Sponsored Projects at Berkeley

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http://www.spo.berkeley.edu/
New:
- New to Grants and Contracts? - guide for investigators, students, and staff
- Financial Impact of UAW-UC Postdoc Contract (CA messages 9/21/2010)
- NIH Progress Reports/Continuation Applications
- Berkeley Establishes New Fund Advance Process
- VVA Policy on Late Proposal Submissions to SPA Instructions and Frequently Asked Questions
- SPA Electronic Proposal Drop Box | Grants.gov: "Apply at Berkeley"

Research Policy
- University and federal policies governing contracts and grants
- Fiscal policies, including indirect cost rates

Procedures and Forms
- Guidance for preparing proposals
- Forms, including UC Berkeley forms
- Compliance committees and information
- Administration links

Funding Opportunities
- Search COS or IRIS for potential funding
- Agency links, including UC Programs
- Limited Submission programs

Proposal and Award Tracking
- Berkeley Coeus: Reports for Departments
- Summary Reports (no login required)

Working with Industry
- Sponsored activities with industry are managed by IPIRA

SPO Publications
- Research Advocate newsletter, Quick Guides, Annual Reports
Question #1

"How should the Indirect Cost rate be handled for research-related IUTs between UCB and LBNL from now through March 31, 2011?"

- VCR has requested a “pause” until the end of March:
  - No F&A on any IUT up until March 31, 2011
  - SPO continues to process all IUTs
  - All IUTs extensions until March 31, 2011
Question/s # 2

- What is the Federal Funding and Accountability Transparency Act (aka FFATA)?
- How does this new reporting requirement impact campus departments and/or faculty?
<table>
<thead>
<tr>
<th>Prime recipients of contracts</th>
<th>Prime recipients of grants/cooperative agreements</th>
</tr>
</thead>
<tbody>
<tr>
<td>• From October 1, 2010, until February 28, 2011, any newly awarded subcontract must be reported if the prime contract award amount was $550,000 or more.</td>
<td>• Starting October 1, 2010 any first tier subaward must be reported if the prime award (at any time) is equal to or over $25,000.</td>
</tr>
<tr>
<td>• Starting March 1, 2011, any newly awarded subcontract must be reported if the prime contract award amount was $25,000 or more.</td>
<td>• If the initial award is below $25,000 but subsequent grant modifications result in a total award equal to or over $25,000, the award will be subject to the reporting requirements, as of the date the award exceeds $25,000.</td>
</tr>
</tbody>
</table>
Primary impact?

- Recipients of new Federal grant awards with an award date on or after 10/1/2010, and resulting first-tier subawards
- Does not include:
  - Continuing or renewals of grants awarded in prior fiscal years with new obligations beginning October 1, 2010.
  - ARRA funded grant awards
FFATA reporting

- Through *FFATA Subaward Reporting System (FSRS)* by SPO
- By the end of the month following the month the subaward funds were “obligated” i.e. if a sub was issued on July 5, the report would be due by August 31
**FFATA Data Elements:**

- Annually--the total compensation of the five most highly compensated executives (with the same exception as listed for ARRA reporting)
- DUNS number of the sub
- Name of the sub
- Subrecipient’s address
- Sub’s primary performance location
- Prime award number (FAIN)
- Product or services
- Sub number
- Sub physical Amount of the sub
- Date of the sub award
- Description of the Awarding agency name and code
- Funding agency name and code
- Government contracting office code (contracts)
- Treasury account symbol (TAS)
- NAICS code (contracts)/CFDA number (grants)
Question # 3

- Why does SPO require proposals to be submitted five working days before the proposal deadline?
  - VCRO policy established 2008
  - VCRO policy revised 2009
    - Draft technical section now allowed
    - Late proposal approval now possible
  - Warning: Late proposals are at risk
A Late Proposal Story

- Received at SPO as a late proposal three days before major agency deadline
- Reviewed by SPO two days before deadline
- PI asked to make proposal corrections
- PI returned corrected proposal to SPO on the deadline date
- SPO submitted the proposal through Grants.gov three hours before deadline
- Error message received from GG eight hours later
- Submission failure
- Reason: Missing email address for contact person
Question # 4

- How does the sub-contracting process work at Berkeley, and why does it take so long after the primary award has been made?
Subcontracting Barriers

- Increase in # of subagreements
- Failure to request a subaward
- Increase in complexity of subawards
- COI issues
- Inexperienced/unresponsive subrecipients
- Subrecipients lacking adequate capital
- Vendors being treated as subrecipients
- Transactions at wrong office
Who does what?

- Sponsored Projects Office
- Business Contracts Office
- Procurement Services
- Industry Alliance Office
- Extramural Funds Accounting
Sponsored Projects Office (SPO)

- Link to funding search engines
- Proposal review/approval/submission
- Award negotiation/acceptance/transmittal
- Establishment of subagreements
- Process Fund advances
- Process No cost extensions
- Process Budget modifications (when required)
- Manage FOIA requests
- Interpret/ensure compliance with UCOP policy
What SPO does not do:

- Ensure proposal budgets are adequate
- Approve F&A waivers
- Approve “late” proposals
- Set up project accounts
- Manage project accounts/subrecipients
- Write or submit project reports
- Process invoices or any other financial transaction
- Decide who submits for limited submissions
Business Services

Business Contracts
- Non-research contracts:
  - “Consulting agreements”
  - Fee for service agreements for outside use of University's unique facilities

Procurement Services
- Independent contractor agreements
- Other technical/specialized professional services
- Supplier diversity subcontracting plan
IAO

- Corporate sponsored research agreements, intellectual property issues, material transfer agreements.
## Industry Funding

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Gifts</th>
<th>Grants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement between parties to procure service</td>
<td>Letter from the donor to provide unrestricted financial assistance</td>
<td>Agreement between parties to provide financial assistance to support a public purpose;</td>
</tr>
<tr>
<td>Defined tasks, deliverables, obligations; Changes in scope and/or budget allocation require sponsor approval; May have option for early termination; Full indirect costs</td>
<td>May be designated for a specific investigator or research unit, and a specific field; No other obligations and no deliverables; Non-refundable; Administrative fee</td>
<td>Loosely defined scope of work; Defined obligations; Changes in scope and/or budget allocation require sponsor approval; Continuation subject to year-to-year approval; Full indirect costs</td>
</tr>
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Extramural Funds Accounting (EFA)

- Account set up
- Financial reporting
- Reporting on cost sharing
- ARRA reporting
- Effort reporting on federal awards
- Invoicing
- External financial audits
Improving Our Efficiency
Proposal Speed Bumps

- Incomplete PRF
- PI exceptions
- Cost sharing
- Administrative costs
- Non-Berkeley personnel
- F&A errors
- Missing proposal elements

- Inadequate PI involvement
- Late proposals
- Missing commitment letters
- Missing signatures
- Financial conflict of interest
- For-profit Subrecipients
Award/Negotiation Challenges

◦ Less funding awarded than anticipated can necessitate a change in the scope of work
◦ Payment in another nation’s currency can affect the project’s future operating budget
◦ Sponsor’s terms and conditions could be difficult for UCB to accept.
T&C “Walk-aways”

- Classified or restricted projects
- Publication restrictions
- Drug testing of UCB employees/students
- Sponsor needs to own all IP
- Third party indemnification
- Unacceptable Insurance requirements
- Export control issues that cannot be managed
- Unfavorable payment terms
SPO Emergency Tool Box

- Fund advances—no cost transfers!
- No cost extensions through SPO
- Budget Modifications (when required)
Complete A, B, or C Below

☐ (A) Federal Award: 90 calendar day pre-award costs allowed by sponsor. Attach documentation of the agency's intent to fund this project, funding level, and anticipated start date. Federal sponsor's representative contact information for follow up:
Name: ___________________________ Email: ___________________________ Phone: ___________________________

☐ (B) The following unrestricted fund/chart string has the financial resources necessary to satisfy any deficit that should result and no other restrictions apply. Chart string: ___________________________

Principal Investigator (Signature and Date): ___________________________

Authorized Financial Administrator (Signature and Date): ___________________________

(both original signatures required)

☐ (C) I agree that if this award is not issued by the end of the fund advance period the deficit will be cleared in accordance with the procedures specified in the Campus Policy on Deficit Resolution.

Chair/Director/Dean (Signature and Date): ___________________________

(original signature required)
A Few Updates:

- **NSF after January 18, 2011**
  - Data management plan will be required
  - Voluntary cost sharing will prohibited

- **NIH after January 25, 2011**
  - Two day error correction window for Grants.gov will disappear
  - 37 month resubmission window

- **NIH Regional Seminars**
  - March 28 & 29 in Phoenix, AZ
  - June 23 & 24 in Fort Lauderdale, FL
More Q&A?