



# Research Administration Introduction

Sponsored Research Services - Texas  
A&M University Division of Research

# Federal R&D Funding

- The "power of the purse" is a function of Congress
- Congressional budget process is called the appropriations process
- Office of Management and Budget (OMB) - part of the executive branch of government. OMB gives guidelines to federal agencies instructing them how to prepare their strategic plans and budgets.
- Office of Science and Technology Policy (OSTP) - Science programs also receive budget guidance from the Office of Science and Technology Policy (OSTP), formally through a joint OMB/OSTP guidance memo



# Federal R&D Funding

- **Government Accountability Office (GAO)** - is an independent, nonpartisan agency that works for Congress. GAO operates as an auditor of the federal government, and investigates how the federal government spends taxpayer dollars.
- **Congressional Budget Office (CBO)** - is the non-partisan branch of Congress that provides analysis and materials related to the federal budget process, and objective analyses needed for economic and budgetary decisions related to programs covered by the federal budget.



# **There are five key steps in the federal budget process:**

1. The President submits a budget request to Congress
2. The House and Senate pass budget resolutions
3. House and Senate Appropriations subcommittees “markup” appropriation bills
4. The House and Senate vote on appropriations bills and reconcile differences
5. The President signs each appropriations bill and the budget becomes law


# Budget Execution

- Government agencies may not spend or obligate more than Congress has appropriated (Anti-deficiency Act)
- Supplemental appropriations to cover unanticipated circumstances
- President may initiate withholding of funds (Impoundment Control Act); Congress could overturn
- Continuing resolutions



# *Supplemental Appropriation:*

- In some cases, there may be urgent need for further funding of a program or project that already received funding. Additional restrictions may be part of a supplemental appropriation. For example, grants for recovery from an unexpected natural disaster, such as Hurricane Sandy.



# *Continuing Appropriation /Continuing Resolution:*

- An appropriation act that provides budget authority for federal agencies, specific activities, or both to continue in operation when Congress and the President have not completed action on the regular appropriation acts by the beginning of the fiscal year.



# Office of Management and Budget

1. Budget development and execution
2. Management - oversight of agency performance, Federal procurement, financial management, and information/Information Technology
3. Coordination and review of all significant Federal regulations by Executive agencies
4. Legislative clearance and coordination
5. Executive Orders and Presidential Memoranda

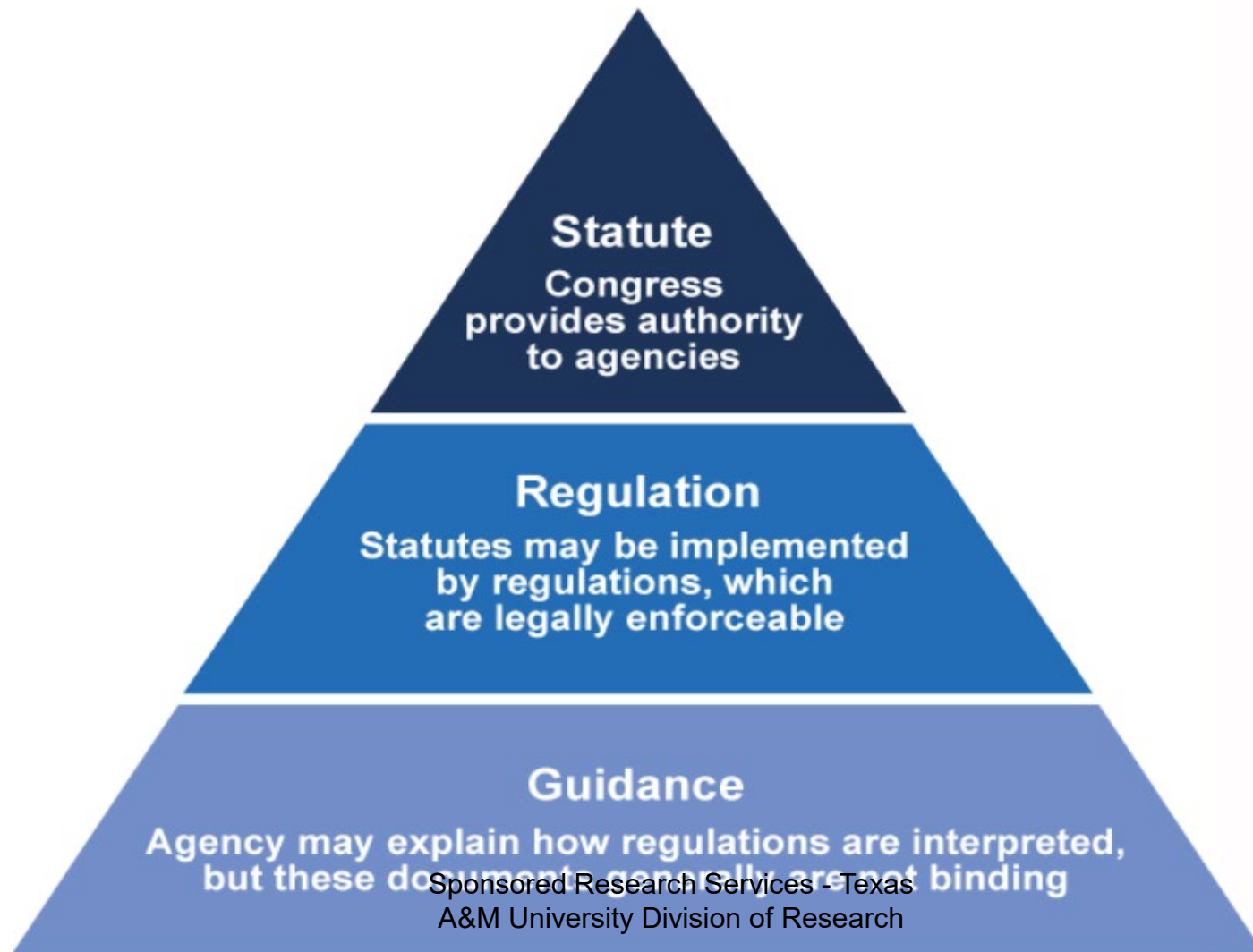




# Executive Orders

- The United States President issues Executive Orders to manage the operations of the Executive branch of the Federal Government.
- An Executive Order is directed to one or more Federal agencies.
- If the Executive Order directs the Federal agency to impose requirements on grants, the Federal agencies must do this through rulemaking or other means to make the provisions of the Executive Order applicable to the grant program.

# Hierarchy Pyramid of Statutory and Regulatory Authority





# Federal Financial Assistance

is governed by Federal statutes as well as Federal agency regulations

- A Federal statute is a law enacted by Congress.
- Most laws passed by Congress are public laws, which affect society as a whole.
- Public laws form the basis of the *United States Code* (U.S.C.). In the U.S.C., statutes are grouped by subject into fifty titles, each consisting of chapters and sections



# Federal Agency Regulations

- A regulation is the Federal agency's statement that implements, interprets, or prescribes law or policy.
- Typically, authorizing statutes only provide the basics of the grant program and the Federal agency provides the details through regulations. A regulation has the force and effect of law.



# Federal Agency Regulations (continued)

- The Federal agency publishes proposed regulations in the Federal Register for public review and comment.
- The comment period is generally 30 to 60 days.
- The Federal Register is a daily (Monday through Friday) publication printed and distributed by the Government Printing Office
- The regulations are codified in the Code of Federal Regulations



# Grants Guidance

The Federal agency may also provide written guidance for its programs. The guidance explains program requirements. Guidance documents may provide examples of ways a recipient can comply with requirements or recommended practices for carrying out grant activities. Guidance documents do not establish requirements.



# Terms and Conditions of the Award

- Flow down to sub recipients
- Contain the budget, spending limitations, and requirements for payments and reporting
- Federal agencies typically apply general terms and conditions to all grants and cooperative agreements. They may also apply program-specific or award-specific terms and conditions to awards which are referred to as "special terms and conditions."

# Order of Precedence

Federal Regulations




```
graph TD; A[Federal Regulations] --> B[Sponsor Terms & Conditions]; B --> C[Award Terms & Conditions]; C --> D[Institutional Policies & SAPs];
```

Sponsor Terms & Conditions

Award Terms & Conditions

Institutional Policies & SAPs





# Federal Support - Financial Assistance or Procurement

## Federal Grant and Cooperative Agreement Act - 1977

- Set out to guide government agencies in their use of Federal funds
- Defined the roles of contracts, cooperative agreements, and grants



# What are Federal Financial Assistance Programs?

Federal financial assistance programs are authorized by statute with specific authority to transfer money, property in lieu of money, or other direct assistance to eligible recipients to support or stimulate a public purpose.

- Grants / Cooperative agreements
- Donations of property
- Food commodities
- Loans / Loan guarantees
- Interest subsidies
- Insurance



# Grants

- Investigator initiated
- No sponsor involvement
- Award made to grantee institution
- Names principal investigator or project director
- “Scope of Work” defines project, PI retains flexibility
- Made for state period of time:
  - Budget period vs project period
- Standard award documents
  - Term and conditions determine project latitude



# Cooperative Agreements

- Very similar to grants
- Initiated by sponsor
- Names principal investigator or project director
- Substantial programmatic involvement by and with sponsor
- Term and conditions underscore agency involvement



# ***What is Substantial Involvement?***

1. Federal agency involvement in the selection of key recipient personnel, however, the Federal agency should not make hiring decisions for the recipient.
2. Federal agency and recipient collaboration or participation in performing the project, such as approving one stage of the project before the next stage can begin.
3. Direct Federal agency involvement or participation in the project to ensure compliance with cross-cutting statutory requirements, such as civil rights, environmental protection, and disability provisions.
4. Federal agency facilitation of relationships with other funded projects and/or stakeholders to maximize impact.
5. Federal agency review of detailed performance specifications (e.g. construction specifications).

# Mandatory/Non-Discretionary vs Discretionary

- **Mandatory Spending** - *Spending* that is mandated by law. *Mandatory spending* refers to a budgeted amount of money that must be set aside for certain programs or initiatives as set forth by the government or governing authority. Examples: Social Security, Medicare
- **Discretionary Spending** - is the part of the U.S. federal budget that Congress appropriates each year. *Discretionary spending* is government *spending* implemented through an appropriations bill. This *spending* is an optional part of fiscal policy, in contrast to entitlement programs for which funding is mandatory and determined by the number of eligible recipients.



# Discretionary Programs

Reviews may occur by an independent panel of peers, Federal staff, or a combination. The applications are scored based on established criteria, and the highest-scored applications are typically recommended for funding.

**Discretionary programs** are those in which the Federal agency generally may:

- Select the recipient from among all eligible applicants
- Determine to make or not make an award based on the programmatic, technical, or scientific content of an application, and
- Determine the amount of funding to be awarded.

# Types of Grants

- **Block Grant** - A consolidation of related programs into a single award to a governmental unit (normally States) to be used for a variety of activities within a broad functional area such as community development, social services, public health, or law enforcement.
- Block grants are typically formula-driven, and the recipient is responsible for further distribution of the money, thereby reducing federal involvement in that they transfer much of the decision-making to the recipient and reduce the number of separate awards that must be administered by the Federal Government



# Types of Grants

- **Formula Grant** - Allocations of federal funding to states, territories, or local units of government determined by distribution formulas in the authorizing legislation and regulations. To receive a formula grant, the entity must meet all the eligibility criteria for the program, which are pre-determined and not open to discretionary funding decisions.
- **Earmark Grant** - are explicitly specified in appropriations of the U.S. Congress. They are not competitively awarded and have become highly controversial because of the heavy involvement of paid political lobbyists used in securing them.



# **Procurement Contracts (Acquisition) Not Financial Assistance**

- Contracts shall be used when the principal purpose is acquisition of property or services for the direct benefit or use of the Federal Government
- Procurement of good and services
- Terms usually detailed and specific
- Deliverables are dictated by sponsor
- Little latitude to modify work or budget
- Federal Acquisition Regulations (FAR) govern contracts.



# Other Transaction Authority (OTA)

- Hybrid type of award
- Does not need to conform to standard terms and conditions.
- Terms are negotiable and flexible
- Federal agency has the ability to design the award mechanism to maximize the potential for innovation
- IP rights are negotiable



# Intergovernmental Personnel Agreement (IPA)

## ■ Purpose

- Allows University faculty to temporarily be assigned to a federal agency while maintaining their University status (usually less than 3 years)
- Salary, fringes, and travel are usually covered

## ■ Award Instrument

- Most agencies use the OF-69

## ■ Involvement by Sponsor

- Extensive by nature

# Def: Research & Development

- 2CFR 200
- R&D means all research activities, both basic and applied, and all development activities that are performed by non-Federal entities. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities...

- **Basic Research**. is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It is farsighted high payoff research that provides the basis for technological progress.
- **Applied Research**. Applied research is systematic study to understand the means to meet a recognized and specific need. It is a systematic expansion and application of knowledge to develop useful materials, devices, and systems or methods. It may be oriented, ultimately, toward the design, development, and improvement of prototypes and new processes to meet general mission area requirements.

# Development

- **Development** is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.
- Advanced Technology Development (ATD). This budget activity includes development of subsystems and components and efforts to integrate subsystems and components into system prototypes for field experiments and/or tests in a simulated environment.



# Capacity Building and Marketing

- Create a culture that rewards faculty who perform research
- Recruitment of faculty with proven research track record and existing funded research
- Corporate Relation Offices
- Government Relations Offices
  - Federal
  - State





# Marketing Institutional Research Capabilities Externally and Internally

- ☐ Newsletters
- ☐ Newspaper articles
- ☐ News conferences
- ☐ Press releases



# Research Development Services

- Newsletters
- Workshops – sponsors and grant writing
- Proposal Editing
- Assistance on large Multidisciplinary proposals
- Junior Faculty Support
- Assistance on proposal components
  - Data management plans
  - Connecting to other programs on campus
  - Biosketches
  - Current and Pending Support

# Primary Sources of Funding Information

- Agency
  - FOA and Websites
- Catalog of Federal Domestic Assistance (**Assistance Listings**)
  - <https://www.cfda.gov>
- FedBizOpps replaced Commerce Business Daily; Used for government procurement opportunities (contracts) over \$25K
  - **Now moved to SAM.gov and is known as Contract Opportunities**
- Federal Register
  - <https://www.federalregister.gov>
- Foundation Center – Foundation Directory
- Grants.gov
  - [www.grants.gov](http://www.grants.gov)

# Assistance Listings formerly Catalog of Federal Domestic Assistance (CFDA)

- The Catalog of Federal Domestic Assistance It contains financial and nonfinancial assistance programs administered by departments and establishments of the Federal government.
- As the basic reference source of Federal programs, the primary purpose of the Catalog is to assist users in identifying programs that meet specific objectives of the potential applicant, and to obtain general information on Federal assistance programs.
- Describes major funding programs *not* individual opportunities
- Numbering system organized by agency. Example NSF 47.041 is NSF Engineering grants.
- Part of SAM.gov

# Federal Register



- Created in March 1936
- Official daily publication for
  - rules, proposed rules, and notices of Federal agencies and organizations,
    - agency meetings, grant opportunities
  - executive orders and other presidential documents.
- New edition published every business day by the U.S. Government Printing Office (GPO)
  - <https://www.federalregister.gov>



# Grants.Gov - <https://www.grants.gov/>

- Search by funding opportunities by
  - ☐ Funding Opportunity Announcement #
  - ☐ Keywords
  - ☐ Date/date range – posting or closing date
  - ☐ CFDA code
  - ☐ Eligibility
  - ☐ Funding Instrument type
  - ☐ Category
  - ☐ Agency



# Secondary Sources of Funding Information

- Commercial Subscription Companies
  - COS (PIVOT), SPIN, IRIS...
- Search engines
- Foundation Directory
  - <http://foundationcenter.org>
- Newsletters
- Personal Contacts