Goals of Updated Regulations

Reduce fraud, waste, and abuse vs. Streamline
OmniGuidance Implementation Plan

2013

12/26/13
Release

2014

6/26/14
Agency plans
due to OMB

2015

12/26/14
Implementation
(all but audit)

2016

7/1/15
Audit provisions go
into effect for UMN

Understand (OmniGuidance)

Influence

Plan (OmniGuidance)

Understand (Agency)

Plan (Agency)

Implement

Evaluate

Refine
Recent Developments

• NSF releases draft implementation plan for comment (5/9/14)
• COGR (including UMN) proposes FAQs to OMB (6/24/14)
• UMN responds to NSF’s draft (7/2/14)
• OMB raises potential new definition of MTDC (8/27/14)
• OMB puts out 30 pages of FAQs (8/29/14)
• UMN releases *PI Quick Guide* (9/4/14)
• COGR (including UMN) puts out updated implementation tracking guidance (9/17/14)
OMB FAQs Resolved Certain Issues

- **Procurement** rules to be delayed 1 year
  - Largest impact for UMN is a new requirement to get 3 price quotes on purchases between $3K and $10K
- **F&A rate proposals** with FY14 base years (like UMN) should use new rules to calculate the rate
- **COI** rules determined to be conflicts in procurement only
- **Program income** rule in UG about including royalties in the definition of what has to be tracked is invalid under federal law
- **Profit** definition clarified to exclude legitimate unexpended balances under fixed price awards/subawards
- **DS-2 statements** submitted after 12/26/14 to true-up charging practices to new rules provide a safe harbor to universities during review by feds (UMN won’t be dinged for inconsistent costing treatment by the feds)
Known Effective Dates (as of 9/18/14)

• **Uniform Guidance will** apply to:
  – All New and Renewal awards issued on or after 12/26/14 (even if costed/budgeted and submitted under the old rules)
  – UMN’s upcoming F&A rate proposal (to be submitted Spring 2015 against a FY14 base year)

• **Old Rules (A-21, A-110, A-133) will** apply to:
  – All active awards that do not get incremental funding or another award action (until they expire)

• **Uniform Guidance may** apply to:
  – All non-competing awards (agencies may decide on a case-by-case basis)
PI Quick Guide on Proposal Budgeting

• Sent on 9/4/14 to:
  – All federal PIs and co-PIs
  – AEL list
  – All Certified Approvers
  – All Grants Management User Network Users
  – All SPA and SFR staff
  – Posted on SPA website
  – Referenced in UM Brief
Possible Topics of Next PI Quick Guide

- Process for tracking and documenting review of subrecipient progress reports
- Review and approve subrecipient invoices as quickly as possible to meet the new 30 day requirement
- Agency prior approval of fixed price subawards added after the award starts (unless the agencies waive this prior approval)
- Determine how to follow new Procurement rules (eventually)
- Publication costs can be directed charged between award end date and date of final financial report
- 90 day (or 120 day for NIH and maybe more agencies?) enforced closeout
Expected Next Developments

- Work with COGR/OMB to solve MTDC definition issue
- UMN UG Steering and Work Groups continue to meet to discuss emerging developments and local impact of new regs
  - Known policy/procedure changes will begin going through the review process soon
- Federal agency implementation plans not likely to be released until Nov or December 2014 (for 12/26/14 implementation)
- Federal “Research Terms and Conditions” replacement may or may not be ready for 12/26/14
  - Would include an updated Prior Approvals matrix
- UMN to create a PI Quick Guide on Award Management for release in late fall
Questions???

• Additional information available at: