Meeting synopsis:

1. Call to Order and Approval of Agenda
2. Approval of minutes from October 13, 2010 FCR meeting
3. Requests for Information and Updates
   - Management Accounting and Analysis – Cristi Chapman – cost recovery negotiations
   - Office of Sponsored Programs – Lynne Chronister – new reporting requirements, closure of the NIH 2-day error correction window, new RCR training for NSF awards, new faculty orientation on Dec. 15, research administration learning program
4. Announcements
5. Adjournment

1. Call to order

Council chair Ron Stenkamp called the meeting to order at 9:05 a.m.

2. Approval of Minutes

The minutes from the October 13, 2010 meeting of the FCR were approved without changes.

3. Requests for Information and Updates

Cost Recovery Negotiations

Cristi Chapman, Director of Management Accounting and Analysis, said that cost recovery negotiations are still in progress, but that the on-campus rate has been completed. They were pleased to secure a rate of 54% for fiscal years 2010-12, and 54.5% for FY 2013-14. She said that site visits went very well, and the quality of work and response by the university impressed the government. Eaton added that the new rate will likely result in saving $10-15 million/year from what was expected. Chronister said there will also be a new rate called the Other Sponsored Projects rate, for projects that are neither research nor training/education.

New and continuing reporting requirements

Lynne Chronister, Office of Sponsored Programs, presented a summary of new and continuing reporting requirements regarding the American Recovery and Reinvestment Act (ARRA), the Federal Funding Accountability and Transparency Act (FFATA), the Federal Awardee Performance and Integrity Information System, and STAR Metrics, with brief summaries of the impact to faculty for each category (report attached). Subsequent discussion clarified a number of points:

- For an ARRA award with subcontracts, central administration informs the subcontractor on reporting requirements. This has been a burden on central administration.
- ARRA requirements are exempt on FFATA.
• The Office of Sponsored Programs (OSP) will likely spend 3-4 hours per day on FFATA, but are hoping to develop a system solution.
• For the Federal Awardee Performance and Integrity Information System, the university will have to have a process of ensuring that people with whom it enters large contracts don’t have any criminal or civil liabilities, else the university will also become liable.
• For STAR Metrics, the university will be able to do a system solution for phase I, but phase II is looking like it will be a burden on the faculty and the university. The council briefly discussed ways to lessen this burden.

Closure for NIH 2-day error correction window
Chronister distributed a list of all the Grants Information Memoranda and said that her office is taking a holistic look at the GIM, focusing on what is critical policy information, rather than general information. Some will be deleted, others rewritten, and others added to, especially on security, international programs, and other current topics.

GIM 19, Deadlines for Proposals to Outside Agencies, requires that all proposals are in by noon two days before the deadline, and is working well. No deadlines have been missed. However, in January, grants.gov is eliminating the 2-day post-deadline error correction window. Therefore, the proposal is to move submission deadlines up to give more time for error correction. Instead of a 12:00 p.m. Wednesday deadline for a proposal due at 5:00 p.m. Friday, the new deadline would be 5:00 p.m. on Tuesday.

The council concurred with the proposed change.

New Responsible Conduct of Research training for NSF awards
Chronister said that all students and post-docs working on National Science Foundation awards are now required to have training in responsible conduct of research (RCR). Available online programs will be used to conduct the training.

New faculty orientation
Chronister said that the New Faculty Orientation will take place on December 16, with all new faculty invited.

Research Administration Learning program
Chronister said that a big initiative of the Office of Sponsored Programs and the Office of Research is to provide a comprehensive learning program for research administration. She distributed a conceptual framework for the program. Classes are going through rigorous development and it will take at least five years to prepare all of them, but the ones offered so far have been incredibly well received.

The council expressed approval of the program plan. Haselkorn suggested reducing burdens by training additional trainers and developing local expertise. Chronister agreed, saying that they were trying to do that and had already to some degree. A suggestion was also made to automate some courses or offer online refreshers. Chronister responded that in the long term, they would like a complementary program, but in-person classes would remain the focus.
5. Announcements
Haselkorn said that the program evaluation efforts have started, and some subgroups are looking at research. He suggested getting an update on what impacts would be made, and how research metrics would be applied.

6. Adjournment
The meeting was adjourned at 10:28 a.m.

Minutes by Craig Bosman, Faculty Council Support Analyst. <cbosman@uw.edu>

Present:
- Faculty: Stenkamp (chair), Fluharty, Haselkorn, Spieker, Vogt, Wright
- President’s Designee: Eaton
- Ex Officio: Spelman, Nolan
- Guests: Cristi Chapman, Lynne Chronister

Absent:
- Faculty: Curran, Jain, Roseler
- Ex Officio: Fridley, Smith

Appendix:
Summary of New and Continuing Reporting Requirements
Summary of New and Continuing Reporting Requirements

In 2009, with the new set of ARRA reporting requirements, OSP and other university offices were faced with expanded and new federal reporting requirements. We expect ARRA reporting to continue through 2012 and some reporting through 2015. In addition within the last few months implementing legislation has been completed for two new reporting requirements, FAPIIS and FFATA (see below). Beginning sometime in 2012, additional “ARRA-like” reporting will be mandatory for all federal awards-called STAR Metrics. Summarized below are the four reporting system and potential impact on the OSP office.

- American Recovery and Reinvestment Act
- Federal Funding Accountability and Transparency Act
- Federal Awardee Performance and Integrity Information System
- STAR Metrics

1. American Recovery and Reinvestment Act
Since spring of 2009 when Congress passed the American Recovery and Reinvestment Act (ARRA) significant additional reporting requirements have been imposed upon universities. Initially all ARRA funds were to be expended by October of 2011. However, the implementing legislation and agency practice has extended this deadline. In the last 18 months, UW faculty submitted over 1200 proposals and received 685 awards. OSP dedicated approximately 2.75 FTE directly to the ARRA.

Each award requires that up to 99 data elements be reported upon each quarter. UW set up a DATAMART that pulls information from 5 different UW sources and consolidates it, along with information from PI’s into the quarterly report. Many of the elements are information gathered from about 120 subawards made by OSP and vendor agreements put in place by Purchasing.

As of October 25th, 2010 UW has received 685 awards. All but two of these awards are currently active so each quarter we report on 685 (+ or -) plus an additional approximately 150 sub-agreements and vendor agreements. Ninety five (95) of these awards have ending dates that extend beyond 2011. NIH has let us know that for most awards, there will be no-cost extensions allowed for one year.

**IMPACT TO FACULTY: Continuing reporting on two data elements and subcontractor oversight.**

2. FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT

Beginning in November, 2010, UW will need to start reporting for the new FFATA requirements. OSP and ORIS have been working collaboratively to potentially be able to batch report on the federal awards/subawards. Initial estimates are that the reporting will take on an average between 3 and 4 hours per day. Included below is information from the FFATA website and OMB GRANTS BLOG.
“The Federal Funding Accountability and Transparency Act (FFATA) was signed on September 26, 2006. The intent is to empower every American with the ability to hold the government accountable for each spending decision. The end result is to reduce wasteful spending in the government. The FFATA legislation requires information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website. Federal awards include grants, subgrants, loans, awards, cooperative agreements and other forms of financial assistance as well as contracts, subcontracts, purchase orders, task orders, and delivery orders. The legislation does not require inclusion of individual transactions below $25,000 or credit card transactions before October 1, 2008.” S 2590

“Nearly four years after it was enacted, the Federal Funding Accountability and Transparency Act is once again on OMB’s radar. According to a recent memo, OMB is revamping the USAspending.gov site, creating a new mandate for ensuring the accuracy of Transparency Act data, and perhaps most notably, establishing a deadline for agencies to begin reporting subaward information. The information to be collected is similar to what is already being reported for Recovery Act awards, with one notable exception. The Transparency Act requires that entities report the names and total compensation of the five most highly compensated officers if the entity received 80 percent or more of its annual gross revenues in federal awards and $25 million or more in annual gross revenues from federal awards; and if the public does not have access to compensation information through IRS or SEC records.” OMB GRANTS BLOG

**IMPACT TO FACULTY:** No significant impact unless sub-awardees are not compliant with requirements.

### 3. FEDERAL Awardee PERFORMANCE AND INTEGRITY INFORMATION SYSTEM

Recently required reporting to the Central Contracting Registry is information on all proposals over $500,000 responding to RFA or other announcements regarding federal contracts. All organizations that compete for federal contracts must register in CCR (UW is registered in the CCR). UW Business Diversity office has used the system for reporting on sub-awards on federal contracts.

UW/OSP will now be required to report at time of proposal any contractor violations and research the background of all sub-recipients to determine and report any violation at proposal time and during an award on the identified list below on through the new FFSIIS system. When competing for a contract valued at more than $500,000, UW must certify that the FAPIIS information it disclosed through the Central Contractor Registration (CCR) system is "current, accurate, and complete" at the time of the submission of its proposal. Further, another new FAR clause requires that contractors update the information at least every six months. Included below is information from the Federal FAPSIIS website and excerpts from the new Public Law.
“FAPIIS is a web-enabled application that is used to collect contractor and grantee performance information including Terminations for Cause or Default, Defective Cost and Pricing Data, Determinations of Non-Responsibility, Terminations for Material Failure to Comply (grants), Recipient Not Qualified Determinations (grants) and Administrative Agreements. Once records are completed in FAPIIS, they become available in the Federal Past Performance Information Retrieval System (PPIRS) where they are used to support future acquisitions. FAPIIS is composed of an input and an output module. The input module is located in the Contractor Performance Assessment Reporting System (CPARS). FAPIIS Data Entry users input records via FAPIIS’ CPARS input module. Each record includes the Action Date, Document Number, Awardee Information, Contracting/Grant/Suspension/Debarment Officer Information and Attachment. Product Service Code, North American Industrial Classification System, and Catalog of Federal Domestic Assistance Code are also included as applicable. A FAPIIS Data Entry user is given 30 days to complete the record. If the record is entered but not completed within 30 days, it is deleted. The user is notified weekly prior to record deletion.”

“Much of the FAPIIS information is compiled from existing systems, including the Excluded Parties List System (EPLS), the Past Performance Information Retrieval System (PPIRS), and the Contractor Performance Assessment Reporting System (CPARS). However, certain data must be collected directly from contractors and grantees. To that end, a new FAR clause requires that contractors submitting proposals on federal contracts over $500,000 and holding more than $10 million in active contracts or grants at the time of proposal submission disclose certain criminal, civil, or administrative proceedings. Specifically, covered contractors must disclose whether, in connection with the award or performance of a federal contract or grant, the contractor or any of its principals have been the subject of a proceeding within the past five years at the federal or state level that resulted in:

- a criminal conviction;
- a finding of civil fault and liability that results in a fine, penalty, reimbursement, restitution, or damages of $5,000 or more;
- a finding of fault and liability in an administrative proceeding that results in a fine of $5,000 or more, or reimbursement, restitution, or damages in excess of $100,000; or
- the settlement in a criminal, civil, or administrative proceeding resulting in an admission of fault by the contractor where the proceeding could have resulted in any of the outcomes above.

Contracting officers and suspension and debarment officials are also obligated to enter data into FAPIIS, including contracts terminated for default, affirmative findings of non-responsibility, suspension and debarment actions, and administrative agreements entered into in lieu of suspension or debarment. When the government posts this or other types of information affecting a contractor's record of responsibility and performance to the FAPIIS system, the contractor must be given an opportunity to respond in writing. The
contractor's comments are retained in FAPIIS with the government information and will also become publicly available under the new law. “

IMPACT ON FACULTY: Effort will primarily rest with OSP

4. FEDERAL STAR METRICS PROGRAM

STAR METRICS is the program in development by the federal government to measure the impact of federally funded research. The program is currently in Phase I and UW, under the direction of Jim Kresl is assessing the capacity and capability of UW to participate in Phase I which at this time is not mandatory but will be in the very near future. In discussion with Jim, OSP should not be impacted significantly by Phase I involvement but will have significant reporting requirements in Phase II. These requirements will not be in effect until sometime in 2012. Impact on OSP is unknown at this time but will likely mirror the ARRA effort.

The information below was pulled from the NSF notice on STAR METRICS however, the initiative is projected to be government-wide.

“A new initiative promises to monitor the impact of federal science investments on employment, knowledge generation, and health outcomes. The initiative—Science and Technology for America’s Reinvestment: Measuring the Effect of Research on Innovation, Competitiveness and Science, or STAR METRICS—is a multi-agency venture led by the National Institutes of Health, the National Science Foundation (NSF), and the White House Office of Science and Technology Policy (OSTP). STAR METRICS will help the Federal government document the value of its investments in research and development, to a degree not previously possible. Together, NSF and NIH have committed $1 million for the program’s first year”

There are two-phases to the program. The first phase will use university administrative records to calculate the employment impact of federal science spending through the American Recovery and Reinvestment Act and agencies’ existing budgets. The second phase will measure the impact of science investment in four key areas:

- Economic growth will be measured through indicators such as patents and business start-ups.
- Workforce outcomes will be measured by student mobility into the workforce and employment markers.
- Scientific knowledge will be measured through publications and citations.
- Social outcomes will be measured by long-term health and environmental impact of funding.”
IMPACT ON FACULTY: There may be significant impact on faculty and departments. Because of the nature of Phase II reporting, much of the reporting burden will not be able to be pulled from existing databases and systems.

For more information about STAR METRICS, please visit:
http://nrc59.nas.edu/star_info2.cfm