Office of Research and Sponsored Programs

GRANT Forum
Grant Research Administrators' Network
Team

November 16, 2022

UMass
Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

AGENDA

1. Kuali Updates
2. Policy Updates
3. Training

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass
Boston

1. Kuali Updates

Kuali Proposal Development (PD) Go-Live Schedule for all UMB Units

- Group 1 – Go Live November 28, 2022
  - CSM, MCNHS, GISD
- Group 2 – January/February 2023
  - CEHD, CLA, MGS, SFE, VPASS
- Group 3 – February/March 2023
  - CM, Libraries, Honors College, Research/Graduate Studies, Academic Affairs
- Group 4 – March/April 2023
  - A&F, Enrollment Management, Marketing & Communication

2. Policy Updates
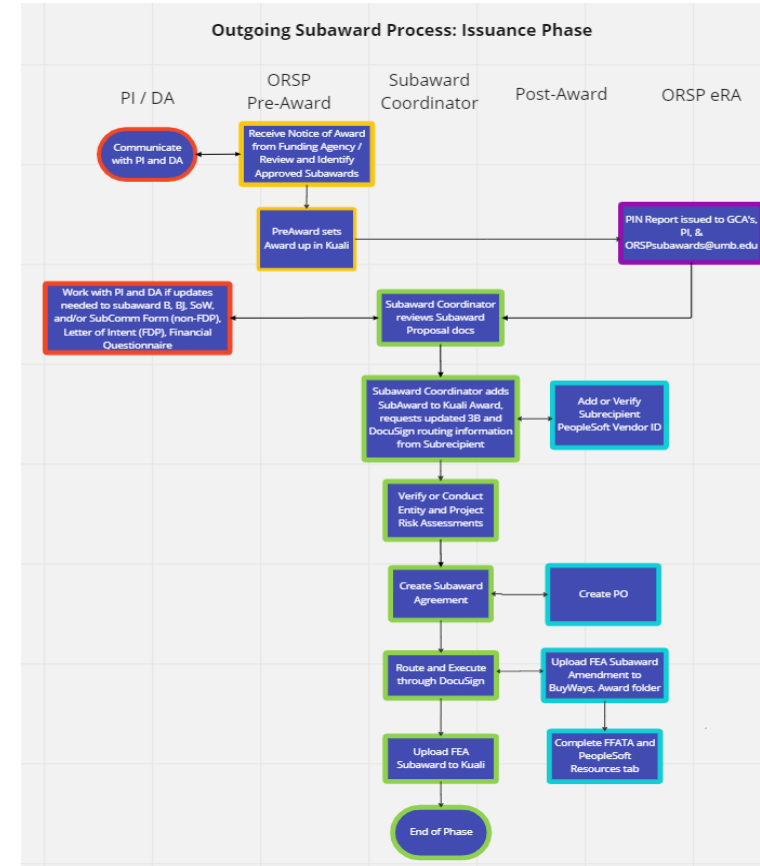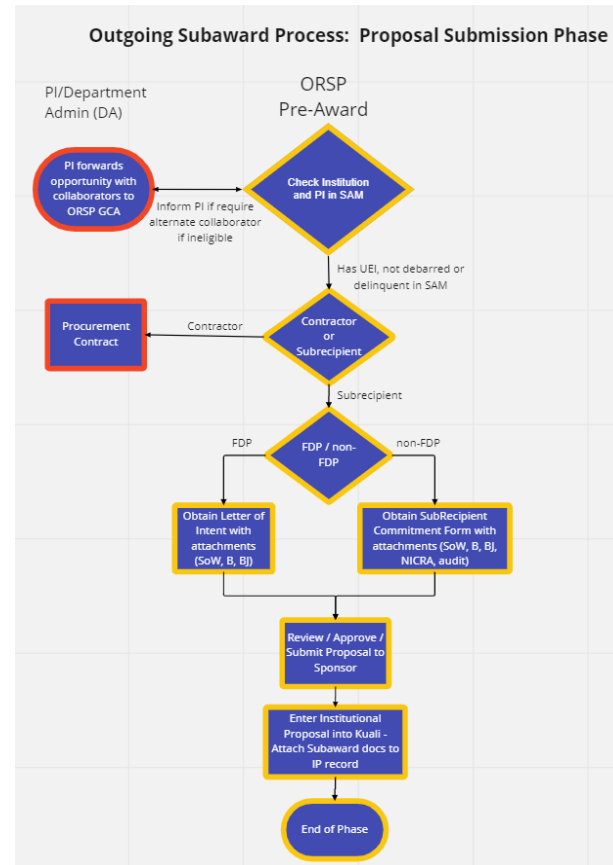
- Subrecipient Monitoring (Subaward Life Cycle)

UMass
Boston

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➢ Pre-Award

Collaborator Screening

Subrecipient v. Contractor Determination

Subawardee Forms

Outgoing Subaward Process: Proposal Submission Phase

Outgoing Subaward Process: Issuance Phase

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➤ Pre-Award

Collaborator Screening

UMass Boston

Collaborator Screening

- Screen Entities in SAM.gov for Debarment, Suspension or Exclusion
  - ORSP Pre-Award will screen all Collaborators
- Confirm Unique Entity Identifier (UEI)
  - UEI Required for Application Validation

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➢Pre-Award

Subrecipient v. Contractor Determinations

UMass Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Subrecipient vs Contractor Determinations

- Identify ALL Collaborators
- Review Scopes and Statements of Work
- Use Subrecipient v. Contractor Classification to determine appropriate roles, next steps for proposal development and required forms
- Determine if Proposed Subawardees are FDP or non-FDP Expanded Clearinghouse Organizations
  - o ORSP Pre-Award will check the clearinghouse to confirm if the Subawardee is in the Clearinghouse

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass Boston

Subrecipient v. Contractor Classification

Subrecipient: Characteristics which support the classification of the entity as a <u>subrecipient</u> include when the entity:

☐ Determines who is eligible to receive what Federal assistance

☐ Has its performance measured in relation to whether objectives of the award were achieved (are the specific aims, goals, and/or milestones dependent on the entity's participation?)

☐ Has responsibility for programmatic decision making; participates in interpretation of results and publication authorship

☐ In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity

Entities that include these characteristics are responsible for adherence to applicable Federal program requirements (i.e. Terms and Conditions) specified in the Federal award.

Contractors: Procurement Contracts awarded for the purpose of obtaining goods and services for the entity's own use are not considered subawards for purposes of this guidance. Such a contract creates a procurement relationship between the parties. Characteristics indicative of a procurement relationship are when the entity receiving the Federal funds:

☐ The goods or services are within the outside entity's normal business operations, e.g. manufacturing, data or sample analysis, core services, etc.

☐ Similar goods or services are provided to many different purchasers

☐ Operations are in a competitive environment

☐ The goods or services are ancillary to the operation of the Federal program

[FDP Expanded Clearinghouse](#)

FDP Expanded Clearinghouse

Welcome to the FDP Expanded Clearinghouse online system. This publicly available website provides online organizational profiles containing entity-based information needed by pass-through entities when they are issuing subawards or monitoring their subrecipient entities. It is the result of the FDP Pilot Project that effectively demonstrated a significant reduction of administrative burden.

What information is available in the organization profiles?

Data included for each published organizational profile has been certified as correct by an applicable institutional official, reviewed for accuracy by the FDP Expanded Clearinghouse Subcommittee, and includes the following:

- Most recent Single Audit
- F&A and fringe benefit rates
- Suspension and debarment
- PHS financial conflict of interest policy
- Federalwide Assurance number and other compliance-related information
- Federal identifiers (DUNS/UEI, EIN, CAGE, etc.), and
- Organizational contact information (authorized official, FFATA, financial, COI, etc.) that are commonly needed for various types of subawards.

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➢Pre-Award

Subawardee Forms

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass
Boston

Subawardee Forms

- Subrecipient Commitment Form
  - Required for proposed Subawardees that are ***non-FDP*** Clearinghouse Organizations
  - Detailed Entity Information, Status, Reps and Certs
- Subrecipient Letter of Intent Form
  - Required for proposed Subawardees that are FDP Clearinghouse Organizations
  - Streamlined Commitment Forms with Project Level Information not already included in FDP Clearinghouse Profile
- Subrecipient Financial Questionnaire
  - Required for non-FDP Clearinghouse Organizations at time of Award and Subaward Issuance
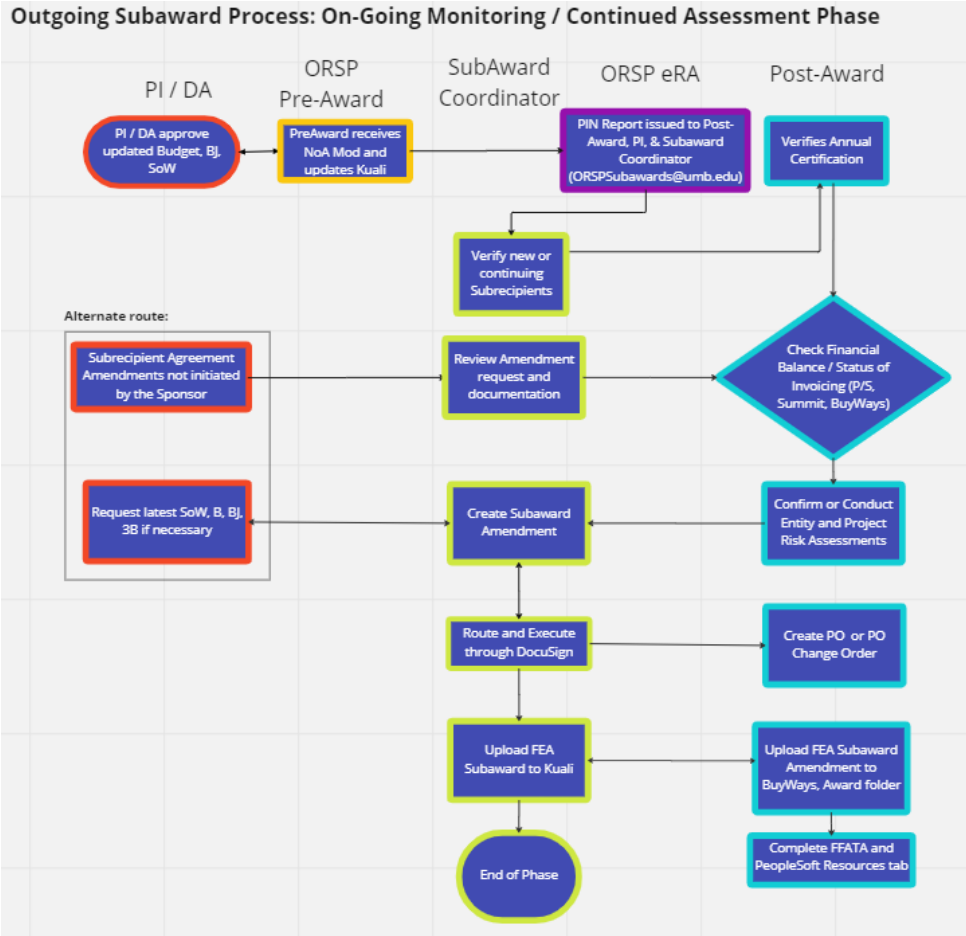 - Details on Internal Controls, Audits, Financial Status and Accounting Systems

UMass Boston

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➤ Post-Award

Subaward Requisitions & Purchase Orders

Subaward Invoice Review & Routing

Subaward Invoice Certification

Outgoing Subaward Process: On-Going Monitoring / Continued Assessment Phase

UMass Boston

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➢Post-Award

Subaward Requisitions & Purchase Orders

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass
Boston

Subaward Requisitions & Purchase Orders

ORSP Post-Award's Responsibilities:

- Create purchase orders during agreement execution for awarded subrecipient agreements
- Manage POs as required by amendments and closeouts
- Manage voucher payments and budgets as outlined in the subsequent section, Invoicing

Department Responsibilities:

- Review routed invoices for work and budget and sign in Docusign system
- Manage overall award budget in collaboration with other parties as needed (ORSP, co-PIs, college Dean's Office staff, etc)

UMass Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➢ Post-Award

Subaward Invoice Review & Routing

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass Boston

Subaward Invoice Review and Routing

- Invoices will be sent from Subrecipient site to subinvoices@umb.edu
- Invoices will be subject to a primary review for compliance by the Subaward Financial Administrator, and then, once conditionally approved, will be routed via DocuSign to department financial contact and Principal Investigator for review and signature.
- The PI's signature indicates their approval for the work being done at the sub site and adherence to the Scope of Work
- The Department Financial Contact's signature is approval for the budget and expenses
- The completed DocuSign form ends at the invoices@umassp.edu email for uploading into BuyWays
- Once uploaded, the final compliance check by the Subaward Financial Administrator will be completed. Payment will be issued after the voucher has been approved in the system.

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass Boston

2. Policy Updates

Subrecipient Monitoring (Subaward Life Cycle)

➢Post-Award

Subaward Invoice Certification

UMass
Boston

Subaward Invoice Certification

- Invoice falls within the period of performance and established subaward budget.
- Invoice contains required identifiable information (purchase order number, period of performance covered by invoice).
- Invoice contains appropriate detail related to charges (Budget categories, current and cumulative columns, etc.).
- Any requisite cost share is reported and backup is included.
- Indirect Costs (IDC) are billed at the appropriate rate and charged on allowable costs (as applicable).
- Invoice contains any required certifications and signatures.
- If invoicing is older than one quarter/ agreements, transaction details are required for all costs in the period.
- Amendment for subrecipient is fully executed and attached to open purchase order

Invoices will not be processed for payment until approval has been received from the Project Principal Investigator. The SFA will work with applicable parties to request corrections and/or clarifications as needed to ensure compliance with the subaward agreement and related terms and conditions prior to processing payment.

UMass Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

3. Training

- Kuali Proposal Development (PD)
- SUMMIT
- Award Management

UMass
Boston

3. Training

Kuali Proposal Development (PD) Training

- Proposal Aggregators – Train the Trainer Trainings
  - Proposal creation and submission
  - Managing proposals
  - Training sessions will be 2 hours and will be held for each Go Live Group
- Approver Training
  - Reviewing proposals for approval
  - Recalling or Returning a proposal
  - Processing proposal approvals
  - Training sessions will be 1 hour and will be held for each Go Live Group
- Drop-in Sessions
  - At least monthly, these are posted to the ORSP website under Kuali
  - First Drop-in Session is November 28 from 2 – 4 PM

UMass Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

3. Training

SUMMIT

- Next drop-in training session is today from 2 – 4 PM
  - See the ORSP Training & Education webpage for the Zoom link
- December's drop-in training session is on the 14th
- Reach out to Ginny to schedule one on one or group training sessions

UMass
Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

3. Training

Award Management

Drop-in sessions every other Tuesday @10am beginning 11/22/2022
Link: [Post Award Drop-In Session](#)

Other trainings available upon request
ex: Journal Entries

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

UMass Boston

Next Grant Forum

January 2023 (no forum in December)

- Homework – Effort Certification!

Kuali PD Implementation Phase I and II Updates
Policy Updates
Ideas and Suggestions – Post to Teams: ORSP Grant Forum

ORSP Leadership

Matthew Meyer
Associate Vice Provost for Research
and Director of ORSP

Shala Bonyun
Associate Director of ORSP
Preaward Support Services

Rebecca Hanson
Assistant Director of ORSP
Postaward Support Services

Tracey Poston, PhD
Assistant Director of ORSP Research
Compliance and Integrity

Virginia Maki
Assistant Director of ORSP eRA
Systems and Training

Serena Wang
Research Core Facilities &
Operations Manager of ORSP

UMass Boston

OFFICE OF RESEARCH AND SPONSORED PROGRAMS