Agenda

- Overview of Office of Research Administration
- Pre-Award
- Contracts
- Post-Award
- Effort Reporting/ECRT
- Resources
General Lay of the Land

VP for Research
- Grant & Contract Services
- Regulatory Services
- Electronic Research Administration

VP for Business Affairs and Controller
- Grant & Contract Accounting
- Office of Technology Management
What Does OGCS Do?

Pre-Award

- Contract Negotiation
- Proposal Submissions
  - Sponsor Requirements
  - Forms Review/Assistance
  - Budget Review/Assistance
- Internal Forms/Approvals
- Funding Opportunities
- “Just-In-Time” Requests
- Subcontract Preparation

*Everything up to the Award Notice/Fully Executed Agreement*
Post-Award

★ Account Set Up (in conjunction with Grant and Contract Accounting)
★ Budget Modifications (in conjunction with Grant and Contract Accounting)
★ Expense Transfers (in conjunction with Grant and Contract Accounting)
★ Purchase Order Approvals
★ Questioned Costs Approvals (Memberships, Visas, Office Supplies)
★ No Cost Extensions/Continuations/Amendments
★ Award Close Out
★ Effort Certification/ECRT

Everything after the Award Notice/Fully Executed Agreement
What Does Grant & Contract Accounting Do?

- Account Set Up (in conjunction with Grant and Contract Post Award)
- Budget Modifications (in conjunction with Grant and Contract Services Post Award)
- Expense Transfers (in conjunction with Grant and Contract Services Post Award)
- Invoicing
- Expenditure Reports
- Accounts Receivable
- Account Close Out/Unexpended Balance Roll Over
Q: When is the right time to involve pre-award?

A: Right away!
Grant & Contract Process

★ Board of Regents Rules and Regulations

★ Any commitment or use of UTA facilities, equipment, or resources (faculty time) towards the performance of a grant or contract must be administered and controlled by UTA

★ Only authorized officials assigned by the University President may commit the University to an external project: Proposal commitments and acceptance of awards

★ PI’s, Chairs, and Deans do not have authority to submit (formally) or accept grants and contracts

★ White papers, PI/Sponsor correspondences are not formal commitments and do not require GCS review or approval. GCS encourages this communication to develop relationships with sponsors
Proposal Submission

- Request for Proposal (RFP), Request for Applications (RFA), Funding Opportunity Announcement (FOA)

- Budget Guidelines
  - Facilities & Administration (F&A)
  - Fringe Benefits
  - Equipment

- Format Requirements
  - Required components present
  - Margins/Font Size
  - Page limitations

- Contractual terms and conditions at proposal stage
Internal Forms

Proposal Stage
- Bluesheet
- Conflict of Interest Disclosure
- Cost-share if applicable
- IDC Distribution

Upon Receipt of Positive Review
- Pre-Award (if agency allows and has been approved through UTA)
- IRB Protocol Approval
- IACUC Protocol Approval
- IBC Protocol Approval

Some agencies require IRB, IACUC, & IBC Protocol approval at proposal stage
Subcontracts

Sub-awards necessitate moving a lot of paper between the two (or more) institutions. Key advice is: If you think a proposal may involve a sub-award, contact administrators at the sub-contracting institution well ahead of time. Indeed, it is advisable to start as early as humanly possible.

Sub-awards have significant implications for overhead calculations. All sub-award costs in excess of $25,000 should be deducted from the total direct costs of the project prior to calculating overhead for the overall project.
When UTA is the subcontractor

- Read the RFP/FOA
- Required documents supplied to the lead institution/business
  - Statement of work (SOW)
  - Detailed budget
  - Budget justification
  - Curriculum Vitae (CV)
  - Institutional commitment letter (provided by our office)
When UTA has a subcontractor (Lead)

- Required documents supplied to UTA – Generally comes from the Sponsored Project Office
  - Statement of work (SOW)
  - Detailed budget
  - Budget justification
  - Curriculum Vitae (CV)
  - Institutional commitment letter signed by the authorized official
An independent contractor/external consultant is an individual or firm in the business of making recommendations based upon evaluations of circumstances, giving opinions on how to proceed with a given projects, or offering a proposal or plan. Independent contractors/external consultants perform a service or complete a specific task without supervision or control by the University.
Contracts

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Types of Contracts

☆ Sponsored Research Agreements
  ☆ Cost Reimbursable
  ☆ Fixed Price

☆ Subcontracts

☆ Non-Disclosure Agreements

☆ Material Transfer Agreements
Sponsored Research Agreement (SRA)

- Terms negotiable (by varying degrees)
- Project typically benefits the sponsor
- Sponsor exercises some direction or control
- Deliverables and time frame are specified
- Can be modified or amended
**Types of Sponsored Research Agreements**

<table>
<thead>
<tr>
<th>Fixed Price</th>
<th>Cost Reimbursable</th>
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<tbody>
<tr>
<td>★ A price that is not subject to adjustment.</td>
<td>★ Provides for payment of allowable incurred costs, to the extent prescribed in the contract.</td>
</tr>
<tr>
<td>★ Places upon the contractor maximum risk and full responsibility for all costs.</td>
<td>★ Cost reimbursement contracts place the least cost and performance risk on the contractor.</td>
</tr>
<tr>
<td>★ It provides maximum incentive for the contractor to control costs and perform effectively.</td>
<td>★ University only invoices for costs actually incurred.</td>
</tr>
<tr>
<td>★ University retains unexpended balance.</td>
<td></td>
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</tbody>
</table>
The textbook definition of a sub-award (also known as a subcontract) is any discrete portion of the work of the overall project that is separated out and given to another institution to complete. Intellectual leadership by the sub-award is a distinguishing feature.

They are also subject to the full proposal review and approval process in place at their home organization. Again, individual, intellectual contribution is a key distinguishing feature of sub-awards: the subcontracting PI is responsible for the scope of the work proposed in the sub-award, and is viewed as uniquely capable of carrying it out.
Subcontracts (Con’t)

- The subcontracting PI is responsible for the scope of the work proposed in the sub-award;
- The subcontracting institution is responsible for management and oversight of the sub-award budget and associated research policy issues;
- The prime institution (UT Arlington) continues to bear ultimate responsibility for all work carried out under the auspices of the main grant, including the sub-award.
Non-Disclosure Agreement (NDA)

- AKA: a confidentiality agreement, confidential disclosure agreement (CDA), proprietary information agreement (PIA), or secrecy agreement

- NDA is a legal contract between at least two parties that outlines confidential material, knowledge, or information that the parties wish to share with one another for certain purposes, but wish to restrict access to by third parties. It is a contract through which the parties agree not to disclose information covered by the agreement. An NDA creates a confidential relationship between the parties to protect any type of confidential and proprietary information. As such, an NDA protects non-public business information.
NDAs are commonly signed when two universities, companies or other entities are considering a collaboration and need to understand the processes used in each others “business” for the purpose of evaluating the potential business relationship.

NDAs can be mutual, meaning both parties are restricted in their use of the materials provided, or they can restrict the use of material by a single party.
Key negotiation issues typically associated with the acceptance of confidential information:

- can the PI conduct the research without compromise?
- will other scholars be able to verify and/or replicate the research results?
- will the PI and students involved with the project be free to publish their research results?
- are there any adverse financial implications for the University?
Areas of “Interest” in Contract Review

- Who, What, Where, When, How
- Payment Terms (if applicable)
- Intellectual Property
- Indemnity
- Confidentiality
- Publication
- Venue/Governing Law
Post Award

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Request to make a budget transfer should include a programmatic justification and be made to the GCS specialist for approval. GCS approves and forwards to Grant Accounting to make the entry.
Requests to make an expense transfer should include an explanation for the need for the transfer (why was it charged incorrectly initially), programmatic justification (if necessary), and be sent to the GCS specialist for approval. GCS approves and forwards to Grant Accounting to make the entry.
Ninety (90) days has emerged as the standard used by government and business auditors to determine whether costs are reasonably assigned to their proper project and function. It is a standard established in federal circulars and grant policy.

Standard practice should be to post costs to the most appropriate project/grant. However, subsequent adjustments may be necessary, for example to account for unseen shifts of personnel between closely related sponsored projects, or to correct errors. These actions are reasonable if transferred within 90 days.

In addition to the standard justification requirements, an explanation for the delay in making the request and a second level of approval is required.
Continuation Requests

★ Varies by Sponsor
★ Sometimes require continuation paperwork/report
★ Sometimes full proposal
★ Sometimes no requirement – just waiting for continuation notice
No Cost Extension Requests

★ Requests to extend the period of performance of an award without additional money from the sponsor.

★ Some no-cost extensions can be approved locally under the “expanded authorities” granted to UT Arlington by certain federal agencies, but others require sponsor approval.

★ When a no cost extension requires sponsor approval, a programmatic justification from the PI is required (I have money left does not count as programmatic)
Award Close Out

★ Internal
  ★ Copies of all reports submitted
  ★ Invention Disclosure
  ★ GCA closes accounts in DEFINE
  ★ For fixed price contracts only – any unexpended balance is rolled into respective Dean’s account (no earlier than 90-days after end date)

★ External – Varies by Sponsor – usually requires:
  ★ Programmatic Report
  ★ Final Financial Report
  ★ Invention Statement
  ★ Equipment Report
A gift or donation is:

- A voluntary and irrevocable transfer of money, services or property (e.g., equipment, personnel time and skill, etc.)
- Without any expectation of or receipt of goods or services from the recipient
- Without performance requirements either written or oral
Gifts vs. Sponsored Projects:

★ Gifts are handled through the Office of Development (30-accounts)
★ Grants are handled through the Office of Research (26-accounts)
★ Any gift determined to be a sponsored project will need to follow the policies and procedures of the Office of Research and the UT System Regents Rules and Regulations
Determined a sponsored project if the sponsor:

- Is a government entity (Federal, State, or Local) or includes governmental flow-thru funds
- Awarded funds through a competitive bid process or in answer to an RFP (Request for Proposal)
- Requires the signature of an authorized University Official and/or the PI
- Issued a contract, cooperative agreement, consortium agreement, subgrant, subcontract, or purchase order
- Identifies or assigns a technical monitor
- Funds a project for a specific scope of work, product, service or other deliverable
Determined a sponsored project if the Terms and Conditions:
- Impose publication restrictions
- Require conveyance of rights to tangible (equipment) or intangible property
- Require an audit of facilities or other University resources
- Stipulate compliance with federal or state regulations, unallowable costs, subcontracting, insurance, warranties, indemnification, proprietary or confidential information, modifications, terminations, penalties, or applicable law
Determined a sponsored project if financial restrictions include:

- How funds are to be used or include a line item budget
- A start or end date on the use of funds
- Facilities and Administration Costs (Indirect)
- The return of unexpended funds for any reason
- Invoicing or detailed financial reports
- Funding based on cost reimbursement contingent upon programmatic and fiscal reporting
The following issues also require special consideration in determining external funding as either a gift or sponsored project:

- Funds used as matching or cost sharing towards a sponsored project
- Funds for activity involving humans subjects, animals, radiation hazards, biohazards or R-DNA
- The PI has a potential financial conflict of interest with the sponsor
- Funds are used to generate program income for a sponsored project
Gift Indicators:

★ Gifts may require minimal reporting to the sponsor in the form of a general statement of how funds are used.

★ Gifts may be limited towards general use in a specific department, lab, or research area.

★ Gifts may include: endowments, construction projects (renovation or equipment), or general student financial assistance (fellowships or scholarships).

★ External funds may be determined to be a gift if there are no sponsored project indicators.
Effort Reporting

ECRT
Effort Certification and Reporting Technology
As of 09/01/08 UT Arlington discontinued use of Personnel Effort Reports (PERs) to certify time and effort on a monthly basis.

UT System led the group implementation of ECRT to be the future in effort reporting for many UT System Institutions.
Why is Effort Reporting Important?

Effort Reports are the mechanism used to provide a sponsoring agency with a reasonable assurance that salaries paid from a grant are appropriate and reflect a reasonable estimation of the time spent working on the project.
Salary appointments are approved before or as services are actually performed. UT Arlington’s effort reporting system provides an “after-the-fact” confirmation that the salaries paid to individuals reasonably reflects the actual amount of effort expended on a project.

Time & Effort Reporting is a reasonable confirmation that funds charged to the federal government are allocated appropriately to the activities they benefit (separate projects, university activities, or other).
For determining “reasonableness”, OMB Circular A-21 states “In an academic setting, teaching, research, service and administration are often inextricably intermingled. A precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate… The payroll distribution system will … (ii) reasonably reflect the activity for which the employee is compensated by the institution…”
For example:

A faculty member is appointed 20% to a sponsored project for 3 summer months and 0% time during the academic year. At the time of Effort Certification (October), the faculty member would review their effort for the 6 month period (March to August) as being 10% effort based on the appointment data averaged over the entire certification period (6 months). In this case, the average effort equates to 10% (60% total effort over 6 months). If the certifier agrees 10% is reasonably accurate in relation to their 100% effort (time spent towards instruction/service/administrative duties/other projects) for this period of time, they can certify their effort. If they certify their effort was actually 5% during this effort reporting period a change to the appointment (PAF/salary charged) will need to be processed in order to correct the salary charged to the sponsored project.
Overall, Effort Reporting is a mechanism to confirm that the salary charged to sponsors was reasonably allocated for the actual time devoted.

Additionally, Effort Reporting is used to certify cost share commitments.
ECRT will facilitate the Effort Certification Process at UT Arlington

★ Benefits of ECRT:
★ Certification is required on a bi-annual (6-month) basis vs. monthly
★ ECRT allows administrators to view personnel commitments by person or account
★ On-line access allows for constant monitoring capability
★ Close to “real time” – (DEFINE payroll information is uploaded on a weekly basis)
Due Date: 11/15/2009 Past Due

Certification Preview Screen

Incomplete Effort Cards Highlighted in Drop-down Box

View Period: 03/01/2009 to 09/30/2009

To certify your effort:

1. In each field below, enter a whole number (no decimal points) that represents the percent of your effort that you devoted to the corresponding activity during this effort period. The numbers must add up to a minimum of 93 and a maximum of 101 percent.
2. Check the checkboxes.
3. Please make sure that all committed cost share is accurately represented.
4. Click the "Certify" button.

If you have questions, contact your Effort Coordinator.

Refresh Statement Related Reports

<table>
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<tr>
<th>Accounts</th>
<th>Payroll</th>
<th>Revised Payroll</th>
<th>Commitment of Cost Share</th>
<th>Actual Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
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<tbody>
<tr>
<td>Sponsored</td>
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<td></td>
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<tr>
<td>2639087912 DEVELOPMENT OF EDUCATION/TRAINING PROGRAMS</td>
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<td>23.41%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>23.41%</td>
</tr>
<tr>
<td>Non Sponsored</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UTACTHER All Non-Sponsored Effort</td>
<td>76.59%</td>
<td>76.59%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>76.59%</td>
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<tr>
<td>Non Sponsored Total:</td>
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<td>76.59%</td>
<td>0.00%</td>
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<td>Grand Total:</td>
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<td>100.00%</td>
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Certification Screen
Don’t forget to certify your support staff

All faculty members (PIs, CoIs, Is) certify their own effort
Non-faculty/support personnel need to be certified by the PI
How to Certify My Effort in ECRT:

Welcome to UT Arlington's Effort Reporting website. Effort reporting is a process mandated by the federal government to verify that direct labor charges to, or cost shared on, sponsored projects are accurate, timely, and reflect the actual level of work performed.

This site provides both general information on effort concepts as well as specific information on effort reporting and certification procedures. Please use the sidebar on the left-hand side to navigate the different sections of this website.

Principal Investigators! Click here to login to the ECRT system:

[Click Here to Login
https://ecrt.mdanderson.org/ecrt_shared]

In addition to the reference guides, FAQs, and additional resources located within this website, if you have questions about the effort certification process, or about effort commitments on sponsored research, or suggestions for additional information you would like to see on this website, please contact ogcs@uta.edu

For a Preview of the ECRT System, please visit this link:
http://train.ecrt.mdanderson.org/ecrt_shared
Any good information on the GCS website?

★ Policies and Procedures:
http://www.uta.edu/ra/GCS/policies.htm

★ UT Arlington Info Sheet:
http://www.uta.edu/ra/infosheet.htm

★ UT Arlington Internal Forms:
http://www.uta.edu/ra/GCS/forms.htm

★ Educational Offerings:
http://www.uta.edu/ra/GCS/trainingresources.htm