The Lifecycle of a Sponsored Project

Proposal

Award Processing and Account Setup

Active Period
Spending, Invoicing, Reporting, Monitoring

Final Reporting

Closeout

Funding
Funding Sources

- Where is the Money?
  - Congressionally appropriated funds for Basic Research
  - Private Foundations
  - Federal Contracts for specific work
  - Private Industry Contracts for specific work
Federal Funds for Basic Research

- Annual Budget Act becomes Public Law
  Sets funding levels for each agency (NSF, NIH, USDA etc.)
- Agencies issue Requests for Proposals (RFP)
  - on their website:
    - www.nsf.gov
    - www.nih.gov
    - http://www.csrees.usda.gov/
- UA Faculty submit applications endorsed by SPS (on behalf of VPR)
Funding Opportunities
Funding Opportunities
Funding Opportunities

Dimensions of Biodiversity FY2013

PROGRAM SOLICITATION
NSF 13-536

REPLACES DOCUMENT(S):
NSF 12-528

National Science Foundation
Directorate for Biological Sciences
Division of Environmental Biology

Directorate for Geosciences
Division of Ocean Sciences

Full Proposal Deadline(s) (due by 5 p.m. proposer's local time):
May 06, 2013

IMPORTANT INFORMATION AND REVISION NOTES

A revised version of the NSF Proposal & Award Policies & Procedures Guide (PAPPG), NSF 13-1, was issued on October 4, 2012 and is effective for proposals submitted, or due, on or after January 14, 2013. Please be advised that the guidelines contained in NSF 13-1 apply to proposals submitted in response to this funding opportunity. Proposers who opt to submit prior to January 14, 2013, must also follow the guidelines contained in NSF 12-1.

Please be aware that significant changes have been made to the PAPPG to implement revised merit review criteria based on the National Science Board (NSB) report, National Science Foundation's Merit Review Criteria: Review and Revisions. While the two merit review criteria remain unchanged (Intellectual Merit and Broader Impacts), guidance has been provided to clarify and improve the function of these criteria. Changes will affect the project summary and project description sections of proposals. Annual and final reports also will be affected.
Funding Opportunities

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- Letters of Intent: Not Applicable
- Preliminary Proposal Submission: Not Applicable
- Full Proposals:

B. Budgetary Information

- Cost Sharing Requirements: Inclusion of voluntary committed cost sharing is prohibited.
- Indirect Cost (F&A) Limitations: Not Applicable
- Other Budgetary Limitations: Not Applicable

C. Due Dates

- Full Proposal Deadline(s) (due by 5 p.m. proposer's local time):
  May 06, 2013

Proposal Review Information Criteria

Merit Review Criteria: National Science Board approved criteria. Additional merit review considerations apply. Please see the full text of this solicitation for further information.

Award Administration Information

Award Conditions: Additional award conditions apply. Please see the full text of this solicitation for further information.
Funding Opportunities

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I. INTRODUCTION

Life on Earth is astounding in its diversity and in its ability to transform the world. Despite centuries of discovery, the vast majority of our planet's diversity remains unknown. Only a few years ago scientists shared the view that the diversity of life on Earth was so vast that it might be beyond cataloging, much less understanding. This is no longer the case. Advances in our capacity to collect, analyze, and integrate biological data have provided tools with which researchers can significantly expand our
Proposal Process

- UA items needed for proposal process
  - Three business day deadline
  - Electronic Proposal in UAccess Research
    - Replaced Paper PRS (Proposal Routing Sheet)
  - Sponsor Face/Cover Page
  - Project Abstract
  - Budget and Budget Justification
  - Cost Sharing Budget (if applicable)
    - Including evidence of commitment
Proposal Process

- **Proposal Review**
  - Budget
    - ERE & F&A Rates
    - Budget categories
    - Cost Allowability
    - Cost share
  - Compliance with University Policy and Sponsor Regulations
    - Office for Responsible Conduct of Research: Conflict of Interest, Export Control, human/animal subjects, etc

- **Proposal Submission**
  - Upon SPS Approval PI, Department or College may then to submit to Sponsor
  - Electronic Submission by SPS
    - Grants.gov
    - Fastlane
Agency Review

- Federal Agencies Receive applications
- Initial Review of Applications for eligibility and meeting RFP guidelines
- Peer Review: impartial merit review by peers of applicants
Peer Review

- Distribution of Applications to Peer Review Committee members
- Peer Review Committee Meeting:
  Face to face discussion of each application with goal of ranking best applications.
- Outcome of Peer Review: ranking and recommendations.
Selection and Award

- Notification of Applicants: recommended, not recommended, ranking, etc. (Review Comments)
- Budget review and negotiation with recommended applicants.
- Recommendation for funding to Grants Office.
- Funding Document Issued.
Classification of Award

- Award documents
  - Unilateral award (does not require signatures)
  - Bilateral awards (require signatures)
    - Requires PI approval

- Types of agreements
  - Assistance
    - Grants
    - Cooperative Agreements
  - Procurement
    - Contracts
      - Cost Reimbursement
      - Fixed Price
  - Clinical Trials
Award Process

- Sponsor
- Pre-Award
- CRSP (Contract & Research Support Program)
- Dept.
- PI

Key Points:
- New Award
- Counter Signature
- Approval
- Negotiation
- Fully executed Agreement
- UAFinancial Account
Account Setup

- Review for
  - Special Restrictions (budget, equipment, etc.)
  - Invoicing Requirements
  - Reporting Requirements
- Enter into UAFinancials
- Once Budget is loaded, department can begin spending
Terms and Conditions

- Where to find them: on the award
- Order of precedence:
  - Award
  - Sponsor T&C (Program T&C and Agency T&C)
  - OMB (Office of Management and Budget)
- Federal Grants: Uniform Guidance Effective 12/26/14
  - Replacing Circulars A-110 and A-21
- Research Terms & Conditions (RTC); Agency Specific T&C under RTC
- Federal Acquisition Regulations (FAR) for federal contracts
Monitoring and Reporting

- Monthly Reconciliations of Financials by Department and PI
- SPS submits Invoices and Financial Reports
  - Justification and backup from departments may be needed
- SPS Monitors Aged Accounts Receivable and Cash Balances
- Deficit Notices – sent automatically to dept.
- Property Reporting
- Invention / Patent Reporting
Monitoring Accounts

- Action List – SPS Approvals
  - GEC, General Error Correction
  - SET, Salary Expense Transfer
  - Effort Certifications
  - Requisitions
  - Purchase Order Changes with $
  - Postings to Expired Accounts
Spending versus Time
(“Burn Rate”)

- Ideally, spending should be smooth with time, or peaking in middle of active period
- Late spending (either delays in starting or spending a lot at the end) can raise red flags
 Modifications & Prior Approvals

- No cost extensions (different sponsors have different processes)
- Prior Approval (Administrative Changes)
  - Key Personnel
  - Budget change approval
  - Equipment not in approved budget
  - Foreign Travel
  - Any waiver of Terms and Conditions
Modifications & Prior Approvals

- Amendments and Modifications:
  - Continuation Funding
  - Modifications requiring dual signature
    - Sponsor issued amendment
    - UA templates (Research Gateway)

- Research Terms and Conditions
  - Prior approvals processed through postaward
    - Review agency specific terms for actions requiring prior approval
End of the Project: Concurrence

- Getting agreement from the PI is the basic requirement for final financial reporting and closeout.
- PI signs concurrence to certify expenses or delegates signature authority to Business Official.
- Timely Response to Concurrence Memo is critical to on time financial reporting and invoicing.
- Budget is reduced as soon as concurrence is received.
MEMORANDUM

TO: Principal Investigator  
    Business Manager / Fiscal Officer

FROM: Ashley Taylor  
a.taylor@email.arizona.edu

DATE: September 11, 2015

RE: Account No. 3000000  
    Sponsor Fed  
    Project Title Research

The enclosed FINAL WORKSHEET for the referenced award is forwarded to you for approval. If you concur with this report, please sign the certification below and return this memo to me. If you do not concur, please advise me of the discrepancy for correction by the DUE DATE. If the concurrence memo is not returned by the DUE DATE, SPS will report the final figures on this report to the sponsor.

Total award amount: $31,600
Total expenditures: $31,600
Total unexpended balance: $-
Budget will be reduced by: $-
Refund to Sponsor: $-
Unbilled Balance (To Be Invoiced Upon Concurrence): $-

Deficit/Unclaimed expenses will be transferred to the continuation account XXXXXX if deficit/unclaimed expenses are not removed by the DUE DATE.

I concur with the expenditure report and certify that all expenditures reported or payment requested are for appropriate purposes and in accordance with the provisions of the application and award documents.

Principal Investigator or Designee: __________________________ Date: __________________________

Reasons for non-concurrence (if applicable):

_________________________________________________________________________________________________________________________________
**Account: 3000000**

**Project Title:** Research

**Sponsor:** Fed

**IC Rate:** 53.00%

**Term Date:** 9/30/2015

---

## Final Expenditure Summary

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## Cash Balance Summary

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<th>Date Billed</th>
<th>Amount Billed</th>
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</thead>
</table>

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**Outstanding Invoices To Date**

- 0.00

**Cash Received To Date**

- 31.60

**Final Invoice Amount Upon Concurrency**

- 0.00

**Total Invoiced**

- 31.60
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<th>Current Expenses</th>
<th>Adjustments</th>
<th>Valid Unliquidated Obligations</th>
<th>Current Expenses &amp; Unliquidated Obligations</th>
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**I/C ADJUSTMENTS:**

- TDC: 21.00
- Less Capital & Student Support: -
- Less Other Non-C & Tuition Rem.: 1.00
- I/C Base: 20.00
- I/C Rate: 53.00%
- I/C Earned: 10.60
- I/C Applied: 10.60
- Adjustments: -

**I/C REPORTED:**

- TDC: 21.00
- Less Capital & Student Support: -
- Less Other Non-C & Tuition Rem.: 1.00
- I/C Base: 20.00
- I/C Rate: 53.00%
- I/C Earned: 10.60
- I/C Applied: 10.60
- Adjustments: -

---

**ADJUSTMENTS:**

- Reference No.
- Month Posted To KFS
- Amount

**UNLIQUIDATED OBLIGATIONS:**

- Reference No.
- Month Posted To KFS
- Amount

**TOTAL EXPENSE RECONCILIATION:**

- Reference No.
- Month Posted To KFS
- Amount

**TOTAL EXP & UNLIQ. OBLIG.**

- 31.60

**TOTAL EXP AS OF 9/11/2015**

- 31.60

**DIFFERENCE**

- -

REGULAR W5
Draft FFR will be sent to department with concurrence.

- We are certifying that all expenses are appropriate and in accordance with the agreement. Revision is usually not possible.

More detail may be required than previously; department may need to provide this information.

- Cost Category Breakdowns
- Personnel Classifications
- Cost Sharing
- Backup for some or all expenses
- Expense Justifications
Property Reporting

- Handled by SPS Property Administrator: Gricelda LaTurco
- Based on award regulations
- For contracts that involve an equipment deliverable, it’s important to work with Gricelda and to have both a D-tag and proof of delivery
- Possible outcomes depending on the regulations:
  - Maintain equipment at the UA
  - Return equipment to sponsor
  - Provide equipment to third party
Invention/Patent Reporting

- PI’s have ongoing responsibility to report any inventions to Technology Transfer Office.
- SPS facilitates Patent reporting if required which will likely occur during closeout.
- SPS sends form to PI; PI completes and returns to SPS.
- SPS forwards to Tech Transfer for signature.
- Back from Tech Transfer, SPS submits to sponsor.
Other Closeout Documents

- SPS will complete or coordinate
  - Release and Assignment Forms for Contracts and Subcontracts
- Closeout Checklist (for Subcontracts)
- Small Business Subcontracting Plan
  - UA Small Business Utilization Manager — Ernette Leslie
Fixed-Price Contracts

- Payment for Fixed-Price Contracts depends on deliverables being submitted and accepted by sponsor. SPS will request status of deliverables for invoicing.
- SPS usually has little reporting at end; non-auditable
- Dept confirms work is completed and requests conversion to fixed price complete
- SPS confirms full payment is received and then Charges out IDC budget and Transfers remaining funds to PI’s FPC account in appropriate department
Closing the Account

- All reporting should be complete
- All encumbrance should be removed
- All disallowed transactions should be removed, deficit should be cleared
- Accounts and cash must be balanced
- Account marked closed
- Records must be kept for 5 years from acceptance of deliverables and Financial Report – Consult with College refer to records management
- Time to find new funding …
DISCUSSION & COMMENTS