

PCORI's Contract Award and Activation

Rachel Benz, Contracts Administrator, Post-Award
Shayan Hobbi, Contracts Coordinator, Post-Award

February 20, 2015



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Welcome!



Rachel Benz

Contracts
Administrator,
Post-Award



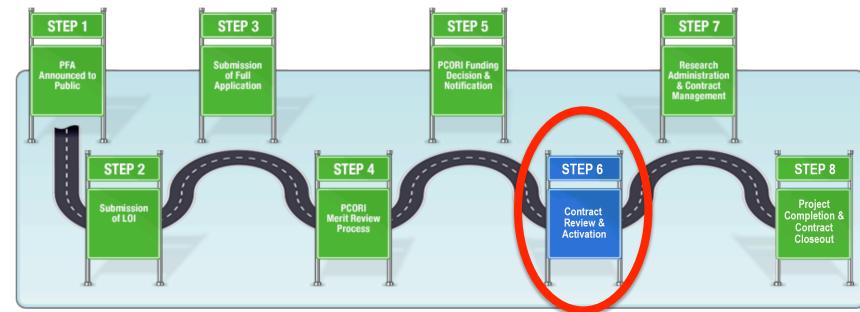
Shayan Hobbi

Contracts
Coordinator,
Post-Award



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PCORI Guide to Contract Activation



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Session Objectives

- Detail the PCORI contracting process from Award Announcement to Contract Execution
- Elaborate on PCORI authorizing law and its effect on funded projects
- Review of Budget and Milestone Schedule
- Describe the roles of awardees, PCORI Program Officers, and PCORI Contract Administrators
- PCORI's Active Portfolio Management



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Award Announcement

pcori
Letter of Award PCORI
Funding Announcement:
PROGRAM

PCORI Announces Research Awards; Congratulations!
Dr. Jane Smith; jsmith@awardee.org

February 20, 2015

Smith, Jane
"Patient-Centered Outcomes"
Awardee Organization

Dear Dr. Jane Smith

Congratulations! On behalf of the Patient-Centered Outcomes Research Institute (PCORI), I am pleased to inform you that today, February 20, 2015, the PCORI Board of Governors authorized your application for funding. Under "Patient-Centered Outcomes," we are pleased to be able to support your research.

Please note the following:

1. PCORI awards contracts, not grants. Even though your application has been awarded, a final business and financial review must take place before you receive the award and funding. In order to expedite the award activation process, please return the attached Recipient Information Form to fundinfo@pcori.org by March 3, 2015. Upon receipt of this completed form, PCORI will e-mail you in the coming days to continue the award activation process. A contract must be executed before funding can be issued. Once the contract is signed and returned to PCORI, the recipient accepts all terms and conditions as agreed upon by both parties. Until the contract is fully executed, the proposed budget should not be construed as final. All pre-award costs will be reimbursed by PCORI.
2. Your summary statement is available via [PCORI Online](#). Please click here for instructions on how to access this document. The summary statement contains assigned reviewers' written evaluations of your application and a synopsis of the discussion at the in-person meeting. Once you receive the summary statement, if you have any questions, your program officer may request that you revise your research plan based on reviewer feedback.
3. PCORI will issue details publicly about all approved projects at 2:00 p.m. (EST) today, [DATE]. Your institution may proactively communicate about this award publicly after 2:00 p.m. (EST).

Today's Date: [REDACTED]

Indicate with PCORI:
Associate Director of
[REDACTED]
or e.g., tweets, Facebook
with the public about
communications/public
affairs.
begin seeking IRB approval
look forward to working
Please e-mail us at [REDACTED]

Organization
[REDACTED]



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Recipient Information Form (RIF)

PCORI Recipient Information Form

Contact Information Requests:
Please provide answers to the requests below. The contract manager is an individual who will facilitate contract review and execution on behalf of the principal investigator, and may be a member of the PCORI staff or of Sponsored Research. The financial point of contact is someone who will assist with invoicing and processing payments. If the latter two PCs are the same, please indicate the information.

DOB: [REDACTED]

Contract Manager First Name: [REDACTED]
Contract Manager Last Name: [REDACTED]
Contract Manager Title: [REDACTED]
Contract Manager Department: [REDACTED]
Contract Manager Phone: [REDACTED]
Contract Manager Email: [REDACTED]

Financial Contact for Payments First Name: [REDACTED]
Financial Contact for Payments Last Name: [REDACTED]
Financial Contact for Payments Title: [REDACTED]
Financial Contact for Payments Department: [REDACTED]
Financial Contact for Payments Phone: [REDACTED]
Financial Contact for Payments Email: [REDACTED]

Human Subjects Institutions:
Please indicate if your research plan involves human subjects. If so, please seek IRB approval for your project and indicate the approval and expiration dates in the template below.
Additional information can be found at [fundinginfo@pcori.org](#).

If yes, have you received IRB approval? If so, when is the expected approval date?
IRB Federal Assurance Identification Number: [REDACTED]
IRB Approval Date: [REDACTED]
IRB Expiration Date: [REDACTED]

Provide additional comments related to your IRB approval here.

Other Sources of Support Instructions:
Please answer the following questions regarding other sources of support. PCORI is interested in learning whether the PCORI research project being funded receives co-funding or overlapping support.

Does this project receive funding from other sources of support (and hence would constitute co-funding)? Select "Yes" or "No"
Does this project include costs or expenditures that are also included in the budget funded by other sources (and hence would constitute a funding overlap)? Select "Yes" or "No"
Does any key personnel for this project have a funded percentage of effort (e.g., teaching, grants, consulting, etc.) that exceed 50 percent? Select "Yes" or "No"

I certify that all recipient information provided in this document is true and complete. I understand that any misleading or incorrect statements may result in disqualification.

I agree with the statement above.

Name of Signing Official	Date of Signing Official
Name of Signing Official	Date of Signing Official
Name of PI	Date of PI



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See Handout #1

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Sample Detailed Budget

Applicant Organization Subcontracted Organization
Individual Name: _____
Program Director/Principal Investigator (Last, First, Middle)

DETAILED BUDGET TEMPLATE		FROM	THROUGH
Please describe the personnel and costs associated with the personnel for each year of the project. Detailed indications are included in the Application Guidelines for the PFA.			
PERSONNEL Enter dollar amounts separated by commas for salary requested and fringe benefits.			
NAME	POSITION	EFFORT	SALARY
SUBTOTALS			
CONSULTANT COSTS			
SERVICES (Service by category)			
TAXES			
FACILITIES			
Programmatic			
OTHER EXPENSES (Expense by category)			
EQUIPMENT			
SUBCONTRACTOR COSTS	DIRECT COSTS		
SUBTOTAL DIRECT COSTS FOR BUDGET PERIOD	\$		
SUBCONTRACTOR COSTS	FACULTIES AND ADMINISTRATIVE COSTS		
SUBTOTAL FACULTY AND ADMINISTRATIVE COSTS FOR BUDGET PERIOD	\$		
TOTAL INDIRECT COSTS FOR BUDGET PERIOD	\$		
TOTAL COSTS FOR PROPOSED BUDGET PERIOD	\$		

Detailed Budget Template

Applicant Organization Subcontracted Organization
Individual Name: _____
Program Director/Principal Investigator (Last, First, Middle)

PCRS ADDITIONAL PERSONNEL FORM		FROM	THROUGH
USE ADDITIONAL PERSONNEL FORM Enter dollar amounts requested per month for each personnel category below.			
NAME	POSITION	EFFORT	SALARY
SUBTOTALS			

Detailed Budget Template

See Handout #2

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Key Budget Notes

- PCORI Caps
 - Salary not to exceed \$200,000
 - Indirect Cost Rate (IDC) not to exceed 40%
 - Travel not to exceed \$10,000 for Scientific Travel
- IDC calculations can only include the first \$25,000 of ALL subcontractor costs
- Read the PFA carefully for additional funding and travel guidelines, etc.



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Sample Budget with Issues

Example of an Incorrect Budget
Not an Actual Budget

Non-Human Organization Human Organization

Project Name: Happy Funder Incorporated
Project Director/Principal Investigator (Last, First, Middle): Benz, Rachell R

DETAILED BUDGET - Year 1		Rate	1/2/15	1/4/2016			
General Information							
FTEs		PERCENT	HOURS WORKED	WAGE RATE	SALARY	PAYOUT	Total
Dr. Rudolf Benz	PODI	10%	25,000	\$25,000	2,500	2,500	\$27,500
Dr. Shayari Hobart	Cat I	20%	100,000	\$25,000	2,000	2,000	\$22,000
Geri Gurnan	Post Doc	50%	75,000	\$7,500	0	0	\$7,500
David Salinas	Program Coordinator	100%	50,000	\$1,000	50,000	50,000	\$50,000
TBD (x2)	Research Assistant	100%	60,000	\$10,000	6,000	6,000	\$6,000
Stephen Jones	Statistician	5%	75,000	\$3,750	3,750	4,125	\$4,125
SUMTOTALS			180,000	180,000	180,000	180,000	
GENERAL EXPENSES							
Travel							
Meals & Lodging (10 hours x \$100/Hour)							
Supplies (Per Diem \$100/Day)							
General Supplies (\$500)							
Travel							
Meals & Lodging (\$100/Day)							
Supplies (Per Diem \$100/Day)							
General Supplies (\$500)							
OTHER EXPENSES (Leave no category blank)							
Printing (\$150)							
Postage (\$50)							
Alcohol (\$200)							
TOTAL EXPENSES							
\$1,000							
TOTAL BUDGET							
\$185,000							
GENERAL PAYROLL COSTS							
DIRECT COSTS							
\$180,000							
GENERAL PAYROLL COSTS FOR BUDGET PERIOD							
\$180,000							
GENERAL PAYROLL COSTS FOR BUDGET PERIOD							
\$180,000							
TOTAL DIRECT COSTS FOR BUDGET PERIOD							
\$180,000							
TOTAL INCOME COSTS FOR BUDGET PERIOD							
\$180,000							
TOTAL INCOME COSTS FOR BUDGET PERIOD							
\$180,000							
TOTAL COSTS FOR PROPOSED BUDGET PERIOD							
\$185,000							

Budget Template

Non-Human Organization Human Organization

Project Name: Happy Funder Incorporated
Project Director/Principal Investigator (Last, First, Middle): Benz, Rachell R

PCORI ADDITIONAL PERSONNEL FORM		Rate	1/2/15	1/4/2016		
ADDITIONAL PERSONNEL: Enter here if project has additional personnel for only one month and 1/2 or more.						
NAME	RANK OR POSITION	PERCENT LEADERSHIP	HOURS WORKED	WAGE RATE	TOTAL	
Stephen Jones	Technician	10%	100,000	\$10,000	1,000	\$11,000
SUMTOTALS			10,000	1,000	\$11,000	

Budget Template

What Are Milestones and Deliverables?



Example:
Complete report for
PCORI documenting
survey results from
research by a
specified date

Example:
Final report to PCORI



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See Handout #5

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Sample Milestone Schedule

	Milestone Name	Description and Additional Information	Projected Completion Date
A	Contract Start Date	-	2/1/2014
B1	IRB Approval	IRB approval	2/28/2014
B2	Engagement update, focus group results	Conduct up to 6 focus groups. Describe involvement and contributions of patient and stakeholders in the conduct of focus groups and development of topic guides.	7/31/2014
B3	Topic guides, summary of discussions	Conduct discussion groups with peer coaches and community coordinators.	7/31/2014
B	Report Submission	Submit Progress Report, Using Interim Progress Report Template.	7/31/2014
C1	Manuscript Reporting	Manuscript reporting results of focus groups	1/31/2015
C2	Website live	Create a website that will serve as a resource bank for peer coaches and community members wishing to access resources.	1/31/2015
C3	Engagement update	Describe patient and stakeholder involvement and contributions to the study materials	1/31/2015
C	Report Submission	Submit Progress Report, Using Interim Progress Report Template	1/31/2015
D1	Finalize Protocol	Finalize the study's data collection protocols.	6/1/2015
D2	Engagement update Report of recruitment strategy	Develop the recruitment strategy. Describe how patient and stakeholders are involved in the development of the recruitment strategy.	6/1/2015

See Handout #6

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Execution of a Contract



You have a contract, now what?

- Overall Review
- COI requirements
- IRB approval process (when applicable)
- Signing official signs and dates the contract



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Contractual Responsibilities of Awardees

See Handout #7



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Responsibilities of PCORI Program Officers

See Handout #7



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Responsibilities of PCORI Contract Administrator

See Handout #7

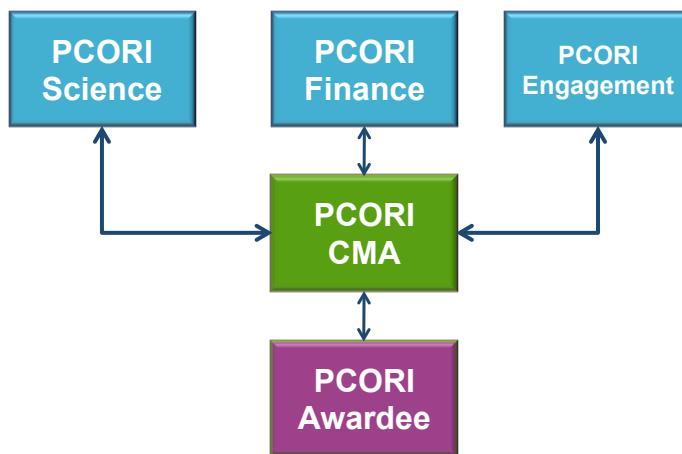


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Active Portfolio Management

PCORI is actively involved to ensure that milestones and deliverables are on-track and within budget.



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Welcome!



**Kim Jackson, CPA,
CGMA, MBA**

Deputy Director,
Finance-Controller



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Session Objectives

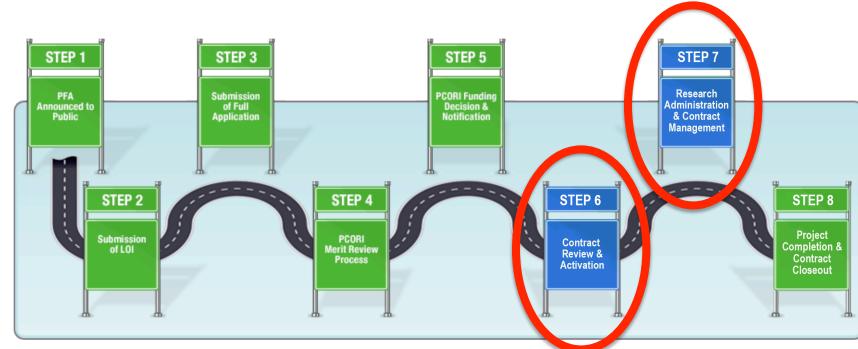
- What to expect with regard to financial requirements
- Overview of the invoicing and payment process
- Expectations for initial invoice submission
- How to meet requirements for monthly invoicing
- Avoid common invoicing pitfalls
- Allocate project expenses to appropriate cost categories
- Satisfy project closeout requirements



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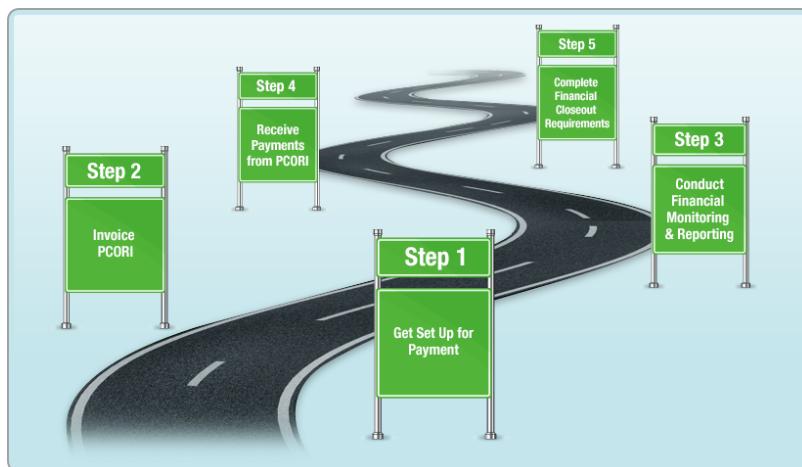
PCORI's Invoicing to Payment Process



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PCORI's Invoicing to Payment Process (cont'd.)



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PCORI is not Federal

- PCORI funding comes from the Federal Government
 - Appropriations, CMS Transfers and PCOR Fee
- PCORI is not subject to OMB circulars.
- **BUT**, we do observe the best practices and rules as if the OMB circulars did apply.
- We behave and require expense substantiation in a certain way to fulfil our fiduciary duties as recipients of Federal dollars.



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Getting Setup to Receive Payment

- Identify financial point of contact
- Establish vendor profile
 - Address confirmation
 - Complete a W9
- Establish electronic payment profile
 - Currently Bill.com
- Submit invoice
- Get Paid!



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Invoicing PCORI



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- What is required to invoice PCORI?
 - PCORI requires monthly invoicing.
 - Attachment D: Sample Invoice
 - OR-
 - System General Invoice
 - With necessary detail and/or supporting reports

Invoicing PCORI – Labor Detail

- Included a detailed labor report:
 - In body of invoice or as separate report
 - Indicate:
 - Who worked on the contract
 - % of time and cost for each person charging to the contract
 - The terms of PCORI's contract flow down to the subcontractors.
 - The same labor detail requirements for subcontractor
 - Effort certification



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Invoicing PCORI – Allowable Expenses

- Supplies
 - Must be specifically allocable to the contract
 - General office supplies are not an allowable expense



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Invoicing PCORI – Allowable Expenses

- Meals may be expensed on a research contract when:
 - Provided to subjects or patients under study
 - Specifically approved as part of project activity in contract
 - Not duplicated in per diem or subsistence allowances (if any)
 - When part of a meeting held to disseminate technical information
- Institutions must have a written, enforced policy
- Meals at recurring business meeting are not an allowable expense



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Invoicing PCORI – Indirect Cost Rate

- Use rate in Negotiated Indirect Cost Rate Agreement (NICRA)
- Rate cap is 40%
 - What if rate is lower than 40%?
 - What if rate is higher than 40%?
- What to do in absence of NICRA rate:
 - Calculate a rate
 - 10% rate
 - PCORI can provide further guidance



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How PCORI Reviews Invoices

- PCORI reconciles project invoices and spending, ensuring that:
 - Charges are allowable, allocable, reasonable, and consistent
 - Funds are spent in accordance with the approved budget
- Avoid common pitfalls.
 - Include labor detail
 - Spend within cost categories
 - Adhere to budget
 - Avoid unallowable cost and cost misallocations



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Prepare for PCORI Audits

- PCORI has the right to perform audits, desk reviews, and/or site visits.
- PCORI may review Federal or financial audits.
 - A-133, etc.
 - Looking for identified deficiencies
 - Institutions receiving > \$750,000
- Availability
- Record retention requirement
 - Keep detailed records:
 - Timesheets and labor reports,
 - Invoices and receipts
 - Other financial records
 - Why it is so important
 - Requirements
 - Five years
 - Later of the term or termination of the agreement



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Invoicing PCORI – Receiving Payment

- PCORI pays all invoices electronically.
 - Bill.com ACH platform
 - New ACH platform coming soon
- Secure, quick, and easy to use
- Submit to FINANCE@PCORI.ORG.



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Ensuring Timely Final Payment

- Financial requirements for project closeout:
 - Submit Final Report
 - Submit Expenditure Report
- Final payment will not be released until all final reports have been submitted and approved by PCORI



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Closeout Checklist

- 12 Categories
 - Contract Negotiation Historical Background Data
 - Contract Modification Documents
 - Reports; Special Progress Reports; Final Reports
 - Public Dissemination Notifications
 - Peer-Review; Public Dissemination
 - Finance; Outstanding Issues; Close-out
- Excel spreadsheet/MS Word
draft version in development



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Thank You!

Rachel Benz, Contracts Administrator, Post-Award
Shayan Hobbi, Contracts Coordinator, Post-Award

Kim Jackson, CPA, CGMA, MBA, Deputy Director, Finance-Controller

For further information on Post Award Contracts Administration, please join us at our break-out session "Post-Award Requirements".



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