

# **BRIDGING THE GAP**

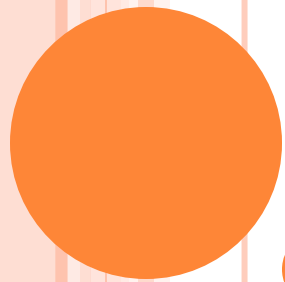
**Research Round Table**

**June 12, 2013**

# HOT TOPICS

- Campus Audit Activities
- Impact of Shared Services
- The “Super Circular” (A-81)
- What We Know About Sequestration
- International Project Challenges
- New Campus Systems
- Phoebe Proposal Submission & the PI Portfolio
- Federal Reporting Requirements
- F&A
- Gifts vs. Grants
- Who Does What? SPO/IAO/BCO?





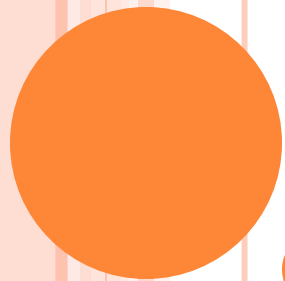
# **CAMPUS AUDIT ACTIVITIES**

**Frank Kinney, EFA**

# CAMPUS AUDIT ACTIVITIES

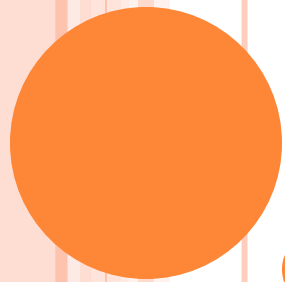
- From a system-wide perspective, external audits are increasingly intrusive and coordinated
  - A-133 – all UC campuses
  - EPA – 10 universities
  - PHFE – multiple awards
  - CDFA – multiple awards
  - NSF – four UC campuses
- The compliance environment is harsher, may impact campus culture
- EFA compliance coordinates audits
- NSF – data driven analytics





# **IMPACT OF SHARED SERVICES**

**Patrick Schlesinger, AVCR**



# **THE SUPER CIRCULAR (A-81)**

**Patrick Schlesinger, AVCR**



# **WHAT WE KNOW ABOUT SEQUESTRATION**

**Pam Miller, SPO**

## IMPACT ON NIH (AS OF JUNE 3, 2013)

- All areas of science are expected to be affected.
- Most scientific areas will be reduced by about 5% (\$1.55 billion of (FY) 2013 budget)
- Approximately 700 fewer research project grants compared to FY 2012
- Reductions to noncompeting research project grants will vary depending on the circumstances of the particular IC. The NIH-wide average is - 4.7 percent.
- The duration of existing grants will NOT be shortened to accommodate the cuts.





## IMPACT ON NSF

- The National Science Foundation issued **Important Notice No. 133: Impact of FY 2013 Sequestration Order on NSF Awards** on February 27, 2013. This notice to presidents of universities and colleges and heads of other NSF awardee institutions includes the following statement.
- “At NSF, the major impact of sequestration will be seen in reductions to the number of new research grants and cooperative agreements awarded in FY 2013. We anticipate that the total number of new research grants will be reduced by approximately 1,000.



# IMPACT ON OTHER FEDERAL AGENCIES

- USAID may reduce or future funding or terminate existing agreements.
- DOC may not issue continuation awards, including not awarding incremental funds on multi-year awards, and may require negotiation of a reduction in the scope of existing awards.
- DOE may decide not to exercise an option or negotiate lower prices for procurement contracts. DOE may also stop or suspend work, reduce the scope of work, or partially or completely terminate contracts for convenience. Additionally, planned contract actions for new work may be re-scoped, delayed, or canceled depending on the nature of the work and the degree to which it directly supports the agency's mission goals.



# EXAMPLE PO EMAIL TO PI

- We just received our most recent budget update for FY13 and the situation is not pretty. Just when I was recovering from the bad news I received last week about the specific sequestration cuts which affected my \_\_\_ program drastically, we got the bad news that all of \_\_\_'s budget and the programs are going to be seriously cut for the remainder of FY13 because of the overall cuts the \_\_\_ are facing. I am not really at liberty to divulge the actual numbers and percentages, but let's just say at this point we are cut to the level of just barely functioning as an organization for the remainder of the fiscal year. We are past the problems of unspent money sweep, travel cuts, furloughs, etc. **We are talking about terminating current grants, and reducing budget levels for the majority of existing grants.** Even though the situation is very serious, it's a dynamic one and the news keep changing. But right now, we need to plan with the numbers we have received from our management (who is trying its best to deal with the situation). Since this is an organization-wide issue and it involves contracting and finance, **I really cannot provide any clear guidelines.** The budgetary negotiation would have to be done by our contracting office and your business office. All I can do at this point is to face this situation (with your full awareness of the severity of what we are dealing with), and plan for FY14.



# HOPE FOR THE FUTURE?

- The President's FY 2014 Budget would replace sequestration and reduce the deficit in a balanced way.





# **INTERNATIONAL PROJECT CHALLENGES**

**Pam Miller, Director SPO**

**Pat Schlesinger, AVCR**

# QUESTIONS OUR PIS SHOULD ASK

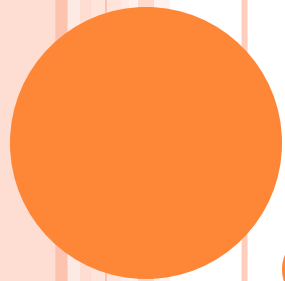
## ○ Pre-award Stage

- Can we do business in this country? Is legal registration required?
- Do we need a contract with an in country NGO?
- Are our partners financially stable? Do they have working capital?
- What currency will be used?
- How do we handle compliance? IP? Communications?
- How do we handle safety and insurance?

## ○ Post Award Stage

- How do we hire U.S. and non-U.S. citizens in this country?
- How do we move money from here to there?
- What to do about currency fluctuations?
- What costs are allowable/unallowable?





# **PHOEBE/ PI PORTFOLIO**

**Pam Miller, SPO**

**Frank Kinney, EFA**

# PHOEBE IMPLEMENTATION

- 978 proposals submitted to SPO via Phoebe (as of 10 am, June 11, 2013)
- 100% Phoebe proposal submission by “the Winter Solstice.” (December 21, 2013)
- Phoebe Benefits
  - No hard copy proposals to deliver to SPO
  - Streamlined internal processing & e-records
  - Proposal approvals from anywhere, any time, any place with internet access
  - Accommodation to Dept. processes and procedures
  - Tracking of compliance (e.g. Exceptional PI status, FCOI—in process)

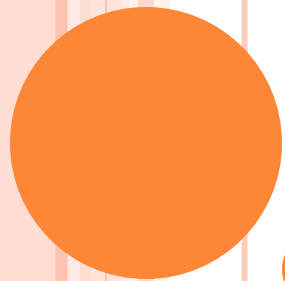




# PI PORTFOLIO

- Impetus: SPO User's Network (SUN)
- Need for “one stop” place to get information on PI's sponsored projects
- “By PIs, for PIs,” so the development team involved PIs in design
- Three phases to the portfolio project:
  - Overview of active awards, drill down to the award, view transactions, view personnel on project
  - Ability to forecast financial outcome using spending plan and actual to-date
  - Add other PI funds and proposals to the portfolio
- Pilot Phase I underway, Phase II by December, Phase III by next June 30





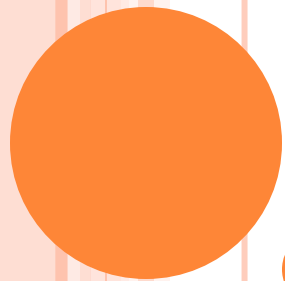
# **OTHER NEW CAMPUS SYSTEMS**

**Frank Kinney, EFA**

# OTHER NEW CAMPUS SYSTEMS

- PI Portfolio
- CalTime
- UC Path
- New Contracts and Grants modules
  - Cost share, program income
  - Budget
  - F&A cost (nightly?)
  - Close-out process
  - Chartfield changes
- New travel program?





# **FEDERAL REPORTING**

**Pam Miller, SPO**

**Frank Kinney, EFA**

# FEDERAL REPORTING CHANGES

## ○ The National Science Foundation

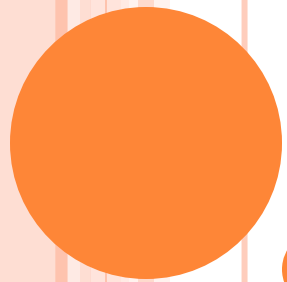
- As of March 18, 2013, PIs must use [Research.gov](http://Research.gov) to meet all NSF project reporting requirements, including submission of annual, final, and project outcomes reports.
- Annual reports during the course of an award and a final report within 90 days after the expiration of an award.
- NSF also requires that PIs submit a non-technical, Project Outcomes Report (POR), for the general public in Research.gov within 90 days after the expiration of an award.



# FEDERAL REPORTING CHANGES

- NSF Award Financial Close-out Process
  - From lump-sum drawdown to award by award
  - 90 days from award expiration date to complete final payment transactions
  - Further adjustments will be on award by award basis, with documentation
- Will need to adjust close-out timetable (and subaward dates)
- Will have an impact on cost transfers timing
- NIH may be following suit
- Timetable for NSF, all federal, or all awards impacted?

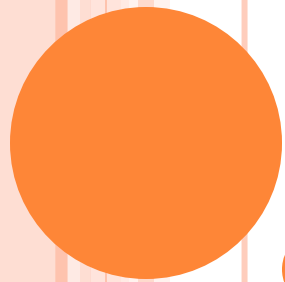




**F&A**

**Pat Schlesinger, AVCR**

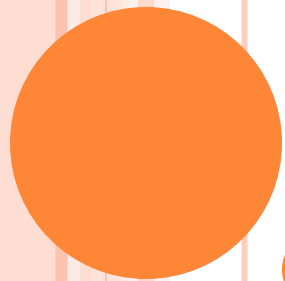




# **GIFTS VS. GRANTS**

**Pat Schlesinger, AVCR**





# **WHO DOES WHAT**

**Pat Schlesinger, AVCR**

**Pam Miller, SPO**

# IAO

- If the source of funding is an industry sponsor, the Department should contact IAO If the project appears to be any of the following:
  - a research activity,
  - an activity involving professional or scholarly training or
  - a service activity that is related to research or professional or scholarly training



# SPO

- If the source of funding is a government or non-profit sponsor the Department should contact SPO If the project appears to be any of the following:
  - a research activity,
  - an activity involving professional or scholarly training
  - a service activity that is related to research or professional or scholarly training



# BCO

- ) If the project does not appear to be any of the above, the department should contact BCO, regardless of the source of funding.
- BCO transactions may include but are not necessarily limited to: licensing University non-technology copyrighted materials; support for continuing and professional education; outside management of campus venues; student internships with hospitals, clinics, social service agencies, and school districts; and outside use of the University's unique facilities.



## “WORKING” DEFINITIONS

- **Sponsored Research:** The majority of the scope of work involves investigation or experimentation aimed at the discovery and interpretation of facts, the revision of accepted theories or laws in the light of new facts, or the practical application of such new or revised theories or laws. May be applied or basic research.



## “WORKING” DEFINITIONS

- **Sponsored Professional or Scholarly Training:**  
This will typically involve professional or occupational instruction related to one or more of the University’s academic areas delivered for credit or no credit. The population to be trained may be UC students, UC employees, or individuals of interest to the sponsor.



## “WORKING” DEFINITIONS

- Public Service related Research/Professional or Scholarly Training: This category includes use of University facilities and resources as well as the expertise of University personnel to achieve one or more objectives specified by the sponsor.



## “SPONSORED SERVICE” CLARIFICATION

- If the service is related to research as described above, University personnel should be carrying out the work requested by the sponsor using standardized procedures, tests, and materials. University personnel should not play a decision making role in design, implementation or interpretation of the results of the research and should not be involved in the publication of the results. In such cases all intellectual property shall be owned by the sponsor.
- If the service project is related to professional and scholarly training as described above, the content of the instruction must have already been developed and not be something that must be created to meet the sponsor’s training needs.





# PROJECT ANALYSIS AND RESOLUTION COMMITTEE (PARC)

PARC Membership	
Unit	Member (Primary and Alternate)
SPO	Pam Miller (primary) Patrick Schlesinger (alternate)
IAO	Eric Giegerich (primary) Lynne Hollyer (alternate)
BCO	Ling Zhu (primary) Maria Rubinshteyn (alternate)
OLA	David Robinson (primary) Julie Conner (alternate)



# OTHER QUESTIONS?

