Sponsored Programs Administration
Buzz Session

October 26, 2022
12:10 – 1:00 PM

UNMC

Agenda

- SPA Overview
  - Communications
  - Budgets
  - Regulatory
- Grants
  - Timelines
  - Changes
  - ADIS Internal Forms
- Contracts
  - Bright Line Document
  - Contracts Managed by SPA
  - Subcontracts
- FAQs

OVERVIEW

Sponsored Programs Administration

- Submits grant applications
- Communicates with sponsors
- Negotiates contracts
- Generates subaward agreements
- Signs award documents

SPAdmin's Volume (FY22)

	Proposals			Awards		
	Research	Non-Research	Total	Research	Non-Research	Total
Federal	657	36	**693**	238	26	**264**
State	144	42	**186**	38	36	**74**
Industry	142	11	**153**	101	7	**108**
Other	484	56	**540**	227	44	**271**
Total	**1,427**	**145**	1,572	**604**	**113**	717

The Ticker (CY22)

Form Type	G Team	K Team	Total Tickets
Submissions	X	X	2,201
Award Setup	X		795
FDP Subs		X	402
Open Negotiations		X	655
Total			**4,053**

Is it a sponsored project, business arrangement, or gift?

Sponsored Project (34, 35, 36)	Business Arrangement (33)	Gift (37)
• Performance measured against whether the objectives of the program are met • Responsibility for programmatic decision-making • Responsibility for adherence to applicable program compliance requirements	• Goods and services provided within normal business operations • Similar goods or services provided to many different purchasers • Competitive environment	• Irrevocable transfer of funds • Donor receives no direct benefit

WBS #s

34-	Federal, Letter of Credit in Payment Management System – including: • NIH • HRSA
35-	Federal, other than Letter of Credit – including: • DOD • USDA
36-	Non-federal • Federal pass-through • State • Foundations • Industry, clinical trials

Is it a grant, contract, or cooperative agreement?

Grant	Cooperative Agreement	Contract
• Financial assistance for the conduct of a program in which the sponsor anticipates *no substantial programmatic involvement*	• Financial assistance for the conduct of a program in which the sponsor anticipates *substantial programmatic involvement*	• Mechanism for procurement of a product or service with specific obligations

Is it cost reimbursable or fixed price?

Cost reimbursable	Fixed price
• Based on actual expenditures • Not to exceed the budgeted amount • Closely follows the budget	• Value is determined for work to be done • If the deliverables are not met, the sponsor is not obligated to pay • Unspent funds can be retained by UNMC

Is it research, instruction, or public service?

Research *F&A = 53.5%* *federal, on-campus, other than DOD*	Instruction *F&A 38.5%*	Public Service *F&A 40%*
• Systematic study directed toward fuller scientific knowledge or understanding of the subject studied • Also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities	• Teaching and training activities of an institution • Whether offered for credits toward a degree or certificate or on a non-credit basis	• Otherwise fits UNMC's mission to lead the world in transforming lives to create a healthy future for all individuals and communities through premier educational programs, innovative research, and extraordinary patient care

Communications

Who is my SPAdmin contact?

"Front door"	spadmin@unmc.edu
Ticker	http://unmcspa.zendesk.com/
Grants	https://www.unmc.edu/spa/about/my-contact.html

ADIS "checklists" and "halfsheets"

Checklists = Award amount being changed
- New project set-up
- Non-competing continuations
- Supplements
- Renewals

Halfsheets = Award amount not being changed
- No-cost extension
- Rebudgeting
- Subcontract-out executed

Budgets

Allowable costs (Uniform Guidance)

- Are necessary
- Are reasonable
- Conform to award terms and conditions
- Are consistent with other UNMC charges, in like circumstances
- Follow Generally Accepted Accounting Principles
- Are adequately documented
- Are allocable to the project

Direct costs

- Can be specifically identified with a sponsored project
  - Relatively easily
  - With a high degree of accuracy

Indirect costs (F&A)

- Incurred for a common purpose
- Benefit more than one project
- Not easily assignable to a specific project

UNMC rates
https://www.unmc.edu/spa/about/unmc_rate_agreement.pdf
- Negotiated with the federal government
- Based on actual expenditures
- Vary by project type

UNMC policy
https://wiki.unmc.edu/index.php/Sponsored_Programs_Costing

Institutional Base Salary

https://wiki.unmc.edu/index.php/Institutional_Base_Salary

- Includes Nebraska Medicine base salary
- Excludes Veterans Affairs salary
- Can be budgeted with an annual inflation factor
- Cannot be increased as a result of receiving an award
- May be capped by a sponsor
- Administrative and clerical salaries are typically treated as indirect costs

Minimum effort

Faculty must commit effort to each sponsored project for which they are serving as PI (https://wiki.unmc.edu/index.php/Institutional_Base_Salary)

- PI is responsible for all aspects of the project
- Not recouping the true costs of a sponsored project results in financial shortfalls that must be covered through other means
- If a sponsor doesn't pay for faculty salaries, the PI's effort must be cost-shared
- For some types of projects, PI effort might not be required (construction)

Maximum effort

A faculty member's total effort on sponsored projects shouldn't equal 100%

- Faculty have administrative, clinical, research, and teaching responsibilities, some of which are outside the scope of sponsored projects (e.g., serving on committees, writing grant proposals)
- Personnel costs may be disallowed by sponsors if they aren't reasonable, allocable, and consistent
- All time spent on university responsibilities is considered part of one's total university effort, even if it occurs during evenings or weekends. Sponsors don't recognize time spent serving on committees or writing grant proposals as "free time."
- Technicians and other non-faculty personnel's responsibilities may be completely inside the scope of sponsored projects
- Individual training and career development awards may cover an individual's total university responsibility

Fringe benefit rates

UNMC rates
https://www.unmc.edu/spa/about/unmc_rate_agreement.pdf

- Negotiated with the federal government
- Vary according to HR classifications (e.g., faculty, staff)
- Based on actual expenditures
- Change annually

Equipment

- Tangible personal property that has
  - A useful life of more than one year, and
  - A per-unit acquisition cost of at least $5,000

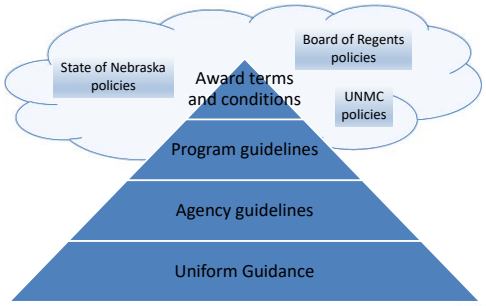
Cost-share
https://wiki.unmc.edu/index.php/Sponsored_Project_Cost_Share

Should be limited to amount necessary to meet the sponsor's requirements because it:

- Rarely improves the likelihood of an award
- Increases administrative burden for tracking and reporting
- Reduces salary eligible to be recovered from external sources
- Negatively impacts negotiation of UNMC's F&A rate

Regulatory

Multiple regulations apply to sponsored projects.



SPAdmin certifies the accuracy, validity, and conformity of all administrative, fiscal, and scientific information.

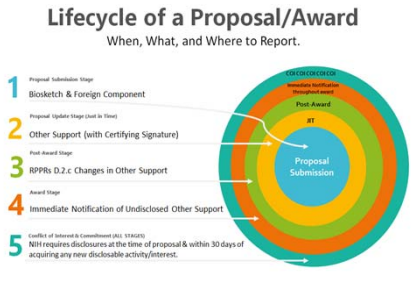
SPAdmin works closely with other departments.

Conflict of Interest

- Situations in which an individual's personal financial interests may compromise, or have the appearance of comprising, one's professional judgment or behavior in carrying out one's obligations to UNMC
- "Investigator" = Anyone, regardless of title or position, responsible for design, conduct, or reporting of research

Disclosure of financial interests	Annually, or if interests change	COI-SMART http://unmc.coi-smart.com/
Training in COI	Every four years, or if failure to comply	Canvas https://www.unmc.edu/canvas.html

COI: Biosketches and Other Support



Institutional Review Board

Human Subjects Decision Charts
https://www.hhs.gov/ohrp/regulations-and-policy/decision-charts-2018/index.html

- Are human subjects involved? (Y | N)
- Is the project considered human subjects research? (Y | N)
- If so, does an exemption apply? (Y | N)

Institutional Animal Care and Use Committee

- PI submits request to SPA to have an IACUC protocol compared to a grant/contract
- SPA provides copy of the grant and the IACUC protocol # to the Protocol Assessment Liaison (PAL) or designee to complete the congruency check
- If there are components of the grant/contract that do not match the approved IACUC protocol, PAL/designee will contact the PI to discuss inconsistencies and assist them in submitting the correct information to the IACUC or the funding agency
- Certification will be granted by PAL/designee when the components of the protocol and the grant/contract are in agreement, and SPA will link the grant/contract with the corresponding IACUC protocol for access to award funds

Export Control
https://wiki.unmc.edu/index.php/Export_Control

- Shipping equipment to a foreign country
- Exposing foreign nationals to research labs
- Sponsor approval rights over publication

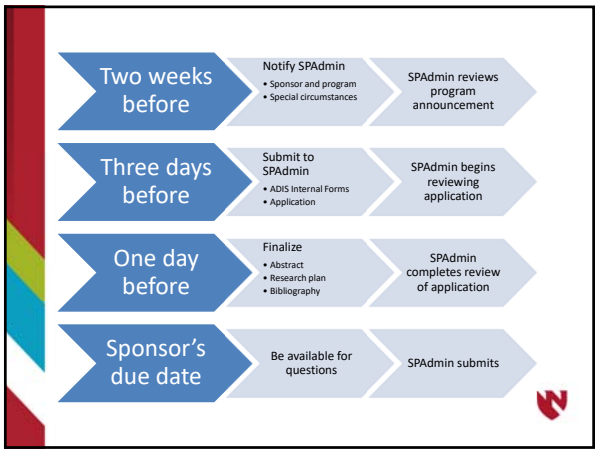
GRANTS

Timelines

UNMC Sponsored Programs internal deadlines
https://www.unmc.edu/spa/grants/internal-deadlines.html

Notify SPAdmin of your plan to submit a proposal at least **two weeks** before the sponsor's deadline.

Submit "complete" proposal to SPAdmin at least **three days** before the sponsor's deadline.



UNMC Sponsored Programs internal deadlines
https://www.unmc.edu/spa/grants/internal-deadlines.html

- Timely proposals
  - Are processed in the order in which they're received
  - Are reviewed thoroughly
  - Are transmitted successfully to the sponsor
- Late proposals
  - Are processed after all timely proposals are completed
  - Cannot be guaranteed a thorough review
  - Cannot be guaranteed a successful transmission

Limited submission

- Contact SPAdmin no later than **two months** before the deadline
- If more than the eligible number of PIs notify SPAdmin of their intent to submit, SPAdmin will coordinate with the VCR office to determine the applicant(s) **one month** before the deadline
- If all of the PIs are in the same college, the Dean of that college will make the determination

Major Grants & Programs *(effective 06/18/2021)*
Including NIH Program Project & Center Grants

- Contact SPAdmin no later than **90 days** before the deadline
  - FOA #
  - Sponsor deadline
  - Project title
  - Specific Aims
- SPAdmin will submit major grant and program applications only with VCR approval

Grants.gov proposals are completed in Cayuse424
http://unmc.cayuse424.com/

- Pre-populates institutional information
- Allows multiple users to work on proposal
- Validates proposal against sponsor's technical requirements

SPAdmin checks for conformity with

- UNMC policies
- Sponsor policies
- Program guidelines

Internal forms are completed in ADIS
https://edge.unmc.edu/adis

- Provides the information needed for SPAdmin to review proposal
- Collects the institutional signatures needed for SPAdmin to submit proposal, including PI certification
- Creates a record in SPAdmin's database to track proposal

ADIS Internal Forms

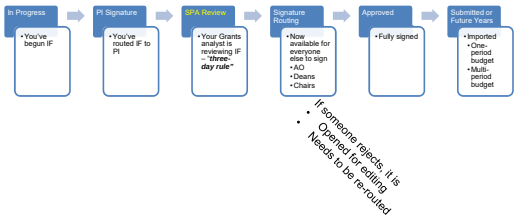
ADIS: Research → Research Administration → Manage Grants/Contracts → **Internal Forms**

Proposal type	
New	Submitted to sponsor for first time (no PID)
Revised new	Re-submitted to sponsor after unsuccessful previous attempt (should have a PID)
Continuation	Non-competing request for second or subsequent budget period within approved project period (should have PID)
Renewal	Submitted to sponsor for additional funding for new project period subsequent to current award (should have PID)
Revised renewal	Re-submitted to sponsor for additional funding for new project period subsequent to current award, after unsuccessful previous attempt (should have PID)
Supplement	Additional funding for existing budget period (should have PID) – *no change to dates*

ADIS: Research → Research Administration → Manage Grants/Contracts → **Internal Forms**

Routing

https://www.unmc.edu/spa/_documents/SPA_Tool_QuickGlance.pdf



ADIS: Research → Research Administration → Manage Grants/Contracts → **Internal Forms**

Signers and designees

PIs	• Cannot designate alternate signers
Deans, chairs, chiefs	• Can designate alternate signers

Designating alternate signers

1. Dean(s) 2. Chair(s) 3. Chief(s) – optional	Shouldn't also be • PI • "Prepared by" person

ADIS: Research → Research Administration → Manage Grants/Contracts → **Internal Forms**

Multi-year projects: In future years

	Move to
Award modification	Revise proposed budget (which has completed routing) to match sponsor-approved budget in order to set up award
In progress	Update and route the next budget period

An advance account allows you to begin charging expenses before your award is ready.

https://www.unmc.edu/spa/_documents/adis_guide-advance_accounts.pdf

Pre-award spending

- UNMC may incur necessary costs up to 90 days before the start date at our own risk

Delays in setting up award

- Waiting for award document
- Agreement being negotiated

Changes

Authority

- Change in scope
- “25%”

Prior approval	• SPAdmin submits request to sponsor
Expanded authority	• Document internally • Notify sponsor, as appropriate

Change in scope

- Change in specific aims approved at the time of award
- Substitution of one animal model for another
- Change from the approved use of live vertebrate animals
- Change from the approved involvement of human subjects that would result in an increased risk
- Shift of research emphasis from one disease area to another
- Application of a new technology, e.g., changing assays from those approved to a different type of assay

Rebudgeting

- Reason for variance
- Budget variances by ≥ 25% suggest a change in scope
- Selected items of cost
  - Participant support
  - Patient care

Carry-forward

- Reason for unobligated balance
- Need for funds (in addition to any new funds)
- Percentage of current year award remaining
  - Unobligated funds ≥ 25% suggest project delay or decreased need

Key personnel

- A reduction in effort ≥ 25%
- Selected personnel
  - Named on the NOA
  - Integral to project

No-cost extension

- How much time is needed
- Reason for delay
- What wasn't accomplished, what will be accomplished
- How much funding is left
- How will funds be spent
- Any effort changes

CONTRACTS

WHICH TEAM? It depends.

G Team		K Team
FEDERAL & PUBLIC ~ FEDERAL & PUBLIC ~ FEDERAL & PUBLIC ~ FEDERAL & PUBLIC ~ FEDERAL & PUBLIC ~ FEDERAL & PUBLIC		
Federal Proposals & Awards - Grant Award Mechanism		Federal Contract Proposals & Awards (all things Fair-based *or* OTA-based) Note: includes inc. subcontracts off Federal Ks
Federal Proposals & Awards - Cooperative Award Mechanism		Federal SBIR/STTR Proposals & Awards (all things SBIR/STTR) Note: includes inc. subcontracts to UNMC off SBIR/STTR Prime awards (always industry)
Public Nebraska LB606 & LB606 Proposals & Awards		Public Contract Proposals & Awards (all things State, Municipal, City, County) Note: includes inc. subcontracts off Public Ks
Federal Proposals with dealer's choice of award mechanism (ie, BAAs) Note: Awards will be assessed upon receipt, some will stay with G Team		Mixed Funds Contract Proposals & Awards (all things MIXING Federal & State & Private & FOA monies) Note: includes inc. subawards/subcontracts involving Mixed monies
SUBPROPOSALS (excludes SubProposals for GovCons, SBIR/STTR, Public Ks, or Mixed Funds) Federal SubProposals or Revised SubProposals (where UNMC would receive an inc. subaward ¢ from a PTE issuing the subaward to UNMC off its Prime Grant or Coop. Agreement Award) Note: SubAwards will be HANDED OFF to ¢ Team by the Analyst via a 2-step process: 1. Creation of a Ticket for the Sabin Award Document being Handed Off & 2. Emailing spadmin@unmc.edu w/ docs and citing the Ticket created in Step 1	HANDOFF	INCOMING FEDERAL SUBAWARDS INCOMING Federal Subaward Awards (off Prime Grant or Coop. Ks held by PTE) (UNMC has already rec'd an inc. subaward ¢ *or* a PTE is asking for a Subrecipient Commitment Form before it will issue the actual SubK) Note: Proposals were processed by G Team
AWARD SETUP for Grant or Coop. Agreement UNMC Prime Awards (excludes SubProposals for GovCons, SBIR/STTR, Public Ks, or Mixed Funds) During Award Setup of the UNMC Prime Award by the G Analyst, if the award proposed 1 or more Subawards then a HANDED OFF to the K Team is required to trigger issuance of each SubOut Note: SubAwards will be HANDED OFF to ¢ Team by the Analyst via a 2-step process: 1. Creation of a Ticket for each subaward being Handed Off & 2. Emailing spadmin@unmc.edu w/ docs and citing the Tickets created in Step 1	HANDOFF	OUTGOING FEDERAL SUBAWARDS (UNMC is issuing an outgoing subaward ¢, most likely on a FOP template but not always) Note: Proposals were processed by G Team
FOUNDATIONS & NETWORKS ~ FOUNDATIONS & NETWORKS ~ FOUNDATIONS & NETWORKS ~ FOUNDATIONS & NETWORKS ~ FOUNDATIONS & NETWORKS ~ FOUNDATIONS & NETWORKS		
Foundations (w/ no negotiation) Proposals & Awards American Heart Association (AHA)		Foundations (w/ negotiation) Proposals & Awards All Gates PAIs, CO, C2 PAIs, CFF & MOST OTHER FOUNDATION OPPORTUNITIES Note: includes some Proposals processed by G Team
Foundation Proposals - All Proposal Central Note: Awards will be assessed upon receipt, some will stay with the G Team	LIMITED HANDOFF	Foundation Awards - Proposal Central Note: Awards will be assessed upon receipt, some will be HANDED OFF to the K Team
		PCORI Grants Proposals & Awards (all things PCORI) Note: includes inc. subawards funded by PCORI
		PCORNet & PCRP Proposals & Awards Note: includes inc. subs funded by PCORNet/& PCRP

Deaggregated Contracting Functions

- **UNeHealth –** Industry Sponsored Phase I-IV Clinical Trials, CDAs, Emergency Use
- **UNeMed –** Material Transfer Agreements, CDAs associated with business development, Licensing/Royalty Contracts
- **Procurement –** Purchase of laboratory supplies, equipment, and other materials. Consulting/Independent Contractor Agreements
- **Business & Finance** – Business Associate Agreements.

Key information: SPAdmin negotiates

- Data Use/Transfer Agreements
- Confidential Disclosure Agreements
- GovCon – direct contractual privity with Federal Agency (FAR-based)
  - Incoming and Outgoing GovCon Subcontracts
- Public Contracts (County, State, City, Municipality)
  - Incoming and Outgoing PublicCon Subcontracts

- Master Clinical Trial Agreements
  - Federally Funded
  - Cooperative/Consortium Group Agreements
  - Post market data collection
- Work Orders, Child Studies, Task Orders off Master Agreements
- Clinical Trial Agreements (stand alone)
  - Federally Funded
  - Cooperative Group Agreements
  - Post market data collection
- Clinical Study Agreements

- Registry Agreements
- Testing agreements
- Master (non-clinical, non-FAR)
  - Sponsored Research Agreement (SRA)
  - Collaborative Research Agreement
  - Technical Research Agreement
    (non-clinical, animal, bench, basic)
- Work Orders, Child Studies, Task Orders off Masters (non-clinical, FAR)
- Subawards – Incoming and Outgoing Subs off Prime Federal Grant Awards.

Stand Alone Agreements –

- Sponsored Research Agreement (SRA)
- Collaborative Research Agreement
- Technical Research Agreement

UNMC Signatory Authority

Governed by Executive Memorandum 14
Per Board of Regents Policy 6.3.1

- Signatory authority categorized by type of transaction.
- Grants, gifts and subcontracts limited to a select group of Vice Chancellors, Asst Vice Chancellors, Sr. Vice Chancellors, and the Director and Assistant Directors of Sponsored Programs Administration.
- Faculty and Department Administrators are not able to bind the institution.

Contracts Team Members

Charles Maris, PhD – Assistant Director
Kristin Morrissey, JD – Assistant Director

Contract Analysts:

- Anna Hoiberg, JD
- Kyle Monte De Ramos, JD
- Christopher Sievers, JD
- Stephen Zimmer

Q&A

https://www.unmc.edu/spa/training/past-sessions.html

BUZZ Session

Oct 22

UNMC

Buzz Session Questions

Q: Should we put subcontracts on NIH Awards that have NOA in house in Ticker as Award Set Up since the funds are here and it should be a very straight forward process from LOI to set up?

Scenario: UNMC PI has an R01 award with Child accounts for the subrecipients, and subawards are needed.

A: SPA's process is that we create **Tickets** in the **Ticker** while setting up the prime award if subrecipients are indicated, and these Tickets are handed off to the K Team.

- The K Team contract analyst will reach out via email for PI approval if we have the required documents, or will ask for any missing documents (sub's budget, budget justification, scope of work).
- Normally, the subrecipient documents are collected at the time of application, and SPA often has what is needed.

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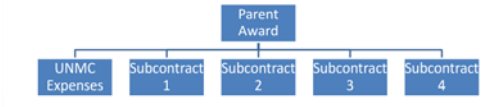
Parent / Child budgets

Using child budgets for subrecipients helps keep the UNMC funds distinct from subs' funds; may help to better manage the subs



UNMC

Buzz Session Questions

Q: Is there a way to expedite sub-contracts for Award set up?

Scenario 1: UNMC PI has a NoA with subrecipients, and the subawards are urgently needed.

A: If the subrecipient is "new," then PI needs to rebudget and UNMC may need prior approval from the prime sponsor. Create a **Ticket** for this action to trigger SPA review.

If the subrecipient is not new, see if SPA is tracking this in a **Ticket** and if we have what is needed (sub's budget, budget justification, scope of work, contact information).

The K Team member working on the subaward is identified in the **Ticket**.

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Buzz Session Questions

Q: Is there a way to expedite sub-contracts for Award set up?

Scenario 2: UNMC PI received an inbound subaward, and award setup is urgently needed.

A: If SPA assisted with the submission, provide SPA the subaward (spadmin@unmc.edu), and we will create a **Ticket**. SPA should have received the NOA directly from the Pass-Through Entity, but it's possible the PTE sent it to the PI. SPA will ask the department to rebudget in ADIS if the awarded amount is different from what we requested. This is handled by the K Team.

If SPA was not aware of the subaward submission, then we need to go through ADIS to capture the UNMC effort and budget. There will be a G Team Submission **Ticket** as well as an Award Setup **Ticket**, followed by hand-off to the K Team.

UNMC

We use ADIS to track proposed/committed effort on sponsored projects

ADIS → SPA's RADB → **RSS**

- Other Support Pending effort/projects
- Other Support Current effort/projects

UNMC

What is minimally needed for a Sub?

- Budget
- Budget justification
- Scope of work
- Contact information

The PTE/pass-through entity determines what is needed from the subs.

If Federal (PHS), the PTE will need a "LOI" confirming that the sub is committed to the project, that we have a PHS-compliant financial COI policy, and is signed by an AOR/authorized organizational representative.

We may provide **Facilities** and Resources documents, **biosketches** and other proposal documents at the time of the prime's/PTE's application, and **Other Support** at the JIT/just in time step.

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Subawards – what policies apply?

Pre-Award/Proposal submission

- NIH GPS/Grants Policy Statement
- PHS 398 *Application for a Public Health Service Grant*
- NIH *Guidelines for Establishing and Operating Consortium Grants*
- RFA/Parent Announcement

STATEMENT OF INTENT TO ESTABLISH A CONSORTIUM AGREEMENT

Post-Award/issuing subawards

- 2 CFR 200.331
- 2 CFR 200.332
- NIH GPS
- NoA
- Institutional policies

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