



# Interdepartmental Research Workshop

Wednesday, November 14, 2012

10:00 AM—1:00 PM

## PRESENTATIONS BY:

- Office of the President
- Office of the Provost
- Office of Sponsored Programs & Title III
- Human Resources
- Grant (Post-Award) Accounting
- Purchasing





# **OFFICE OF THE PRESIDENT**

## **DR. NOREEN MICHAEL**

# OFFICE OF THE PRESIDENT PROTOCOL FOR PROCESSING RESTRICTED AND EXTERNALLY FUNDED DOCUMENTS



By

NOREEN MICHAEL, Ph.D.

CHIEF OF STAFF

OFFICE OF SPONSORED PROGRAMS WORKSHOP

WEDNESDAY, NOVEMBER 14, 2012



# IMPACTED DOCUMENTS



- ❧ Proposals
- ❧ Grants
- ❧ Contracts
- ❧ Cooperative Agreements
- ❧ Sub-awards
- ❧ Memorandums of Agreement
- ❧ Memorandums of Understanding





# ROUTING PRIOR TO PRESIDENT'S REVIEW

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- ❧ Office of Sponsored Programs
- ❧ Office of the Provost
- ❧ Office of the VP for Research & Public Services
- ❧ Office of the Vice President for Administration and Finance\*
- ❧ Office of the Chief Information Officer\*\*

*\*Alternate signatory and request for Indirect cost (F&A) reduction*

*\*\*If computer hardware or other technology is to be purchased*



# TIMELINE FOR ROUTING OF DOCUMENTS

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- ❧ To Office of Sponsored Programs – minimum of five (5) business days prior to submission date
- ❧ To the Office of the President – minimum of two (2) business days prior to submission date
- ❧ *Exception:* Letters of support to accompany grant applications → Must be transmitted electronically, in draft form, to Chief of Staff three (3) prior to submission date



# COVER SHEET TO ACCOMPANY DOCUMENTS

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- ❧ Demonstrated link between grant or sub-grant application, MOA, MOU, contracts or cooperative agreements with:
  - ❧ P2G
  - ❧ Accreditation Requirements
  - ❧ Component Strategic Plans
- ❧ Principal Investigator's total FTE on grant funds
- ❧ Space needs and/or considerations



# E-APPROACH TO PROCESSING DOCUMENTS

- ❧ Goal is to have E-process for the submission, review, and approval of documents processed through the Office of Sponsored Programs
- ❧ CIO, Director of Sponsored Programs and Chief of Staff to meet to address this goal
- ❧ Proposed timeline for moving to E-Processing: Prior to end of FY 2012-2013





# QUESTIONS



✧ Will respond to questions at end of all presentations



# **OFFICE OF SPONSORED PROGRAMS & TITLE III**

**OLUSOLA EWULO  
DAYLE BARRY  
DIAHANN RYAN  
JARELLE BARKELEY**

# OVERVIEW OF SPONSORED PROGRAM SERVICES

Searching for funding sources:

Computerized searches of databases  
of potential sources of funding through:



Welcome back, University of the Virgin Islands  
Researcher. Move your project forward with  
Grant Forward.

<http://grantforward.com/index>

# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Sponsor Guidelines and Application Kit:

Once you have identified sponsors that may be interested in your research, OSP can provide additional materials such as the RFP, program guidelines, forms and certifications.

OSP can answer your questions about any institutional details to include in your application



# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Guidance on proposal review

Although OSP does not provide any technical writing assistance when you prepare the body of your application, we do however review your completed proposals for compliance with agency and University requirements

# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Budget preparation

OSP can assist you in preparing the proposal budget and justification. Help is available in your cost estimates or checking accuracy of calculation. We keep you up to date on UVI's fringe benefit rate and indirect cost rates

# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Institutional signatories

Before submission, proposals must be reviewed  
in OSP and routed for institutional  
signatories/approvals (VPRPS, PROVOST,  
PRESIDENT)

Proposals submitted without these signatories  
will not be honored by the University , even if  
funded.

# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Time for processing

Remember that the process of routing, reviewing, copying, and electronic submission of proposals may take longer than you think. It is important to plan ahead.

Proposals are due to OSP five (5) business days before agency deadline!!



# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Proposal submission

After your proposal has been reviewed and approved, OSP will submit your application on your behalf.

Be it through electronic submission module, e-mail or postal mail, we will submit in time for the deadline and make a copy of your proposal available to you.

# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Award negotiation & acceptance

Should a potential sponsor recommend funding for your proposal, OSP will negotiate the terms of your award. OSP will execute all documents (forms & certification) and a request for fund number will be sent to post-award accounting.

# OVERVIEW OF SPONSORED PROGRAM SERVICES

Subcontract to third parties

If your award include collaborations with other Universities, OSP will work with other University OSP and issue subcontracts according to terms of the agreement.

# OVERVIEW OF SPONSORED PROGRAM SERVICES

Coordinating with campus committee

If your award involves human subject or animal research, OSP will arrange a review before the Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC), to review and approve your research protocol.

Please note, research protocols must be approved before study can begin.



# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Fiscal & technical report requirements

Fiscal management of awards are carried out in grant accounting. Get to know your grant accountant.

Project PI's are required to deliver periodic and final technical reports required by agency. A copy of your report should be forwarded to OSP for filing.

# OVERVIEW OF SPONSORED PROGRAM SERVICES

## Training plans

In the near future, we will be offering workshops on grant seeking, proposal development and grant management.

## Subscription

### ***Research Development & Grant Writing News***

Published monthly by  
Academic Research Funding Strategies, LLC of College Station, TX

# Proposal Submission Policies

- All proposals to be submitted to external sponsors require the prior approval of authorized UVI officials
- Proposals are to be submitted to the OSP five (5) working days prior to funding agency deadline
- All proposals are to be accompanied by the Grant/Contract Proposal Routing and Approval Form

[http://www.uvi.edu/sites/uvi/Pages/Forms.aspx?s=PS&sectionCode=Sponsored Programs](http://www.uvi.edu/sites/uvi/Pages/Forms.aspx?s=PS&sectionCode=SponsoredPrograms)

# **Title III/SAFRA Grant Programs**



# What is Title III

- Title III refers to the part of the Higher Education Act of 1965, as amended, that provides for Aid to Institutions of Higher Learning.
- The Student Aid and Fiscal Responsibility Act (SAFRA) grant program was approved in 2010 as a supplemental funding source to provide additional aid to Minority Serving Institutions.

# What is Title III?

- It is a formula grant for Historically Black Colleges and Universities (HBCUs).
- The University of the Virgin Islands' (UVI) Title III Program is established in conjunction with the U.S. Department of Education.
- Funding has been made available by the Title III Program to develop the University infrastructure.

# What is Title III cont.

- The program is designed to assist HBCUs in developing and/or strengthening their physical, financial, and academic resources, as well as endowment.
- UVI received approximately \$1.5 million per year in Title III support for its Part B grant and over \$700,000 per year for its SAFRA grant.

# What can Title III funds be used for?

- To acquire scientific or laboratory equipment for educational purposes (Also allowed by SAFRA)
- To construct and/or improve instructional facilities (Also allowed by SAFRA)
- Support faculty development
- Academic instruction in disciplines in which Blacks are underrepresented (Also allowed by SAFRA)
- Acquire educational materials (Also allowed by SAFRA)

# What can Title III funds be used for (cont'd)

- Provide student services
- Support administrative management
- Collaborations with partner institutions
- Establishing or improving a development office
- Enhancing teacher education programs (Also allowed by SAFRA)

# What can Title III funds be used for (cont'd)

- Community outreach to encourage elementary and secondary students to pursue college education
- Establishing or improving an endowment
- Acquisition of real property for addition to or improvement of campus facilities
- Financial literacy and economic literacy of students and/or students' families.

# What can Title III funds be used for (cont'd)

- Services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose.
- Other activities proposed in the application submitted pursuant to section 325 that—
  - (A) contribute to carrying out the purposes of this part; and
  - (B) are approved by the Secretary as part of the re-view and acceptance of such application. (Title III only)

# What can Title III funds be used for (cont'd)

- Other activities, consistent with the institution's comprehensive plan and designed to increase the institution's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.  
(SAFRA only)



# How can I apply for Title III and/or SAFRA support?

- Projects may be either initiated at the start of the 5-year grant cycle or included after the start of the cycle if funds become available.
- The program just began a new 5-year cycle on October 1, 2012, which will run through September 30, 2017.

# Applying for Title III or SAFRA Support (cont'd.)

- A Request for Proposals, issued in spring 2011, resulted in the selection of five projects for the 2012-17 grant cycle.
- Throughout the cycle, it is likely that funds will become available for reassignment to other projects. Applications may be submitted at any time for consideration to receive these funds.

# Applying for Title III or SAFRA Support (cont'd.)

- Model Format
  - **Specific Request** : To utilize \$\_\_ in Title III Carry Forward (or Reassigned) Funds to provide, improve or upgrade, offer etc. [One to three sentence summary description].
  - **Description of Activity** : [Provide a more detailed, but concise description of the need and activities/purchases/improvements to meet the need. The rationale for the activity should also be incorporated here.]

# Applying for Title III or SAFRA Support (cont'd.)

- Model Format (cont'd.)
  - **Objectives, Outcomes and Timelines:** [Provide specific, measurable objectives and anticipated outcomes, along with benchmarks and timeframes for completion.] An example might be: *To improve the pass rate of pre-service teachers on the Praxis II exam from 68% to 85% by September 30, 2017.*

# Applying for Title III or SAFRA Support (cont'd.)

- Model Format (cont'd.)
  - **Proposed Budget:** [Not all projects will include all cost categories; utilize only applicable line items.]
    - \* Personnel \$
    - \* Fringe \$
    - \* Travel \$
    - \* Equipment \$
    - \* Supplies \$
    - \* Contractual \$
    - \* Construction
    - \* Other
    - \* Total: \$

# Applying for Title III or SAFRA Support (cont'd.)

- Model Format (cont'd.)
  - **Budget Justification:** [Provide detail on budget categories, including names of individuals to be paid, time committed to the project, list of equipment, description of consulting services, reason for and location of travel, etc.]



# **OFFICE OF ACCOUNTING**

**PEGGY SMITH**  
**MORIAH JACOBS**

# Grants Management in the Post-Award Period

## **Vision 2012-2017**

### **Management Value # 5: Fiscal Responsibility**

#### **Accounting Office Mission:**

- **Manage University's assets and resources**
- **Supply administrative and other support services**
- **Provide a service delivery system to meet University needs**
- **Contain exposure to liability and other business risk**





# Grants Management in the Post-Award Period

**Accounting Office provides the following services:**

- **Payroll Preparation and Services**
- **Accounts Payable and Disbursement**
- **Accounts Receivable & Collections**
- **Grants and Contracts Management**
- **Purchasing & Procurement Services**



# Grants Management in the Post-Award Period

## Grants and Contracts Area Duties:

- **Account Set-up**
- **Grant Administration**
  - Budgeting and Re-Budgeting**
  - Time and Effort Report collection**
  - Cash Management**
  - 2 CFR 220 (OMB Circ. A-21) & A-133 Audit Compliance**
  - Record Retention**
- **Internal/External Reporting Requirements**
- **Closeout/Preparation for A-133 Single Audit**



# Grants Management in the Post-Award Period

- **Grants & Contracts account set-up**

***Essential requirements for BANNER set-up***

***Signed Notice of Award (NOA) through the Office of  
Sponsored Programs***

***Grant Award Number #***

***CFDA (catalogue of federal domestic assistance) number***

***Project Period***

***Budget Period***

***Total award amount (federal /non-federal share)***

***Principal Investigator***

***Indirect Cost (rate or dollar amount)***



# Grants Management in the Post-Award Period

- **Grants Administration**

## **Input Budget**

***Essential requirements for BANNER set-up***

***Approved OSP Budget***

***Associated Pool accounts (UVI Chart of Accounts)***

***10% Budget flexibility (with Agency approval)***

***BANNER Non-sufficient Funds***

***Budget Change Request Form***



# Grants Management in the Post-Award Period

## Time and Effort Certification

**2 CFR 220 (OMB A. 21 Section J.10)**

- ***University is required to maintain a payroll system allowing for periodic certification of effort devoted to specific activities***
- ***University is responsible for defining total professional effort compensated by base salary***
- ***Individuals identified in NOA are subject to prior agency approval requirements when time devoted to project is reduced to 25% or more***



# Grants Management in the Post-Award Period

- **Grants & Contracts draw Cash**

*Essential requirements for Cash draws*

*Outlays-Reimbursement basis*

*Cash draws through various electronic payment management systems/or SF 270 form/invoicing*

*Record and report cash through BANNER posting*

*All cash requests/invoices must be submitted through the Accounting Office*



# Grants Management in the Post-Award Period

**Grants & Contracts governed by:**

**2 CFR 220 (OMB Circular A-21) “Cost principles for Educational Institutions” *<http://www.ecfr.gov>***

**OMB Circular A-133 “Audits of States, Local Government and Non-Profit Organization”**



# Grants Management in the Post-Award Period

## ***Reminder- all costs must be:***

***allowable***

***allocable (assigned budget line)***

***reasonable (necessary for award performance)***

***consistent (with UVI policy & procedures)***

## ***Unallowable costs include:***

***goods for personal use, fund raising, first class travel,  
social memberships (OMB A-21 Section J)***





# Grants Management in the Post-Award Period

**All:**

***Record of Appointments (ROAs), Professional Service Agreements (PSAs), requisitions, travel authorizations must be signed by appropriate persons and forwarded to Accounting***

***Requisitions need proper documentation; travel authorization proper receipts for reimbursement if federally required; ROAs & PSAs correct fund numbers and allocations per award guidelines***

***Check and purchase requisitions can be completed, scanned and e-mailed to [qp@uvi.edu](mailto:qp@uvi.edu)***

***Accounting Office maintain records***



# Grants Management in the Post-Award Period

## Grants Accountants submit Financial Reports

### *Internal financial reports*

*Detailed Summary*

*Budget Status Report/projections*

*Indirect Cost recovery (quarterly)*

### *External financial reports*

*Quarterly Cash Transaction Reports (PSC 272)*

*Financial Status Reports (SF269)*

*Federal Financial Report (SF425 & SF425A)*

*Invoices (with documentation)*



# Grants Management in the Post Award Period

- **Grants Closeout Process/Preparation for Single A-133 Audit**

*Contact Human Resources concerning Personnel*

*Meet with Grant Accountant*

*Complete grant closeout checklist form*

*Pls prepare final technical report*

*Prepare final bill*

*Submit final financial report to sponsor agency*

*Need access to PI progress reports and cost sharing/in-kind documentation for Audit*



# Grants Management in the Post Award Period

- **Indirect Cost**

***Overview:***

***Committee formed at the request of University President  
to review allocation of facilities and administrative costs-  
known as “Indirect Cost”***

***Develop policies and procedures to encourage University  
personnel to compete for grant funds and improve  
support for grant activities***



# Grants Management in the Post Award Period

- **Indirect Cost**

*Cost not directly associated with grants and contracts activities (electric bills, rental space)*

*Indirect Cost revenues are recovered and managed by the V.P. of Administration and Finance*

*Indirect cost revenues are re-directed to University activities that qualify for reimbursement*

*The minimum level of IDC revenues depend on the UVI operating budget*



# Grants Management in the Post Award Period

- **Indirect Cost Calculation and Distribution**
  - **University Operating Budget (75%)**
  - **Principal Investigator (10%)**
  - **Unit with Administrative Responsibility for Grants (10%)**  
*managed by Dean/Unit Director*
  - **University Research Support Fund (5%)**





**OFFICE OF PURCHASING**

**ERIC CHRISTIAN**

## **Procurement Methods Based On Dollar Thresholds**

- **The following are the guidelines applicable to the selection of procurement methods for goods and services, soliciting bids/proposals and the documentation required for the process.**
- **In general, a purchase with a value that is less than \$2,500 may be made following administrative guidelines for Small Purchases.**
- **Purchases costing between \$2,500 and \$25,000 may be made following administrative guidelines for the solicitation of Informal Quotation and Bids.**
- **Except as provided for otherwise, purchases for the procurement of goods and non-professional services that are more than \$25,000 must use the Formal Competitive Bidding Policy.**



## **Informal Quotations Or Bids**

- **Informal competitive bidding requires the award of a contract to the lowest responsible bidder submitting a responsive quotation...**
- **Unless otherwise exempted, general purchases between \$2,500 and \$25,000 and purchases for repairs, renovations and construction services between \$2,500 and \$50,000, shall be obtained using competitive quotations.**

## **Formal Competitive Bidding Policy**

- **Formal competitive bidding requires the award of a publicly advertised contract to the lowest responsible bidder submitting a responsive sealed bid unless it is in the best interest of the University to reject all bids. Unless otherwise exempted, general purchases in excess of \$25,000, and purchases of repair, renovation and construction services in excess of \$50,000, shall be obtained using a competitive bid process.**

## **Competitive Negotiation**

- **Unless otherwise exempted, competitive negotiation is to be used in the acquisition of professional services for purchases costing more than \$25,000.**

# Procurement Cards

- Credit Card for small dollar purchases
- Efficiency, cost savings
- Small routine expenses less than \$999
- Minor office, lab supplies
- Minor computer equipment (not computers)
- Organization memberships
- Travel-Airfare, Hotel, conference registration fees

# Inventory/Fixed Assets

- Annual inventory
- Documentation of University property valued at \$2,500 or more

# Unauthorized Purchases and Employee Liability

- **No person shall commit the University to agreements, licenses, contracts, leases, or other legally enforceable obligations unless authorized to do so by the Board of Trustees, or by the President.**
- **The procurement in the name of the University of goods or services for any individual or entity, whether for profit or non-profit, other than the University, is not authorized and is expressly prohibited.**

# UVI -Purchasing Office

- St. Thomas
- Eric A Christian
- Valderie Abramsen
- St Croix
- Fiola Alexander

# Helpful Tips

- **Computer quotes – Information Technology Services**
  - **Construction related activities – Physical Plant or Capital Projects office**
  - **All PR/ISR must go to Grants & Contracts 1<sup>st</sup> for approval**
  - **Do not send PRs to vendors**
  - **For vehicle purchases contact Physical Plant**
  - **Attach all supporting documents**
  - **Plan appropriately, failure to plan does not make an emergency**
- 
- **When in Doubt, Ask first**



# Procedures

- All documents PR, ISR, TAs must be approved by Grants & Contract, title 3, prior to coming to Purchasing
- Signed docs



# **OFFICE OF HUMAN RESOURCES**

**BETTINA MILLER**  
**YVONNE LAWRENCE**

## Review and Process

As part of the grant writing process, grant writers or principal investigators (PI) must obtain salary range(s) from the Human Resources Office for proposed positions (labor costs) to ensure appropriate salaries are assigned for proposed grant funded positions.



# Labor Cost

- ❑ Provision for increases in the labor cost written into the grant is generally made at 3% of the maximum approved salary range.
- ❑ Provision is generally made for each year for the life of the grant for the proposed position.
- ❑ Annual salary increases not guaranteed.  
Provision made in the event that the University approves salary increases (e.g. general salary adjustments or across the board adjustments).



# Benefits Cost

- ❑ Benefits cost written into the grant for proposed positions for the life of the grant should be based on approved rate established by the Budget Office.
- ❑ The current approved rate is 33% of maximum of the approved salary range.



# Awarded Grants

- ❑ Position(s) for approved grant awards are advertised within the approved salary range (not including the 3 percent of the grant set aside for anticipated approved increases).



## Funding Source Allocation

- ❑ Positions must be 100% funded
- ❑ Changes to grants funded position must be made timely for payroll purposes.

