



Notice of Grant Award (NGA), Acceptance, and Establishment of an Award

Sponsored Programs Certificate Series



University of Missouri

The background of the slide features a low-angle shot of a large, ornate building with a prominent dome, likely a state capitol building. The building is white with intricate architectural details. To the left, a flagpole with a flag is visible. The sky is a clear, bright blue. In the foreground, out of focus, are the branches of trees with yellow and orange autumn leaves, suggesting a fall setting. A semi-transparent white rectangular box with a thin orange border is centered over the image, containing the text.

Session Facilitators:

Chase Bunger

Research Contracts Manager

Matt Brown

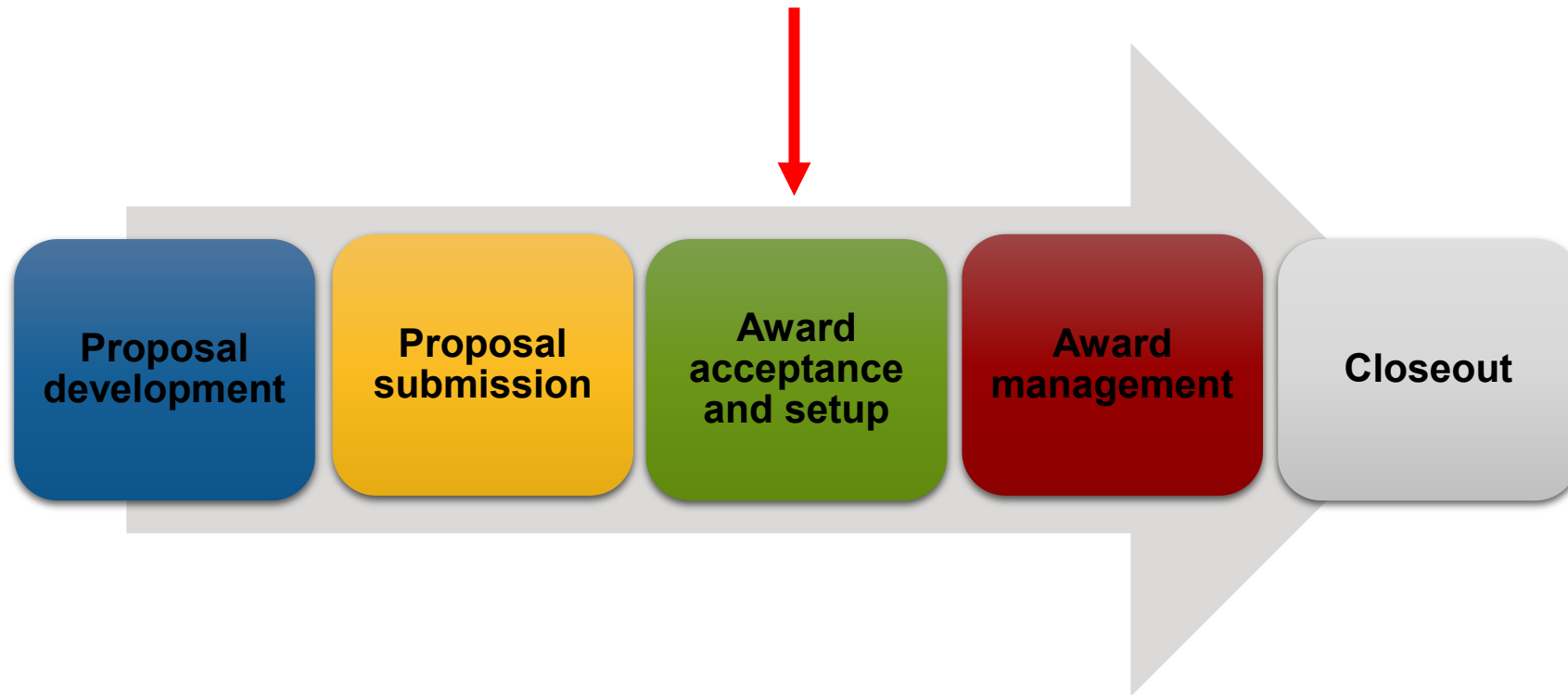
Senior Grants and Contracts Administrator

Session Objectives

- Understand the responsibilities for negotiating and accepting an award.
- Discuss items to consider before acceptance, including:
 - Specific sponsor requirements
 - Terms and conditions
 - Internal requirements/approvals
- Discuss challenges in negotiating an award.
- Understand how an award is established in the PeopleSoft Grants Module.



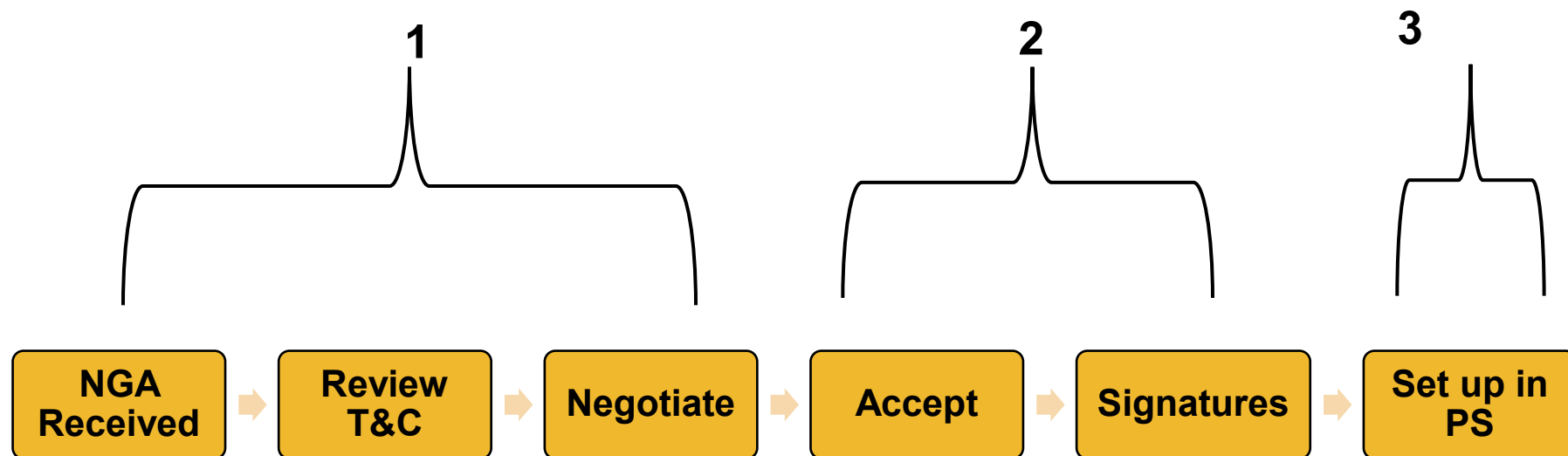
Award Cycle





General Overview

Process Overview





Initial Steps

Once agreement is received, SPA will

- Confirm if Gift vs. Grant
- Add to our Awards Dashboard
 - DRAs can request to be added to stay up-to-date
- Review terms and conditions and requirements needed to execute award
- Notify PI, DRA of award receipt



Award Notification Email

Subject: Award Notification - Action Needed | Sponsor | PI | MU Project 00012345

Dr. Brune,

We have received the attached notification of funding from Sponsor.

Please provide the following information to our office at your earliest convenience:

- Please review the attached information and indicate your approval by replying to this email.
- Please provide a revised budget for the amount provided for in the attached document.
- Please provide the cost share budget for this period and confirm this is the correct chartfield:
- Human Subjects Involved—This project includes work with human subjects. Please provide your approved IRB Project number (as provided in your “Initial Request for MU to be the IRB of Record/IRB Approval Letter”) that covers the work on this sponsored project.
- As a reminder, the Public Health Service (PHS) revised regulations concerning financial conflict of interest (FCOI) include new requirements for both MU as a PHS-funded Institution and the Investigators who work on those projects. Please expect correspondence from the MU COI Office shortly regarding FCOI requirements that must be met before expenditure of grant funds.

Please let me know if you have any questions.



eCompliance Screenshot

Date	04/25/2025
PI	<u>Brune, Hannah Marie Sultzman</u> SR ASOC DIR BUSINESS ADMIN, Sponsored Program Admin
Type of award	Notice of new award
Proposal #	0012345
Project #	00012345
Project title	Changing the World Research
Sponsor	Federal Agency
Sponsor award #	123456
Originating sponsor	
Award period start date	
Award period end date	
Total award amount	
SGCA	<u>Brown, Matthew Christian</u> PORTFOLIO MANAGER II, Sponsored Program Admin
DRAs	<u>Bunger, Chase L</u> ADMINISTRATIVE CONSULTANT SR, Sponsored Program Admin

Notes

To Do List:

Name	Completed	Comments
<input checked="" type="checkbox"/> ACUC	<input type="checkbox"/>	Submitted to <u>ACUC</u> portal
<input checked="" type="checkbox"/> Budget (Revised)	<input type="checkbox"/>	Requested updated budget for award amount
<input type="checkbox"/> C/S approvals	<input type="checkbox"/>	
<input type="checkbox"/> C/S chartfield string	<input type="checkbox"/>	
<input checked="" type="checkbox"/> CFDA	<input checked="" type="checkbox"/>	Confirmed on award document



Negotiations

- SGCA initiates and negotiates with sponsor
- Other units involved
 - Office of General Counsel, Division of RII
- Items commonly negotiated
 - Indemnification, Jurisdictional Language
 - Waivers of IP, publications
 - Billing Terms
- Coming to terms
 - Finalize Agreement



PI Considerations

- Scope of work
- Budget
 - Reasonable given scope of work
- Start and end dates of award
 - Period of availability
- PI responsible for technical milestones and reporting
- Intellectual property and publication waivers



MU Considerations

Jurisdiction & Choice of Law

- Where a particular dispute is heard
- Whose laws will we use to adjudicate such dispute
 - Missouri? - BEST
 - Silent? – Fine
 - Other US States (except Louisiana)? – Not great but probably OK
 - Other countries? Not acceptable without further discussion



MU Considerations

Indemnification & ADR/Arbitration

- Indemnification = Stepping into the shoes of the defendant
 - Missouri law prohibits, except to the extent “permitted by law and without waiving sovereign immunity”
 - One of the most difficult things to accept in an agreement
- Alternative Dispute Resolution
 - Non-binding? – Fine
 - Binding? – Not acceptable



MU Considerations

Confidentiality Language – Missouri Sunshine Law

- “Or as otherwise required by law”
- Shouldn’t be a perpetual period of confidentiality
- Chapter 610 of the Missouri Revised Statutes
- <https://ago.mo.gov/get-help/programs-services-from-a-z/sunshine-law/>



MU Considerations

Intellectual Property

- Ownership follows Inventorship – BEST
- Joint ownership – Not ideal, but probably OK
- Anything else (Assign IP to Sponsor, exclusive license) – Requires waiver
 - May require discussions if there is Background IP of MU to be used
 - Less problematic if testing a sponsor's background IP



MU Considerations

Publication Language

- MUST retain our PI's ability to publish except in very limited circumstances
- Sponsor may review and comment on proposed publication, but do not agree to “review and approve” language
- Any requirement to approve requires a publication waiver, signed by the Provost
 - A student's ability to publish their thesis/dissertation **must not** be infringed upon



MU Considerations

Invoicing & Payment Language

- When working with smaller companies, particularly on SBIR/STTR grants, need funds up front
 - If a Sponsor refuses, we will come to department for approval to move forward and accept risk
- Requests for Supporting Documentation – Not preferred, depending on detail level
- Currency/Exchange Rate Risk



What Delays Acceptance

- PI has not yet approved
- Terms and conditions
 - Negotiations
 - Waivers (IP, Publication) & other internal paperwork needed
- Sponsors!



Barriers to Acceptance?

- PI's commitments to awards
 - Similar scope of work
 - Effort over-commitment
- Budget significantly reduced
- Non-negotiable terms and conditions that cannot be accepted
- Barriers to obtaining certifications (IRB, ACUC, COI, EHS) or approval of waivers (IP, Publication or IDC)



Acceptance

What is Needed to Sign an Award and Return it to the Sponsor?

Each item is only needed if it is applicable to the award.

- PI Approval
- Department Chair and Dean Approval
- Compliance Approval
- Legal Approval
- Export Control Approval
- Indirect Cost Waiver (if not completed at proposal)
- IP Wavier
- Publication Waiver
- Risk Management/Insurance Approval
- PSRS (if straight to award)



Acceptance

- After PI approves and terms are negotiated
- Fully-executed/accepted award
 - Delegation of Authority
 - Bilateral signature: both MU AOR (SPA) and sponsor
 - Unilateral signature: sponsor only
 - Drawdown of funds
- When can spending start?



Setting up Award

What is Needed to Set Up an Award and MoCode?

Each item is only needed if it is applicable to the award.

All items needed to execute award AND..

- FCOI Expend Funds Email
- ACUC Protocol Email Approval
- IRB Approval
- EHS Approval
- Revised Internal Budget
 - (provided PI has approved budget amount, Department Chair and Dean have approved as well)
- Cost sharing Chartfield string





I need my MoCode!

- SGCA determines if MoCode can remain for renewals
- SGCA sets up award in PS and sends PI/DRA Grant Award Summary (GAS) and MoCode
PROCESS: Pre-Award - \$0 Budget
- SGCA completes Award Checklist
 - Routes to Post-Award Team for review



Setting up Award

When to Add a New Project or New Award

Carryover Not Allowed or Not Automatic: New Project or New Award

- If the sponsor will not allow automatic carryover or will not allow carryover at all, we need to segment each year of funding in Peoplesoft. This can be done via a new project or a new award. Please confirm with your post-award team on their preference.

Split Funding Sources: New Award

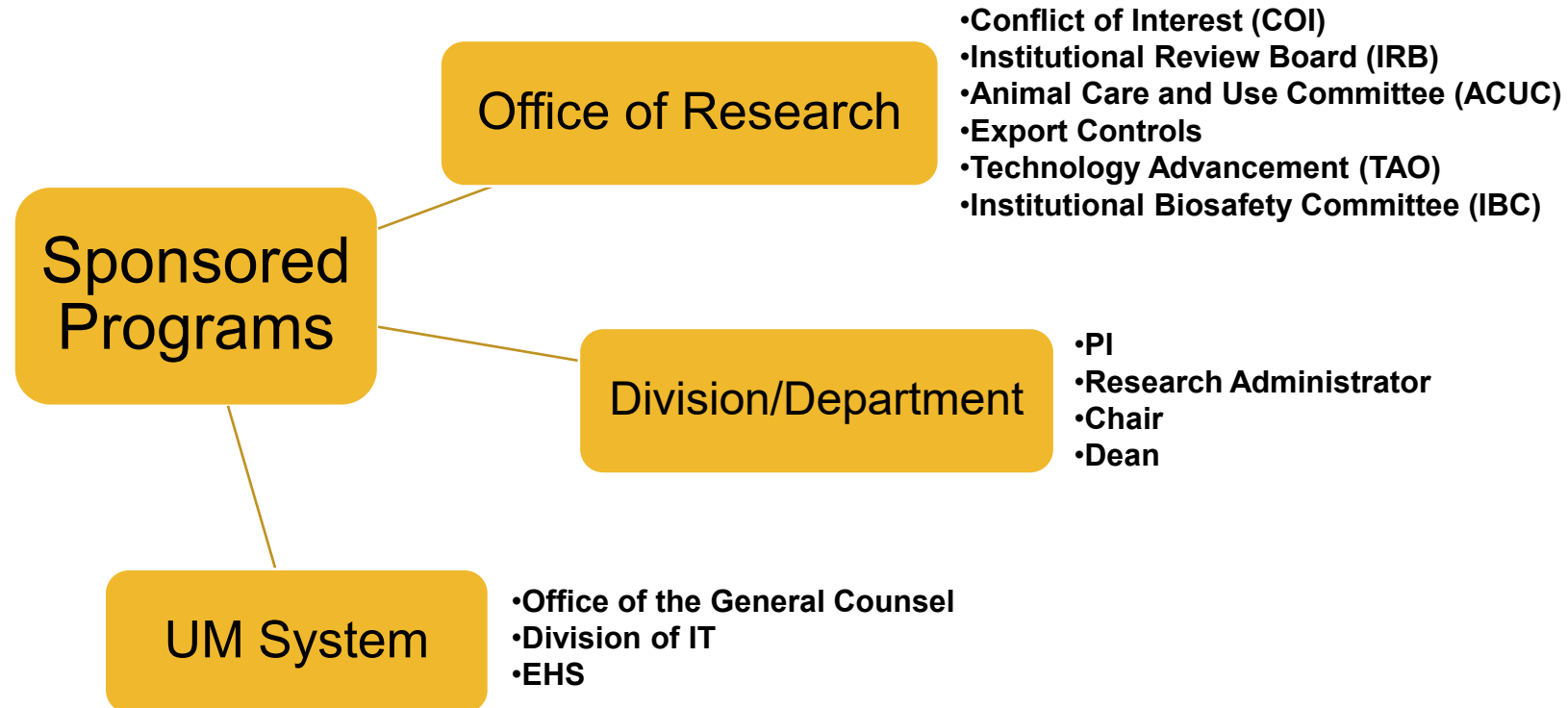
- The ALN number is tied to the award profile so if you have a project that has one of the following, you will need a separate award:
 - The ALN number changes in the middle of the period of performance.
 - There is more than one ALN number associated with the funding.
 - There is a combination of federal and non-federal funding.

Split Payment Methods: New Award

- The payment method (Cost Reimbursable, Fixed Price, or Fixed Unit Price) is determined by the billing plan which is located on the award profile. If you have a project with more than one payment method, you will need a different award.



Award Acceptance and Setup



Concluding Points

- Accepting an award is a collaborative process.
- Sponsor policies and award T&Cs are unique; these differences have an effect on the negotiation and acceptance process.
- There are terms and conditions that the University can and cannot accept in the best interest of both the University and the PI.
- Establishing an award follows the T&Cs.



Please reach out!

**Senior Grants and Contracts Administrator
(SGCA)**

<https://docs.research.missouri.edu/ospa/OSPAPreAwardTeam.pdf>

Sponsored Programs Administration

grantsdc@missouri.edu



Research, Innovation & Impact
University of Missouri



Thank you!