Overview of the Proposal Submission Process, Award Negotiation, Award Approval, and Set-Up

Assessment 6 will cover materials in Module 6.00 of the tutorial including information in referenced guides. Definitions and acronyms referred to in this module and found in the definition or acronym list provided as part of this tutorial (see Module 1.00) may be included in the assessment. The assessment will not cover information found in external web sites.

True / False
A supplement or a modification is the same as an award if funding is provided. (True)

Correct Response
Awards are used to provide funds from a sponsor for support of a sponsored project at UCD/AMC. This term is used for the original award, and subsequent supplements or modifications; if funding is provided and could also be referred to as an agreement.

True / False
It is G&C’s responsibility to be familiar with all the terms and conditions of the award while the PI need only be concerned with the technical aspects of the award. (False)

Correct Response
The PI is responsible for being familiar with all the terms and conditions of the award as well as also being concerned with the technical aspects of the award.

Multiple Choice
What are some of the reasons why G&C is concerned about award terms and conditions?

The award directly influences how the project can be carried out
UCD/AMC policies and procedures may be in conflict with the terms and conditions of the award
G&C is not concerned with the terms and conditions, but is trying to keep faculty from doing their research
1 and 2
None of the above

Correct Response
The award document, or the mechanism used to provide external support from a sponsor to UCD/AMC, is important because the award directly impacts how the project can be carried out.

Multiple Choice
Who is responsible for answering project-specific (technical) questions?

G&C
PI
Administrator
Chair
Dean
It depends on the circumstances

Correct Response
The PI is responsible for answering project-specific questions of the sponsor and for working with G&C to resolve any award issues that may need to be negotiated with the sponsor.
Multiple Choice
Occasionally G&C finds out that an agreement has been struck verbally or in writing between a faculty member and a sponsor. If the agreement is for work performed by a UCD/AMC employee, there is a problem(s). Why?

The PI cannot sign or make agreements on behalf of UCD/AMC
If the PI is the only one to sign the agreement (not UCD/AMC) then UCD/AMC is not a party to the agreement
There may be language in the agreement that UCD/AMC cannot agree to
The award is to UCD/AMC, the award is not the PI's personal spending money
All of the above

Correct Response The PI cannot sign or make agreements on behalf of UCD/AMC. Only agreements signed by an authorized official of UCD/AMC (not the PI) can legally bind the institution. Language in the agreement not approved by UCD/AMC may be problematic. Awards made to UCD/AMC are not the PI's personal spending money.

Multiple Choice
Which of the following is considered good practice when managing financial records for sponsored projects?

Referencing the fiscal policy on record retention
Who cares about records; I will remember what has happened with this project, it is all in my head
I don't have time to maintain records that G&C or other offices should have on file
All documents related to a project are kept within that project’s file
1 and 4

Correct Response It is critical that the PI and department keep records (segregated by award) to keep track of the day-to-day activities of the project. More information can be found on record retention responsibilities in Fiscal Policy 5-4, Accounting and Financial Record Retention, http://www.ucdenver.edu/admin/fiscal.html.

True / False
G&C will notify the department contact given on the routing form once the award has been set-up. (True)

Correct Response When G&C receives the final, fully executed or approved award document, a project or a program number will be set-up and assigned. Once PeopleSoft generates a speed type number(s), the designated departmental administrator on the routing form for that award will be contacted by G&C with the project or program number(s) and speed type number(s) for the award.

True / False
All sponsors send payment for a project automatically. (False)

Correct Response Payments are received by UCD/AMC from sponsors in one of the following ways, advance payment of the entire award amount, scheduled payments made on receipt of deliverable(s) or at a given time frame, payments made upon receipt of invoice(s) that include actual expenditure information, or mixed payment method, for example an advance partial payment and then scheduled payments on receipt of deliverables.
G&C may negotiate language in an agreement to clarify invoicing terms. *(True)*

**Correct Response**
The sponsor’s invoicing requirements are appropriate and clear, including how the sponsor will be invoiced.

**Multiple Choice**
Which one of the following is a correct statement about how projects and programs are set-up in the PeopleSoft Financial System?

- Grant and contract awards are set-up as projects (funds 30 and 31), while gifts are set-up as programs (fund 34)
- Projects and programs are set-up the same way in PeopleSoft
- Projects and programs are set-up in PeopleSoft based on what the PI wants
- None of the above

**Correct Response**
Grant and contract awards are set-up as projects (funds 30 and 31), while gifts are set-up as programs (fund 34).

**Multiple Choice**
Under what circumstance would the PI work directly with the sponsor to receive payment?

- Never, G&C always handles billing
- When there are deliverables required by the sponsor
- A clinical trial
- When reporting of financial activity is required by the sponsor in order to receive each payment
- 2 and 4
- 2 and 3

**Correct Response**
There are instances when it is appropriate for the PI to work directly with the sponsor to receive payment (e.g. clinical trial agreements and when the sponsor requires receipt of a deliverable such as a technical report, case report forms, etc.).

**Multiple Choice**
Pre-awards can be risky for a Department because:

- The Department is assuming full financial responsibility if funding is not received from the sponsor
- A project is set-up before UCD|AMC has received and accepted the award from the sponsor
- There is a chance that the award terms will not allow particular expenses, which then must be covered by the Department
Incorrect Response

The department assumes full financial responsibility for all expenditures incurred on a pre-award basis. If an award is not received, a contract goes unexecuted, or a sponsor decides to disallow pre-award costs, regardless of the reason, the department must transfer any disallowed or unfunded costs to the departmentally designated unrestricted account.