



# Sponsored Projects at Berkeley

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<http://www.spo.berkeley.edu/>



## SPONSORED PROJECTS OFFICE

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[ABOUT SPO](#)

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New: [New to Grants and Contracts?](#) - guide for investigators, students, and staff  
[Financial Impact of UAW-UC Postdoc Contract](#) (CALmessages 9/21/2010)  
[NIH Progress Reports/Continuation Applications](#)  
[Berkeley Establishes New Fund Advance Process](#)  
[VCR Policy on Late Proposal Submissions to SPO Instructions](#) and [Frequently Asked Questions](#)  
[SPO 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.

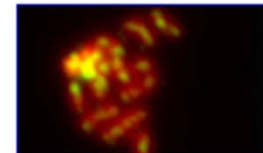
### ■ [SPO Publications](#)

[Research Advocate newsletter](#), Quick Guides, Annual Reports

### Award Spotlight:



[Jeffrey Oxendine](#), [School of Public Health](#),  
\$3,249,129, [HRSA](#),  
"California-Pacific Public Health Training Center"



[Douglas Koshland](#),  
[Molecular and Cell Biology](#), \$1,842,286,  
[NIGMS](#), "Establishment of Sister Chromatid Cohesion"

Search

Search the SPO Web Site

[Research Administration and Compliance Office](#) [University of California, Berkeley](#)

# 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?

### Prime recipients of contracts

- 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.
- Starting March 1, 2011, any newly awarded subcontract must be reported if the prime contract award amount was \$25,000 or more.

### Prime recipients of grants/cooperative agreements

- 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.
- 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.



## 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

Contracts	Gifts	Grants
Agreement between parties to procure service	Letter from the donor to provide unrestricted financial assistance	Agreement between parties to provide financial assistance to support a public purpose;
Defined tasks, deliverables, obligations; Changes in scope and/or budget allocation require sponsor approval; May have option for early termination; Full indirect costs	May be designated for a specific investigator or research unit, and a specific field; No other obligations and no deliverables; Non-refundable; Administrative fee	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



# 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)





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**Complete A, B, or C Below**

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**(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: \_\_\_\_\_

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**(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)*

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**(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 be 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?

