



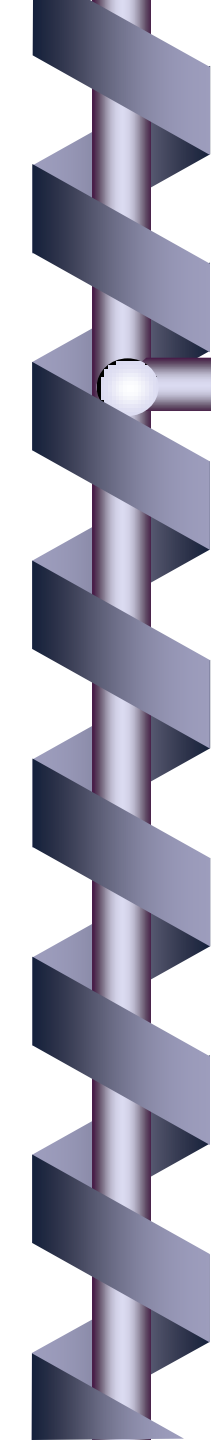
2008 CRA Study Session: Why Research Administration?

- ∩ Encourage institutional growth
- ∩ Support external sponsor funding (research, instruction, public service)
- ∩ Serve the faculty
- ∩ Protect the institution
- ∩ Enhance partnership building



2008 CRA Study Session: What Is a Research Administrator?

- ∩ Advocate for the faculty and the institution
- ∩ Gatekeeper - assistant steward
- ∩ Enforcer
- ∩ Motivator
- ∩ Resource Locator (space, effort, funding)
- ∩ Interpreter
- ∩ Facilitator



2008 CRA Study Session: A Research Administrator's Areas of Expertise Should Include

⌚ Pre-Award:

- Electronic systems expert
- Forms expert
- Matchmaker
- Budget wizard
- Communicator (outreach)

⌚ Post- Award (Project Management):

- Compliance and Regulations/T&Cs
- Interpreter
- Referee
- Process expert (expediting with accuracy)
- Electronic systems expert
- Forms expert

2008 CRA Study Session: Types of Sponsors

- ∩ Federal:

 - Executive Agencies (15)

 - Independent Agencies (non-cabinet level)

- ∩ State and Local

- ∩ Foundations

- ∩ Industry

- ∩ Flow-Through



2008 CRA Study Session: Federal Funding Process - The Budget

3 Main Phases:

- ∩ Budget Formulation
- ∩ Congressional Actions
- ∩ Execution

2008 CRA Study Session: Federal Funding Process - The Budget

Ω Budget Formulation:

- President will propose a research and development budget annually in the Spring
- The OMB takes the proposal and starts the detailed work

Apportionment: A distribution made by OMB of amounts available for obligation in an appropriated fund account.

2008 CRA Study Session: Federal Funding Process - Congressional Actions

Ω Congressional Actions:

- Congressional Budget Act (1974)
- Consider the President's budget proposals: approve (never); modify (expected); disapprove (seldom)
- Adopt a budget resolution
- Enacts spending authority

Appropriated Funds: Funds made available by Congress for specified purposes, including formation of contracts.

Appropriation: an 'authorization' by Congress permitting federal agencies to incur obligations and to make payments out of the Treasury for specified purposes (bills).

Authorization: Legal authority to carry out a program (bills enacting legislation).

2008 CRA Study Session: Federal Funding Process - Congressional Actions

- ⌚ Congress enacts Appropriation Bills
 - Bills go to House for approval,
 - Bills proceed to the Senate but is passed differently,
 - Bills go to conference committee for reworking,
 - Finally to the President for approval or veto.

- ⌚ Lastly comes the Authorization Bills
 - Not always enacted timely for Presidential consideration & continuity in funding by the end of the federal fiscal year (_____)

Then we hear about.....

2008 CRA Study Session: Federal Funding Process - Continuing Resolution

- ⌘ Continuing Resolutions: Allows the agencies to continue spending funds (paying our bills or approving continuation funds) to the lower end of the appropriation levels approved by either the House or the Senate.

2008 CRA Study Session: Federal Funding Process - Execution

Once the President signs the authorization bills the budget becomes law.

⌚ **Anti - Deficiency Act**

1) An officer or employee of the United States Government or of the District of Columbia government may not— (A) make or authorize an expenditure or obligation exceeding an amount available in an appropriation or fund for the expenditure or obligation; (B) involve either government in a contract or obligation for the payment of money before an appropriation is made unless authorized by law

⌚ **Supplemental Appropriations**

Can be made

2008 CRA Study Session: Federal Funding Process - Execution

Ω Congressional Budget and Impound Control Act (1974)

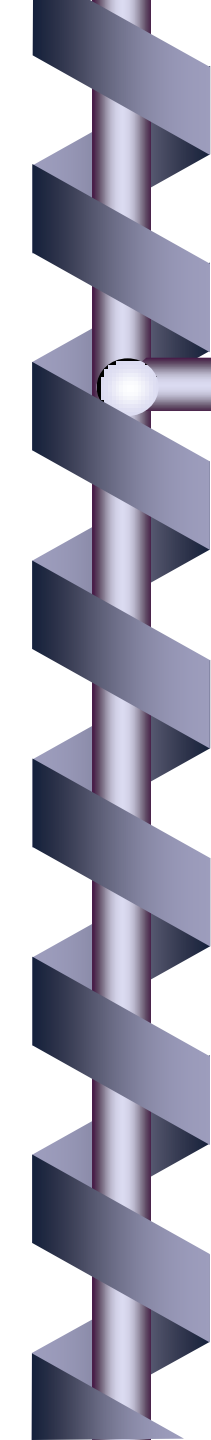
Is a federal law specifying that the President may propose to Congress that funds be rescinded. If both the Senate and the House of Representatives have not approved a rescission proposal (by passing legislation) within 45 days of continuous session, any funds being withheld must be made available for obligation. Congress is not required to vote on such a proposal, and indeed most Presidential requests have been ignored. In response, some citizens and politicians have called for a line item veto to strengthen the rescission power and force Congress to vote on the disputed funds.

The Act was passed in response to Congressional feelings that President Nixon was abusing his ability to impound the funding of programs he opposed.



2008 CRA Study Session: Where to Look for Sources of Funding

- ⌚ Community of Science (COS)
- ⌚ FedBizOpps (Replaced Commerce Business Daily) - Procurement Opps
- ⌚ Grants.gov - Find Application
- ⌚ Office of Extramural Research NIH Home Page



2008 CRA Study Session: Sources of Information

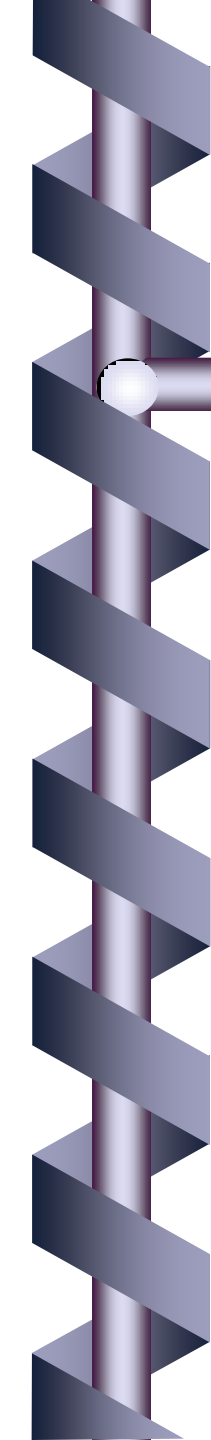
- ∩ Federal Register
- ∩ Catalog of Federal Domestic Assistance (CFDA)
- ∩ Program Announcements
- ∩ Agency Home Pages
- ∩ Agency Contacts:
 - Technical Officers
 - Grants Officers
 - Contracting Officers
- ∩ Federal Yellow Book

2008 CRA Study Session: Types of Applications for Funding

- ⌚ Broad Agency Announcement (BAA) - normally used by defense type agencies (ONR, AFOSR, DOD, etc.)
- ⌚ Funding Opportunity Announcement (FOA) - the newest term used in Grants.gov; describes the existence of a research opportunity
- ⌚ Invitation for Bid (IFB) - the IFB describes what is required; award is based on lowest bid - no negotiation

2008 CRA Study Session: Types of Applications for Funding

- ⌚ Request for Applications (RFA) - announces availability of funding; proposals submitted are considered for award of a grant. Specific announcements may be published in the Federal Register
- ⌚ Request for Proposal (RFP) - announcements that specify a topic of research, product to be delivered; proposals submitted are considered for award of a contract; Federal RFPs may be published through FedBizOpps

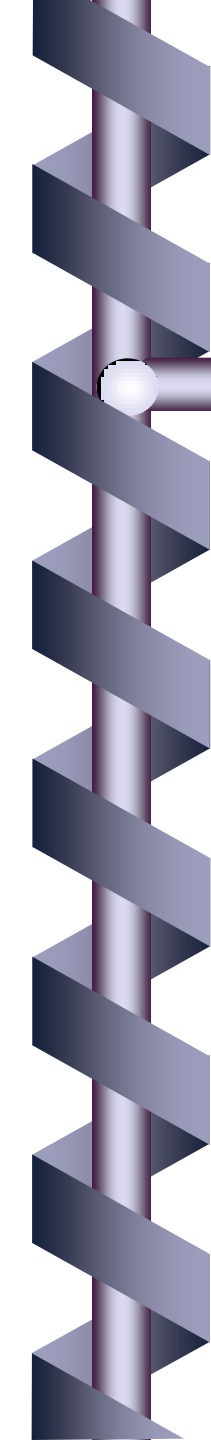


2008 CRA Study Session: Types of Applications for Funding

- ⌚ Request for Quotations (RFQ) - a formal request to vendors for a price quotation on equipment or supplies to be procured

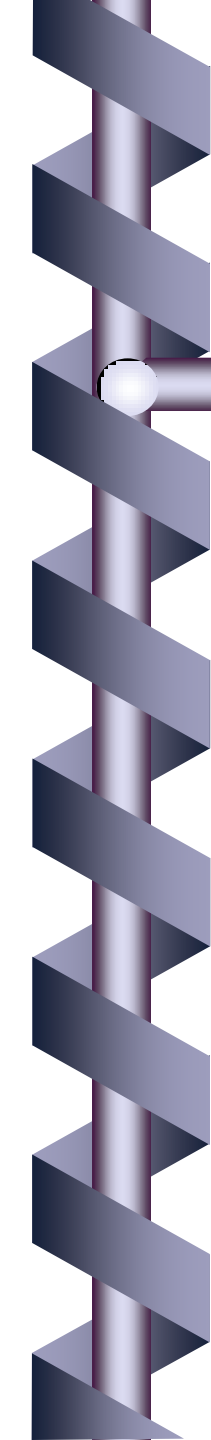
2008 CRA Study Session: Types of Proposals

- ∞ Proposal - an application that contains all information necessary to describe the project plans, staff capabilities, and funds requested; formal proposal are officially approved and submitted by an organization on behalf of the PI/PD
- ∞ Investigator-Initiated Proposal or Unsolicited Proposal - submitted to a sponsor not in response to an official announcement or opportunity
- ∞ New/Competing Proposal - submitted for the first time or unfunded proposals that are remitted; each must compete with others for the award; ongoing programs must compete again if the original award term has expired



2008 CRA Study Session: Types of Proposals

- ⌚ Supplemental Proposal/Modification - a request to the sponsor for additional funds for an ongoing project during the previously approved period of performance; this may result from increased costs, modifications in design or a desire to add a closely related component to current scope of award
- ⌚ Renewal - applicable to grants and cooperative agreements only; a competitively reviewed proposal for additional funds extending the scope of the work beyond the currently approved project period



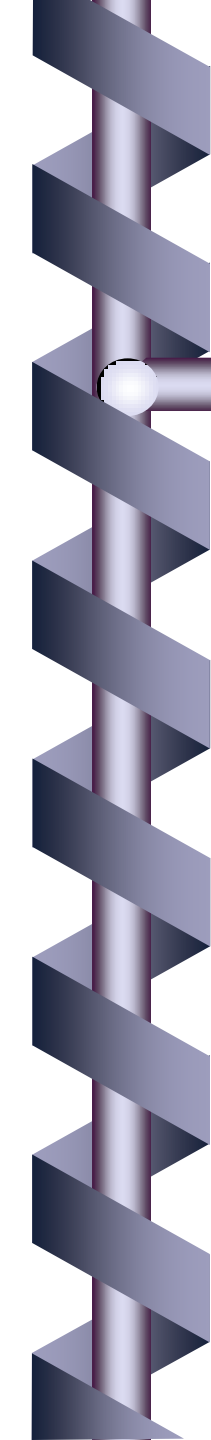
2008 CRA Study Session: Types of Award Instruments/Support

- ⌚ Grants - Federal Assistance
 - BLOCK and FORMULA awards
 - Good of the public
 - Non specific deliverable
 - Can involve delegated authority/more lenient terms
- ⌚ Contracts - Procurement/Purchasing
 - Good of the government (buyer)
 - Specific deliverable
 - Very restrictive terms
- ⌚ Cooperative Agreements
 - Substantial involvement by the Sponsor
 - More similar to a grant

2008 CRA Study Session: Types of Award Instruments

Ω Others:

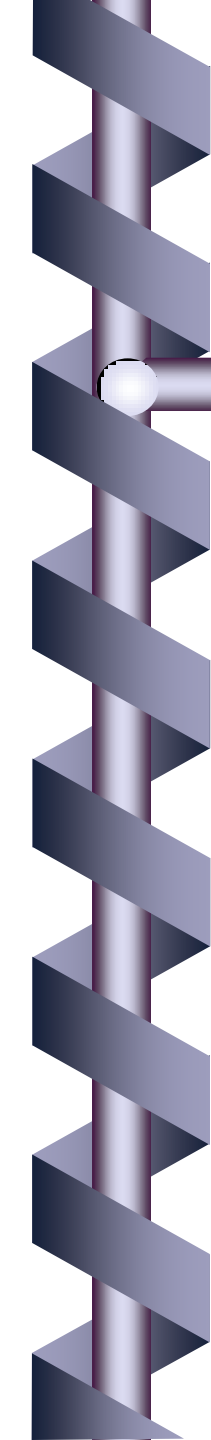
- SBIR (Small Business Innovation Research) - earmarked Federal funds
- STTR (Small Business Technology Transfer)
- IPA (Intergovernmental Personnel Agreement)
- TOA (Task Order Agreement) - a legally binding document authorizing work and appropriating funds as a supplement to a contract
 - Change Order - a written authorization by the CO directing the contractor to make changes without necessary consent by the contractor



2008 Federal Agencies: Structure and Relationships

⌘ Executive Agencies:

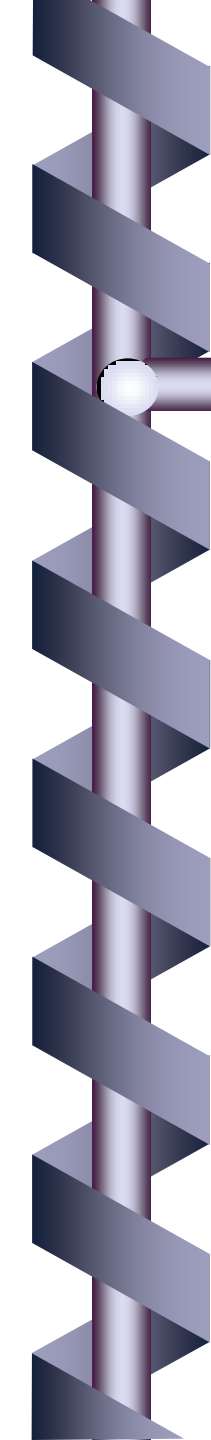
- Defense (DOD)
- Energy (DOE)
- Agriculture (DOA)
- Homeland Security
- Housing and Urban Development (HUD)
- Interior (DOI)
- Labor (DOL)
- Transportation (DOT)
- Veterans Administration (VA)
- Education (DOEd)
- Health & Human Services (DHHS)
- Commerce (DOC)
- Justice (DOJ)
- State (DOS)
- Treasury



2008 Federal Agencies: Structure and Relationships

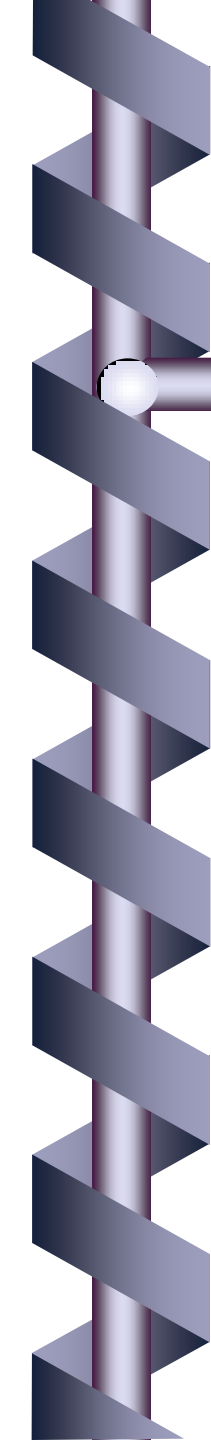
⌚ Independent Agencies Funding Research:

- Nat. Aeronautics & Atmospheric Administration (NASA)
- National Science Foundation (NSF)
- Environmental Protection Agency (EPA)
- U.S. Small Business Administration (SBA)



2008 CRA Study Session: OMB Circulars

- ⌚ Be Aware of Complete Listing of Circulars
- ⌚ Concentrate on:
 - A-21: Cost Principles
 - A-110: Administrative Requirements
 - A-133: Audits



2008 CRA Study Session: OMB Circulars

- ⌚ A-21: Applicability - grants, contracts & cooperative agreements
- ⌚ A-110: Applicability - grants & cooperative agreements
- ⌚ A-133: Applicability - Recipients of federal funds, except foreign entities

NOTE: There is chatter that the cost circulars may be combined into a single document.