



UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN



2009 BUSINESS LEADERSHIP CONFERENCE

Life of an Award

3/17/09

9 AM and 1:15Pm

Business Leadership at Illinois: Collaborating for a Brilliant Future

Workshop Presenter(s)

- Kathy Young, Director
kyoung@illinois.edu
- Vicki Fair, Assistant Director – Subaward
vfair@illinois.edu
- James Wade, Assistant Director – Proposals
jwade1@illinois.edu
- Linda Learned, Assistant Director - Awards
llearned@illinois.edu

Call 333-2187

Please ...

- Turn off cell phones.
- Avoid side conversations.
- Please hold your questions until the end
- Sign the attendance roster.
- Complete the evaluation at the end of the workshop.

Who do we work with?

- Departments and Faculty
- Sponsors
- GCO Post-Award and Government Costing
- Legal Counsel
- Risk Management
- Purchasing (Equipment and Independent Contractors)
- Office of Technology Management
- Compliance Offices
- OVCR (F&A Waivers)
- Graduate College
- President, Provost, and Chancellor (New Programs and Facilities)

Focal Point for Research Community

- Information Source
- Electronic Research Administration
- Types of Sponsors
- Federal and Private funding sources
- Types of proposals
- Types of federal assistance
- Modes of Support

What is a Research Administrator?

- Advocate
- Reviewer
- Motivator
- Interpreter
- Resource Locator
- Compliance Manager
- Enforcer
- Gatekeeper

Organizational Structure

- Authority
 - OVCR (solid line)
 - OBFS (dotted line)
- OSPRA Divisions
 - Processing
 - Proposal
 - Award
 - Subaward
 - UI eRA (Electronic Research Administration)

What do we do?

- Tasks
 - All activities up to execution of the award
 - Proposal Review and Submission
 - Award Processing
 - Subaward Issuance
 - Some limited activities after execution
 - Collaborate with Post-Award on interpretation of award terms
 - On-going awards
 - Modifications and amendments
 - Disputes

Processing Division

Responsible for receipt and shipment of proposals and awards, maintenance of database and files, and assistance with tracking documents and some reporting. Limited processing of awards (NIH/NSF).

Proposal Division

Responsible for the review and submission of proposals; some limited award review:

- Types of Proposals
- Proposal Components
- Budget
- Submission
- “Just in Time”

Proposal Review and Approval

–Budget Analysis

- Application of F&A and Fringe rates
- Accuracy (bottom line)
- Allocable, Allowable, and Reasonable

–Compliance with Guidelines

- Sponsor
- University

Proposal Considerations

- Forms
 - UI Transmittal Form
 - Use
 - Future Plans
 - Proposal Review Checklist

Proposal Considerations (cont.)

- Budget Revisions
 - Pre-Award (OSPRA) vs. Post-Award (GCO)
 - Pre-Award – Prior to execution
 - Impact Statement (> 10%)
 - Category Reduced?
 - Post-Award – After execution
 - May require modification to award processed by OSPRA

Cost-Sharing

- Leveraging the project
 - Unallowable as direct, unallowable as cost-sharing
 - Mandatory vs. voluntary
- Documenting in Proposal
- Documenting in Award
 - “Other Resources available to the Project”

Compliance

- Insurance (Risk Management)
- Human Subjects
- Animal Care
- Biohazards
- Security
- Health and Safety
- Invention Statements

Compliance (cont...)

- Misconduct in Science
- Conflict of Interest
- Debarment – Suspension
- Recombinant DNA
 - Stem Cell
 - Human
 - Animal

Compliance (cont.)

- Clean Air
- Byrd Anti-Lobbying Amendment
- Rights to Inventions – Bayh-Dole
- Copeland “Anti-Kickback” Act
- Equal Opportunity

Award Division

Responsible for negotiation of awards, drafting specialized terms and conditions, and provide backup for proposal review during high volume periods.

Contractual Mechanisms

Financial Assistance

- Grants
- Cooperative Agreements

Procurement

- Contracts

Award Processing

- Rules, Regulations, and Guidelines
 - Federal
 - State
 - Private
 - Foundations
 - For-Profit Concerns

Award Considerations

- Terms and Conditions
 - Fixed Price vs. Cost Reimbursement
 - Cost-Sharing
 - Payment, Billing and Invoicing
 - Equipment
 - Audit
 - Intellectual Property
 - No-Cost Extensions

Considerations (Cont.)

- Modifications and Amendments
 - Continuations or Renewals?
- Special Considerations
 - Hot Topics (everchanging)

Mandated Requirements

- Federal Acquisition (FAR)
 - Contracts
 - Agency Supplements
- OMB Circulars
 - (Now codified at 2 CFR)
 - Cost Principles, Grants & Contracts (A-21)
 - Administrative Standards, Grants (A-110)
 - Audit Standards, Grants (A-133)

FAR

Chapter 1 of Title 48 of the Code of Federal Regulations (CFR)

- | | |
|-----------|---|
| Part 1-51 | Guidelines on use of clauses |
| Part 52 | Contract clauses |
| Part 53 | Government forms for use in acquisition actions |
| Part 70 | Agency specific and supplements |

A-110 (2 CFR 215)

- Pre-award policies and forms
 - Standards for financial management
 - Property and Procurement standards
 - Records and Reports
 - Closeouts/follow-ups
 - Administrative requirements
- (Standards are also sufficient for contracts)

A-21 (2 CFR 220)

- Composition of total costs
- Allowability of certain costs
- Reasonableness of costs
- Allocability of costs
- Consistently applied
- Cost Accounting Standards (Julie)

A-133 (2 CFR XXX)

- Audit requirements
 - Prime
 - Subrecipients (versus Vendors)
- Details responsibilities of each party
- Applies to federal grant expenditures greater than \$500K

Intellectual Property

- Bayh-Dole (37 CFR 401)
 - What we develop we own
 - What they develop they own
 - What we develop together we jointly own

Use of a Standard Term Sheet

- Copyright (Title 17, US Code)
 - Assignment
 - Work For Hire

We work with Counsel and the Office of Technology Management (OTM) on these issues

Subaward Division

Responsible for drafting and negotiating lower-tier agreements (Subawards) issued to other entities performing a portion of the research under a prime award to the University.

General regulations include:

- OMB Circular A-133 -- Audit Requirements
- 2 CFR Part 215 (formerly known as OMB Circular A-110) -- Administrative Requirements

Specific regulations include:

- University's Prime Award
- Awarding Agency regulations

Subawards

- A-133 defines subrecipient and provides guidance for distinguishing a subrecipient vs. vendor
- Highlights of the process:
 - ✓ Verify prior sponsor approval
 - ✓ Accumulate subrecipient's documentation (Statement of Work, budget, budget justification)
 - ✓ Incorporate Exhibits and Attachments
 - ✓ Verify F&A or overhead rates assessed

Highlights (continued)

- ✓ Verify availability of funds and period of performance
- ✓ Review terms and conditions of Prime Award to determine appropriate flow-down (e.g., IP, termination, payment provisions, reporting, reps & certs, etc.)
- ✓ Work with Legal Counsel for approval of non-standard terms
- ✓ Obtain PI approval of Subaward and University authorized signature(s)
- ✓ Negotiate terms and conditions with subrecipient and make modifications to agreement as necessary

UleRA Division

Responsible for oversight and implementation of InfoEd

- Proposal Tracking (7/01/2004)
- Proposal Development (underway)
- Report Facilitation

Initiatives

- Implementation of electronic grant management system 7/01/2004(UI eRA)
- National Science Foundation FASTLANE
 - one of original pilot institutions in 1995
 - website pilot in 2004 leading to...
 - current Research.gov pilot
- Grants.Gov
 - pilot institution summer in 2005
 - UI eRA System to System
- Federal Demonstration Partnership (FDP)
- University Industry Project (UIDP) (Founder's Circle)

Resources

At our website:

<http://www.ospra.uiuc.edu>

- Frequently Asked Questions
- Budget Templates
- University Policies on Sponsored Projects
- Agency Policies
- Forms
- NSF FastLane Access Instructions
- American Recovery and Reinvestment Act (ARRA)
- Other links

Wrap Up

Questions?