

Case Study #1 on Definitions

Professor Elm has received a research contract from the Office of Naval Research for a large project studying the development of a new generation of smart robots. The award includes funds for a company (SmartRobot, Inc) to collaborate on the building of these robots.

Is the appropriate agreement a subcontract, a procurement transaction, or both? What questions would you ask to determine this? What are the administrative implications of the decision?

Case Study #2 on Definitions

Professor Hickory of Aspen University has received a research grant from the National Science Foundation and wishes to involve his colleague, Professor Teak from Woodside University, in the research. He proposes the initiation of a consulting contract between Aspen University and Professor Teak to carry out some of the research work.

Under what circumstances might this be appropriate? When not?

Case Study #3 on Proposal Stage

You are a research administrator at State College. A PI gives you the following rough budget and tells you it includes a collaborator, Mary Peters, from Park University.

What do you do? What questions do you ask? What do you need to end up with?

State College Budget

Personnel

PI Jim Frank, State College	\$10,500
Co-PI Mary Peters, Park University	\$8,750

Fringe	\$5,005
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Equipment for Park University	\$18,000
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Supplies	\$2,000
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Travel	\$5,000
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Indirect Costs 50% MTDC	?
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Total	try to stay under \$80 k
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Case Study #4 on Proposal Stage

A PI tells you that she is preparing a proposal and one of the things she needs can be done by a survey center at another university that does this kind of work for PIs all over the country. The survey center will gather data from 1,000 respondents using telephone surveys developed by your PI. The center will collate all the data in an electronic database and deliver it for analysis to your PI. The cost is \$20 per respondent or \$20,000.

How would you handle this in your budget? Would you treat this as a subaward?

Case Study #5 for Subawards

You receive a proposal shortly before its time to submit it. While glancing over the budget, you notice that there is a line item for a subaward to another university. The program guidelines state that the budget justification must include a signed budget from the proposed subawardee, but you see that one has not been included. You contact the PI to see if he has one, but he doesn't. And there is no time to obtain one from the subawardee.

Should you submit the proposal on time, but without the required documentation? Or obtain the documentation and submit the proposal late?

Case Study #6 for Subawards

You are currently in year 1 of a federal grant. The total grant value is \$300,000. The PI tells you that he wants to issue a subaward to another university for some work that his colleague there is going to help him with. The subaward value is \$75,000. You look at the awarded budget, but there is no reference to this other university collaborating on the project.

How would you advise your PI?

Case Study #7 for Subcontracts

You have received a contract from a federal agency that includes a subaward to a small-business entity in the amount of \$50,000. The subcontractor has requested that the entire amount be paid to them up-front, because they don't have the financial reserves to incur costs while waiting for reimbursement from the university.

Should you accede to their request? What are the possible financial repercussions?

Case Study #8 on Standard Subaward Agreement Form

Your institution receives an award to establish and operate a National Center to be housed on your campus, but will involve faculty from other universities. One of the key elements that will make up that National Center is a new GIZMO Unit. The Unit is being designed and constructed as part of a Co-PI's efforts from another institution that will receive a subaward for research and to build the Unit.

You need to make sure that Unit gets moved to the National Center... what do you do?

Case Study #9 on Standard Subaward Agreement Form

Your institution gets a research grant from the U.S. Department of Education. You need to arrange for money to be given to four local school districts in your city.

Can you use the standard subaward agreement form?

Case Study #10 on Standard Subaward Agreement Form

You receive a subaward from another university using the subaward agreement form. You need to involve two other institutions of higher education that will be collaborating with you.

Can you do that? The award you have requires you to submit financial reports within 60 days... what do you do for the subawards you are giving out?

Case Study #11 on Monitoring, Invoicing and Audit

Your institution has received a grant from the NIH and draws down funding through the letter of credit system. A cooperating institution has received a subaward from you for its portion of the work. You have developed a subaward agreement that proposes the submission of cost reimbursement vouchers on a monthly basis. However, the subrecipient institution is insisting on advance payments.

*Are you required to provide advance payments? Why or why not?
How would you negotiate this?*

Case Study #12 on Monitoring, Invoicing and Audit

You have signed a subaward agreement with another educational institution, Worthy U, and have indicated that they are to submit quarterly technical reports and may be reimbursed as often as monthly for their expenditures on the project. Now you must develop a plan as required by A-110 for monitoring Worthy U.

How do you provide adequate administrative/financial and programmatic monitoring of the subrecipient? If cost sharing is required, do you do anything additional to monitor those requirements?