

Research Administration 101

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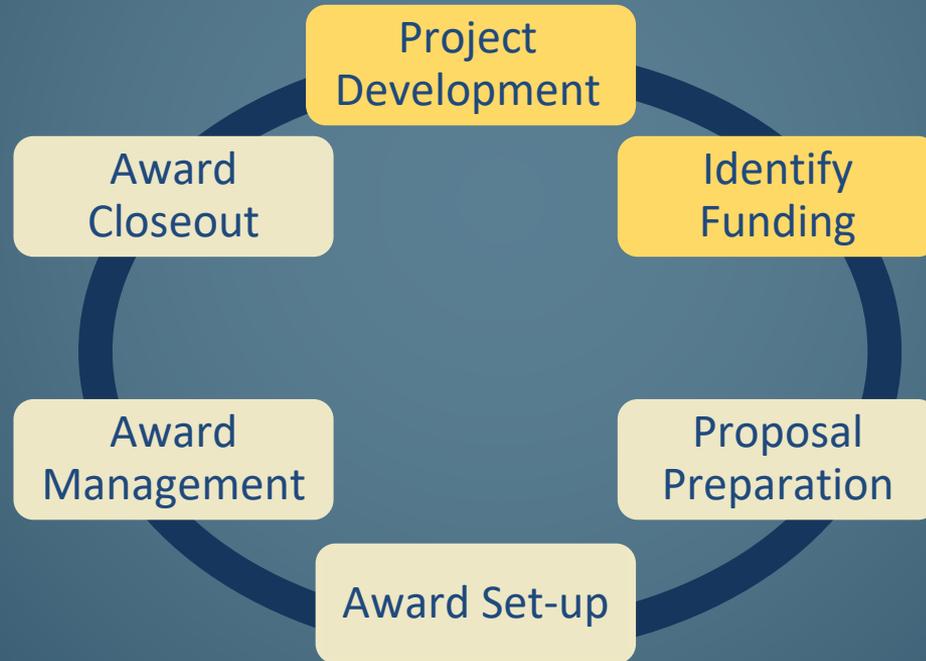
Learning Objectives

- Understand the life cycle of a sponsored project
- Identify who is involved and the role they play
- Distinguish types of sponsored agreements, costs, and the hierarchy of regulations that govern sponsored projects

Introducing the Players

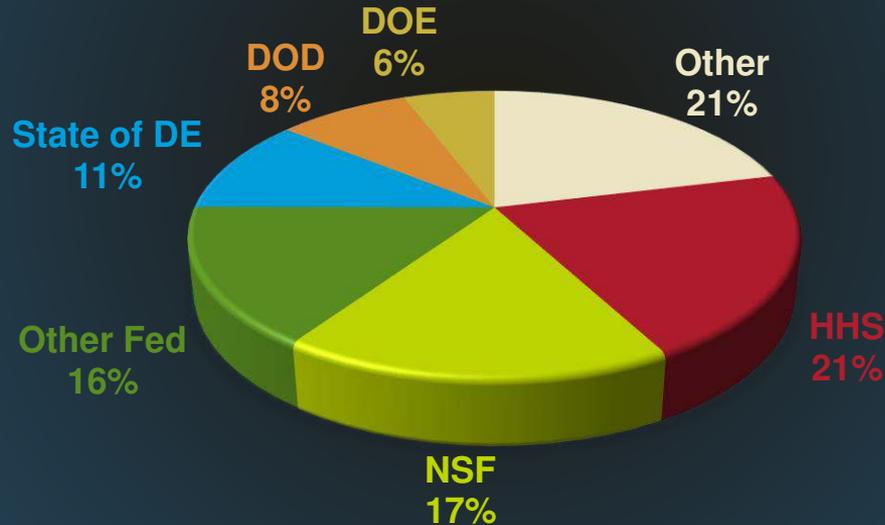


Life Cycle of a Sponsored Project



Who Are Our Sponsors?

FY 2018 RESEARCH EXP BY SPONSOR
\$145 MILLION



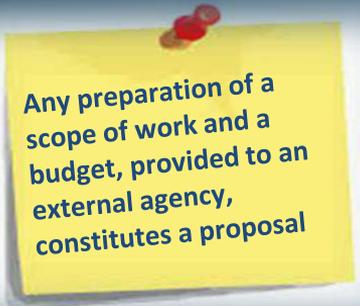
Life Cycle of a Sponsored Project



Types of Proposals

Unsolicited Proposals

A proposal submitted to an agency, initiated by the offeror (UD), that is not in response to a Request for Proposal (RFP), Broad Agency Announcement (BAA), or other sponsor-initiated program



Any preparation of a scope of work and a budget, provided to an external agency, constitutes a proposal

Solicited Proposals

A proposal submitted to an agency in response to a RFP, BAA, or other agency-initiated request to solve a specific problem.

Typical Elements of a Proposal

Riordan, Charles G.
17A12345 04/01/2017

- ✓ Abstract
- ✓ Project Narrative
- ✓ References Cited
- ✓ CVs
- ✓ Current & Pending Support
- ✓ Budget & Budget Justification
- ✓ Resources
- ✓ Letters of Commitment/Collaboration
- ✓ Subaward Documents
- ✓ Compliance Documents
- ✓ Data Management Plan



Budgeting Considerations

Your budget is the financial expression of the project plan and the statement of work. There are two types of costs:

Direct Costs:

Costs that can be identified specifically to a sponsored project with a high degree of accuracy and directly benefit the project.

Indirect Costs, also called Facilities & Administrative costs (F&A) or overhead costs:

Costs that occur for a common or joint objective and cannot be easily and specifically identified to a particular sponsored project.

3 Types of Sponsored Projects

In order to determine which F&A rate to use, you must first know which type of sponsored project is being proposed:

1. Research

Original investigation undertaken in order to understand “the nature of things”; its intent is to expand the scientific knowledge base through systematic observation. Includes the invention and generation of ideas and excludes routine testing and routine analysis of materials

i.e., Basic Research, Clinical Trials

2. Public Service

Services that translate and transfer intellectual and professional knowledge, expertise, and resources into the public realm for practical purposes

i.e., Conferences, community services and outreach, cooperative extension, public broadcasting

3. Instruction

Activities that are part of UD’s instructional program.

i.e., Credit and noncredit teaching and training activities, curriculum improvement activities

F&A Rate by Activity

- The F&A rate for your proposal depends on the type of activity being conducted.
- UD negotiates new F&A rates every three years.
- These rates are effective through 06/30/2021.

Type of Activity	Unit	Site of Activity	Sponsor	FY 2019 Rate	FY 2020 Rate	FY 2021 Rate
Organized Research	College of Agriculture and Natural Resources	On Campus	Federal	41%	46%	51%
			State	38%	38%	38%
			Industry	41%	46%	51%
		Off Campus	Federal	28%	28%	28%
			State	28%	28%	28%
			Industry	28%	28%	28%
	All Other Units	On Campus	Federal	56%	59.5%	60%
			State	38%	38%	38%
			Industry	56%	59.5%	60%
Off Campus		Federal	28%	28%	28%	
		State	28%	28%	28%	
		Industry	28%	28%	28%	
Other Sponsored Activities (Public Service)	All Units	On Campus	Federal	38.4%	38.4%	38.4%
			State	32%	32%	32%
			Industry	38.4%	38.4%	38.4%
		Off Campus	Federal	26.3%	26.3%	26.3%
			State	26.3%	26.3%	26.3%
			Industry	26.3%	26.3%	26.3%
Sponsored Instruction (Training)	All Units	On Campus	Federal	48.6%	48.6%	48.6%
			State	32%	32%	32%
			Industry	48.6%	48.6%	48.6%
		Off Campus	Federal	33%	33%	33%
			State	33%	33%	33%
			Industry	33%	33%	33%

Budgeting the F&A Rate Change

- The F&A rates for on-campus Research are:
 - FY19 (7/1/18 – 6/30/19) – 56%
 - FY20 (7/1/19 – 6/30/20) – 59.5%
 - FY21 (7/1/20 – 6/30/21) – 60%

Example

- If your budget begins on 10/1/19, then you must calculate 9 months (or 75%) at the FY20 rate of 59.5% and 3 months (or 25%) at the FY21 rate of 60%.

- Total MTDC for the budget period = \$100,000
 - $\$100,000 * .75 * .595 = \$44,625$
 - $\$100,000 * .25 * .60 = \$15,000$
 - Total F&A = $\$44,625 + \$15,000 = \$59,625$

University of Delaware | Enter Budget Detail | 19a01643_budjust.pdf | 19a01643_abstract.pdf | Search Results | Doctoral Hooding | University of Delaware

https://udfin.ead.udel.edu:4480/psp/FIPRD/EMPLOYEE/ERP/c/ESTABLISH_PROPOSAL_GM_WORKCENT

Research Admin WorkCenter

Financials Home | Home | Search | Flag | Settings

New Window | Help | Personalize Page

Research Admin WorkCenter

Main | Reports/Queries

Links

- Express Proposals
- Maintain Proposal
- Enter Budget Detail
- Submit Proposal
- Copy Proposal
- Review Proposal Budget

My Work

Edit Filter

My Work Items

- Posted Budget Amount <> Billing Limit (809)
- Contracts Set to Expire (461)
- Milestones Due (1371)
- Blank Project Type UD

Detail

Budget Period	1	Start Date	01/01/2020	End Date	12/31/2020
Budget Line Number	10	*Budget Item	PERSON	Personnel - Salary & Benefits	

1 of 1

Row No	1		
Name	Jungfleisch, Matthias Benjamin	ID	702454390
Role	Principal Investigator	Job Code	2C1001 Assistant Professor
Empl Class		Rate Type	Salaried

Appointment Type	<input type="checkbox"/> Calendar	<input type="checkbox"/> Academic	<input checked="" type="checkbox"/> Summer
Start Date	01/01/2020	End Date	12/31/2020
Cost of Living Increase Pct		Date	07/01/2003
Merit Increase Pct		Date	
Months	12.00	Effort Pct	4.17

Windows Taskbar: Type here to search | 1:25 PM 6/2/2019

Proposal Submission: 72-Hour Policy

- UD researchers should have their proposals to the Research Office 72 hours (3 business days) prior to the submission deadline to give the Research Office adequate time to review the proposal.
- Meeting the 72-hour window ensures ample time for Research Office review so that any corrections can be made prior to the deadline.

Click [here](#) to review the 72-hour policy



Institutional Approval

The Proposal Approval Summary Webform is routed to document institutional approval.

PeopleSoft Proposal Attachment Requirements:

1. Abstract
2. Budget Justification
3. Subaward documents
4. Reduced or waived F&A
5. Excel Budget
6. PI Eligibility form (if needed)

Proposal Approval Summary
 Questions? Call the Research Office at (302) 831-2136.

Today's date: 04/05/2016
 Proposal ID: 16AC [REDACTED]
 Title: ONR [REDACTED]
 Long Title: [REDACTED]
 Department(s): 03170 - Biomedical Eng Program (03170)

Type: New	Reason: Federal Research	Due date*: 01/01/1951	Due date type: Receipt Date
Primary sponsor: Naval Research Laboratory (0528)		Begin date: 04/01/2016	End date: 03/31/2017
Rate type: Federal Research On Campus	Institution F&A: Eff Date: 2015-07-01 Rate: 56%	Sponsor F&A: Eff Date: Rate:	Proposal F&A: Eff Date: 2015-07-01 Rate: 56%

*Due date of 1/1/1951 indicates that sponsor has not specified a due date for this proposal

F&A DISTRIBUTION	
BIOMEDICAL ENG PROGRAM (03170)	
F&A Revenue Distribution	Percentage
REV F&A FED ENVIRON HEALTH (EHS_FED)	1%
REV F&A FED ENGINEERING (ENGR_FED)	90%
REV F&A FED RESEARCH OFFICE (RO_FED)	2.5%
REV F&A FED RSCH UNEMPL (UNEM_FED)	.5%

ATTACHMENTS

Abstract: [REDACTED]
 Match Notes: [REDACTED]
 Statement of Work: 16AC [REDACTED] SOW.pdf
 Grant's gov: [REDACTED]

Budget justification: 16AC [REDACTED] budget.pdf
 Subrec sponsor: [REDACTED]
 Sub justification: [REDACTED]
 Other: [REDACTED]

INVESTIGATORS						
Role	Empl ID	Name	Department	COI Y/N	COI Date	Relevant Conflict*
PI	[REDACTED]	[REDACTED]	Biomedical Eng Program (03170)	Y	01/07/2016	N

*If the PI's current COI includes a disclosed conflict, click YES if it is relevant to this award. If YES, provide an explanation in the comment field

APPLICABLE AND APPROVED CERTIFICATIONS			
TOTAL PROPOSED BUDGET (include further details in the 'budget justification' attachment.)			
	Direct	F&A	Total budget
Sponsor budget	28,824.00	14,301.00	43,125.00
Institution cost share budget	0.00	0.00	0.00
Third party cost share budget	0.00	0.00	0.00
Total proposed budget	28,824.00	14,301.00	43,125.00

Considerations when approving:

1. Budget
2. Effort
3. Cost Share
4. Equipment
5. Compliance
6. Conflict of Interest (COI)

Life Cycle of a Sponsored Project



Congratulations!



Award Documents



EXPLORATORY GRANT
Department of Health and Human Services
National Institutes of Health
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Notice of Award

Federal Award Date: 07/20/2015



Grant Number: 5P20GM [REDACTED]
FAIN: P20GM [REDACTED]

Principal Investigator(s):
[REDACTED], PHD

Project Title: [REDACTED]

Katie Nelson Brown
Research Office
University of Delaware
210 Hulliher Hall
Newark, DE 19716

Award e-mailed to: udelaware-awards@udel.edu

Period Of Performance:
Budget Period: 06/01/2015 – 05/31/2016
Project Period: 09/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$ [REDACTED] (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF DELAWARE in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number [REDACTED]. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

RO Chart of Accounts Notification

March 21, 2016

FROM: Laura V. Paller

NEW:

UPDATE:

OTHER:

PURPOSE: PHYT32 [REDACTED]

TITLE: NIH DYNAMIC [REDACTED]
2016-2017

FUNDING: \$403,536.00

PROJECT ID: PHYT32 [REDACTED] 16000

PROJECT TYPE: FEDRL

DEPTID: [REDACTED]

START DATE: 2016-03-01

END DATE: 2017-02-28

REF AWARD# [REDACTED]

AWARD PI: [REDACTED]

PROJECT PI: [REDACTED]

PROGRAM CODE: RSCH1

ACTIVITY TYPE: ONC

PROPOSAL ID: 16A0 [REDACTED]

SPONSOR: National Institutes of Health

Subject to 2CFR 200 - Uniform Guidance.

ACR DUE DATE: 04/14/2017

F&A RATES Note: Only F&A rates in effect during the period of performance of the project will be used to calculate F&A on allowable expenditures.

EFFECTIVE DATE	RATE
2010-07-01	53.00%

F&A DISTRIBUTION	PERCENTAGE
CHS_FED	71.00%
PHYT_FED	25.00%
RO_FED	2.50%
EHS_FED	1.00%
UNEM_FED	0.50%
Grand Total	100.00%

TERMS & CONDITIONS

- *To Be Determined - Equipment
- *NIH Salary Cap - NIH Salary Cap applies to this award
- *Same As Sponsor - NIH terms and conditions apply to this award.

MODIFICATIONS

- * 2016-03-01 to 2017-02-28 Comment: Year 5 funding

MILESTONES

BUDGET

	PROJECT ID	PURPOSE	SOURCE	BUDGET CATEGORY	ACCOUNT	SPONSOR AMT	COST SHARE AMT
1	PHYT32 [REDACTED] 16000	PHYT32 [REDACTED]	3300000000	FACADM	195000	69,558.00	0.00
1	PHYT32 [REDACTED] 16000	PHYT32 [REDACTED]	3300000000	TRAVEL	130100	5,000.00	0.00

Grant, Cooperative Agreement or Contract?

Grant	Cooperative Agreement	Contract
<ul style="list-style-type: none">● Provides assistance with few restrictions● Brief award notices with general conditions● Flexible terms● Reporting typically occurs on an annual basis	<ul style="list-style-type: none">● Provides assistance with substantial involvement between parties● Longer award notice, describes involvement, party relationships● Terms are typically flexible but not as flexible as a grant● Reporting varies, may be on a quarterly basis or an annually basis	<ul style="list-style-type: none">● Procures tangible goods and services● Includes long, detailed specs, clauses and regulations● Most restrictive; prior approval required for many post award actions● Typically more frequent and more detailed reporting required

7th Inning Strech



Crabby Road

4-27-12

*I'd stand for the 7th inning stretch,
but I usually nod off
somewhere around the third.*



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Direct Costs - Pop Quiz!



Which of the following are *not* a direct cost?

- A. Participant Support
- B. Travel
- C. General Office Supplies
- D. Tuition



C. General Office Supplies

Indirect Costs - Pop Quiz!



How do I know if a PI should use the On Campus F&A Rate or the Off-Campus F&A rate?



If more than 50% of the project will take place Off-Campus (not a UD-owned/leased property), use the Off-campus rate.

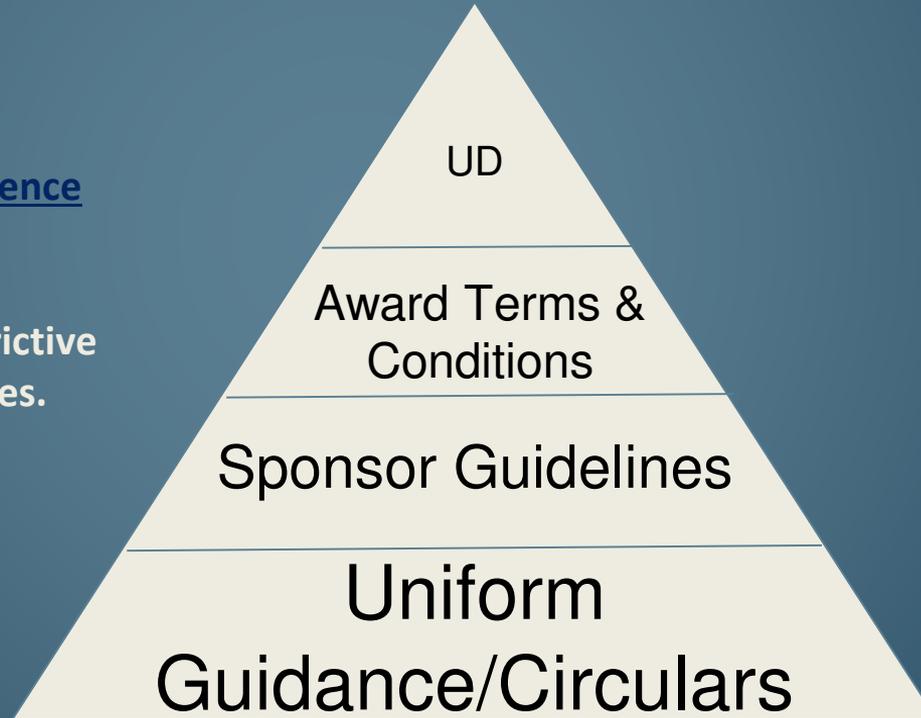
Life Cycle of a Sponsored Project



Sponsored Projects Regulatory Framework

There is an order of precedence that governs awards.

NOTE: UD can be more restrictive than the Federal guidelines.



Effort Reporting

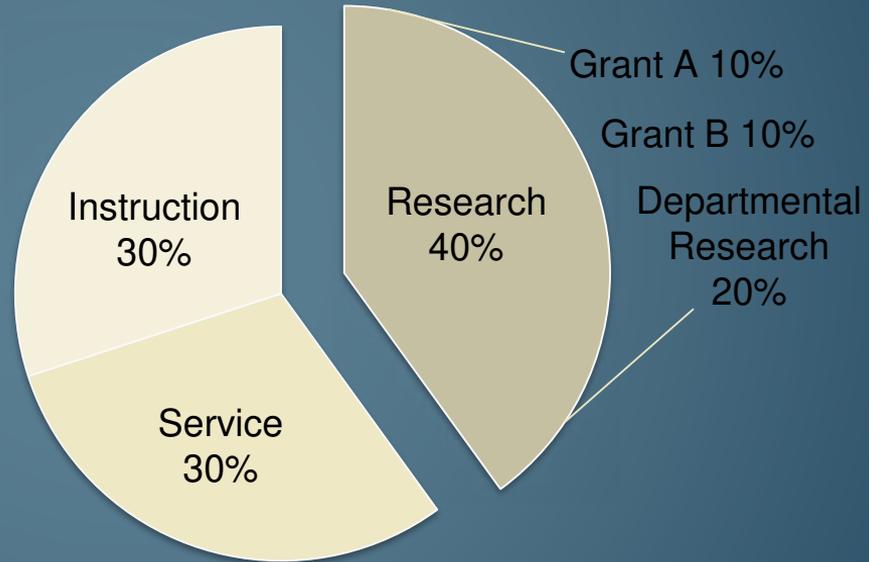
Why?

- Sponsors rely on effort reporting to evaluate whether the salary paid on an award is reasonable relative to the effort expended on the award.
- PI and University are ultimately responsible for ensuring that all charges to an award are appropriate, including salary charges.
- Salary and wage charges typically represent more than half of all direct costs.
- Effort reports document and account for the use of those funds.
- UD Policy 6-5 addresses effort certification at UD.



Effort Commitments

- Workload encompasses effort commitments.
- Manage commitments to avoid over-committing.
- Track reporting of effort to meet commitments.
- Timely communication of changes in effort.



Prior Approval

Actions that typically require agency prior approval:

- Change in scope of work
- Change in key personnel
- Absence of a PI for > 3 months or a 25% reduction in proposed effort
- Rebudgeting costs from direct to indirect or indirect to direct
- Rebudgeting training expenses or participant support costs
- Reduction of approved cost share
- Adding a subaward
- Purchase of equipment/upgrade not in the approved budget (timing, change scope)

Prior approval may be waived by the agency for the following actions:

- Incurring project costs 90 days before the agency makes the Federal award
- Initiating a 1-time no cost extension up to 12 months
- Carrying forward an unobligated balance
- Rebudgeting more than 10% of the total budget if the project exceeds \$150,000
- Equipment purchases (depends on sponsor)

Fly America Act

The “Fly America Act” 49 U.S.C. 40118 established a legal requirement that all government financed air travel be performed by U.S. air carrier services where such service is available.



U.S. Flag Carrier

- An air carrier holding a certificate under section 401 of the Federal Aviation Act of 1958, 49 U.S.C. 1317 (§41102) - Foreign air carriers operating under permits are excluded.

Code Share

- U.S. Flag carrier chooses to lease seats on a Foreign carrier rather than fly U.S. Flag carrier - meets Fly America Act requirements.
- Entire ticket flight number issued on U.S. ticket stock validated under U.S. carrier name and code number.

Resources

- <https://www1.udel.edu/research/pdf/fly-america-open-skies-faq.pdf>
- <https://www1.udel.edu/research/pdf/fly-america-open-skies-agreement.pdf>

Fly America Act- Code Share

CODE SHARE SAMPLE

✓ **IN compliance** with the Fly America Act (FAA); even though the flights are not on Delta planes. Delta coded the Aeroflot seat as if it was their own through a code share arrangement. For example, if the e-ticket identifies a flight as DL ##, the FAA requirements are met even if the flight was on an Aeroflot airplane.

✗ **NOT in compliance** with the Fly America Act. The flight numbers are Aeroflot flight numbers, therefore the requirements of FAA would not be met. This would not be considered a Delta code share booking even though the same plane could be used (see sample on the left).

Leave	Mon, Jun 25	1 stop	Total Duration: 14hr 50min	Choose departure
	Depart: 1:50pm	San Francisco, CA (SFO)	Delta Air Lines 4784 operated by SKYWEST DBA DELTA CONNECTION	
	Arrive: 3:10pm	Los Angeles, CA (LAX)	Economy View seats Canadair 900 1hr 20min	
Change planes. Time between flights: 1hr 15min				
	Depart: 4:25pm	Los Angeles, CA (LAX)	Delta Air Lines 6717 operated by Aeroflot Russian Airlines -- SU 0107	
	Arrive: 3:40pm	Moscow, Russia (SVO)	Economy View seats Airbus A330 12hr 15min	
This is an overnight flight, landing on Tue, Jun 26				
Return	Thu, Jun 28	1 stop	Total Duration: 19hr 47min	Choose return
	Depart: 2:40pm	Moscow, Russia (SVO)	Delta Air Lines 6712 operated by Aeroflot Russian Airlines -- SU 0102	
	Arrive: 5:00pm	New York, NY (JFK)	Economy View seats Airbus A330 10hr 20min	
Change planes. Time between flights: 2hr 30min				
	Depart: 7:30pm	New York, NY (JFK)	Delta Air Lines 199	
	Arrive: 11:27pm	San Francisco, CA (SFO)	Economy View seats Boeing 752 6hr 57min	

Leave	Mon, Jun 25	1 stop	Total Duration: 15hr 50min	Choose departure
	Depart: 12:50pm	San Francisco, CA (SFO)	Alaska Airlines 6677 operated by SKYWEST DBA DELTA CONNECTION -- DL 4577	
	Arrive: 2:10pm	Los Angeles, CA (LAX)	Economy View seats Canadair 900 1hr 20min	
Change Airline. Time between flights: 2hr 15min				
	Depart: 4:25pm	Los Angeles, CA (LAX)	Aeroflot Russian Airlines 107 ✗	
	Arrive: 3:40pm	Moscow, Russia (SVO)	Economy View seats Airbus A330 12hr 15min	
This is an overnight flight, landing on Tue, Jun 26				
Return	Thu, Jun 28	1 stop	Total Duration: 19hr 47min	Choose return
	Depart: 2:40pm	Moscow, Russia (SVO)	Aeroflot Russian Airlines 102 ✗	
	Arrive: 5:00pm	New York, NY (JFK)	Economy View seats Airbus A330 10hr 20min	
Change Airline. Time between flights: 2hr 30min				
	Depart: 7:30pm	New York, NY (JFK)	Alaska Airlines 5037 operated by DELTA AIR LINES -- DL 0199	
	Arrive: 11:27pm	San Francisco, CA (SFO)	Economy View seats Boeing 752 6hr 57min	



Exceptions to Fly America Act

- Use of a foreign air carrier is determined to be a matter of necessity – mission, non-availability of flight, medical, safety/terrorist threats, non-availability authorized class of service
- The transportation is provided under a bilateral or multilateral air transportation agreement – Open Skies
- No U.S. flag carrier service on a particular leg of the route, but only to/from the nearest interchange point
- U.S. flag carrier involuntarily reroutes travel on a foreign carrier
- Foreign air carrier would be less than 3 hours and use of U.S. flag carrier would at least double en route travel
- Costs of transportation are reimbursed in full by third party

Fly America Checklist

- <https://www1.udel.edu/research/pdf/fly-america-waiver-checklist.pdf>



What is a cost transfer?

- An after-the-fact reallocation of a cost from or to a sponsored project.
- Meets these conditions established under federal guidelines:

Reasonable

Allowable

Allocable

Consistently treated

Cost Transfer Policy

<http://sites.udel.edu/generalcounsel/policies/sponsored-project-cost-transfer-policy/>

Award Documentation

- UD is audited regularly by both internal and external auditors.
 -  If you are contacted by an auditor, alert your Contract & Grants Specialist.
- Maintaining appropriate documentation for your awards is critical to effective awards management and satisfactory audits.
 - When collecting documentation/justification for your award expenditures, ask yourself these questions...

Documentation- The Sniff Test

- Would a stranger understand this justification?
- Will I understand these details in a 6 month review of the document?
- Do I believe this justification?



Fly American Act- Pop Quiz!



True or False:

Since Ireland (destination) is part of the European Union, I can fly any carrier under the open skies agreement?



False- Open Skies Agreement must fly EU carrier

Life Cycle of a Sponsored Project



Award Closeout

As prime recipient, UD must submit, no later than 90 days after the end date of an award, a final request (or return) of funds, and all financial, performance, and other reports required by the award. (See 2 CFR 200.343)

Timeline for completion of closeout

Number of Days After Project End	
<u>Closeout period</u>	<u>ACR Due Date</u>
90	45
60	30
45	20
30	5

Post-Award Responsibility



Consequences for not meeting deadlines include:

- Loss of funds – cannot submit late final cash request
- Delay or withholding of funds on other agreements
- Suspension or termination of awards

Closeout Escalation

Escalation notifications will be sent to appropriate individuals



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