



July 14, 2021

Research Administration

Forum



THE UNIVERSITY
OF ARIZONA

Zoom etiquette reminder

- Please keep yourself muted unless you are actively speaking
- If you have a comment/question, please type it in the group chat and a facilitator will call on you as soon as we can
- Sessions are recorded and may be made available for future reference



Agenda



- Managing Fixed Price Projects
 - *Common invoicing, prior approval and expenditure questions*
 - *Closeouts, residual balance transfer and F&A assessment on closeout*
- SRA International LevelUP program update
- Save the Date - August 11 RA Forum
- Announcements/Information Sharing
- Open Discussion/Q&A



Managing Fixed Price Projects

7/14/21 UArizona Research Forum

Marcel Villalobos, Assistant Director Postaward Sponsored Projects

Agenda

- Define a fixed price contract
- Invoicing
- Expenditures and prior approvals
- Closeout
 - Residual balances
 - F&A assessment

Sponsored Project

- **Sponsored Agreements/Projects** are agreements for funds received from federal, state or other governmental agencies, or private organization provided on a contractual or grant basis. The funds must be used for a specific purpose.
- Common indicators
 - Reports, return of funds, property terms, F&A, IP and publication, audit, period of performance
- Routed as a proposal and managed in UAR/UAF as a SPCS account (3xxxxxx or 4xxxxxx range)

Contract

- **Contract:** A contract is an award for a prescribed or defined project with a designated period for a specific amount with defined deliverables.
 - Ex. NASA or DOD contract for deliverables. Industry contracts for services or deliverables.
- Negotiated via SPCS or UAHS contracting. Changes generally require contracting involvement.

Cost Reimbursable

- The sponsor agrees to pay for all allowable costs incurred by the University in the process of doing the work or research up to an agreed upon maximum.
- Only actual costs billed and paid. Savings are to the benefit of the sponsor.
- “Best-Effort”
- Can be associated with both grants and contracts

Fixed Price

- Commits us to a fixed sum to complete a specific job, regardless of actual cost.
- If project costs exceed the contracted amount, the unit and college must cover the costs if the project cannot be renegotiated.
- Generally associated with contracts. Engage in building a contract for a set fee for the services/deliverable.

Invoicing

- Fixed amounts on a schedule in the contract.
- Often tied to deliverables/reports.
- SPCS will reach out to business office/PI for confirmation.
 - We cannot invoice without confirmation of deliverable.
 - Late reports/deliverables can cause issues with final payment especially around organizational year ends.

Payment tracking and issues

- SPCS sends inquiries for overdue payments with cc to fiscal officer and PI.
- Highest risk entities – new companies, small LLCs, startups.
- Increased amount of payment issues over last year due to COVID-19 impacts on companies.
- Mitigation – we can load budget “as cash received” to make financial status more apparent to business office and PI.

Expenditures and Re-budgeting

- Nature of fixed price means there are not costing restrictions – re-budgeting and purchases needed for the scope and within UA policy are allowable.
- Caveat – early termination can revert a fixed price agreement to cost reimbursable basis and sponsor may request backup to support costs.

Prior approvals and project changes

- Changes generally require contracting involvement.
- If SPCS receives an email changing scope/time/payments we will engage with SPCS or UAHS contracting to determine if a formal modification is needed or if the email is sufficient.
- Extensions – review contract language for “Open end date until completion” vs “Modification to extend.”

Closeout, Residual Balances and F&A

- SPCS will confirm final deliverables met and invoice
- SPCS will review balances and F&A and send a memo to business office and PI confirming closeout and balance transfer to a FSO fixed price residual account, if applicable.

See: <https://research.arizona.edu/administration/project-closeout>

Sample Closeout Memo

Send to: [Business Manager and PI](#)

Subject: Termed Fixed Price Award, Account [XXXXXX](#), Sponsor, Award Number

I am writing to request the status on account [XXXXXXX](#) that has termed as of [XX/XX/XXXX](#). The current unexpended direct cost balance on the award is [\\$XX.XX](#).

Please confirm the following for closeout of this fixed price award:

- Project is complete and all the technical deliverables been accepted by the sponsor
- No additional time or funding is expected
- **All expenses and effort related to the project have posted to the account and are not posted to other accounts at the University**

If additional time is needed to complete the project, please let me know the status of the amendment to extend the end date of the project. Otherwise, please confirm that SPCS can close the account and transfer the unexpended direct cost balance to the PI's FPC account, [276XXXX](#).

Unexpended F&A (indirect cost) budget will be treated as follows prior to the balance transfer:

- If the contract had a F&A cost rate stipulation, unexpended F&A will be charged according to the stipulated amount,
- If the contract had a F&A cost rate reduction, F&A will be charged at the full rate applicable to the activity type.

Thank you,

Questions?

SRA International LevelUP Program Update



SRA International LevelUP



**Principles of Pre-Award
Research Administration**



**Principles of Award
Negotiation and Set-up**



**Principles in Research
Development**



**Principles in Proposal
Development**



**Research Compliance
Frameworks**



**Principles of Post-Award
Financial Research
Administration**



**Relationships, Roles, and
Responsibilities in Research
Administration**



**Introduction to Clinical
Research Management:
Clinical Studies and Trials**

SRA International LevelUP

- Training modules 2-5 hrs in duration on relevant research administration topics
- Randomized 50 question knowledge assessment to demonstrate aptitude
- Self-paced and accessible
- CEU credit for each module completed
- Case studies
- Digital badges and micro-credentials

If interested in participating, email shana@email.arizona.edu.



SAVE THE DATE:

August 11 RA Forum

9:00am – 10:30am

**New Biosketch and Other
Support Requirements and the
Growing Impact of Improper
Influence**



Announcements/ Information Sharing



UPDATE: CRA STUDY SECTION

CRA Study Section Committee met and identified potential pain points, areas for development, requests and needs to make this successful.

Committee will continue to meet over the next several months to develop this for 2022 and ensure appropriate buy-in from RII Leadership, ADRs, Colleges, Departments, etc.

Information will be distributed through RAMTalk as this develops.



Certification

Certified Research Administrator (CRA)

The CRA certification is becoming an industry standard and is included as a desired qualification in many Research Administration position postings.

Requirements for exam

Bachelor's + 3 years or Associate's + 5 years or No degree + 6 years

Preparation Resources

Body of Knowledge, online practice test, review sessions

Link for more information

<https://cra-cert.org/>



NSF Policy Office Outreach

571-685-5949 grants_conference@nsf.gov 



HOME

EVENTS

RESOURCE CENTER

NSF POLICIES AND PROCEDURES

GET NOTIFIED

NSF Policy Office Outreach

The National Science Foundation (NSF) hosted the Spring 2021 NSF Virtual Grants Conference the week of June 7-11. To view recordings of each conference session, visit our Resource Center or our YouTube page.

EVENTS

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PROPOSAL & AWARD POLICY FAQs

Get answers to many of your frequently asked questions.

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CONTACT US

Have questions about registering for an event or NSF policies and procedures?

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<https://nspolicyoutreach.com/>

Future Forum Topics?

Suggest/request future forum topics

Send an email to shana@arizona.edu

Present a topic!

Share research administration tools (reports, agents, forms, templates, etc.)

Lessons learned

Tips & Tricks

Upcoming Changes

Information gained from conferences/workshops/webinars



QUESTIONS?

CONCERNS?

OPEN SHARE

