

# Grant Administration Boot Camp – Part 1

Sammie Sparks, Office of Research

# WHO WE ARE

Amy Knox – Proposal review/editing

Mark Lynam – Proposal Submission

Beverly McDonald-Robinson –  
Training

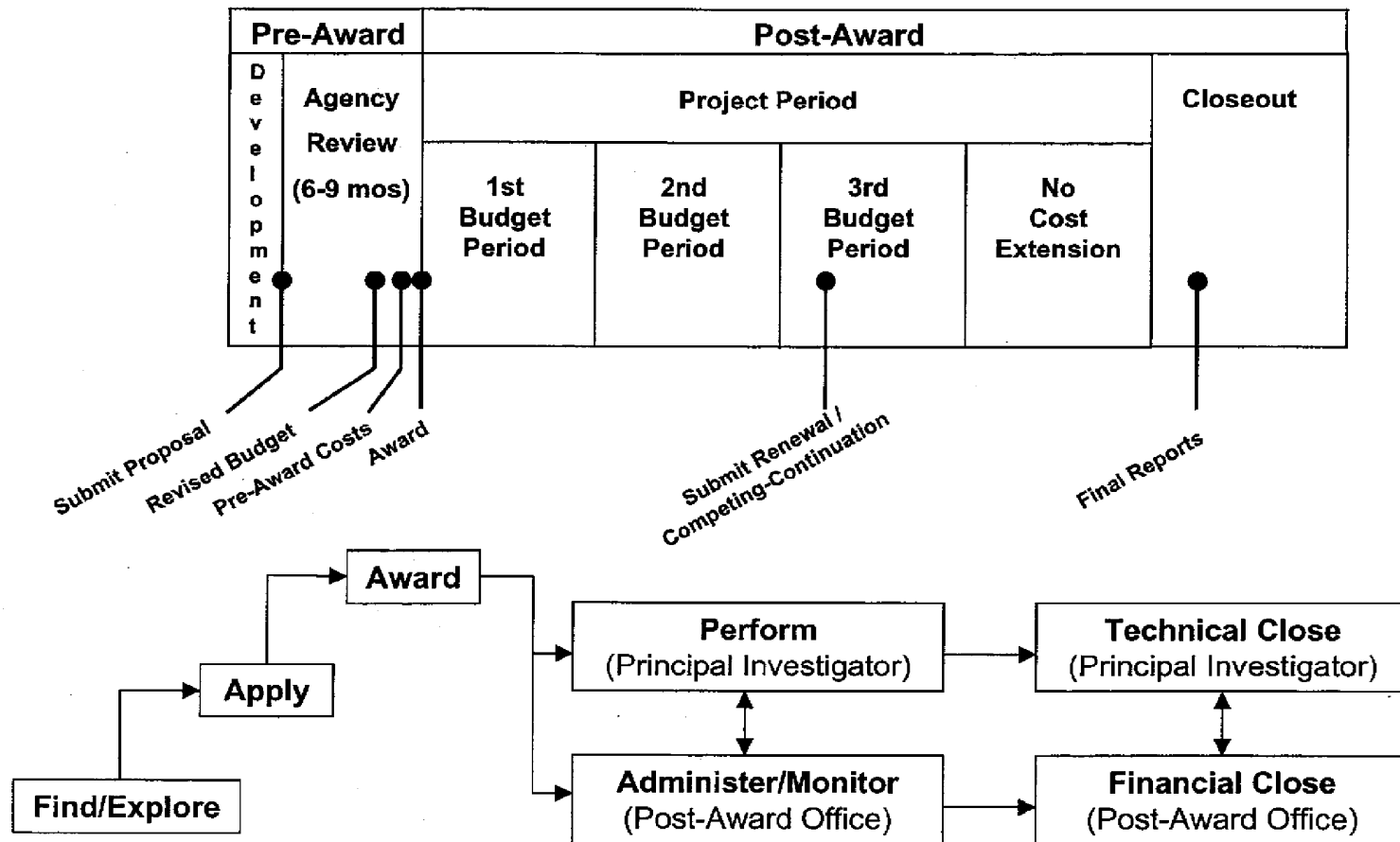
Sammie Sparks – Compliance

Mary Williford – Proposal  
Budgets/Submission

# Office of Management and Budget (OMB) Circulars

- OMB Circular A-21 (28 CFR Part 66)
  - Cost principles for educational institutions
- OMB Circular A-110 (28 CFR Part 70)
  - Grants/cooperative agreements with institutions of higher education
- OMB Circular A-133 (28 CFR Part 66 and 70)
  - Audits of states, local governments, and non-profit organizations

# Life Cycle of a Grant...



# Pre-Award Management

- Required Forms

# Required Forms

- Pre-proposal or white paper
  - PEF signed only by PI
- Intent to Submit – helps OR to schedule
- Proposal Endorsement Form (PEF)
  - Conflict of Interest (COI)
- Grant Activation Form (GAF)
- Project Abstract Form

# Post-Award Management

-Types of Agreements

# Types of Awards

- Grant – (NSF, NASA, NIH)
- Contract – (private companies)
- Cooperative Agreement – (TWRA, TDOT, USGS)
- Office of Research (Sammie) – processes ALL awards no matter how they come to TTU; faculty are NOT allowed to sign awards



# Types of Awards - Grant

- Grant – (NSF, NASA, NIH)
  - Purpose is to transfer funds to recipient in order to accomplish a public purpose
  - Idea originates with researcher/faculty
  - No substantial involvement is anticipated between sponsor and recipient during performance of activity

# Types of Awards - Contract

- Contract
  - Often called a “procurement mechanism”
  - Sponsor determines that procurement contract is appropriate
  - Principal purpose is to acquire property or services for direct benefit or use of the sponsor
  - Idea originates with sponsor
  - Types-fixed price, cost-reimbursement, *time and materials, labor-hour*

# Types of Awards – Cooperative Agreement

- Cooperative Agreement
  - Purpose is to transfer funds to recipient to accomplish a public purpose
  - Idea may originate with researcher/faculty
  - Substantial involvement is anticipated between sponsor and recipient during performance of activity
  - Sometimes called a “partnership” agreement

# Project Management

- Direct Costs
- Unallowable Costs
- Indirect Costs
- Cost Sharing
- Project Revisions
- Subawards/Subcontracts
- Reporting
- Compliance

# Direct Costs

- Direct costs are costs that can directly be identified specifically with a particular sponsored project
- Direct costs must be allowable as well as:
  - Reasonable – a prudent business person would have purchased this item and paid this price (\$500 toilet seat!)
  - Allocable – a cost that is eligible to be reimbursed by the federal government
  - Consistently treated – like costs must be treated the same in like circumstances, as either direct or indirect costs

# Unallowable Costs

- Unallowable activities – fundraising, athletics, student housing, campus bookstore
- Unallowable transactions – first class travel, donations to other parties, severance packages, membership in social, dining, or country clubs
- Other unallowable costs – alcoholic beverages, lobbying costs, costs to cover losses on other funded projects, memberships, recruiting costs, student activity costs, training costs, royalties/student aid costs, rental costs of buildings/equipment

# Indirect Costs (F&A)

- Indirect costs (facilities and administrative costs) – are costs not directly associated with the project but can be charged as indirect (e.g., building/equipment depreciation, utilities, custodial, clerical, maintenance, library books)
- TTU's rate of 42% of modified total direct costs (MTDC) is set by U. S. Department of Health and Human Services
- Indirect costs cannot be waived unless the agency does not pay IC or in the case of TTU's agreement with an agency (e.g., TWRA & USGS at 15%/TDOE at 8%)

# Cost Sharing (or Matching)

- Cost sharing is the portion of the cost of a project not borne by the funding agency
- Types of cost sharing: mandatory, voluntary, voluntary uncommitted (becomes mandatory in award document)
- Per TTU policy, cost share cannot be greater than 25% of the total proposed project amount
- Cost share can be cash, third party contributions, unrecovered IC, volunteer services, donated supplies
- Cost share must be verifiable
- Cost share cannot be from other federal sources
- Cost share must be included in the proposal budget if it is required by the agency



# Subawards/Subcontracts

- A subaward is a written agreement with a third party for the acquisition of services or goods or the conduct of prescribed activities or functions
- Subawards are used to procure substantive programmatic work under a grant or contract that cannot be performed by the TTU personnel

# Subawards/Subcontracts

- Subawardees must provide:
  - Letter of intent/support
  - Scope of work
  - Budget
  - Other documentation:
    - Indirect cost rate agreement
    - Certifications and assurances
    - Statement of work approval
    - Cost justification (e.g., quotes)

# Project Revisions

- No cost extension
- Budget revision
- Change in scope of work
- Change in PI/absence of PI for > 3 months
- Addition of subaward
- Transfer of funds from direct to indirect - equipment
- Inclusion of costs requiring prior approval

# Project Reporting

- Technical reports – PI with Bookkeeper
- Financial reports - Grant Accounting with Bookkeeper
  - Financial status report
  - Federal cash transactions
  - Cost share (match)
- Final reports – OR with PI/Bookkeeper
  - Invention/patent
  - Equipment inventory
  - Subawards

# Compliance

Lying?

Cheating?

Stealing?

Copying?

Misrepresenting?

Fudging?

Cleaning Up Data?

# Compliance

- What is compliance – it's part of the “bargain” we made with the agency
- When we accept funding, we accept statutes, regulations, policies, and laws
- Samples of compliance – COI, misconduct, cost sharing, effort reporting, data management, subcontracting, human subjects, animal welfare, technical reporting, biosafety, radiation safety, privacy, purchasing, mentor-trainee responsibilities
- Who is responsible – PI, OR, bookkeepers, accountants, affirmative action, department administrators!

# Misconduct in Research

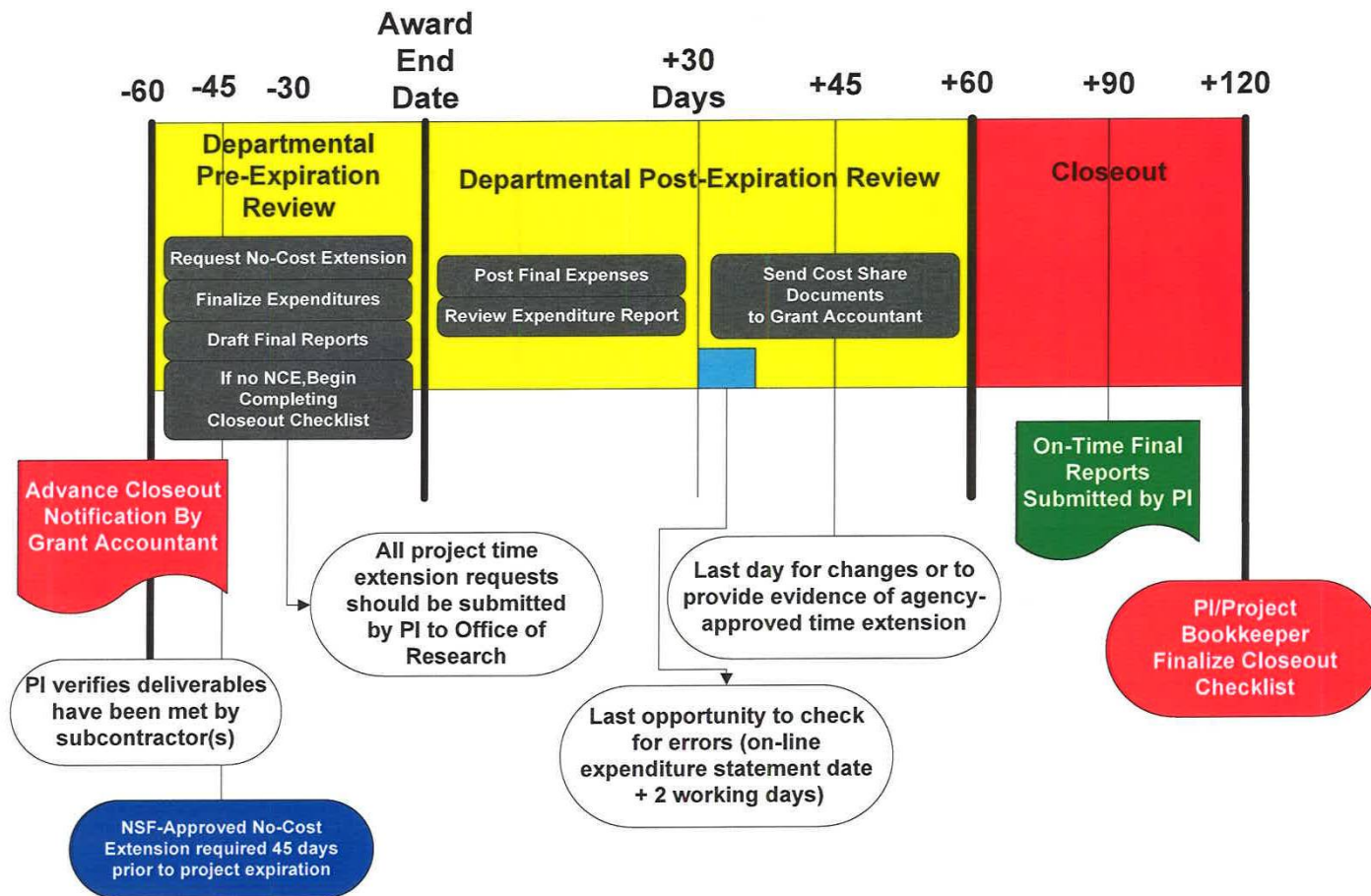
- Responsible conduct of research – training required by all faculty once they receive external funding
  - Plagiarism – is the appropriation of another person's research without giving appropriate credit
  - Falsification of data – is manipulating research materials such that the research is not accurately represented in the research record
  - Fabrication – is making up data or results and recording or reporting them
- Results of non-compliance – audit, fines, administrative actions, adverse publicity, debarment, suspension, **JAIL TIME!**

# Project Closeout

- Closeout Schedule
- Project Closeout



# Summary of Closeout Schedule



# Project Closeout

- Is a no cost extension needed?
- Have all invoices been requisitioned?
- Have the final reports been submitted?
- Are the subawards closed out?