

Basics of Federal Contract Administration

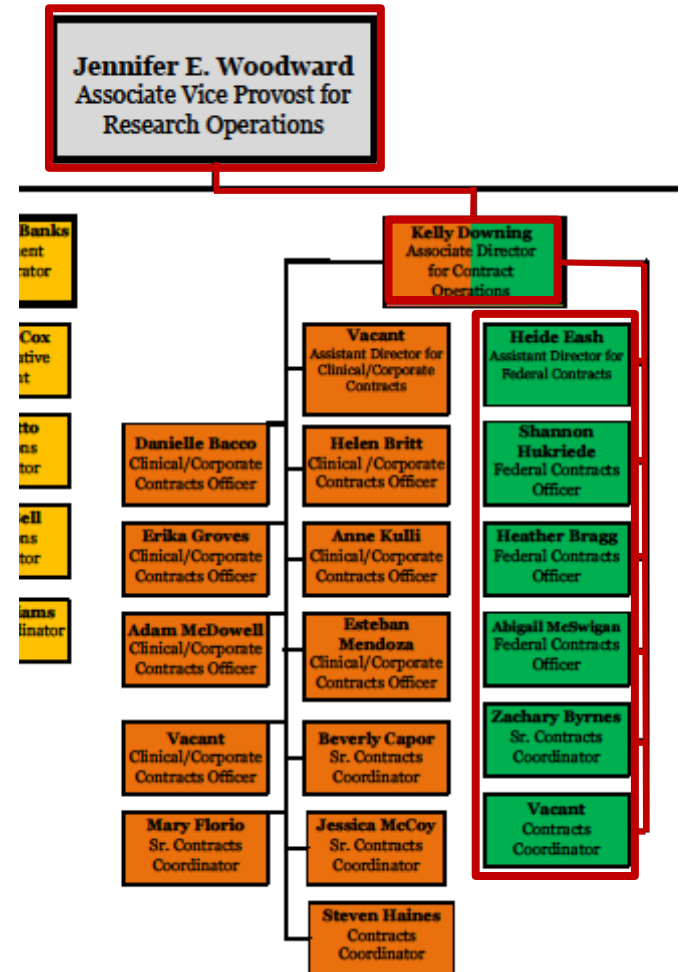
Faculty and Staff Development Program

4/9/15

Presented by the Office of Research, Federal Contract Services:
Heide Eash – Assistant Director for Federal Contracts

Background: Who is your contact?

- Federal Contract Services – Fed. Con. Officers (FCO), Sr. Coord., and Coord.:
 - Contracts from Federal Government
 - Subrecipient Agreements where Federal Government Contract is prime source
 - Non-Financial Agreements Related to Federal Contracts: (see <http://www.research.pitt.edu/fcs-ancillary-agreements>)
 - Responsibilities broken out (see <http://www.research.pitt.edu/sites/default/files/u25/FedConResponsibility.pdf>)
 - See <http://www.research.pitt.edu/fcs-federal-contract-services>



Background: Who is your contact?

- Grants and Contracts Officers (GCO):
 - Grants
 - Cooperative Agreements
 - Contracts from Foundations and Other Non-Profit Organizations
 - Hybrid Agreements (i.e., Cooperative Agreement with FAR clauses listed)
 - Subrecipient Agreements from these prime sources
 - See <http://www.research.pitt.edu/gms-grants-management-services>
- Clinical and Corporate Officer (CCO):
 - Corporate Funded Agreements
 - Non-Financial Agreements Unrelated to Federal Contracts
 - See <http://www.research.pitt.edu/ccc-clinical-and-corporate-contract-services>

Background: Difference between Grants and Contracts

- Federal Contracts:
 - Used as a *procurement* funding mechanism (i.e., buyer/seller) for the direct benefit or use of the U.S. Government
 - Relatively inflexible as to scope of work, budget, and other changes
 - Governed by statutes, rules and regulations (e.g., Federal Acquisition Regulations, FAR)
 - Require frequent reporting
 - Failure to perform can result in potential legal action or financial consequences
 - May be *unilaterally* awarded at proposal stage without ability to negotiate terms and conditions
- Federal Grants:
 - Flexible funding mechanism to support public purpose (i.e., assistance mechanism)
 - Flexibility to change scope of work, budget, etc.
 - More freedom to adapt project and less responsibility to produce results
 - Usually only annual report
 - Failure to perform not likely to result in legal action or financial consequences

Background: Federal Contract Basics

- Always trace funding back to prime sponsor,
 - If modification/amendment, may require going back to original
- Federal Contracts have many forms, such as:
 - Standard Contract
 - Order for Supplies or Services
 - Master Agreements with Task Orders
- Federal Government uses same template for Contracts and Cooperative Agreements
 - Template will say “Contract No.” regardless of type
- Prime Sponsors may call a Subrecipient Agreement a “Subcontract” even if from a Grant.
- Good resource: Federal Procurement Data System
<https://www.fpds.gov/>

Background: Federal Contract Basics Cont.

- Contain Federal Acquisition Regulations, FAR:
 - Set of uniform policies and procedures for acquisitions by the Federal Government
 - Government shorthand to special terms and conditions
 - Applicable based on type of work or organizational structure of contractor
 - Compliance is mandatory if contained in your agreement and applicable to the work
 - Usually contained in “Contract Clauses” section of contract (Section I)
 - Each Government Agency has Supplement (e.g., DFAR, HHSAR); to provide direction and guidance about how an agency should implement a FAR
- Existence of FAR clauses could indicate hybrid agreement

Background: Roles Within UPitt for Federal Contracts

- Principal Investigator (PI):
 - Conduct work:
 - Within time proposed
 - On budget
 - In compliance with terms and conditions of the award
 - Interact with Contracting Officer's Representative (COR)
 - Submit reports/review monthly accounting
 - Monitoring of Subrecipients (Consultants, Subcontractors, Purchased Services, etc.) for:
 - Scientific
 - Spending
 - Reporting

Background: Roles Within UPitt for Federal Contracts

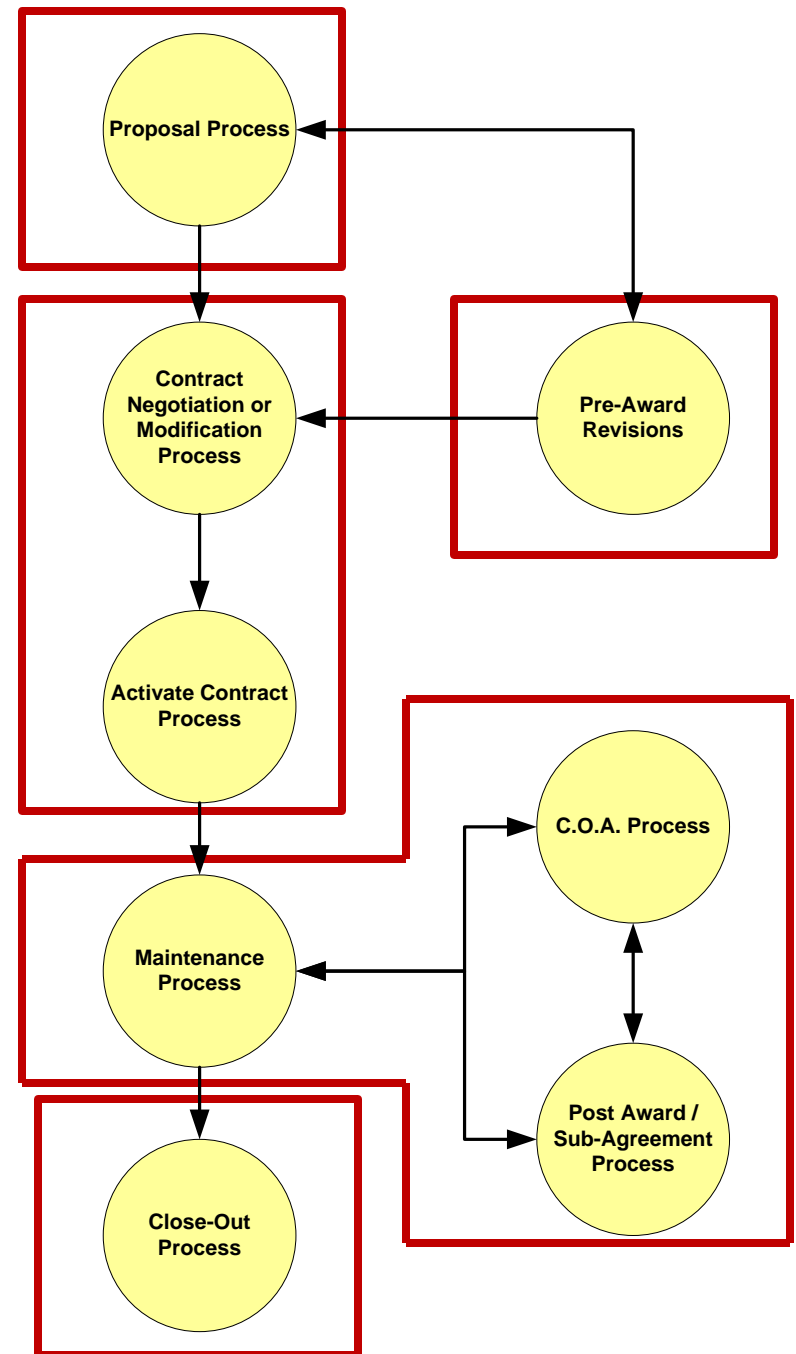
- Department Administration (DA):
 - Interact with OR
 - Assist PI with reports and post-award matters
 - Submit invoices to Research Cost Accounting
 - Submit payment requests to Payment Processing (for Subrecipients)
- Office of Research (OR):
 - Check Compliance (i.e., IACUC, IRB, COI Disclosure/Training)
 - Negotiate terms and conditions
 - Interact with Contracting Officer (including for prior approvals)
 - Primary POC for questions before going to sponsor
 - **Institutional signatory (authorized by Board of Trustees to bind University to terms and conditions)**

Background: Roles Within Government for Federal Contracts

- Project Officer or Contracting Officer's Representative (**COR**):
 - Monitoring technical progress
 - Recommending changes in requirements to the Contracting Officer
- Contracting Specialist (**CS**):
 - Carries out most procedural steps (with approval of CO)
 - No authority to make changes
- Contracting Officer (**CO**):
 - Only person authorized to direct or negotiate changes to Statement of Work, Period of Performance, delivery schedule
 - Authorizes reimbursement of costs

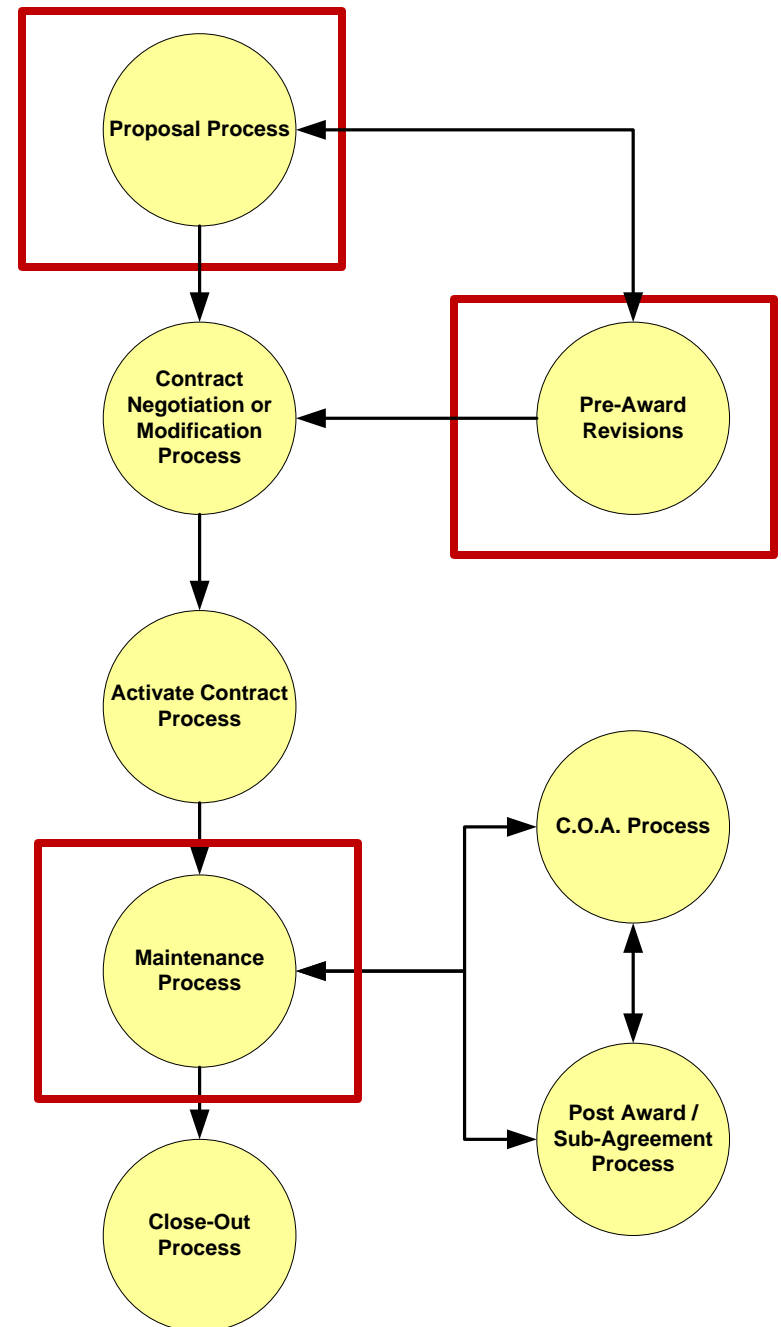
Process Overview

- Proposal Stage – The Engagement
- Pre-Award Revisions/Questions – The Pre-Nup
- Contract Award – The Wedding
- Contract Post-Award – The Marriage
- Closeout – The Separation



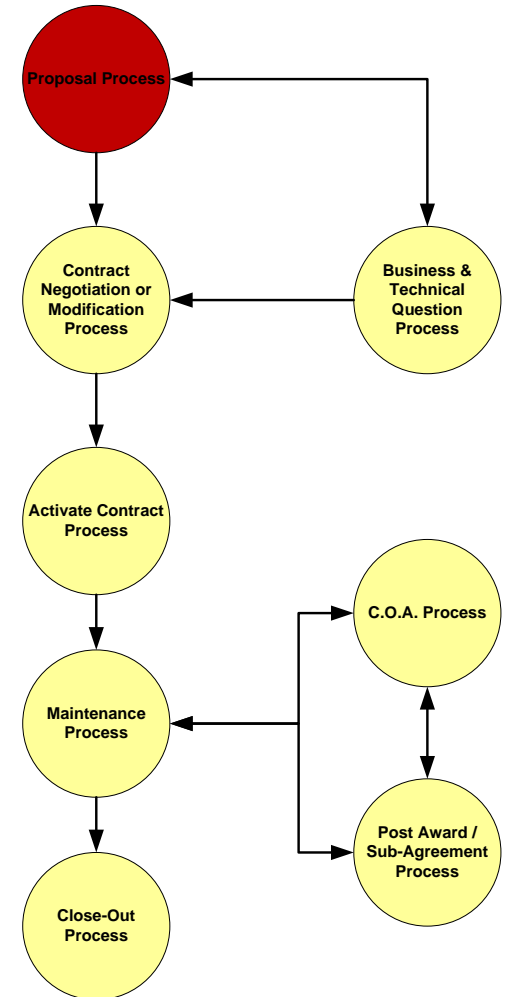
Basics – Initial Proposal, Pre-Award Revision, and Midstream Proposal Process

- Proposals must be approved by OR
- All proposal paperwork can be submitted electronically via orfedcon@pitt.edu.
- Department is responsible for submission to sponsor.
 - If sent electronically, OR should be copied on email (orfedcon@pitt.edu).
 - If sent paper, OR should be provided a final copy.
- Deadline of **five** business days.
- Pre-Award Revisions and Midstream Proposals are located in Agreements Tab in InfoEd. Proposals are located in the Activity Log.



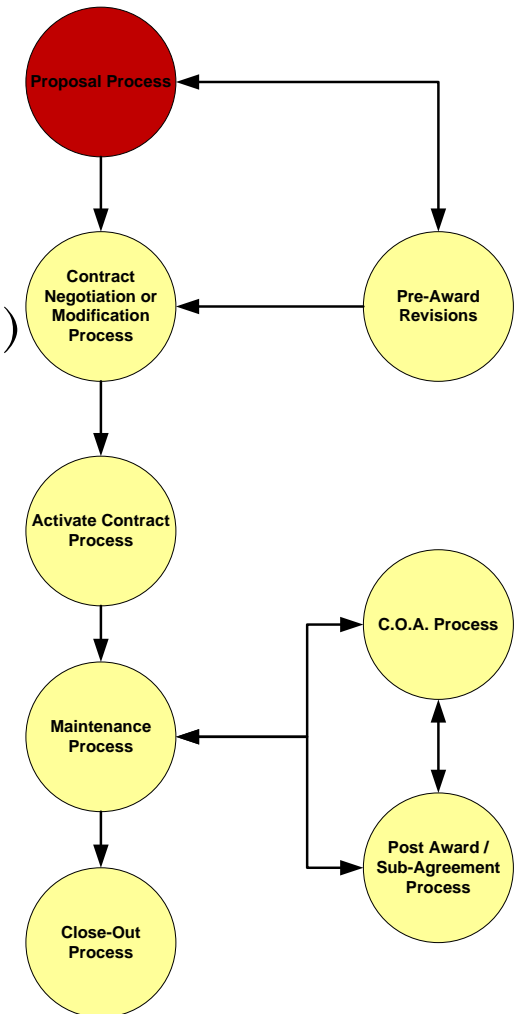
Federal Contract Award Pathway: Initial Proposal

- What does UPitt need to submit to the Sponsor?
 - Follow instructions listed in the Request for Proposal (RFP) (aka, Solicitation, Guidelines, etc.) found at: <https://www.fbo.gov/>
 - Usually the proposal package involves two parts (with several additional forms):
 - Business Proposal
 - Technical Proposal
 - You do not need to use traditional “grant forms” (e.g. SF424) unless required to do so by the RFP
 - Generally – no Grants.gov or NSF Fastlane
 - Submissions are usually hard copy, but may sometimes be accepted via e-mail



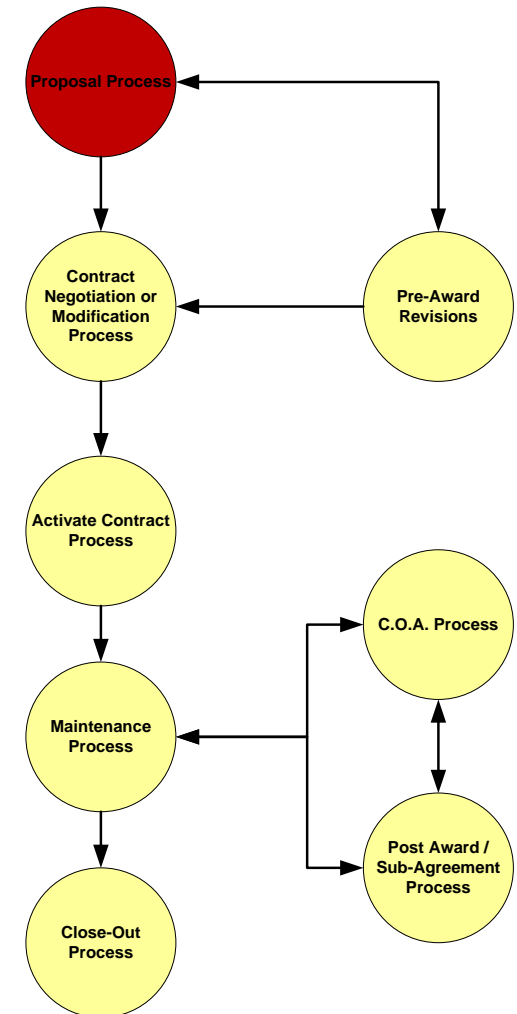
Federal Contract Award Pathway: Initial Proposal

- What do you need to submit to the Office of Research?
 - Draft Technical Proposal (*Final IT Security language, if applicable*)
 - Stock 0136 Forms
 - Final Business Proposal (i.e., budget, justification, etc.)
 - Copy or Link to RFP/Solicitation/etc.
 - Any additional forms that need Institutional Signature
 - Complete list of personnel working on project (full legal names)
 - Waivers, if applicable (i.e., subaccount, F&A, etc.)
 - Subrecipient(s) information, if applicable (Commitment/Endorsement, budget, etc.)
- As much advance notice as possible is appreciated when submitting a proposal
- **FIVE** day deadline



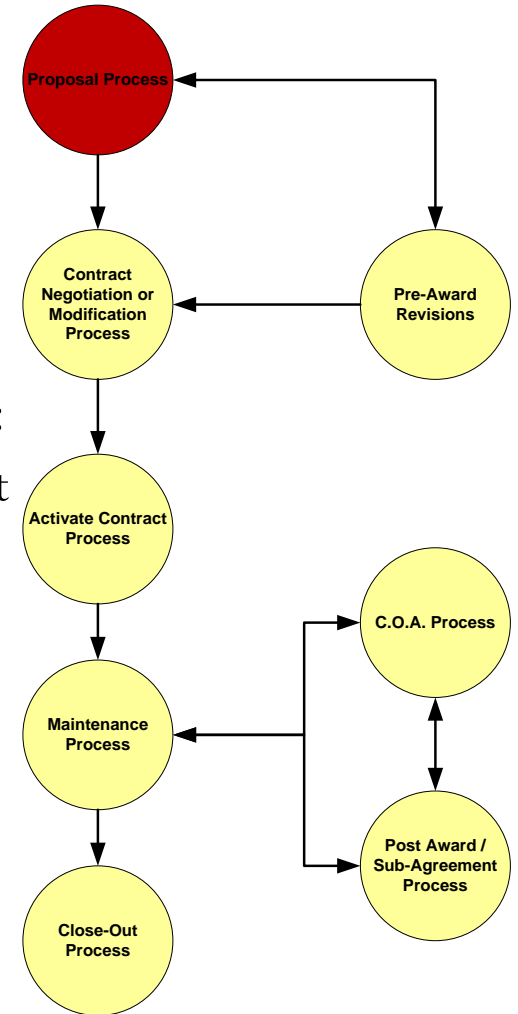
Federal Contract Award Pathway: Initial Proposal

- What does the Office of Research do when it receives my proposal?
- We review:
 - the solicitation (contains many of the terms and conditions that will be included in the final award)
 - the Final Business Proposal
 - the Draft Technical Proposal
 - Compliance Items (i.e., COI Disclosure/training for Key Personnel per Pitt and not just per award, screen personnel, etc.)
- Recommend conferral with CSSD, if needed
- We draft an Endorsement Letter (also called an Exceptions Letter)
- We complete Representations and Certifications, if applicable
- We obtain institutional endorsement



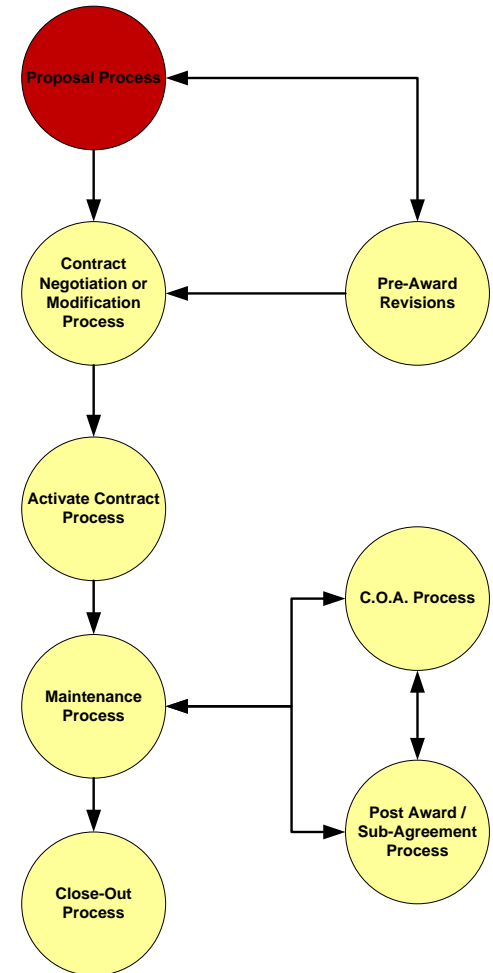
Federal Contract Award Pathway: Initial Proposal

- Business Proposal (aka – Budget and Justification)
 - This **MUST** be as detailed as possible
 - In the format required by solicitation or sponsor
 - Costs should be “accurate, complete, and current” (as referenced by FAR clause 15.406-2):
 - Rates must follow Federally Negotiated Rate Agreement (http://www.cfo.pitt.edu/rca/ca_rateinfo.html)
 - For proposals over \$750,000 (entire project) government requires certification of current cost or pricing
 - A **failure** to provide correct cost data may result in:
 - Reduction of final award
 - Criminal and Civil penalties to investigator, administrators, and/or University



Federal Contract Award Pathway: Letters of Intent

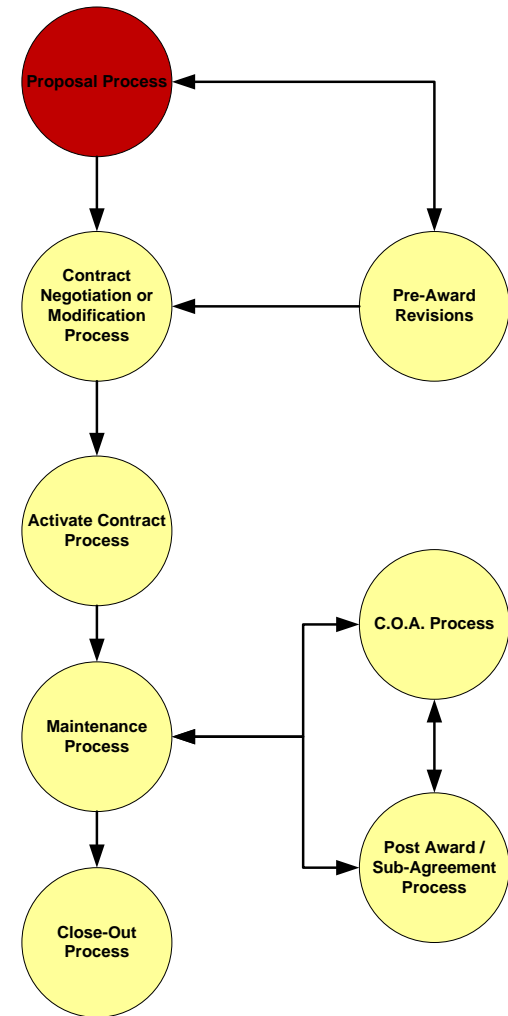
- When the University of Pittsburgh will be a Subcontractor under another organization's Federal Contract proposal - the Office of Research **must** sign the Letter of Intent **before** any information is submitted to UPitt sponsor.
- What should be submitted to the Office of Research?
 - A draft Letter of Intent (unsigned via email, for OR edit and review)
 - Detailed budget and justification
 - Statement of Work (SOW)
 - Stock 0136 Forms
 - RFP/Solicitation/etc.
 - Any additional forms required by our sponsor
 - List of full legal names of personnel working on project
 - Waivers and Subrecipient(s) information, if applicable



Federal Contract Award Pathway: Endorsement Letter

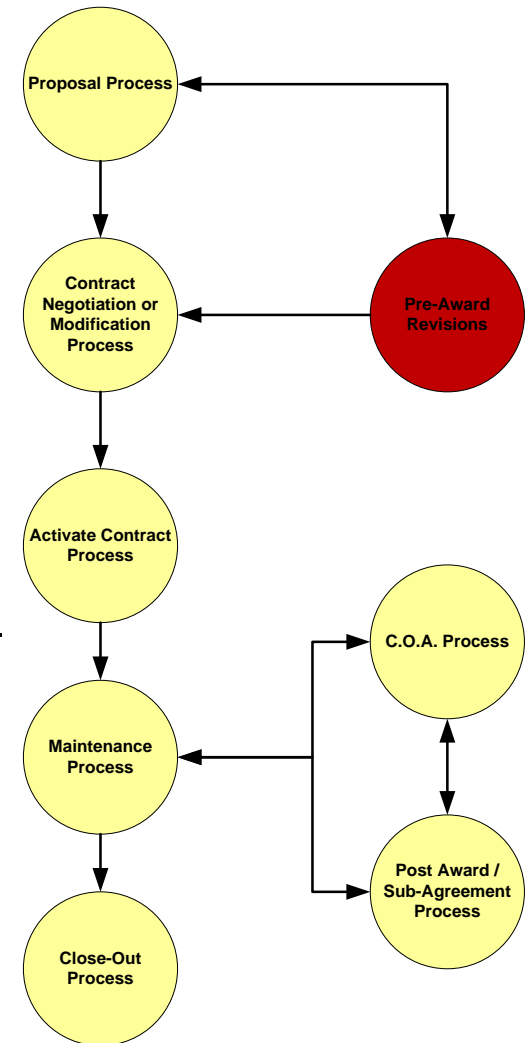
CRITICALLY IMPORTANT

- Provides official Institutional endorsement of the proposal, Letter of Intent, or Pre-Award Revision
- Provides a listing of any and all exceptions the University takes to the proposed terms and conditions
- Provides general capabilities statement for the University
- Provides a policy statement regarding the University's Openness in Research Policy (<http://www.research.pitt.edu/sites/default/files/u23/OpennessinResearch2.pdf>)
- Without it, the sponsor may issue the award without further negotiations with the University
- Must be included with ANY submission to the sponsor related to the proposed project.



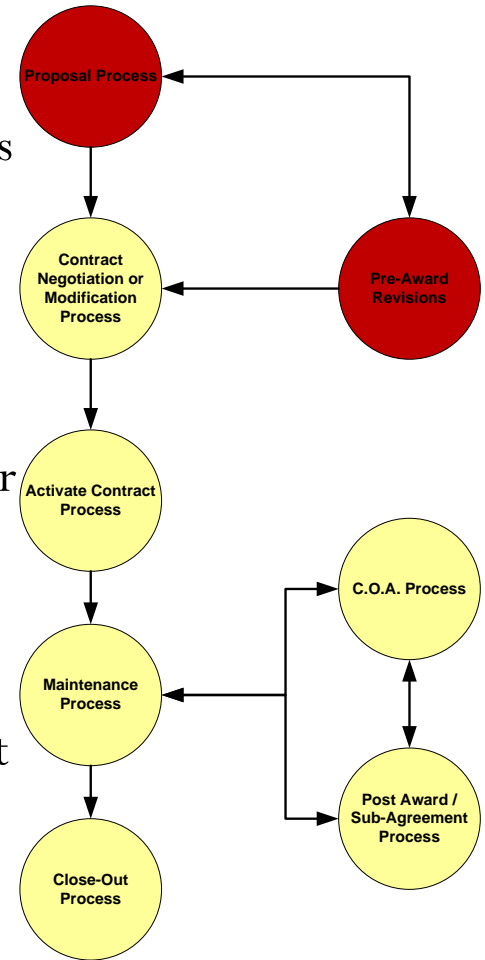
Federal Contract Award Pathway: Business and Technical Questions (Pre-Award Revisions)

- Received after the Initial Proposal
- Considered to be “*Negotiations*”
- Usually a series of specific questions relating to both the Business Proposal and the Technical Proposal
- Similar to “Just-in-Time” process for Grants
- **VERY** short turn-around times (sometimes less than five days)
- Could be several rounds
- **All responses** should be submitted in consultation with the Office of Research



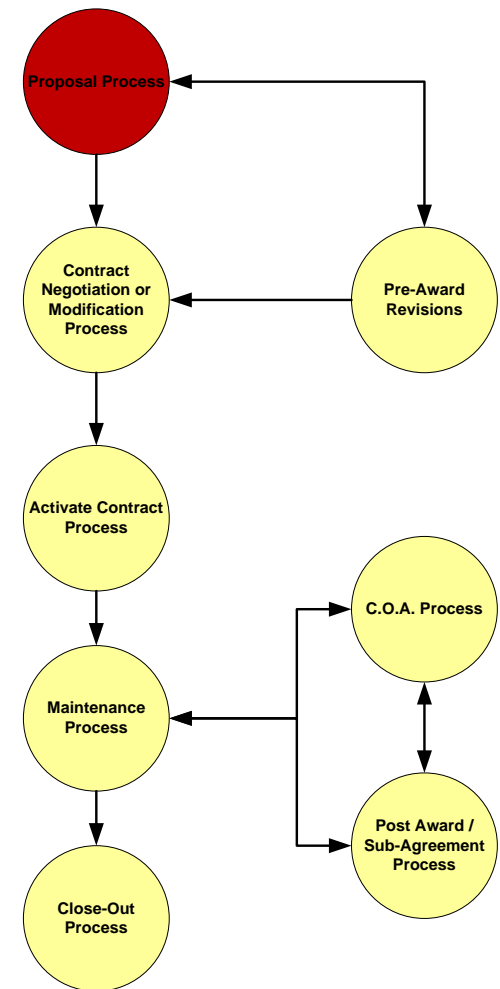
Federal Contract Award Pathway: Other Pre-Award Issues (Pre-Award Revisions)

- Representations and Certifications
 - Required with all Federal Contract submissions
 - Completed by the Office of Research, but sometimes requires PI/department input
- Certification of Current Cost or Pricing (FAR 15.406-2)
 - Required for Federal Contract Submissions with a total value exceeding \$750,000 (all years, including Subrecipients)
 - We prefer not to submit until required by Contracting Officer
- Small Business Subcontracting Plan
 - Required for Federal Contract submissions with a total value exceeding \$650,000
 - Completed by Purchasing after OR approves final budget, but prefer not to submit until required by Contracting Officer
- Lobbying Disclosure Form
 - Sometimes required
 - Completed by the Office of Research



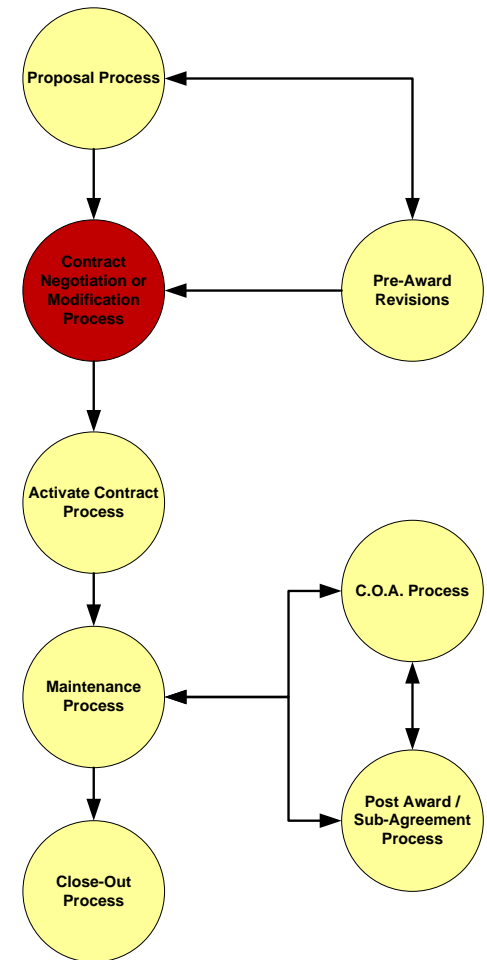
Federal Contract Award Pathway: Final Proposal Revision (BAFO) (Pre-Award Revisions)

- Replicates the Initial Proposal, but incorporates all the changes made during the Business and Technical Questions process
- Different Forms: Business and Technical Questions, Best and Final Offer (BAFO), Final Proposal Revision (FPR)
- Will be used as a basis for the final awarded Contract
- It is critical that your costs be accurate, complete, and current:
 - Additional funds **will not** be available to cover any miscalculations
 - **Miscalculations could result in reduction of Contract amount**



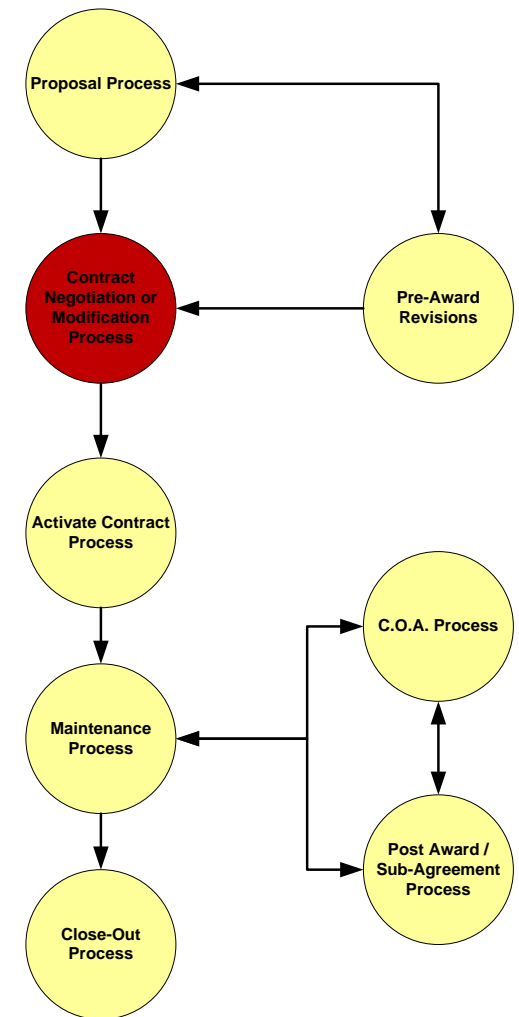
Federal Contract Award Pathway: Contract Award Negotiations

- Once the final award is received, OR will:
 - Complete a comprehensive review of the award (including terms and conditions incorporated by reference)
 - Negotiate the award with the Government (or other entity if we are a Subcontractor)
- Government often provides a tight timeframe for negotiations
- Negotiations can be lengthy (particularly where we are a Subcontractor)
- Negotiations are handled by FCOs, but could require input from other central offices



Federal Contract Award Pathway: Contract Award Negotiations

- Hot Button Issues for the University (e.g., things that can cause problems in negotiations)
 - Significant restrictions on the University's right to publish
 - Intellectual Property and Data Rights (e.g., sponsor wants to "own everything")
 - Confidentiality
 - Patent Indemnity
 - Insurance and Liability
 - Warranty
 - Export Control
 - Privacy Act, FISMA, and/or IT Security



Break Time

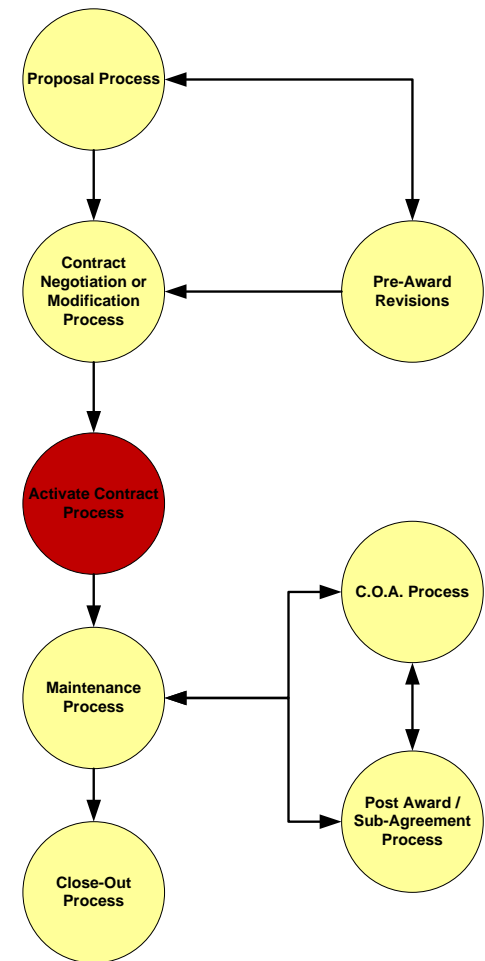
*So the Contract has been
signed by the University...*

Now what do you have to worry about?



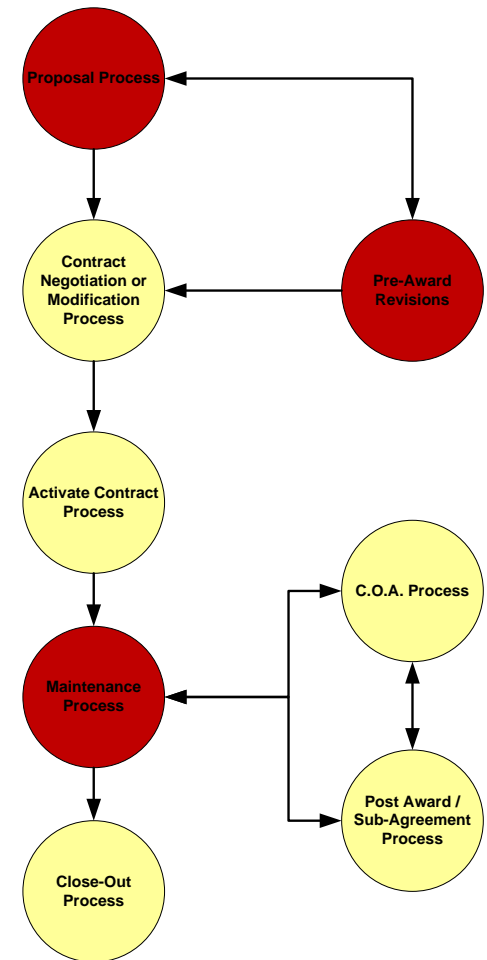
Award Activation Process: What happens before a Federal Contract can be Activated?

- What does OR need?
 - Fully executed award and all necessary internal documents (i.e., Approval Memo, 0202, etc.)
 - All compliance documents (i.e., IACUC, IRB, UPMC FISCAL, proof of submission to CSSD, etc.)
 - Completion of all necessary COI Disclosures and training modules for all Key Personnel (per Pitt and not just per award)
 - NOTE: PHS funding has different requirements
- What steps does OR take?
 - Double check compliance, including CSSD proof of submission, if applicable
 - If PHS funded and “Yes” to Part II in COI Disclosure, send to COI Office for review and approval
 - Send notice to Human Resources regarding E-Verify, if applicable
 - Request Insurance Certificates, if applicable
 - Submit paperwork to Research Cost Accounting



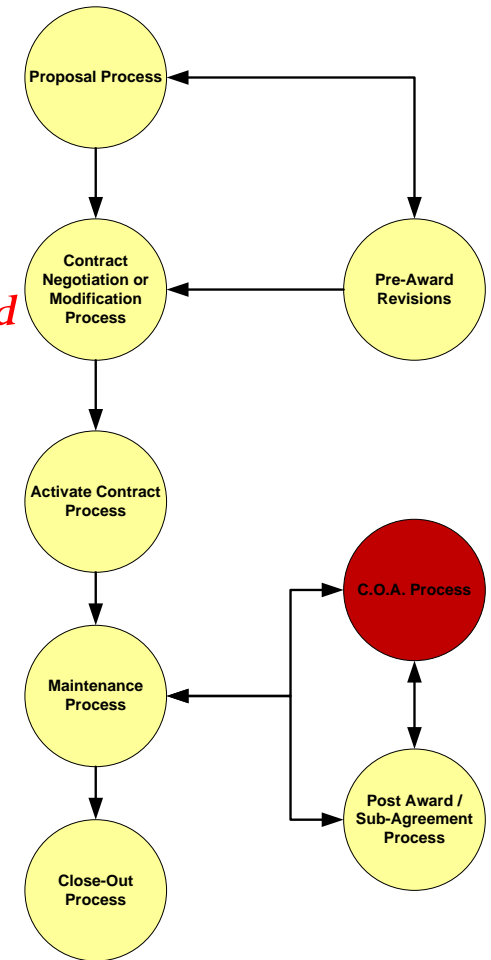
Maintenance: Midstream Proposal Process

- Prompted by sponsor after award is fully executed
- Same process as Initial Proposal:
 - i.e., would need all of the same paperwork
- OR must approve/endorse proposal
- If funded, issued as Award Modification
- Examples:
 - Request for Option Year Funding
 - Task Order Cost Estimates
 - Cost Extensions
- Located in Agreements Tab in InfoEd
- Could also have Pre-Award Revisions
- **FIVE** day submission deadline



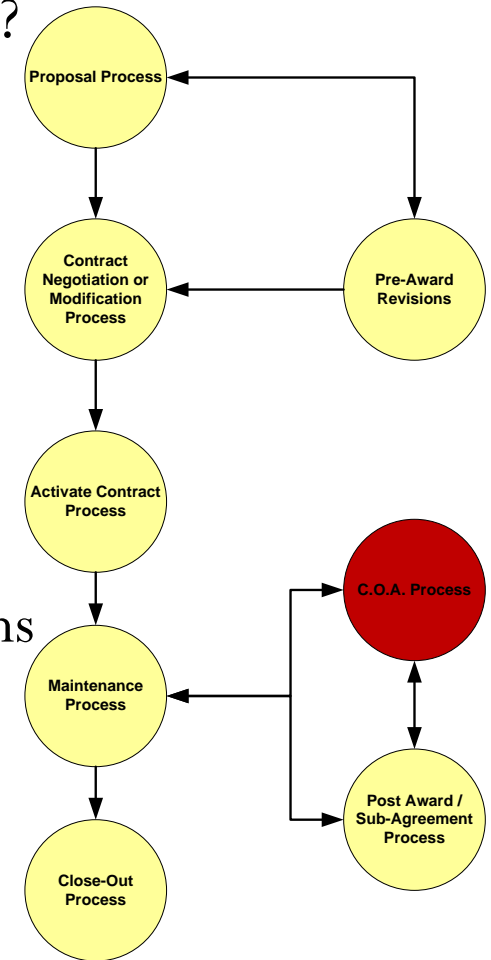
Post-Award Issues: Contracting Officer Authorization (COA)

- **MUST BE SUBMITTED THROUGH OR**
- What requires prior authorization from CO (not all inclusive list)?
 - Almost all deviations from scope of work or budget
 - *Or approval to make purchases to items listed on approved budget*
 - Consultants, Subcontracts, or Purchase Services, including all amendments to these agreements
 - Travel – foreign or to attend general scientific meetings
 - Patient care costs
 - Accountable Government Property: non-expendable personal property >\$1,000 and "sensitive items" (supplies/equipment highly desirable and easily converted to person use)
 - Addition/change of personnel



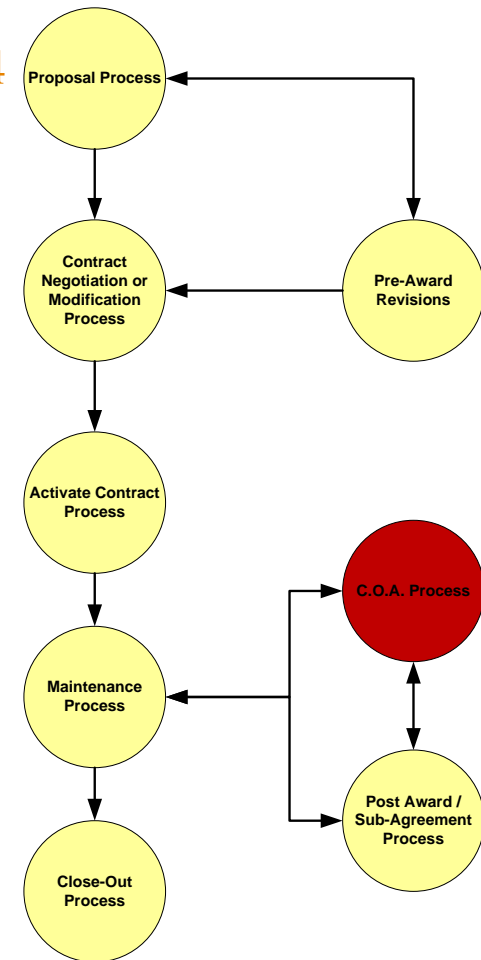
Post-Award Issues: Contracting Officer Authorization (COA)

- What requires prior authorization from CO (cont.)?
 - Acquisition of any interest in real property
 - Special rearrangement or alteration of facilities
 - Purchase or lease of **any** item of general purpose office furniture or equipment regardless of dollar value.
- Why is a COA important?
 - Keeps activities within contract terms and conditions
 - Eliminates future penalties and/or corrections later
- Why is it important to submit through OR?
 - OR is main POC, keeps everyone on same page
 - Some actions require compliance review/screenings and/or institutional review



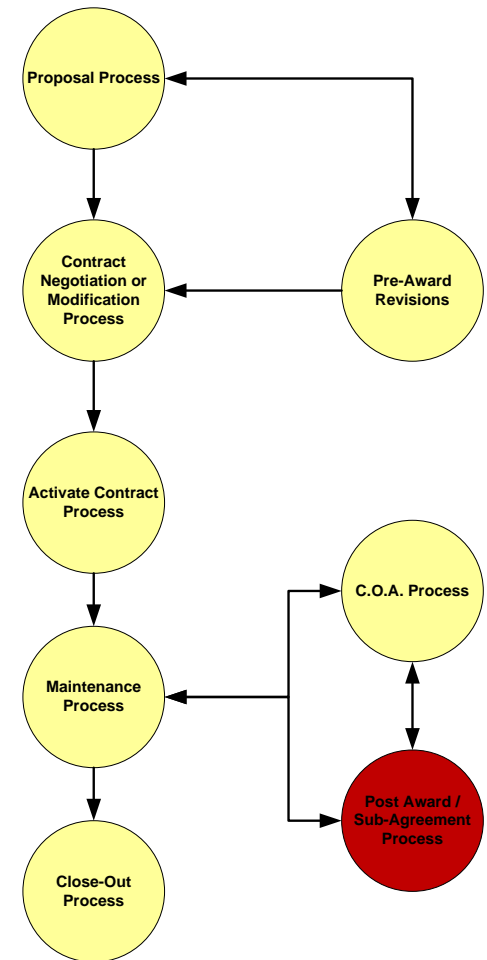
Post-Award Issues: Contracting Officer Authorization

- How do you get a COA?
 - **Submit your request to OR** using our COA request form: <http://www.research.pitt.edu/sites/default/files/COA%20Request%20Form%20-%20V1.0.pdf>
 - OR will relay your request to CO
- What information do I need to submit to get a COA?
 - Equipment/Personal Property Request:
 - At least three quotes
 - Detailed information about the item
 - Overall cost
 - Subcontracts/CSAs/PSAs/Subrecipient Agreements:
 - Evidence of competition
 - Detailed information about how you determined the cost of the Agreement
 - Detailed information about the Subrecipient
 - Certificate of Current Cost or Pricing
- See: <http://www.research.pitt.edu/fcs-contracting-officers-authorization> for further details regarding COAs



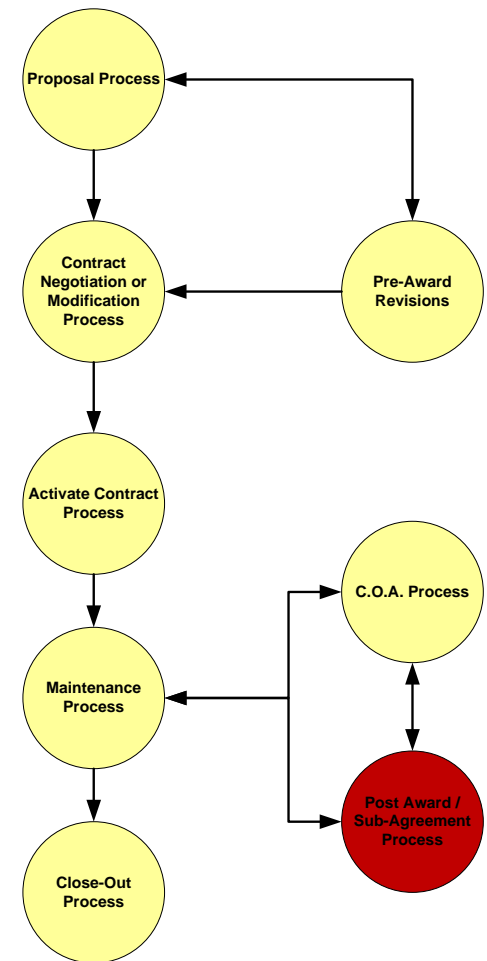
Post-Award Issues: Outgoing Subcontracts/CSAs/PSAs/Subrecipient Agreements

- The Office of Research should issue **all** Subcontracts, Contracted Service Agreements, Purchased Service Agreements, and other Subrecipient Agreements related to a Federal Contract
 - Why? Because of the extensive terms and conditions included in the Contract (and requirement to flow these down)
 - You should only work with Purchasing to make actual, physical purchases connected to the Contract.
- Note: Subrecipient agreements cannot be issued to Pitt, UPMC, or UPP employees.



Post-Award Issues: Outgoing Subcontracts/CSAs/PSAs/Subrecipient Agreements

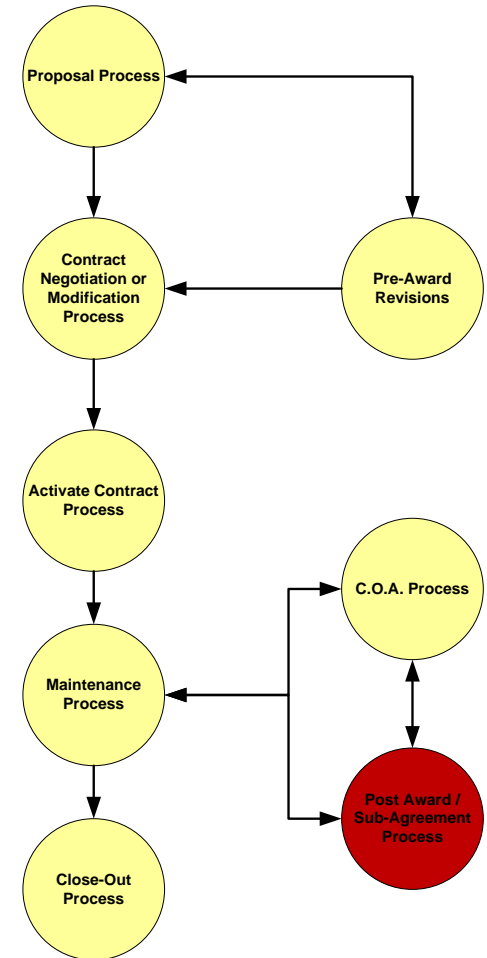
- What information does the Office of Research need to issue a Subcontract/CSAs/PSA/Subrecipient Agreement?
 - Sponsor prior approval (via COA), if needed
 - A completed Request Form (<http://www.research.pitt.edu/sites/default/files/u25/SubawardRequestForm.doc> or <http://www.research.pitt.edu/sites/default/files/u25/CSARequestForm.doc>)
 - Detailed budget, including full legal names
 - A **detailed** scope of work
- Can be sent to orfedcon@pitt.edu



Post-Award Issues: Outgoing

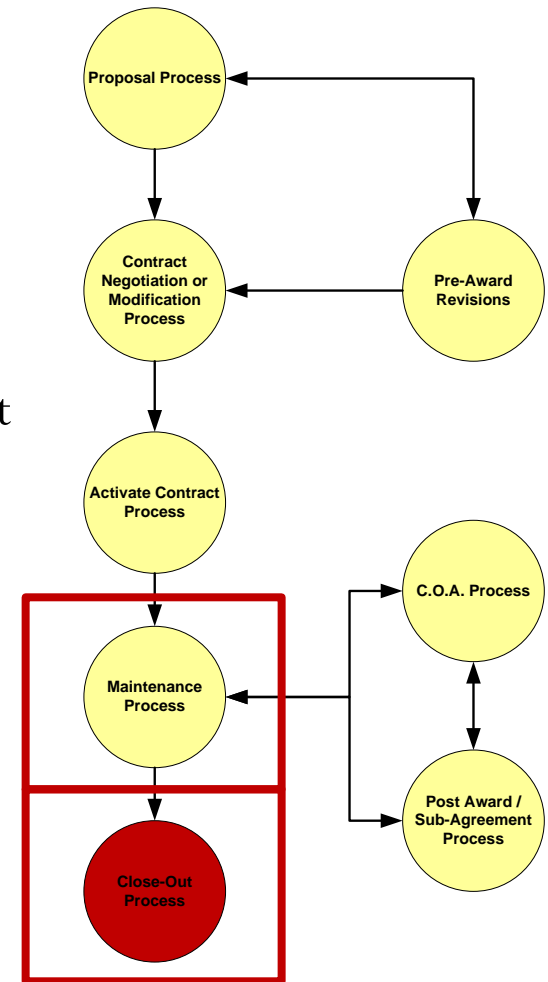
Subcontracts/CSAs/PSAs/Subrecipient Agreements

- Every request must include a scope of work.
- The following elements must be included however, these elements are *not all-inclusive*:
 - Purpose or objective(s) of the work to be performed by Subrecipient
 - An explanation of the work to be performed inclusive of special personnel, supplies, materials, equipment, or travel needed
 - Timetable or schedule of work to be performed
 - Specification of how the work's progress or results are to be measured
 - Identification of deliverables, products or expected outcomes
 - If materials, data, devices, or equipment are to be exchanged, details of what and to/from whom these items are to be sent
- NOTE: SOW should not just be a copy of the proposal submission



Post-Award Process: Closeout

- Final Closeout occurs once the award has ended:
 - However, progress reports can be required throughout the award
- Final Closeout usually includes two parts:
 - Fiscal Closeout – work with Research/Cost Accounting
 - Intellectual Property Certification – work with Office of Research
- Research/Cost Accounting typically prefers OR to submit the Final Closeout package to the sponsor - Typically, OR will hold packet until all documents are received
- Progress Reports may use Contractor Performance Assessment Reporting System (CPARS):
 - OR will download report, send to PI/Dept. for review/comment
 - PI/Dept. will need to send response to OR by due date (typically 30 days). (Can be as simple as email stating “agree”.)
 - OR will institutionally endorse report based on PI/Dept. response



Hot Topics

- False Claims Act
- Privacy Act
- FISMA/Information Security
- E-Verify
- Debarment
- Export Control
- Publication Restrictions
- Foreign National Restrictions
- Ancillary Agreements
- Small Business Subcontracting Plan

False Claims Act (Lincoln Law):

- American federal law that imposes liability on persons and companies (typically federal contractors) who defraud governmental programs.
- It includes (but not limited to):
 - "qui tam" provision - Informally called "whistle blowing"
 - Knowingly making, using, or causing to be made or used, a false record or statement material to a false or fraudulent claim;
- What can they do to me?
 - Criminal Penalties: Imprisonment (**up to 5 years**), Fine (up to **\$250k**); Elements = “knowing claim to be false, fictitious, or fraudulent”
 - Civil Penalties: Fine (**\$5k to \$10k, plus 3 times amount of damages**); Elements = “knowingly presents, or causes to be presented, ... a false or fraudulent claim”

Privacy Act - 1974

- Regulates Federal Government agency record keeping and disclosure practices.
- Prohibits disclosure of records without the written consent of the individual(s) to whom the records pertain unless one of the exceptions enumerated in the Act applies.
- Although it covers some of the same areas as the Health Insurance Portability and Accountability Act of 1996 (HIPAA), the Privacy Act is more broad and much more restrictive.
 - Per the government, it applies to the University: designing, developing, or operating a “system of records on individuals, to accomplish an agency function” including the “collection, use, and dissemination of records.”
- Each mention of the Privacy Act will include a specific “Privacy Act System of Record”, which gives further guidance to be followed for that particular project.

FISMA and Information Security

- Federal Information Security Management Act (FISMA) – 2002:
 - Signed into law because of “importance of information security to the economic and national security interests of the United States.”
 - Can include requirements for background checks, personnel security, and information system security plans.
 - Requires each federal agency to develop, document, and implement an agency-wide program.
- Information Security (IT Security):
 - Can be in addition to FISMA or in place of FISMA.
 - Includes Information Technology.
 - Included for same reasons as FISMA - “economic and national security interests of the United States”.
 - Includes similar requirements to FISMA.
 - Could include physical access, electronic access.

Privacy Act, FISMA, Information Security: Why are we Concerned?

- Standards (especially for FISMA and Information Security) can exceed what University typically implements in an academic environment; achieving compliance may require use of the University's Network Operations Center (NOC) and significant additional costs to the department (as much as six figures or more).
- Requires more scrutiny and thought over how data/information is stored and transmitted electronically and where the data/information are physically located and secured to ensure we can comply.
- All of these requirements have criminal and civil penalties that can be imposed against the university or the investigators for failure to comply.

E-Verify - FAR 52.224-54

- HUMAN RESOURCES- Michelle Fullem 624-8062 (email: mrs100@pitt.edu), Sarah Morgan 624-8036 (email: SAM268@pitt.edu), and Melissa Kluchurosky (email: mmk35@pitt.edu)
- U.S. law requires companies to employ only individuals who may legally work in the United States – either U.S. citizens, or foreign citizens who have the necessary authorization. E-Verify is an Internet-based system that allows businesses to determine the eligibility of their employees to work in the United States. The program is operated by the [Department of Homeland Security \(DHS\)](#) in partnership with [Social Security Administration](#).
- Requires all personnel to be E-Verified if being charged or working on the award
- October 7, 2009 Memo from Dr. G. Klinzing

Suspension and Debarment

- Means that the affected entity or person is:
 - Ineligible to perform federal and most state contracts, grants and cooperative agreements
 - May be ineligible to participate in or receive benefits under certain federal non-procurement programs
- Designed to:
 - Protect government from entering into relations with dishonest, unethical, or otherwise irresponsible companies and persons
 - Influence the behavior of those doing business with federal, state and local governments
- Causes for debarment:
 - Conviction of or civil judgment for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public contract or subcontract.
 - Violation of the terms of a contract or subcontract, such as willful failure to perform on one or more contracts or history of unsatisfactory/failure to perform one or more contracts

Export Controls

- Allen DiPalma, Director or Sandy Laverne, Analyst—Office of Export Control Services, echelp@pitt.edu ;
<http://www.research.pitt.edu/exco-export-control-services>
- Two main sets of laws:
 - Export Administration Regulations (EARs)
 - International Traffic in Arms Regulations (ITARs)
- The EARs and ITARs apply to both "exports" and "deemed exports" of certain items or information.
 - Exports involve the transfer of certain physical goods, information, technologies or provision of services to persons or entities outside of the United States.
 - Deemed exports involve the transfer of specific information or services to foreign nationals inside the United States.

Export Controls Cont.

- When research activities involve the transfer of a physical item overseas or a deemed export within the US, the activities then become subject to regulations, which can trigger the need for an export license.
- The EARs and ITARs provide for an exemption from the need to obtain a license for deemed export for universities engaged in the transfer of scientific, technical or engineering information to its foreign national students and faculty members.
 - "fundamental research exemption (FRE)," pursuant to which a university can, without first obtaining an export license, perform research on campus involving foreign national students and faculty as long *as the resulting information may be freely published*.

Publication restrictions

- In order to ensure that we continue to meet our goal of ensuring the broadest possible dissemination of the results of our research, the University of Pittsburgh does not support and faculty may not engage in any potential sponsored activity that involves classified research or any research that restricts the ability of the University to freely publish the results of the research.
- In order to avoid situations where issues regarding the dissemination of the research results are not identified until a program is funded, researchers are encouraged to review any specific concerns with the Office of Research at the earliest opportunity, so that alternative solutions may be explored in the furtherance of an intended research plan.

Foreign National Restrictions

- It is the policy of the University to comply with all laws applicable to research, including export control regulations.
- Because of export controls, some provisions in funding contracts may restrict dissemination of research results or limit access to the research to United States citizens.
- Such contract clauses are generally not consistent with the University's policies on openness in research and non-discrimination and will not be accepted

Ancillary Agreements

- Non-Financial Agreements (see <http://www.research.pitt.edu/fcs-ancillary-agreements>)
- Includes:
 - Non-Disclosure Agreements
 - Material Transfer Agreements
 - Equipment Loan Agreements
 - Data Use Agreements
- **VERY** important to stress to your faculty that they make it clear whether or not these will be related to a Federal Contract.
 - If related, should be handled by Federal Contracts Officer, instead of Clinical Corporate Officer.
- Could cause problems, such as Publication Restriction, if not linked back to Federal Contract work.

Small Business Subcontracting Plans (SBSP)

- PURCHASING-Renee Galloway, Supplier Diversity Administrator 624-5261, fax 624-9339 or e-mail subcontractingplans@cfo.pitt.edu.
- Proposals for any government contract expected to exceed \$650,000 require the submission of a subcontracting plan, regardless of whether such project submission is in response to an unsolicited proposal opportunity, Broad Agency Announcement (BAA), or Request for Proposal (RFP).
- Prefer to wait until sponsor asks for plan.
- Needs OR to approve finalized budget first.

Small Business Subcontracting Plans (SBSP)

- Preparing a small/disadvantaged business subcontracting plan involves **a)** integrating plan opportunities in the line item preparation of the proposal and **b)** filling out the appropriate subcontracting plan form.
- It is most efficient if your proposed budget is reviewed/approved by the Office of Research before submission to Purchasing.
 - If OR finds errors in calculations or sponsor requested changes and the budget changes, Purchasing will have to start the plan over again.

SBSP: After the plan is made...

- Purchasing Services has oversight responsibility for preparing and submitting the data that documents actual performance in terms of dollars paid to small/disadvantaged business concerns. (See Standard Forms Individual Subcontracting Report/ISR (formerly 294 Report) and Summary Subcontracting Report/SSR (formerly 295 Report) on the Researchers page <http://www.bc.pitt.edu/purchasing/researcher.html>).
- Progress reports on small/disadvantaged business goals will be submitted to the federal government, on a semi-annual basis (April 30 and October 30) by Purchasing Services through the Electronic Subcontracting Reporting System (eSRS).

SBSP: After the plan is made...

- The spend data concerning these subcontracting plan expenditures are reported from the PRISM financial system by sponsored project numbers.
- Communication is essential between the departmental contract administrator and the University's Supplier Diversity Administrator or his/her designee, to ensure that set goals are being met.
- It is the responsibility of the departmental contract administrator and his/her designee to ensure that contract spending aligns with subcontracting plan goals.

Frequently Asked Questions

- <http://www.research.pitt.edu/fcs-frequently-asked-questions>
- At proposal stage, who should I work with in OR if it isn't clear whether funding will be grant or contract?
 - FCO
- Do I need to work through OR for a letter of intent on a Federal Contract?
 - Yes
- Who drafts the endorsement letter?
 - FCO
- Is an Early Account Request available?
 - No
- Can Expanded Authorities be used for Federal Contracts?
 - No
- Can we accept an Authorization to Proceed?
 - No
- If an item is in my budget, do I automatically have approval to purchase it?
 - No, you may still need to request a COA.
- Who can help me with the Section 508 Amendment to the Rehabilitation Act of 1973 requirements of my contract?
 - CSSD – Please contact them directly

Questions?

- Contact Information:

- General Email for Federal Contracts: orfedcon@pitt.edu – For general questions on Federal Contracts, please add “General Federal Contract Question” to your subject line.
- Kelly Downing, Associate Director
- Heide J Eash, Assistant Director

- Helpful Information:

- Federal Contract Services on New Website: <http://www.research.pitt.edu/fcs-federal-contract-services>
- Constituency Assignments: <http://www.research.pitt.edu/assignments>
- For Federal Contracts: signed 0136/0202 forms & Internal Approval Memos (i.e., Approval Memos - Letter 10s or Reverse Letter 10s) can be sent via email – no need for original signature copy.
- Most processing can be found under the Agreements Tab in InfoEd.
- Sign up for OR’s Research Admin list to receive announcements -- OR News and Notes: <http://www.research.pitt.edu/news-and-notes-archive> and OR Tip of the Week: <http://www.research.pitt.edu/tip-week-archive>