



Where is *My* Money?

September 15, 2020

Scott Krefetz, Program Administrator, Grants
Gia Boersema, Assistant Director, Grants
Pre-Award Team
Office of Research



I'm Funded!

- In addition to our work on Proposals, the Pre-Award team is also responsible for initiating the award set-up process when research funding is awarded
- Depending on the type of funding, the time it takes to set up an award can vary



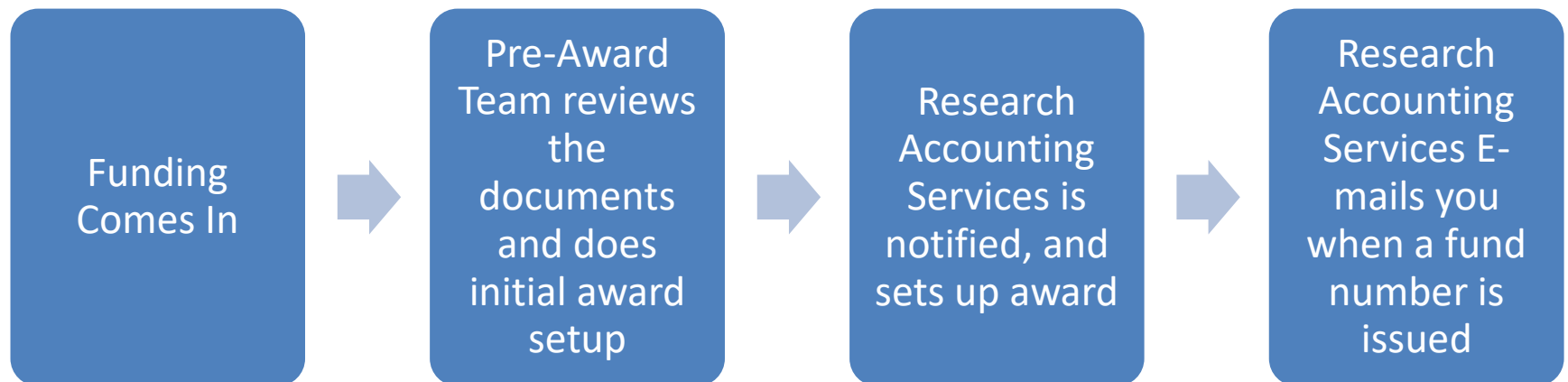
The Golden Rule

A Fully Routed COEUS record is **required** for the Pre-Award team to start setting up your award

- This isn't just a rule- on a technical level, it is impossible for Pre-Award to start setting up an award without an Institute Proposal Number, which COEUS generates once the record is fully routed.
- A COEUS Record is required even for opportunities where the PI themselves can submit without ORA authorization
- Modifications to existing awards are an exemption to this, but some will require new COEUS- please ask your PA if unsure



The Basic Process





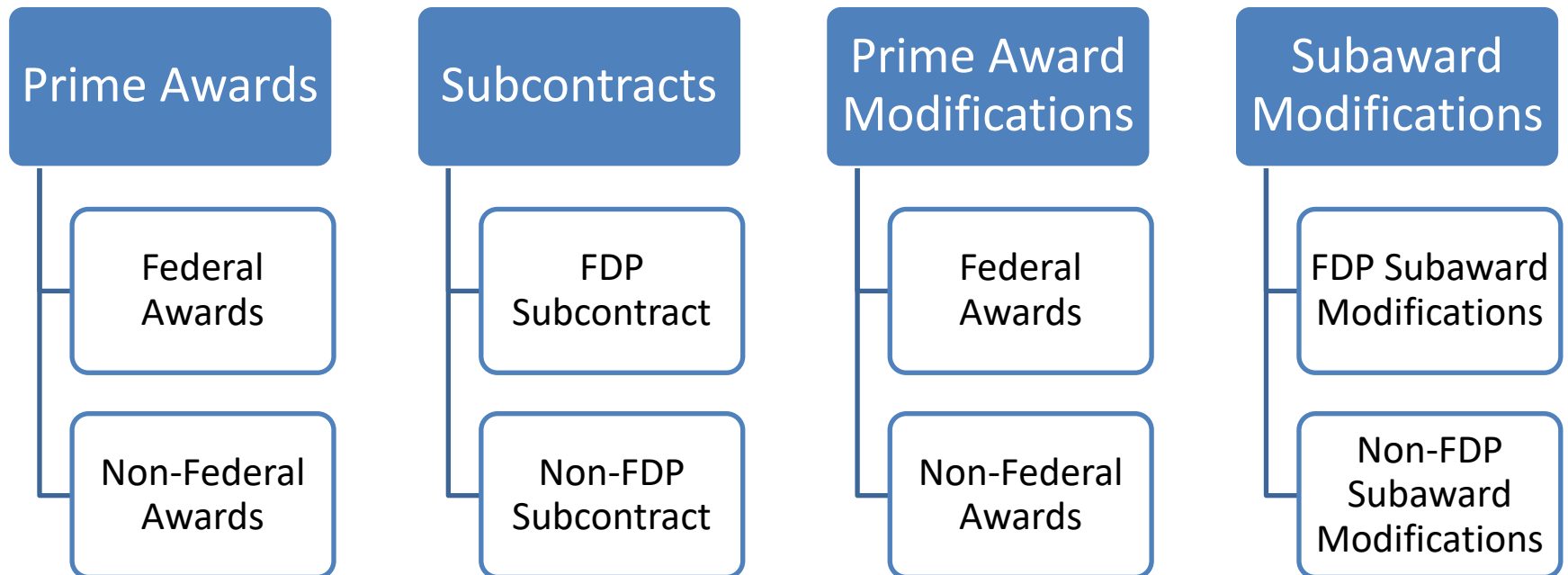
The Less Basic Process

While the Process itself is basic, there are many situations that can occur that add extra steps to the process

- Every method of funding has a different process it goes through before Pre-Award can do the initial setup
- If an award requires a signature, steps are added to obtain a signature from a Drexel Signing Representative, and we must wait for a countersigned document in return before processing
- In some cases, Drexel's Contracts team will need to review the contract



Types of Incoming Funding





Prime Awards- Federal Awards

Examples: National Science Foundation (NSF),
National Institute of Health (NIH), National
Aeronautics & Space Administration (NASA)

- Once Pre-Award has the Notice of Award, they will preform the award set-up
- If the Award asks for a signature, Pre-Award will obtain the signature, return to the sponsor, and wait for a countersigned copy before preforming the award set-up

U.S. Department of Agriculture
Natural Resources Conservation Service

NRCS-AOS-093
3/2011

NOTICE OF GRANT AND AGREEMENT AWARD			
1. Award Identifying Number:	2. Amendment No.	3. Award/Project Period	4. Type of Award Instrument
5. Agency (Name and Address) Natural Resources Conservation Service			6. Recipient Organization (Name and Address)
7. NRCS Program Contact:	8. NRCS Administrative Contact:	9. Recipient Program Contact:	10. Recipient Administrative Contact:
11. CFDA Number	12. Authority	13. Type of Action	14. Project Director
15. Project Title/Description:			
16. Entity Type: <input type="checkbox"/> Profit <input type="checkbox"/> Nonprofit <input type="checkbox"/> Higher Education <input type="checkbox"/> Federal <input type="checkbox"/> State/Local <input type="checkbox"/> Indian/Native American			
17. Funding: <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Non-Federal		18. Accounting and Appropriation Data	
Previous Total		Financial Code Amount Fiscal Year Treasury Symbol	
Current Total			
Grand Total			
APPROVED BUDGET			
Personnel	\$	Fringe Benefits	\$
Travel	\$	Equipment	\$
Supplies	\$	Contractual	\$
Construction	\$	Other	\$
Total Direct Cost	\$	Total Indirect Cost	\$
Total Federal Funds Awarded	\$	Total Non-Federal Funds	\$
Total Approved Budget	\$		
This agreement is subject to applicable USDA NRCS statutory provisions and Financial Assistance Regulations. In accepting this award or amendment and any payments made pursuant thereto, the undersigned represents that he or she is duly authorized to act on behalf of the awarding organization, agrees that the award is subject to the applicable provisions of this agreement (and all attachments), and agrees that acceptance of any payments constitutes an agreement by the payee that the amounts, if any, found by NRCS to have been overpaid, will be refunded or credited in full to NRCS.			
ACCEPTED BY			
Name and Title of Authorized Government Representative	Signature	Date	
Name and Title of Authorized Recipient Representative	Signature	Date	



Prime Awards- Non-Federal Awards

Examples: City of Philadelphia, American Heart Association, UNICEF

- If there are no terms or conditions, Pre-Award will set up the award
- If there are terms and conditions, Pre-Award will hand off Notice of Award to Contracts team for review and signatures
- Contracts team will review/negotiate contract terms, and once the Sponsor and Drexel agree, will get all required signatures
- Contracts team then returns the negotiated, signed contract to pre-award, who will perform the set-up.



Subcontracts- FDP Form

Used for Subawards coming from Federal contracts

- Pre-Award Team will notify the PI and RA, ask for review and approval before proceeding, and for any additional material (such as budgets) requested by the sponsor
- PA will review contract, may negotiate changes with sponsor
- PA will obtain Drexel Signing Authority Signature, and return to the sponsor
- Once the sponsor returns a countersigned copy, the PA will set-up the award

FDP Cost Reimbursement Research Subaward Agreement			
Federal Awarding Agency: <input type="text" value="Other [Type in Agency]"/>			
Pass-Through Entity (PTE): <input type="text"/>		Subrecipient: <input type="text"/>	
PTE PI: <input type="text"/>		Sub PI: <input type="text"/>	
PTE Federal Award No: <input type="text"/>		Subaward No: <input type="text"/>	
Project Title: <input type="text"/>			
Subaward Period of Performance (Budget Period): Start: <input type="text" value="1"/> End: <input type="text" value="2"/>		Amount Funded This Action (USD): \$ <input type="text"/>	
Estimated Project Period (if incrementally funded): Start: <input type="text"/> End: <input type="text"/>		Incrementally Estimated Total (USD): \$ <input type="text"/>	
Terms and Conditions			
1. PTE hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.			
2. Subrecipient shall submit invoices not more often than monthly and not less frequently than quarterly for allowable costs incurred. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), Subaward number, and certification, as required in 2 CFR 200.415 (a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party's <input type="text" value="Financial"/> Contact, as shown in Attachment 3A.			
3. A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE's <input type="text" value="Financial"/> Contact, as shown in Attachment 3A, <u>not later than 60 days after the Project Period end date.</u>			
The final statement of costs shall constitute Subrecipient's final financial report.			
4. All payments shall be considered provisional and are subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.			
5. Matters concerning the technical performance of this Subaward shall be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.			
6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward, and any changes requiring prior approval, shall be directed to each party's <input type="text" value="Administrative"/> Contact, as shown in Attachments 3A and 3B. Any such change made to this Subaward requires the written approval of each party's Authorized Official, as shown in Attachments 3A and 3B.			
7. The PTE may issue non-substantive changes to the Period of Performance and budget <input type="text" value="Bilaterally"/> .			
Unilateral modification shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient when sent to Subrecipient's Authorized Official <input type="text"/> Contact, as shown in Attachment 3B.			
8. Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.			
9. Either party may terminate this Subaward with 30 days written notice to the appropriate party's <input type="text" value="Administrative"/> Contact, as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 75 Appendix IX, as applicable.			
10. By signing this Subaward, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachment 2. The parties further agree that they intend this Subaward to comply with all applicable laws, regulations and requirements.			
By an Authorized Official of Pass-through Entity:		By an Authorized Official of Subrecipient:	
Name: <input type="text"/> Date: <input type="text"/>		Name: <input type="text"/> Date: <input type="text"/>	
Title: <input type="text"/>		Title: <input type="text"/>	



Subcontracts- Non FDP Form

- Pre-Award will hand Subcontract off to Contracts team, Contracts team will review/negotiate contract terms, and once the Sponsor and Drexel agree, will get all required signatures
- Once Contracts Team returns a negotiated copy of the contract to Pre-Award, PA will set-up the modification

SUBCONTRACT AGREEMENT

Between
Drexel University
And

[SUBCONTRACTOR NAME]

This Agreement, Subcontract # [SUBAWARD/FUND#] is made between Drexel University (hereinafter known as "Drexel"), a Pennsylvania non-profit corporation with offices at 1505 Race Street, 10th Floor, Philadelphia, Pennsylvania, 19102, USA and [SUBCONTRACTOR NAME] (hereinafter known as "Subcontractor"), an entity with offices at [SUBCONTRACTOR ADDRESS].

WHEREAS, Drexel is the recipient of Grant [GRANT NUMBER] from [SPONSOR] ("Prime Sponsor") for support of a project entitled "[PROJECT NAME]", (hereinafter known as "Prime Award"), which is made a part of this Agreement and attached as Exhibit A; and

WHEREAS, the effort to be performed by Subcontractor under the Prime Award involves an approved collaborative effort between Drexel and Subcontractor,

THEREFORE the parties mutually agree as follows:

1.0 PERIOD OF PERFORMANCE

The period of performance begins [START DATE] ("Start Date") and shall not extend beyond [END DATE] ("End Date") unless amended in writing by the parties. Subcontractor is not obligated to continue work or provide services and Drexel is not obligated to compensate Subcontractor for expenses incurred or commitments made before the Start Date or after the End Date.

1.1 STATEMENT OF WORK

Drexel's Project Director for the purpose of technical direction of grant performance is Dr. [PI NAME].

Subcontractor's Project Director is [SUBCONTRACTOR PI NAME]. Subcontractor shall not change the Project Director without Drexel's prior written approval.

Subcontractor agrees to provide the necessary personnel, facilities, equipment, materials and data to perform the work in accordance with its proposal, which is incorporated into this Agreement as Exhibit B. Any material change in the scope of work requires Drexel's prior written approval.

1.2 ESTIMATED COST

The work defined in Exhibit B will be performed on a cost reimbursement basis in accordance with the terms of this Agreement. The total estimated cost budget which is hereby incorporated into this Agreement as Exhibit C is [BUDGET AMOUNT] and represents the maximum reimbursement amount for the period of performance unless modified in writing by the parties. Funding awarded under this Agreement is consistent with the budget cycle of the Prime Award. It is anticipated that continuation awards will cycle each year on or about [BUDGET PERIOD].



Prime Award Modifications- Federal Awards

Examples: National Science Foundation (NSF), National Institute of Health (NIH), National Aeronautics & Space Administration (NASA)

- Once Pre-Award has the Modification, the PA will set up the modification
- If the Modification asks for a signature, Pre-Award will obtain the signature, return to the sponsor, and wait for a countersigned copy before setting up the award



Prime Award Modifications- Non-Federal Awards

Examples: City of Philadelphia, American Heart Association, UNICEF

- PA will read the award
- If there are no changes to the Statement of Work or Terms and Conditions, PA will work to obtain any signatures that are needed, and when a fully signed copy is available, will set up the modification
- If there are any changes made to Statement of Work or Terms and Conditions, the contracts team will review the modification, obtain any signatures required, and return it to Pre-award for setup



Subcontract Modification- FDP Form

Used for modifications for Subawards done with FDP Form

- Pre-Award Team will notify PI and RA, ask for review and approval before proceeding, and for any additional material (such as budgets) requested by the sponsor
- PA will obtain Drexel Signing Authority Signature, and return to the sponsor
- Once the sponsor returns a countersigned copy, the PA will set-up the modification

FDP Amendment Number <input type="text"/>			
Pass-Through Entity (PTE)		Subrecipient	
<input type="text"/>		Entity Name <input type="text"/>	
<input type="text"/>		Email Address <input type="text"/>	
<input type="text"/>		Principal Investigator <input type="text"/>	
Project Title: <input type="text"/>			
PTE Federal Award No: <input type="text"/>		Federal Awarding Agency: <input type="text"/>	
Revised Subaward Period of Performance: <input type="checkbox"/> Amount Funded This Action: <input type="text"/> Subaward No: <input type="text"/>			
Start Date: <input type="text"/> End Date: <input type="text"/>			
Total Amount of Federal Funds Obligated to Date: <input type="text"/>		Cost Share: <input type="radio"/> Yes <input checked="" type="radio"/> No	
		Subject to FFATA: <input type="radio"/> Yes <input checked="" type="radio"/> No	
		Automatic Carryover: <input type="radio"/> Yes <input checked="" type="radio"/> No	
Amendment(s) to Original Terms and Conditions This Amendment revises the above-referenced Subaward Agreement as follows:			
<div style="background-color: #e0e0ff; height: 250px;"></div>			
<small>For clarity, all amounts stated in this amendment are in United States Dollars.</small>			
All other terms and conditions of this Subaward Agreement remain in full force and effect.			
By an Authorized Official of PTE:		By an Authorized Official of Subrecipient:	
Name: <input type="text"/> Date: <input type="text"/>		Name: <input type="text"/> Date: <input type="text"/>	
Title: <input type="text"/>		Title: <input type="text"/>	

FDP Bilateral Mod Sept.2019

Subcontract Modification- Non-FDP Form

Pre-Award Team will notify PI and RA, ask for review and approval before proceeding, and for any additional material (such as budgets) requested by the sponsor

- If the **only** changes being made are dates and/or money, PA will work to obtain any signatures that are needed, and when a fully signed copy is available, will setup the modification
- If there are **any** changes being made other than dates and/or money, the contracts team will review the modification, obtain any signatures required, and return it to Pre-award for setup

**AMENDMENT NO. 1 TO
SUBCONTRACT BETWEEN
DREXEL UNIVERSITY
AND**

This Amendment No. 1 ("Amendment") is made and entered into on the last date of signature by and between Drexel University ("University") and _____ ("Other Party")

WHEREAS, University and Other Party entered into a Subcontract effective 6/24/2019 ("Subcontract") under Grant CTA1 826 20197212706 between University and _____ ("Prime Sponsor") dated ____ for a project entitled " _____ " (the "Prime Agreement"); and

WHEREAS, University and Other Party mutually desire to amend certain terms of the Subcontract by entering into this Amendment;

NOW, THEREFORE, the Subcontract is hereby amended as follows:

1. _____
2. Except as set forth in this Amendment, the Subcontract is unaffected and shall continue in full force and effect in accordance with its terms. If there is a conflict between this Amendment and the Subcontract, the terms of this Amendment prevail.

IN WITNESS WHEREOF, the duly authorized representatives of the parties hereby cause this Amendment to be duly executed.



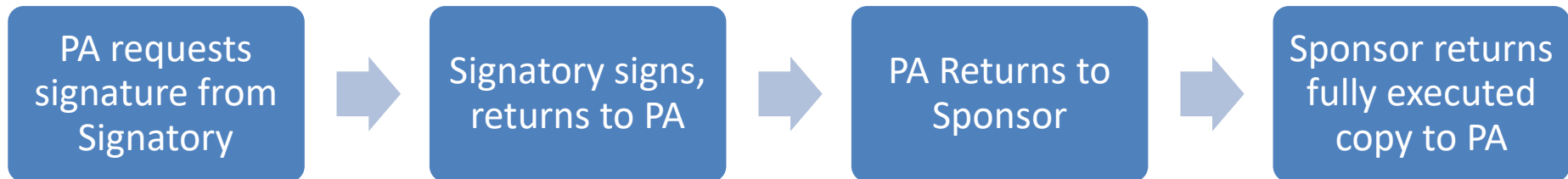
Set-Up Delays

- Pre-Award Never Received the Documents
 - DUResearch@drexel.edu is the general inbox for Pre-award. It's the e-mail address that goes on all proposals that are submitted via ORI
 - If you receive a Modification or an NOA and see that DUResearch@drexel.edu was not included on the e-mail, it is likely that Pre-award does not have a copy
- NOA/Mod is missing critical information
 - Start Date, End Date, budget info- if an NOA/Modification is missing key information, Pre-Award will need to reach out to the sponsor and obtain that information before we can begin initial setup



Set-Up Delays

- Coeus Record
 - Record not fully routed
 - No Record created in a situation where a record was required
- Fully Executed document not returned
 - A document is fully executed when it is signed by both Drexel and the sponsor
 - When a document requiring a signature comes in, PA will work to have it signed by a signing authority
 - Once the document is signed, PA will return it to the sponsor, and wait for them to countersign and return the document to Drexel





What Can I Do?

- Contact your Program Administrator in Pre-Award
 - Your PA can check the progress of your documents.
 - PAs can also check in with sponsors to ensure that documents were properly received
- Utilize Advance Accounts
 - Advance Accounts allow access to funding on a temporary basis while waiting for a fully executed agreement



Advance Accounts

Advance Accounts can be used to temporarily create accounts while waiting for a fully executed Award/Modification/Subaward

- Advance Accounts can only be authorized for a limited period (90 days), and for up to 25% of expected funding
- A sponsor intent to fund is required
- Must be signed by the PI, the Department Administrator/RA, and the Department Chair
- Once completed and returned to PA, the PA will setup the advance
- When the fully executed document is available, PA will change account from Advance to Active

DREXEL UNIVERSITY
Office of the
Comptroller
Research Accounting Services

Advance Grant and Fund Request Form

Advance Grant and Fund numbers allow Principal Investigators to initiate spending on their projects before the University receives a fully-executed agreement. If the award does not materialize, the department will be responsible for all costs incurred on the advance fund. It is important that funds not be spent before the period in which the sponsor expects to honor costs. If a project requires multiple advance funds tied to the grant, please indicate that on the form.

Principal Investigator: _____
Department Name: _____ Org #: _____
Sponsor: _____
Project Title: _____
Grant/Fund # (if existing/continuation award): _____ COEUS Lite#: _____

Total Anticipated Funding: \$ _____
Expected Project Period: _____ to _____
MM/DD/YYYY MM/DD/YYYY

Period Authorized for Advance (not to exceed 90 days): _____ to _____
MM/DD/YYYY MM/DD/YYYY

Total Requested Funds for Advance (not to exceed 25% of total anticipated funding): \$ _____

Status of Award and Justification for Advance Account:

☐ Documentation of Sponsor's Intent to Fund is attached.

The departmental chair certifies that he/she is aware of the funding risks involved with establishing an advance account. The Department accepts responsibility for any costs not reimbursed on this project. If, for any reason, the award does not materialize, any expenditures incurred on the advance account will be moved to the following:
Departmental Non-grant Fund-Org: _____

Required signatures:

Principal Investigator	Department Chair	Department Administrator
_____	_____	_____
Date	Date	Date

Please submit by email to your [Pre-Award Administrator](#). Contact your [RAS Analyst](#) with any questions.



Additional Resources:

Please visit drexel.edu/research for the following resources:

- Training and Tutorials on COEUS
- A list of PAs by School/Department
- Links to the Advance Account Form
- FAQs

Always feel free to contact Pre-award with any questions or for additional information: <http://drexel.edu/research/about/pa/>