GUIDE TO GUIDES
Presenters

• Katie Brown, Contract & Grant Administrator
• Mark Dobbins, Contract & Grant Administrator
• Gerri Hobbs, Contract & Grant Administrator
• Susan Tompkins, Contract & Grant Administrator
Expected Learning Outcomes

• Differentiate between contracts, cooperative agreements, and grants

• Identify the guides applicable for award management (circulars, FAR, DFARs, agency specific regulations, etc.)
Definitions

Three primary mechanisms of Funding:

• Grant
• Cooperative Agreement
• Contract
Grant

Used when:

• The purpose is to transfer money, property, services, or anything of value to the recipient to accomplish a public purpose

• Generally no substantial involvement between the sponsor and the recipient during the activity.
Cooperative Agreement

Used when:

• The purpose is to transfer money, property, services, or anything of value to the recipient to accomplish a public purpose

• Substantial involvement between the sponsor and recipient during the activity
Contract

Used when:

• The principle purpose is to acquire property or services for direct benefit or use of the government/sponsor.

• The sponsor determines that the procurement contract is appropriate.
  – Very restrictive
  – Never under Expanded Authorities
  – Almost never unsolicited
CASE STUDY EXERCISE

(30 minutes)

• Each team has been given information “kits” for different funding mechanisms (Grant, Cooperative agreement, or Contract). Each kit contains an award and information applicable to award management and a series of questions that may arise during the period of award performance. Using the information provided, as a team answer the questions.

• Select a spokesperson to facilitate the review of questions.
Review of Questions

• GRANT

• COOPERATIVE AGREEMENT

• CONTRACT
The Principal Investigator’s (PI) project ends soon. The project has an end date of ________________.

- Is the award eligible for a no-cost extension?
- What is required to initiate the extension?

The PI has discovered that a specific piece of equipment can improve the results of their research. The equipment wasn’t in the original budget.

- Can I re-budget funds into the equipment category?
- Can I purchase the equipment without sponsor approval?

The award ends soon; however, there is a continuation award. Can I carry-over the unspent funds of the original project into the continuation award?

Does our award have restrictions on Foreign Nationals?

The PI wants to attend a conference out of the country and charge the travel to the sponsor project.

- Can foreign travel be charged to the award?
- Are there any restrictions to the travel?
- Is prior approval required?
• One of the primary goals of research for Graduate Students is the ability to publish their results. Our Graduate Student is supported by a sponsored project.

• Does the student or PI have to obtain prior review of the publication?

• The PI has obtained support from NSF and wants to support some of their salary. What are the restrictions/limitations?

• The PI has had a family emergency and will be leaving the country for six months. The Graduate Students supported on the project will continue their research in the PI’s absence. Is any action required?

• The sponsored award provides funds for participant support costs. Unfortunately, the PI didn’t obtain the desired attendance; therefore, all of the participant support budget will not be expended. Can the unspent funds be used to support more PI salary?
  – Can the PI move funds from their salary line to pay a Graduate Student?
Review

• Resources
  – Program Solicitation
  – Award notification
  – Special Terms & Conditions
  – Sponsor Guidelines &/or Terms & Conditions
  – OMB Circulars, FARs, and DFARs
CRITICAL THINKING!

• Even using all the available resources, the answer to a particular question is not always definitive.

• The Research Administrator must consider and process all the information available from a variety of sources through:

Critical Thinking!
For Additional Information:

- FAR Clauses
  https://www.acquisition.gov/Far/

- DFAR Clauses

- OMB Circulars
  http://www.whitehouse.gov/omb/circulars/
For Additional Information

• NSF Proposal and Award Policies and Procedures Guide
  

• Department of Commerce Terms & Conditions
  
  http://www.fpir.noaa.gov/Library/OMI/Grants/PresentPolicy/DOC_ST&C05.pdf

• 15 CFR Part 14
  
QUESTIONS?