



RECOVERY.GOV

American Recovery and Reinvestment Act of 2009

University of Minnesota –
Prepared to Respond

Office of the Vice President for Research
Office of the Controller



UNIVERSITY OF MINNESOTA
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ARRA Research Funding

- Stimulus bill includes more than \$21.5 billion in research funding opportunities

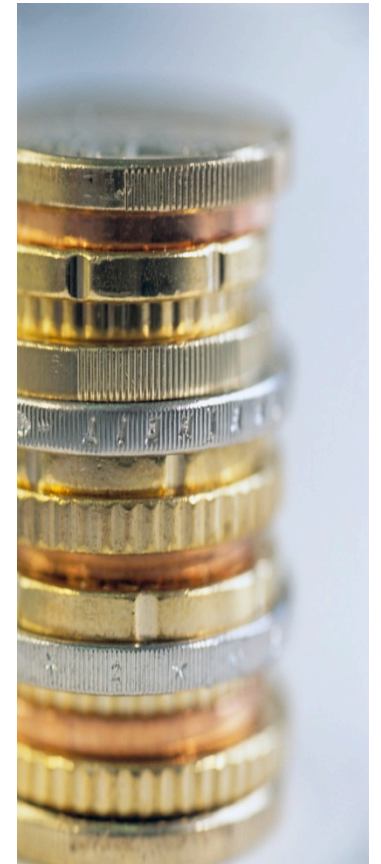
NIH \$10.4 billion (1/3 of annual \$29B budget)

NSF \$ 3.0 billion (1/2 of annual \$6B budget)

DOE \$ 6.0 billion

NASA \$ 1.0 billion

Other funds awarded for clinical health care expansion and education and public service initiatives



What UMN Has Done to Respond (Sponsored Research)

- Triaged funding opportunities
- Published master proposal deadline calendar
- Created simplified proposal templates
- Coordinated limited submissions
- Wrote boilerplate for “Jobs Created”
- Coped with Grants.Gov
- Coped with other agency electronic proposal systems

- Created UMN ARRA web site
- Led campus training for faculty and administrators
- Created three listservs
- Designed ARRA coding
- Created PI reference document
- Tightened links to IRB/IACUC
- Designed and built quarterly reporting method
- Participated in national dialogue
- Created quarterly surveys



Stimulus Activity (so far)

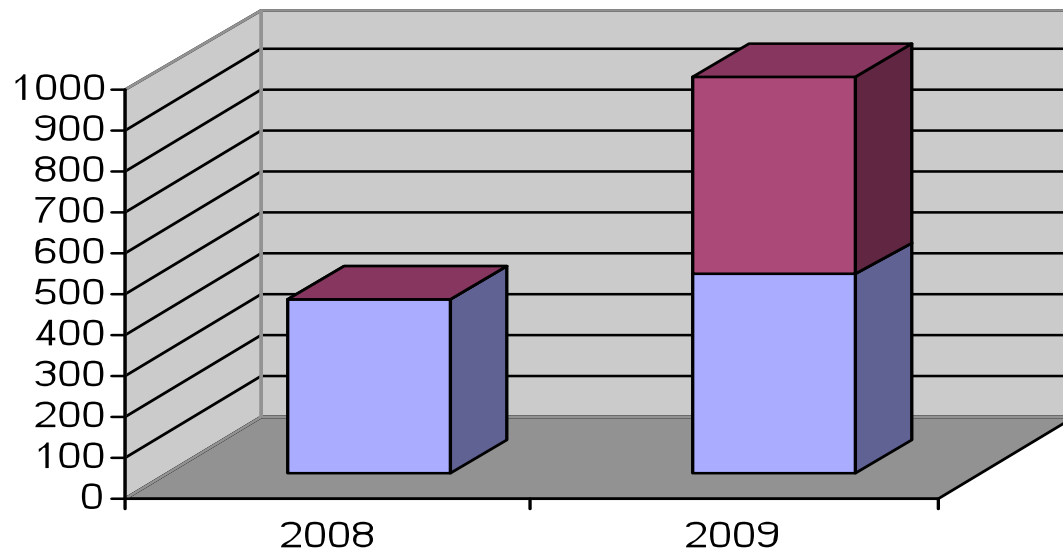
858
Proposals

123
Awards

\$672,123,031

\$69,632,199

Proposal Comparison April 2008 versus April 2009



	Apr-08	Apr-09
■ Stimulus Proposals	0	489
■ Regular Proposals	428	487

ARRA Funding is Available Through Three Separate Sources

“Bucket” 1

Grants and
Contracts
submitted
through SPA



“Bucket” 2

Awards made
through the State
Fiscal Stabilization
Fund



“Bucket” 3

Everything Else

Significant Administrative Challenges

- How can we effectively manage the ARRA proposal and award and reporting tsunami (especially in a time of budget cuts)?
- How can we ensure a “common” set of ARRA business processes/requirements and a single reporting portal?
- How do we keep the quarterly reporting burden for ARRA from becoming a permanent (unfunded) burden?
- How do we manage the increased compliance obligations?

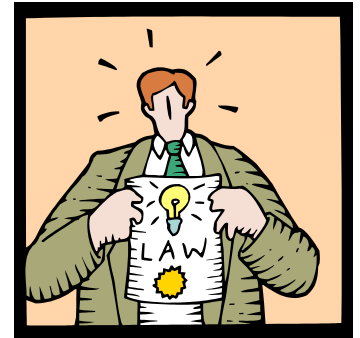


How We Prepared

- Formed a cross-functional team
- Identified the elements of reporting required by the ARRA
- Identified heightened areas of compliance created by the ARRA
- Created and forwarded a survey system-wide to identify any potential funding awards that would come into the University other than through a SPA-submitted grant or the State Fiscal Stabilization Fund (“Bucket” 3 awards)



Unprecedented Reporting Requirements



- Identified familiar reporting elements
- Concentrated efforts on reporting elements that are new or different under the law
 - Jobs Created/Jobs Saved & Project Description
 - Programmatic percent complete
 - Demographic information on Subrecipients & certain Vendors
- Ten days to complete the quarterly report

120 data elements x 4 times/yr x 100+ awards = 48,000

UMN Approach

- Created an ARRA proposal and award designation in EFS
- Identified where the reporting data elements must come from
 - PeopleSoft, HRMS, subaward data tool, subrecipients, certain vendors, principal investigators
- Created database as a tool to compile the various reporting data elements



Effort & Number of Jobs Created/Retained



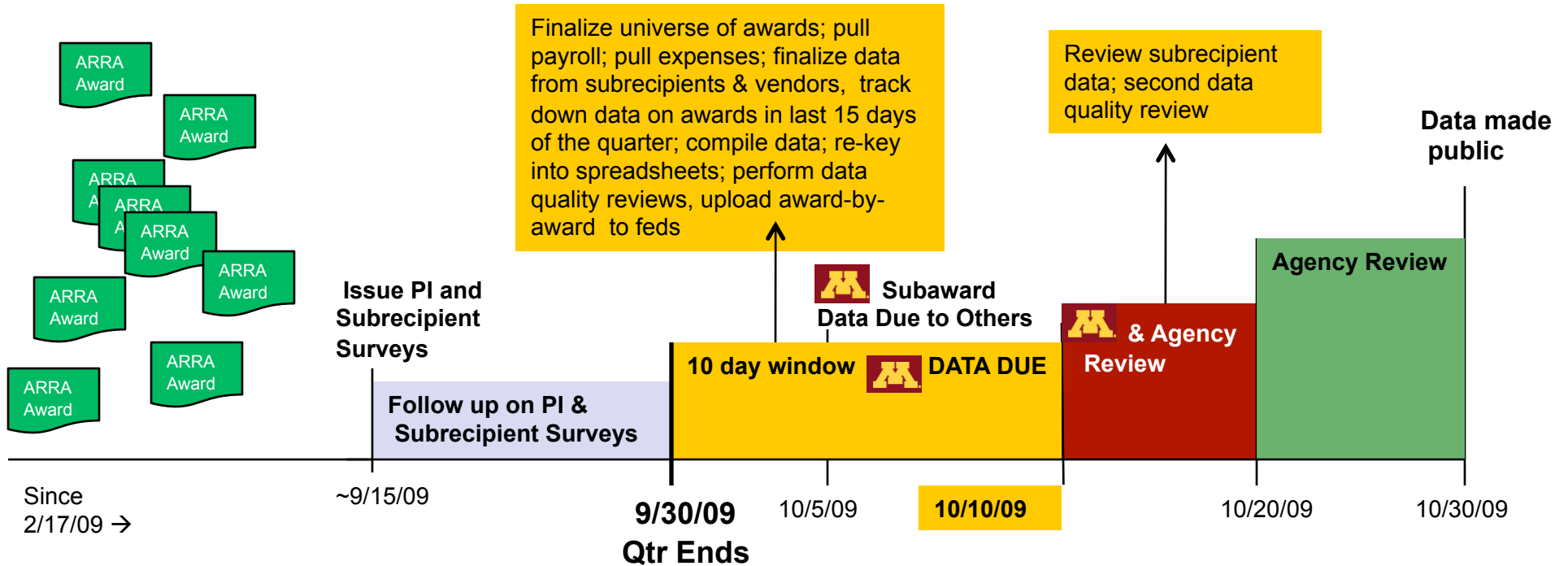
- Pull payroll information for the quarter and base the number of jobs created/retained on paid effort
- Important for departments to process timely financial adjustments, cannot wait for effort certification cycles

Quarterly Online Survey to PIs

- Log in using password in e-mail
- Survey reporting elements include:
 - Project Description
 - Project status
 - Historical number of jobs created/retained
 - Description of jobs created
- Link to Job aid in survey



Quarterly Reporting Timeline



Challenges for Principal Investigators



- Treat ARRA award differently
 - Expect scrutiny & audit of these high profile awards
 - Keep ARRA expenditures closely aligned with agency-approved budgets and work plans
 - Ensure justifications are well documented
 - Spend the funds timely
 - Promptly fulfill all special and routine reporting obligations
- Quick response for reporting information
 - Jobs Created/Jobs Saved

Things We Worry About

- Meeting the deadline
- Federal ARRA tools are outdated in comparison to existing federal reporting
- Reporting requirements becoming permanent
- Duplicative reporting
- Different interpretations of Jobs Created/Saved



Addressing the Compliance Issues

Whistleblower

- Campus-wide announcement
- Revised Ethics Point

HIPAA

- HIPAA Officer monitoring – will update as needed in Fall 2009

Subrecipient Monitoring & Reporting

- New data collection at subaward issuance
- Quarterly subrecipient survey



Addressing the Compliance Issues (continued)

Buy American & Prevailing Wage

- Special notifications in award documents
- Financial policies under review

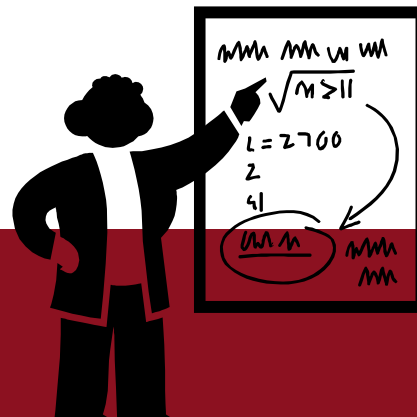


Expect lots of
Auditors!



Other Steps Taken to Prepare

- Holding information sessions and providing help for Principal Investigators and their support staff
- Developed a jobs created/jobs retained aid
- Developed a one-page ARRA reference document for sponsored awards
- Providing access to support materials, PI help-session webinars and a host of other helpful material via regularly-updated materials posted on the OVPR ARRA website



Partnerships in ARRA Readiness



- Council on Government Relations (COGR)
 - Requested OMB clarifications
 - Distributing updates to community
- Federal Demonstration Partnership (FDP)
 - ARRA web site
 - National ARRA listserv
 - Partner with COGR to create templates & job aids for community to use
- Big 10 Research Administrators



U of M ARRA Working Groups

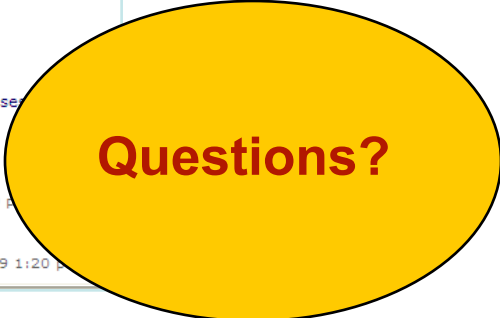
- President's ARRA Committee
 - Representatives from Compliance, Internal Audits, General Counsel, Budget Office, OVPR, Controller's Office, President's Office
- OVPR & Federal Relations
 - Stimulus web site, campus listservs & communication
- Sponsored Projects Administration & Sponsored Financial Reporting
- Sponsored Financial Reporting
 - Detailed quarterly report requirement definitions & logistics



OVPR Stimulus Web Site

<http://www.research.umn.edu/stimulus.html>

The screenshot shows the University of Minnesota OVPR website. The header includes the University of Minnesota logo and navigation links like 'U of M Home', 'MyU Portal', 'Directories', and 'Search U of M'. The main content area is titled 'STIMULUS FUNDING INFORMATION' and features two buttons: 'Join the e-mail ListServ' and 'Contact Us'. Below this, there is a 'Breaking News' section with several news items, including 'ARRA reporting on sponsored projects' and 'U of M Stimulus proposal and award activity summary now available'. A sidebar on the left contains 'What's Inside' and 'Related Links' sections.



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