December 18, 2019

Sponsored Program Administrators Meeting
Agenda

- Procurement UG update
- Sole Source vs Informal Bid
- NSF Audit Update
- Foreign Collaborations
- Post Award Reminders
- SPS Holiday Schedule
- Effort Reporting
“The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity” (UG)

- NSF/NIH Responses
  - Expect proper sourcing
- Practices at Peer Institutions
- Proper Sourcing of Consultants
  - When to source consultants
  - Informal bid v. sole source justification
Sole Source vs Informal Bid

**Informal Bid Threshold:** $10,000 - $249,999.99

**STEPS TO DETERMINE INFORMAL BID vs SOLE SOURCE:**

1. **ID the unique characteristics/qualifications required for the research need**

2. **ID other Candidates who meet the unique qualifications**
   - 1. Internet Search
   - 2. Peer Recommendations
   - 3. Industry / Professional Associations
   - 4. UConn Procurement

3. **If other candidates confirm price & availability = Inform Bid**

4. **If NO other candidates are identified or all decline = Sole Source**

**FEDERAL Sole Source Justifications:**

- Only one service or good meets the unique characteristics & only one supplier provides the good or service
- Authorizing Agency approves a non-competitive selection
- Public Emergency
- Inadequate Competition (following attempted solicitation)
NSF Audit

Testing phase (questions and documentation for 80 sampled transactions) is complete

- 125: Transactions sampled
- 1,095: Documents sent to date
- 16,250: Reconciliations completed
- 107,504: Transactions submitted
## NSF Audit Themes

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<td>Personal and Business Travel</td>
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<td>Correctly Categorizing Participant Support Costs</td>
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<td>Lodging for Participants</td>
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<td>Late Cost Transfers!</td>
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<td>Expenditures at the End/After the Grant Period</td>
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<td>Equipment Sharing in Lieu of New Purchase</td>
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<td>Effort Reporting – Thorough Review Prior to Certification is Critical!</td>
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[ovpr.uconn.edu](http://ovpr.uconn.edu)  [ovpr.uchc.edu](http://ovpr.uchc.edu)
Foreign Collaborations

- OVPR maintains a site with information about foreign collaborations and information from sponsors:
  https://ovpr.uconn.edu/services/sps/proposals/proposal-preparation/foreign-collaborations/

- NIH Other Support
  https://ovpr.uconn.edu/services/sps/proposals/proposal-preparation/active-pending-support/

- COGR has provided guidance on the requirements for other support as NIH has not provided further guidance
Foreign Collaborations

**COGR Guidance**

- **Reporting Consulting and Outside Professional Activities**
  - Must disclose: funding for all research activities, regardless of where the research will be carried out
  - Do not need to disclose: non research activities

- **Training Awards, Gift, and Prizes/Institutional Support**
  - Must disclose: start up packages and support from entities other than UConn and institutional grants and awards that are separately budgeted and accounted for per UG
  - Do not need to disclose: UConn start up packages, gifts, endowed chairs
Post-Award Reminders

Allowability of Costs and Budget Justifications

• Just because a cost is in the budget justification *does not* mean that it is allowable!
• It is the responsibility of the institution to ensure the allowability of all costs in accordance with regulations and policies
• Office supplies, postage, local (basic) telephone costs and membership costs are treated as F&A costs. They may only be charged under special circumstances

Post-Award Reminders

Examples of Allowable Office Supplies, etc:

• A project involving a large survey may include paper as a direct cost
• Postage may be a direct cost if the project includes multiple mailings such as shipping tissue cultures or bulk mailing a survey.
• Local telephone costs may be a direct cost for projects that include a hotline or phone surveys

Sponsor Prior Approval Requests: PO vs GMS

• The GMS (or equivalent) is the only one with the authority to grant prior approval
• Recommend always including the PO but GMS makes ultimate approval
• Approval by the PO for an item of cost does not mean the cost is allowable
Outgoing Equipment Transfers

https://accountingoffice.uconn.edu/transfersalepurchase-of-equipment-3/

- **Federally purchased equipment**
  - If the grant is also transferring and the equipment is needed for the continued work of the grant:
    - The new institution must request the equipment
    - The request must be reviewed and approved prior to transfer

- **Non-federally purchased equipment**
  - Approval of the following are required: Department Head, SPS, Controller, Purchasing
  - New institution must purchase the equipment
  - Equipment is not released until payment is received
SPS will be closed for regular business on Tuesday, December 24th.

Everything that has a deadline of 12/24 or earlier must be sent to SPS by COB on Wednesday, 12/18.

Notify SPS immediately if you become aware of deadlines after this date.

Emergency contact information will be available on the general mailboxes for issues or deadlines that occur during business hours on 12/24.
Effort Reporting

• Report Due Dates
  • Located on the top of the report and in the worklist
  • Date allows **30 days** for the Initial Department Review and **30 days** for Certification & Final Department Review
  • We are increasing efforts going forward to adhere to due dates
  • If a change is needed do not “hang onto it”; return the report to SPS

Do not certify an effort report if you are not comfortable! Stop and ask questions.
Effort Reporting

- Summer 2019 reports being generated, expect them in January
- We can help with Summer 2020!
  - Use ERC for a list of Summer commitments to ensure special payroll isn’t missed
  - Contact Kristin for a list of those in your department with commitments for any effort reporting period

Remember!
Use 5232 for summer payroll! (check the box)
Next SPA and Questions

Have a question or topic you would like covered at the SPA Meetings?

Email brenda.lowther@uchc.edu

January 15, 2020
February 19, 2020
March 18, 2020
April 15, 2020
May 20, 2020

Dodd - Konover
Dodd - Konover
Dodd - Konover
Dodd - Konover
Dodd - Konover

3rd Wednesday of every month at 10:30 am