. If they do leave on their own, they could be barred from returning for several years.
- This is compounded by the amount of time that U.S. CIS takes to process the applications.
- What can UH do to help their employees:
    - Applications can be filed up to six months in advance, if all information is available. Departments should submit application information to General Counsel as early as possible.
    - Applications can be filed using premium processing. This has a cost of $1,225, but it obligates U.S. CIS to process the application more quickly.
    - Some individuals may choose to wait out the process outside of the country, as if they do not leave in good status they could be barred from reentry.
- General Counsel has provided a handout with suggestions for departmental actions in this process.

Permanent Residency Process Update - Billing

- The process for outside counsel to be paid for working on permanent residency is very lengthy:
  - Step 1 – Department sponsors a person, notifying General Counsel of the sponsorship and the amount they will pay
  - Step 2 – General Counsel refers the person to outside counsel. Outside counsel cannot be paid until all work is complete.
  - Step 3 – After work is complete, the outside counsel sends an invoice to General Counsel.
  - Step 4 – General Counsel must submit all bills to the Texas Attorney General's Office (AG) for review and approval. The review process takes approximately three weeks, but can be longer if the AG's office has questions, as this is a return to Step 3.
  - Step 5 – Once AG approval is received, General Counsel sends the invoice to the Department to pay.
  - Step 6 – Department processes payment
- The time frame for payment can be frustrating for the outside counsel.
- Departments are encouraged to process the payment as soon as possible, and to process for immediate payment.

Pam Muscarello, Executive Director Business Operations Division of Research
Cris Milligan, AVP for Research Administration

Update on PS Grants Implementation for Internal Awards, Research Investments, and TRIP

- The process went live on Monday of this week and is in rollout.
- Use of PS Grants requires multiple steps, approvals, and checks, so distribution takes longer.
- Departments will not see their first faculty startup cost centers until at least the week of August 13th and all fall hire startup accounts will be set up by September.
- The system does not currently have an automated Notice of Award (NOA). The NOA is being developed and should be ready by October or November.
- In the interim, Division of Research will send an email the CDA, the PI, and the DBA (if known to them) that contains NOA information:
  - Language to describe the purpose of the funds and communication
  - Terms and conditions (from RD2K files)
  - For faculty startups only: equipment lists from the hiring documentation
  - 1074 report to show the budget and account information

Update on Contract Processing using Internal DOR Funding

- Division of Research (DOR) has worked with Purchasing to clarify that contract son internal funds go on CN730 business unit POs rather than RC730 POs.

DOR-Funded Faculty Startup

- Requests for early release of startup funds are generally not approved after mid-August. This is because at a certain point, early release is not effective as requisitions cannot be submitted and receipt and payment generally cannot be accomplished until the next fiscal year. This

year, due to the PS implementation, we have now stopped processing early releases at this time.
    - Newfaculty members needs an ePOI so that DOR can distribute funding now for it to be effective September 1. Any faculty member without an ePOI will receive their funding late as DOR needs processing time and will not be able to start the process until their hire date of 9/1.
- At the start and end of each year, DOR receives several frequently asked questions:
    - Departments do not need to obtain approval from DOR to make similar but not identical equipment purchases within the same budget category.
    - DOR approval is required for change sin budget category (moving from personnel to equipment)
    - Travel is generally not approved on startup funds
    - All extensions require approval.
    - The first one year approval is generally acceptable as long as spending is appropriate to the amount of time elapsed.
    - A second extension is unlikely to be approved, particularly if funds have not been substantially expended.

Division of Research has a new Executive Director for Data, Assessment, and Information Technology – Mohammad Saklayen.

Penny Maher, Research Compliance Specialist, Research Integrity and Oversight, Division of Research

<u>Conflict of Interest in Research Policy Change and Rollout</u>

- The Conflict of Interest in Research Policy has been updated to
    - Reflect changing federal requirements
    - Address compliance gaps
    - Include best practices
    - Reduce administrative burden
- The annual reporting of Conflict of Interest in Research process has changed to an online system
    - The system is called ICON, and had a soft launch in June of 2018
    - The reporting is now fully online, more efficient, and greatly reduces business administrator responsibilities
- The Conflict of Interest in Research policy applies to Investigators. This policy does not negate other System and campus policies regarding conflicts of interest or outside consulting.
- Policy Changes:
    - The individuals who must disclose always included Investigators for funded award, but now includes Investigators for unfunded awards that have IRB (Institutional Review Board) or IACUC (Institutional Animal Care and Use Committee) protocols.
    - The threshold for reporting a significant financial interest is now $5,000 regardless of the type of funding.
        - Any equity interest in a non-publicly funded company (i.e., startups) is still required to be reported.

    - All individuals must do online CITI (Collaborative Institutional Training Initiative) training before completing their Certification.
        - www.citiprogram.org
    - Certification due dates will roll with the date of the last certification rather than all being due annually on the same date.
        - Any Investigator that received a new award since the soft launch of ICON in June 2018 and has done their certification will be required to update their certification in a year unless they receive a new award or have a change in their outside financial interest. Then they will be required to update their certification.
        - All other Investigators will be required to complete their certifications by October 1, which will serve as their anniversary date.
    - Compliance with the new policy is required once an Investigator has certified in ICON.
- ICON System features
    - Automatic email notices are sent to the Investigator
    - Automatic reminders are sent to the Investigator (daily after 2 weeks)
    - Online access, 24/7
    - All records are online
    - Once a certification is submitted, annual updates only require update, not completing the entire form again.
- Changes in signatory/approval process
    - If an Investigator reports no significant financial interests, there are no additional approvals required
    - If an Investigator reports a significant financial interest, the report goes to the delegated person, generally the Department Chair, instead of the Chair and the Dean.
    - Deans can request a list of interests reported, as they are no longer in the signature queue.
- If there is a conflict of interest and the committee determines that it should be managed, someone will be assigned to monitor the conflict plan in ICON
    - The Dean is involved in the process
    - The assigned person is generally the Department Chair
    - ICON will send reminders to the designated individual regarding the plan
- FY2018 Conflict of Interest in Research Reporting
    - All Investigators that have not already certified in ICON (from an award received from June to the present) will be required to complete their certifications by October 1.
    - These individuals will be added to ICON in August to allow certification during September for the October 1 due date.
- All Investigators must update their certification for each new award.
- DOR will hold funding on new awards until certification is complete.
- ICON access is granted by the Conflict of Interest Office in DOR.
- Penny will provide departmental training, interested departments should send her an email at plmaher@uh.edu
- The Conflict of Interest Office in DOR will work with investigators on the transition, and can provide them with old forms and help them with new awards.

- The presentation is available on the DOR website at http://www.uh.edu/research/compliance/coi/, using the link for "PPT presentation: Changes to Policy" at the right.

Omar Maglalang, Lead Analyst Annual Giving

Cougar Countdown and alumni participation

- Annual giving focuses on smaller dollar gifts
- The Cougar Countdown initiative for FY2018 is active until the end of August.
- The focus is on giving by undergraduate alumni.
    - If an individual has both an undergraduate and graduate degree, they will count as an undergraduate.
- The goal is to boost participation in giving, regardless of dollar amount, from the current percent of 10.86% to 12.66%. This represents approximately 2,400 alumni needed.
- The 2,400 new gifts are needed by the end of August to count for FY2018.
- The minimum gift is $2. Funds can be donated to any area.
- Reaching the goal is very important because it is used in the U.S. News and World Report ratings and could affect the University's Tier One status.
- Annual Giving needs assistance from Colleges and Departments:
    - Word of mouth is critical to this campaign. Please reach out to people to tell them about the campaign.
    - Exposure, especially via social media and listservs
- Annual Giving has a Communications Tool Kit that will be sent out to the CDA listserv.
- Please contact Omar Maglalang at omaglalang@uh.edu
- This campaign is annual.

Karin Livingston, AVP for Finance & Controller

Senator Boris Miles Spot Bid Fair reminder

- August 15th is the last day to submit requisitions for the Spot Bid Fair
- For all Colleges and Divisions without at least three requisitions submitted August 1 – August 15, Purchasing will begin selecting requisitions from those submitted on or after August 16th.
- If you have some items in mind but miss the deadline, please send the requisition number and information to Jack Tenner, Tim Henry, and Karin Livingston so that we may select the items you prefer.

Departmental HUB Vendor Showcases

- At the last HUB Vendor Fair, vendors reported that did not have sufficient time to talk to all of the interested departments.
- Beginning FY2019, the HUB Operations Department will offer HUB Vendor Showcases in individual departments.

- Showcases for the following goods/services will be offered:
    - Catering
    - Promotional items
    - T-shirts
    - Awards
    - Coffee/Water service
- Contact Maya Thornton in HUB Operations if you are interested.

New UH Branding Policy Draft

- Peggy Levy provided a draft of the new UH Branding Policy for the CDA group to review.
- Karin Livingston will email the draft policy to the CDA listserv.

Tejas Office Products Orders by Voucher

- Tejas prefers to be paid by P-Card, as vouchers are not always paid timely
- Finance is asking Colleges and Departments to consider whether people that are ordering by voucher have a P-Card that could be used. If they do not have a P-Card, we ask that the individuals be asked to monitor their Tejas invoices carefully.
- Based on group conversation, Karin Livingston will make the following suggestions to Tejas:
    - Identify unpaid invoices when users login.
    - Cut off access to the Tejas website or the ability to order when invoices are more than 180 days old.
    - Tejas should only send invoices that aren't paid when they are at least 30 days old. Including current invoices (less than 30 days old) requires considerable effort on the part of the departments to review to make sure that noting gets paid twice.

Proposed guidelines for travel before and after conferences

- Accounts Payable and the Tax Department will be reviewing IRS requirements, Comptroller requirements, and campus policies in an effort to ensure that all travel requirements, guidelines, and standards are reasonable, understandable, and clearly communicated.
- Several areas that will be reviewed were discussed. Colleges and Divisions should contact Karin Livingston with areas that could be added.