



Government Shutdown: Lessons Learned

BOAC Meeting – June 2019

Discussant

Pamela A. Webb

Associate VP for Research

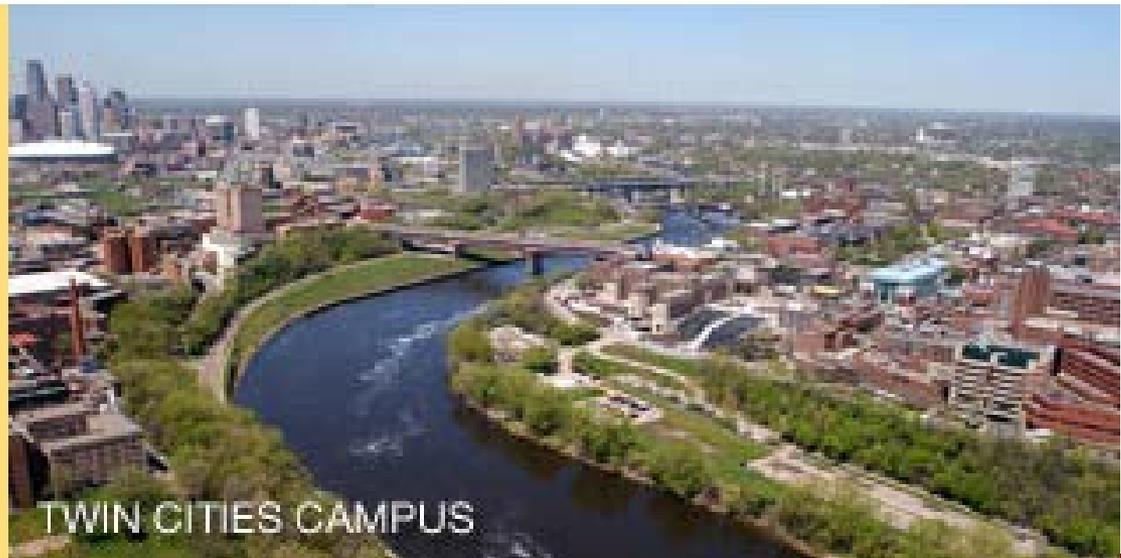
pwebb@umn.edu



Shutdown Facts for UMN

- 1300 projects (~24% of total portfolio) and 3 federal on-campus buildings
 - ~600 NSF- funded projects
 - ~200 USDA funded projects
 - Assorted others
- Expenditure impact of \$500K per day

*UMN Shutdown
Web Site in
Appendix Slides*



Major Institutional Shutdown Activities

In Advance

- **Estimate cash flow needs based on historical data/arrange short-term cash**
- Refresh roles and responsibilities re: bridge funding/hardship situations
- **Invoice all allowable expenses (up to last day)**
- **Submit all proposals and prior approval requests in process**
- Hunt (unsuccessfully) for OMB Guidance memos to agencies
- Dust off shutdown web site and design internal info flow paths

At Start

- Issue Guidance Memo to Campus
- Launch Shutdown Web Site
- Provided deans lists of affected projects
- Hunt down every agency guidance memorandum out there
- Handle one-offs



During

- Update web site and collegiate deans as agency information arrived
- Assess payment flow/keep Controller, Regents, others informed
- Identify which projects had upcoming cycle dates
- **Identify and manage individual fellowships** 
- **Try to reconcile oral NSF Program Officer info with NSF published info** 
- **Engage in national conversation about handling subawards to each other** 
- **Arrange and conduct congressional briefings** 

Factors that Helped Mitigate Impact of the 2018-2019 Partial federal shutdown

- First two weeks of shutdown coincided with holiday break
- The time of year had only modest numbers of awards with start dates
- **NSF guidance was a model of clarity and completeness**
- Proposal submission systems and most help desks stayed “up” (even if proposals weren’t going anywhere)
- NSF continued to do an awesome job
 - Articulating which proposal deadlines were extended and which were not
 - Articulating panel rescheduling
 - NSF awards started flowing SOON after the shutdown was over
- As long as it seemed, the shutdown finally ENDED

Recommendations for Future (sigh) Shutdowns

- All agencies should use/adapt NSF's guidance template (in appendix)
- Published guidance = oral guidance from exempted staff
- Allow access to federal buildings for staff not subject to the shutdown
- Figure out a query that can be used to identify institutions for individual (rather than institutional) fellowships
- NSF should try to figure out if it can continue to pay proper drawdowns (as did NASA and USAID)
 - Allow person “pushing the button” on drawdowns to be exempt
 - Figure out how drawdowns can be automated (adjustments could always occur later)
- The single email inbox was a good idea – but it wasn't clear if it could be used by grantees

APPENDIX

(Reference Slides)



NSF Guidance Template

- Proposal Preparation & Submission
 - System status
 - FOA issuance status
 - PAPPG Guide Release date impact
 - Impact on Existing Due Dates
- Review Process
- Proposal Processing Time
- Issuance of New Grants and Cooperative Agreements
- Issuance of Continuing Grant Increments
- Performance of Work
- Payments
- Project Reporting
- No Cost Extensions
- Award Transfer Requests
- Supplemental Funding requests
- Other Post-Award Notifications & Requests
- -----
- Cooperative Agreements in Support of Large Facilities
 - General Info
 - Payments
 - Excepted personnel
- Contracts
 - General guidance
 - Payments
 - Excepted personnel



Sponsored Projects Administration

[News & Announcements](#)

[Events](#)

[Contact Us](#)

[About Us](#) ▾

[Resources](#) ▾

[Funding & Awards](#) ▾

[Ethics & Compliance](#) ▾

[Industry & Partnership](#) ▾

[Quick Links](#)

Partial Federal Shutdown

The partial federal shutdown began on December 22, 2018. Guidance about handling pending and existing awards and online proposal submissions will be posted here as they develop.

Latest Update: Until such time as the University receives more specific guidance from each agency, or you receive project-specific direction from your federal program officer/grants officer, please continue working normally on your projects. Questions may be directed to Pamela Webb or Kevin McKoskey.

[University Guidance](#) >

[Guidance from Federal Agencies Subject to the Partial Shutdown](#) >

[SPA Contact List](#) >





Sponsored Projects Administration

[News & Announcements](#) [Events](#) [Contact Us](#)

[About Us](#) [Resources](#) [Funding & Awards](#) [Ethics & Compliance](#) [Industry & Partnership](#)

[Quick Links](#) [↔](#)

[Sponsored Projects Administration Home](#) » [Shutdown Information](#) » [University Guidance](#)

University Guidance

- [Guidance From Federal Agencies](#) >
- [University Guidance](#) >
- [SPA Staff Contact List](#) >

What to Expect as of 12/21

Existing projects - continue working normally unless you receive guidance from SPA or your program officer/grants official to stop work. If you receive a stop work order, immediately send that communication to your SPA grants administrator.

Agency prior approvals - you will likely not be able to obtain prior approvals from federal officials during the funding hiatus (including requests previously submitted and ones you need now to submit). The specific activities that are the subject of the prior approval should not be undertaken. Consult with SPA if you have an emergency situation that requires action in this regard.

Proposal Submissions - Grants.Gov, Research.Gov, Fastlane, and ezFed Grants systems are up and available for proposal submission. This means that it is unlikely that agencies using these systems will extend proposal due dates due to the shutdown; please proceed with your proposals based on the original proposal deadline. Agency Help Desks are also available. Specific information about other agency's electronic proposal systems are listed under that agency's shutdown information if available. We expect that proposals previously submitted will not receive review nor will awards be made until after the funding hiatus.

We currently expect that agencies will only extend proposal deadlines if (and only if) that agency chooses to shutdown its electronic proposal submission system during the funding hiatus. Please note that SPA is not aware of any proposal system shutdowns at this time. In the event a proposal submission system is shutdown, we expect that federal agencies will extend proposal due dates on a day-by-day basis (one day of funding hiatus = one day of proposal due date extension). More information will be shared when available.

Technical Reporting - please continue to submit on time any award reports that become due (even if there is no one at the agency to read it). If you are using an on-line agency reporting system to file your report and the system will not allow you to submit, please specifically note the date/time you attempted submission, and submit your report promptly after the funding hiatus is over.

New Awards/Additional Funding on Existing Awards - we expect not to receive new awards (or incremental funding on existing awards) during the funding hiatus. You may continue to submit requests for Preaward/Advance Accounts (new awards) and - until otherwise notified by SPA or the Controller's Office - continue spending on existing awards for which you feel confident a new increment of funding will be provided. Remember, however, that PIs and departments are responsible for overdrafts in the event that funding does not materialize. For this reason, it is wise



[Sponsored Projects Administration Home](#) » [Shutdown Information](#) » [Guidance from Federal Agencies Subject to the Partial Shutdown](#)

Guidance from Federal Agencies Subject to the Partial Shutdown

[Guidance From Federal Agencies](#) >

[University Guidance](#) >

[SPA Staff Contact List](#) >

Proposal Submission: Grants.Gov, Research.Gov, Fastlane and ezFedGrants will be up and accepting proposals during the shutdown; this means that it is likely that proposal deadlines will not be extended for agencies using these systems for proposal submission. Please proceed with your proposal submissions in a normal fashion. Agency Help Desks are also operational. If your agency's electronic system isn't listed here, please look at that agency's website or scroll down to the specific agency's information on this site to see if SPA has been informed about the status of that agency's system(s).

[Federal Agency Contingency Plans](#)  across the Federal Government.

[OMB Frequently Asked Questions \(FAQs\) 2018](#) 

Agriculture (USDA, including ARS, Forest Service, NIFA)

[RFP Deadline Extension: Wood Innovations Grant Application](#)  (January 22, 2019)

[Department of Agriculture Shutdown Plan](#)  (December 2017)

System Status: [ezFed Grants Available During Shutdown but Unsupported](#)  (December 21, 2018)

[US Forest Service Furlough Notification](#)  (December 26, 2018)

Commerce (including NIST, NOAA, etc.)

[Department of Commerce Shutdown Plan](#)  (December 17, 2018)

Homeland Security

[Department of Homeland Security Shutdown Plan](#)  (December 17, 2018)

Environmental Protection Agency

[Guidance for Assistance Agreement Recipients and Fellows](#)  (December 31, 2018)

[Environmental Protection Agency Shutdown Plan](#)  (December 17, 2018)