



# Roles and Responsibilities for Sponsored Project Administration-Postaward

Office of Grants and Contracts

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# Roles and Responsibilities

- ▶ The Office of Grants and Contracts is responsible for ensuring proper review of sponsored project proposal submissions and stewardship of awarded funds in partnership with Departmental Administrators (DA) and Principal Investigators (PI)
- ▶ Grants management is a collaborative effort between the Office of Grants and Contracts (OGC) units and the departments, therefore the following is intended as a framework and the duties are continually reviewed to determine if changes are needed



# Roles and Responsibilities Postaward Unit

- ▶ Secondary review of new award set ups and award modifications
  - ▶ Review and entry of milestone deliverables and dates for all new award setups and modifications
  - ▶ Review and approval of Payroll Expense Transfers (PET) and non-personnel journal entries impacting sponsored projects
- Tip- Required documentation should be attached to the PET and detail on the summary page is the key for the approval of the PET*
- ▶ Review of pre-award and post term expenditures (after the budget period) for allocability and allowability to the sponsored project period



# Roles and Responsibilities Postaward Unit

- ▶ Provide guidance on sponsored terms and conditions and UCD procedures to ensure proper compliance and stewardship of sponsored funds
- ▶ Preparation of financial reports for submission to sponsoring agencies as the official institutional signatory in conjunction with departmental review

*Tip- If the department creates the financial report, it must be reviewed by the Office of Grants and Contracts and vice versa.*

- ▶ Review of final invoices in collaboration with department administrators and the Billing Team
- ▶ Confirmation of carryforward balance for sponsor prior approval requests
- ▶ Confirmation of sufficient funds for no-cost extension requests



# Roles and Responsibilities Postaward Unit

- ▶ Review of relinquishing statements and confirmation of forecasting unexpended balances
- ▶ *Tip-Timing is important when submitting the request.*
- ▶ Review and approval of XTrain termination notices and accuracy of trainee and fellowship stipend expenses
- ▶ *Tip-The total amount paid to the trainee must match the termination notice.*
- ▶ Processing of mid-term budget revisions



# Roles and Responsibilities Postaward Unit

- ▶ Set up of cost share speed types
- ▶ Reduction of carryforward budgets from prior year projects in Peoplesoft; increases are processed by the Award Setup team
- ▶ Review and approval of subcontracts and Purchase Orders in CU Marketplace in conjunction with contract amendments and availability of project funds
- ▶ Review and monitoring of cost share on sponsored projects



## Roles and Responsibilities-Principal Investigator (PI)/Departmental Administrator

- ▶ Review of new award set ups and Award Modifications

**Tip- When you receive your notification of the award set up or Award Modification, this is the time to review to verify if changes are required**

- ▶ Submission of funding distributions and Payroll Expense Transfers (PETs) to properly allocate employee effort to sponsored projects

**Tip- Timing is key so that payroll does not go into suspense**

- ▶ Review and certification of effort for sponsored projects (3 cycles per year)
- ▶ Processing of non-personnel transactions in CU Marketplace/Concur



## Roles and Responsibilities-Principal Investigator (PI)/Departmental Administrator

- ▶ Submission of journal entries to correct identified errors in non-personnel expense allocations

**Tip-The back up documentation and journal entry description is required.**

- ▶ Monthly monitoring of expenses on all sponsored projects to ensure accuracy and adherence to budget limitations

**Tip-The review of the expenses frequently is key to project management.**

- ▶ Subrecipient Monitoring-Tracking and approval of invoices, verification with Principal Investigators work is being conducted according to scope, preparation of agreement and amendment requests to OGC Subcontracts
- ▶ Review of 90, 60, 30 and 30, 60, 90 day reports to confirm projects approaching the end date and terminating projects





## Roles and Responsibilities-Principal Investigator (PI)/Departmental Administrator

- ▶ Preparation of carryforward requests (justification and detailed budget) and routing to OGC
- ▶ Submission of no cost extension (NCE) request and justification to OGC no less than 10 days before the budget end date
- ▶ **Tip- Timing is crucial for the review and approval.**
- ▶ Communication to laboratory/research staff of appropriate Project numbers/speed types for sponsored awards
- ▶ Ensure cost share requirements are met according to sponsor terms and recorded appropriately within cost share speed types




## Roles and Responsibilities-Principal Investigator (PI)/Departmental Administrator

- ▶ Removal of outstanding expenses not reported to the Sponsor via PET or journal entry
- ▶ Closure of open Purchase Orders (POs)/encumbrances
- ▶ Completion of the Fixed Price/Clinical Trial Closeout form
- ▶ Prepares equipment disposition reports and submits to OGC



## Roles and Responsibilities-Principal Investigator (PI)/Departmental Administrator

- ▶ Review of final invoice for submission to the sponsor
- ▶ Submission of a closeout request with appropriate back up documentation
- ▶ Preparation of final invention statements for routing to OGC
- ▶ Monthly review of financial statements
- ▶ Monitoring of clinical trial and any department billed contracts to ensure that invoicing and payments have occurred



**The secret of joy in work is  
contained in one word-  
excellence. To know how  
to do something well is to  
enjoy it.**



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**Pearl S. Buck**

American Writer

Born 1939

# Questions





# Resources

- ▶ Campus Administrative Policy

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