

**Washington University
Hilltop Campus**

**Research Administrators Forum
August 23, 2002**

Agenda

- **Research Office**
 - NCURA Videoconference 9/24/02
 - Upcoming NCURA & SRA meetings
 - Draft PC Form
- **Compliance Office Overview**
- **Center for Technology Management**
 - Changes to Patent Expense Auth. Form
- **Sponsored Projects Accounting**
 - NSF Cost Sharing
 - OIG Audit
 - Federal Demonstration Partnership

SPA Topics

- **NSF Cost Sharing - Policies & Procedures**
 - see <http://spa.wustl.edu/admin.html>
- **OIG Contract Audits**
- **Federal Demonstration Partnership(FDP)**
 - see <http://fdp3.org/index.html>

NSF - Unsolicited *Research* Projects

- Proposal not specifically advertised or promoted by a specific NSF Program Announcement.
- Utilizes generic solicitation number (i.e., NSF 02-2).
- Each grantee must share in the cost of the project. Minimum of 1% of total costs.

Exceptions - Not “Research”

- **International travel**
- **Construction projects**
- **Equipment grants**
- **Ship operations**
- **Education & training**
- **Publication, distribution and translation of scientific data.**
- **Conference/workshop grants.**
- **Specific studies**

Solicited *Research* Projects

- Unique solicitation number.
- Cost sharing is not required, unless indicated in the announcement.
- NSF encourages organization to contribute to the cost of performing the project.

1% Methodologies

- **Cost share minimum of 1% on each NSF project (unsolicited proposal).**
 - Recommended methodology at WU.
- **Cost share minimum of 1% on the aggregate total costs of all unsolicited projects.**
 - Contact SPA to discuss implementation.

“U” Funds

- Effective for new awards received on or after **9/1/02**.
- Utilized to monitor and maintain 1% obligations.
- RO / G&C will budget 1% into the fund.
- PI/Dept responsible for charging applicable direct costs to “U” fund.
- F&A automatically booked (monthly).

“X” Funds

- **Continue to utilize for Line M cost sharing obligations.**
- **For existing projects, RO/R&C will continue to budget 1%.**
- **For existing projects, PI/Dept responsible for charging applicable direct costs to meet 1% requirement.**
- **F&A automatically booked (monthly).**

“V” Funds

- **Utilize “V” funds for all cost sharing obligations not managed via the “U” or “X” allocations.**
- **PI/Dept is responsible for budgeting and charging applicable amounts to “V” funds.**
- **F&A booked automatically for awards with a start date on or after 7/1/02.**

Financial Reporting

- **Only effects cost sharing obligations of \$500,000 or more (on Line M).**
- **SPA will generate and submit the annual and final reports to NSF program officer.**
- **PI/Dept should contact/coordinate cost sharing obligations of this magnitude with SPA.**

OIG Contract Audits

- Requested by ONR Chicago based on:
 - High dollar amount
 - Data discrepancies
 - OIG availability
- OIG will perform “Contract Close-out” audit.
- OIG staffing out of Jefferson City.

OIG Audit Steps

- Copy of final technical, cost, property, equipment and patent reports.
- Review **all** invoices and payments.
- Select and review sample of payroll distribution reports and PARs.
- Select and review sample of non-personnel items (ck, tr, cr, po, id...).

Key Audit Areas

- **Equipment**
 - **Budget vs. Actual**
 - **Timing of purchases**
 - **Allocation**
- **Travel**
 - **Domestic and Foreign**
 - **Connection of traveler to grant**
 - **US flag air carrier**

Federal Demonstration Partnership (FDP)

- **Purpose is to:**
 - **Promote increased research productivity**
 - **Provide enhanced stewardship**
 - **Reduce administrative burdens**
- **Members include research universities and federal agencies.**
- **WU is member of Phase IV (Sept 02).**

FDP - WU

- **Appoint faculty, research administration and technical representative.**
- **Participate in meetings, working groups and FDP demonstration projects.**
- **Continue efforts to reengineer and streamline internal processes to maintain effective stewardship of federal funds.**

FDP - Federal Agency

- **Designate administrative, program and technical representatives.**
- **Apply FDP Terms and Conditions to grants and cooperative agreements.**
- **Use FDP as primary focus for tests and demonstrations of reengineered processes and systems for the support of research.**

FDP, cont.

- **See FDP website for:**
 - **List of participating institutions and federal agencies**
 - **FDP Terms and Conditions**
 - **Info about previous FDP Phases**
 - **<http://fdp3.org/index.html>**

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