Managing Contract and Grant Awards

Overview

• Roles & Responsibilities
• Key Information in Funding Announcements
• Reading and Understanding Awards
• Account Management
• Resources
Roles & Responsibilities

ORA, PI and FO Responsibilities
Whoever has the gold makes the rules…

Remember the Golden Rule!

It’s everyone’s responsibility to read and understand policies, guidelines, and specific terms and conditions.
Project Management: Role of ORA

ORA will:

- Grant Services Administrator
  - Help submit progress report when institutional signature is required.
  - Review selected transactions routed to ORA for approval.
  - Be available as a department resource to answer questions and help determine allowability.

- Reporting Analyst
  - Calculate budget deviations to ensure project is within agency’s guidelines.
  - Review expenses at the time of reporting to ensure compliance.
  - Prepare & submit all financial reports (including cost share) related to grant activity.
  - Generate income refunds at time of final report.
  - Participate in audit reviews by external agencies.
Project Management: Role of PI and FO

• The Principal Investigator (PI) and the Fiscal Officer (FO) have primary responsibility for achieving the technical success of the project and complying with the financial and administrative policies and regulations associated with the award.

• PIs/FOs will:
  • Execute the project as outlined in the funded proposal, using sound management techniques
  • Carry out the project's financial plan as presented in the funded proposal, or make changes to the plan following a prescribed set of policies and procedures
  • Report project progress to the sponsor as outlined in the terms of award
  • Maintain an accurate record of project related expenses
Key Information in Funding Opportunity Announcements
Understanding Funding Opportunity Announcements (FOA)

FOAs contain important information that can help with post-award management:

- Award terms & conditions: cost share requirements, budget restrictions.
- Award administration information: payment information, reporting requirements.

DIGITAL HUMANITIES ADVANCEMENT GRANTS

Deadline: June 19, 2019 (for projects beginning February 1, 2020)
The Office of Digital Humanities accepts applications for Digital Humanities Advancement Grants at two deadlines a year: in January and June.

Catalog of Federal Domestic Assistance (CFDA) Number: 45.169
Funding Opportunity Number: 20190619-RAA

If after reading this document you have questions about this program, contact the NEH Office of Digital Humanities (ODH) via e-mail at odh@neh.gov. Applicants wishing to speak to a staff member by telephone should provide in an e-mail message a telephone number and a preferred time to call. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8339.
Organization and content of FOA is defined by the Office of Management and Budget (OMB)

- **Part 1. Overview Information**
  - Key Dates

- **Part 2. Full Text of the Announcement**
  - Funding Opportunity Description
  - Award Information
  - Eligibility Information
  - Application and Submission Information
  - Application Review Information
  - Award Administration Information
  - Agency Contacts
  - Other Information
Non-Federal FOA

- No standardized guidelines
- Organization and content is defined by the agency
- Terms & Conditions of the award may be embedded in the guidelines or provided as separate documents
Reading and Understanding Awards
Types of Awards

- Formal agreement
- Letter
- E-mail
- Check
Federal Notice of Award

While sponsors’ Notices of Award will differ in format, most will contain the following information:

• Application/grant identification number (grant number)
• Name of recipient organization
• Name(s) of the PD/PI(s) and senior/key personnel
• Approved period of performance start and end dates
• Approved budget
• Total amount of Federal funds obligated (federal share)
• Total approved cost sharing or matching, where applicable (Non-Federal share)
• Terms and conditions of award, including any restriction on the use of funds
• Reporting and deliverables
• Agency contacts
Key Items to Review in the NOA

• PI and Senior/Key people listed are correct
• Time period and amount are correct
• Overarching policies and regulations
• Special consideration for the terms of award
• Reporting requirements
• Agency contact information
What is the Federal Demonstration Partnership (FDP)?

- IU is an institutional member of the FDP, an initiative comprised of 10 federal agencies and over 160 institutions working to improve processes relating to research administration.
What is the Federal Demonstration Partnership (FDP)?

• The “Expanded Clearinghouse” is a specific FDP project that aims to reduce the need for the “subrecipient commitment forms” that have multiplied following the implementation of Uniform Guidance.
What is the Federal Demonstration Partnership (FDP)?

Information Available on the FDP Expanded Clearinghouse Website

• Data included on each published organization profile has been certified correct by an applicable institutional official, and includes:

• Entity’s most recent Single Audit
• F&A rate agreement
• Fringe benefit rates
• PHS FCOI policy status
• Federal codes (including DUNS, EIN, CAGE)
• Contact information (for FFATA reporting, COI, senior authorized official, etc.)
FDP Expanded Clearinghouse

Welcome to the FDP Expanded Clearinghouse online system. This publicly available website provides online organization Profiles in lieu of subrecipient commitment forms to obtain entity-based information needed by pass-through entities when they are issuing subawards or monitoring their subrecipient entities. It is the result of the FDP Pilot Project that effectively demonstrated reduction of administrative burden.

What information is available in the organization Profiles?

Data included for each published organization profile has been certified correct by an applicable institutional official and includes data about the entity’s most recent Single Audit, F&A, and fringe benefit rates as well as suspension and debarment, PHS financial conflict of interest policy status, Federal Wide Assurance number, other compliance-related information, and a wide variety of federal codes (DUNS, EIN, CAGE, etc.) and contact information (senior authorized official, FFATA, financial, COI, etc.) that are commonly needed for various types of subawards. All published profiles can be accessed by clicking on...
FDP Website

Welcome to the FDP Expanded Clearinghouse online system. This public website and user system are the products of an FDP Pilot Project to test the efficacy and efficiency of using online organization Profiles in lieu of subrecipient commitment forms to obtain information needed by pass-through entities when they are issuing subawards or monitoring their subrecipient entities.

What information is available in the organization Profiles?

Data included on each published organization profile has been certified correct by an applicable institutional official and includes data about the entity’s most recent Single Audit, F&A, and fringe benefit rates as well as suspension and debarment, PHS financial conflict of interest policy status, Federal Wide Assurance number, other compliance-related information, and a wide variety of federal codes (DUNS, EIN, CAGE, etc.) and contact information (senior authorized official, FFATA, financial, COI, etc.) that are commonly needed for various types of subawards. All published profiles can be accessed by clicking on “Participating Organizations” above and are publicly available without logging into the system. The FDP Pilot team monitors the Profiles regularly to ensure the data is current. The accuracy of the Profile information is the responsibility of the Pilot organization.

View the Organization Profiles

Find an Organization

How does an organization include their Profile in this system?

Organizations that have their Profiles included in this website and system are members of the FDP Expanded Clearinghouse Pilot that began in February 2016. Participating pilot organizations listed under “Participating Organizations” have agreed to review each other’s published profiles in lieu of sending/receiving individual subrecipient commitment forms containing the information posted on their profile. Minor exchanges of data that are transaction/subaward specific (such as an IRB approval, Statement of Work or budget) may still be shared between the pass-through entity and the subrecipient, provided that such exchanges do not require completion of data already appearing on the entity’s published profile. Pilot organizations have also agreed to make their Profile information fully available to the public. An organization does not need to be a member of the Pilot to access the Profiles on this site.

How does an organization join the Pilot and/or include their Profile in this system?

The FDP will be adding an additional "cohort" of Pilot organizations in May or June of 2017. This cohort will consist of FDP member organizations. Once the Pilot officially ends on June 30, 2017, an assessment will be made as to when additional organizations might be added and whether non FDP organizations will be able to participate. Please check this website in the future for updated information.

For participating organizations with log in rights, please log in below

Proceed to Log In page
FDP Website

Participating Organizations

This list of Participating Organizations contains participants in the FDP Expanded Clearinghouse initiative. All FDP member organizations are included. If you represent a non-member organization which is not represented in the clearinghouse and you would like to add a profile for your organization, please contact the Clearinghouse Steering Committee at fdpechelp@gmail.com.

Please click on a Participating Organization's name to view their Profile. Once a Profile is opened you can tab through 6 sections of information on the Profile. You may also print an organization's Profile once you have selected the Profile by clicking the Print button in the top right corner of the Profile.

Show 15 organizations

<table>
<thead>
<tr>
<th>Organization (Common) Name</th>
<th>Primary DUNS</th>
<th>Primary Contact</th>
<th>FDP Member</th>
<th>Last Published On</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indiana University</td>
<td>006046700</td>
<td>Jim Becker</td>
<td>Yes</td>
<td>05-19-2019</td>
</tr>
</tbody>
</table>
Federal Demonstration Partnership (FDP)

Ten Federal Agencies that Participate

- To qualify as a true FDP award, the prime sponsor must be from one of these agencies.

<table>
<thead>
<tr>
<th>Agency Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air Force Office of Scientific Research (AFOSR)</td>
</tr>
<tr>
<td>Army Research Office (ARO)</td>
</tr>
<tr>
<td>Department of Agriculture (USDA)</td>
</tr>
<tr>
<td>Department of Homeland Security (DHS)</td>
</tr>
<tr>
<td>Environmental Protection Agency (EPA)</td>
</tr>
<tr>
<td>National Aeronautics &amp; Space Administration (NASA)</td>
</tr>
<tr>
<td>National Institutes of Health (NIH)</td>
</tr>
<tr>
<td>National Science Foundation (NSF)</td>
</tr>
<tr>
<td>Office of Naval Research (ONR)</td>
</tr>
<tr>
<td>Army Medical Research and Material Command (AMRMC)</td>
</tr>
</tbody>
</table>
National Institutes of Health Awards
Actions on Awards That Require Prior Approval

- Deviation from award terms and conditions
- Addition of a foreign component
- Pre-award Costs incurred more than 90 days prior to effective date of new or competing award
- Change in scope
- Change in status of PI or other Key Personnel named in the NOA. (absence for 3 months or reduction of effort by 25% or more).
- Changes in grantee organization or organizational status
- Extension for more than 12 months, or second extension
- Need of additional NIH funding
- Addition of fixed amount subawards
- Rebudgeting funds from trainee costs
Actions on Awards that Typically Do NOT Require Prior Approval

Standard terms of award grant the following authorities to the grantee:

- Carryover of unobligated balances – unless not an eligible mechanism (e.g., U01) and/or noted otherwise on the Notice of Award

- Cost-related changes – unless it results in a change of scope

- Extension of the project period without additional funds – up to 12 months

- Transfer of substantial work to a 3rd party component – unless results in a change of scope, the component is foreign, or fixed subaward
## Prior Approval Matrix

### Research Terms and Conditions Appendix A

**Prior Approval Matrix**

**December 15, 2018**

For more information, see FDP Prior Approval Matrix at:

Key Items to Review in NIH NOA

- PI and Senior/Key people listed are correct
- SNAP or non-SNAP
- Overarching policies and regulations
- Special consideration for the terms of award
- Contact information (Program Director and Grants Management Specialist)
Project Changes

• Per NIH Policy, certain post-award actions require the prior approval of the NIH Grants Management Officer.

• Refer to NIH Grants Policy Statement, Section 8, Administrative Requirements.
All Prior Approval Requests Must Be...

- Submitted in writing via email or NIH Commons – include complete grant number, PI name and contact information, grantee name
- Signed by ORA
- Submitted to the awarding IC’s Grants Management Specialist no later than 30 days before the proposed change
- Approval need to be in writing
  - A phone call with a Program Officer does NOT count!
Streamlined Non-Competing Award Process (SNAP):

- Award will tell you whether SNAP applies to its progress and final progress reports.

- Awards routinely included in SNAP are "K" awards and "R" awards, except R35.
Streamlined Non-Competing Award Process (SNAP):

- Awards excluded from SNAP are those that generally do not have the authority to automatically carry over unobligated balances (center, training and STTR/SBIR grants).
Streamlined Non-Competing Award Process (SNAP):

- SNAP awards allow a PI to create and submit the progress report.

- Non-SNAP progress reports require routing and ORA approval/submission.
National Science Foundation Awards
AWARD NOTICE

Award Date: March 12, 2019
Award No. (FAIR): XXXXXX
Proposal No.: XXXXXX
Managing Division Abbreviation: OISE

Mr. Steven Allen Martin
Associate Vice President, Research
Indiana University
509 E 10th St,
Bloomington, IN 47404-3654
DUNS #: 006046700

Dear Mr. Martin:

The National Science Foundation hereby awards a grant of $199,877 to Indiana University for support of the project described in the proposal referenced above. This award is expected to total $199,877.

This project, entitled “MAGNIFICENT PROJECT,” is under the direction of PI John Smith, Joe Smith.

This award starts March 15, 2019 and ends February 28, 2021.

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Research Terms and Conditions (RTC) dated March 14, 2017, and NSF Agency Specific Requirements, dated February 29, 2019, available at:
https://www.nsf.gov/awards/managemen/rtc.jsp

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VI Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots, and the following terms and conditions:

This award is subject to the Federal Funding Accountability and Transparency Act (FFATA) award term entitled Reporting Subawards and Executive Compensation, which has been incorporated into the NSF Terms and Conditions referenced above.

If the awardee has any questions related to the pre-populated data associated with this award in the FFATA Subaward Reporting System, such questions should be submitted to: FFATA.ReportingIntrafra.gov or by phone to: (800) 673-6188.

This award is subject to the provisions of NSF 18-005, International Research Exchanges for Students.

Funds provided for participant support may not be diverted by the awardee to other categories of expense without the prior written approval of the cognizant NSF Program Officer. Since participant support costs are not a normal account classification, the awardee organization must be able to separately identify participant support costs. It is highly recommended that separate accounts, sub-accounts, subtasks, or sub-headers be established to accumulate these costs. The awardee should have written policies and procedures to aggregate participant support costs.

The Foundation authorizes the awardee to enter into the proposed subaward arrangement with XXXX University and to fund the subaward with award funds up to the amount indicated in the approved budget request. The subaward should contain appropriate provisions consistent with Appendices B of the Research Terms and Conditions (RTC) dated October 1, 2017, or Articles 8.4.4 and 9 of the NSF Grant General Conditions (GGC) dated February 25, 2019, as appropriate, as well as any special conditions included in this award.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

The indirect cost rate(s) for this award is/are:

Item Name
Indirect Cost Rate

MTDC 26.0000%

These rates are at the time of award and are based upon the budget submitted to the NSF. It does not include any out-year adjustments. The NSF will not modify awards simply to correct indirect cost rates cited in the award notice. See the Proposal & Award Policies & Procedures Guide (PAPPG) Chapter X.A.3.a. for guidance on re-budgeting authority.

Please visit the project reporting requirements for this award at the following web address [https://reporting.research.gov/fundaward/18004114].

The cognizant NSF program officer for this grant is Majda Kukic, (703) 293-8740.

The cognizant NSF grants officer is Tammy Robinson, (703) 293-7859.

Sincerely,

Tammy Robinson
Grants and Agreements Officer
CFDA No. 47.079, Office of International Science and Engineering
research.iu.edu

Office of Research Administration
Information within NSF Award Letter

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Research Terms and Conditions (RTCs) dated March 14, 2017, and NSF Agency Specific Requirements, dated February 25, 2019, available at: https://www.nsf.gov/awardman/rtc.jsp.

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VI Agreement, which requires active institutional participation in new or ongoing FDP demonstrations and pilots, and the following terms and conditions:

This award is subject to the Federal Funding Accountability and Transparency Act (FFATA) award term entitled, Reporting Subawards and Executive Compensation, which has been incorporated into the NSF Terms and Conditions referenced above.

If the awardee has any questions related to the pre-populated data associated with this award in the FFATA Subaward Reporting System, such questions should be submitted to: FFATAReporting@nsf.gov or by phone to (800) 673-6188.

This award is subject to the provisions of NSF 18-505, International Research Experiences for Students.

• Link to research terms and conditions and special NSF requirements.
• Refers to FDP allowances.
• References specific NSF Solicitation - must follow requirements provided by that link.
Funds provided for participant support may not be diverted by the awardee to other categories of expense without the prior written approval of the cognizant NSF Program Officer. Since participant support cost is not a normal account classification, the awardee organization must be able to separately identify participant support costs. It is highly recommended that separate accounts, sub-accounts, sub-task, or sub-ledgers be established to accumulate these costs. The awardee should have written policies and procedures to segregate participant support costs.

The Foundation authorizes the awardee to enter into the proposed subaward arrangement with XXXX University and to fund the subaward with award funds up to the amount indicated in the approved budget request. The subaward should contain appropriate provisions consistent with Appendix B of the Research Terms and Conditions (RTC) dated October 1, 2017, or Articles 8.a.4. and 9 of the NSF Grant General Conditions (GC-1) dated February 25, 2019 (as appropriate), as well as any special conditions included in this award.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

The indirect cost rate(s) for this award is/are:

<table>
<thead>
<tr>
<th>Item Name</th>
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These rates are at the time of award and are based upon the budget submitted to the NSF. It does not include any out-year adjustments. The NSF will not modify awards simply to correct indirect cost rates cited in the award notice. See the Proposal & Award Policies & Procedures Guide (PAPPG) Chapter X.A.3.a for guidance on re-budgeting authority.

Please view the project reporting requirements for this award at the following web address [https://reporting.research.iu.edu/fedAwardId/1854114].

The cognizant NSF program official for this grant is Maja Kujda, (703) 292-8710. The cognizant NSF grants official contact is Taryn Robinson, (703) 292-7859.

- Mentions prior approval regarding rebudgeting participant support costs.
- Approval for subaward to another university; all terms and conditions flow down.
- Cites off site indirect cost rate.
- Provides a link to reporting requirements
  - This is important for PIs to hold as ORA is not involved in the submission of technical reports.
- Provides contact information for program official and grants official.
Examples of actions requiring NSF Prior Approval

• Adding or changing PI personnel, or the reduction of PI effort of more than 25%

• Certain rebudgeting actions, such as moving participant support to other line item categories, as mentioned in previous slide.

• Adding or changing any subcontract relationship

• Second, or third no-cost extensions (must be submitted 45 days prior to revised expiration date).

• Just as with NIH all NSF prior approval requests must be submitted in writing.
Non-Federal Awards

One Size Does Not Fit All

• The Ins & Outs of the Notice of Award
• Project Management
  • Account Management
  • Prior Approvals
• Annual Reporting
• Closeout
Non-Federal Awards

Depending on the Sponsor:

• Purpose can be Research, Instruction, or Service/Other
• Can be Grant or Contract
• Payment may be cost reimbursement, fixed price, $ per deliverable, $/student, etc.
• Each sponsor will have its own guidelines and requirements
• Very important to familiarize yourself with the guidelines and requirements for the particular sponsor you are working with.
Non-Federal Awards

Items to be aware of after an award is made:

• Budget restrictions: may have to follow line items precisely, or transfer only a % between lines

• Hospitality: If hospitality is not in original budget, IU policy requires agency prior approval

• Travel pre-approval: sponsor may require approval of foreign travel, even if budgeted. Restrictions may be more or less strict than Federal grants, but Federal-specific requirements (Uniform Guidance) may not apply

• Reporting: if payment is deliverable based, need to keep the financial analyst on the ORA Reporting Team informed of project status

• An interest account is required by some sponsors, if they provide full payment up front.

• Generally, funds in interest account must be used for same purpose as the grant funds.

• KFS documents don’t route to ORA for approvals; responsibility lies with unit
Thank You

Office of Research Administration
iuprop@iu.edu
research.iu.edu