Accepting and Establishing an Award for Sponsored Programs

January 2011
Learning Objectives

• Responsibilities of:
  • Principal Investigator (PI)
  • Research Administrator
  • Sponsored Programs Office (SPO)

• Addresses the compliance requirements upon receipt of Notice of Grant Award to
  • Negotiation and final acceptance and
  • Establishing an award in the financial system
Definitions

• **Fully Executed Award** – A document signed by both the University and Sponsor to provide funding for a project.

• **Grant Award Summary** – Form issued by the Sponsored Programs Office indicating specific information about the award.

• **Notice of Grant Award (NGA)** – Legal document notifying grantee a proposal has been awarded.
Definitions

• **Principal Investigator (PI/Co-PI)** – Named by sponsor on award document with **overall** responsibility.

• **Research Administrator** – Individual assisting PI with the fiscal management of an award.

• **Sponsored Programs Office (SPO)** – Campus office to manage administrative duties and monitor compliance related to sponsored awards.
Award Cycle

- PI Develops Proposal
- SPO – Review & Submit
- PI – Manage Award
- SPO /PI – Accept & Establish
- PI/SPO – Close Out
PI Responsibility

• Upon receipt of the NGA the PI:
  • Notifies all appropriate individuals
  • Determines whether to accept award
  • Reviews and approves the NGA
  • Creates a revised budget if necessary
  • Technical and programmatic negotiations
PI Responsibility

• Once award is fully executed, the PI:
  • Delegates authorization:
    • University employee
    • Direct knowledge of the award
    • Aware of compliance requirements
  • Determines payroll distribution
  • Identifies non-owned assets in award
• Overall responsibility to manage award
PI Responsibility - Regulatory

- Ensures regulatory requirements in place:
  - Conflict of Interest disclosures
  - Human Subjects – Institutional Review Board
  - Institutional Animal Care and Use Committee
  - Export Control regulations
  - Intellectual Property
  - Responsible Conduct of Research training
Research Administrator Responsibility

• Upon receipt of the NGA, assists with:
  • Notifying all appropriate individuals
  • Creating a revised budget if needed

• When fully executed award is established:
  • Verifies the budget information in financials system
  • Sets up payroll distributions
  • Ensures award funded non-owned assets are identified
SPO Responsibility

• Upon receipt of the NGA, SPO reviews for:
  • Award consistency with proposal
  • Compliance with University policies
  • PI approval and acceptance of NGA
  • Other University approvals obtained

• Regulatory approvals are complete
SPO Responsibility

• Before acceptance:
  • Fiscal, business, and legal negotiations
  • Notifies sponsor of changes in:
    • Project Scope
    • Budget
    • Cost Sharing
    • Facilities and Administrative rate
    • Other legal clauses
    • Other changes at PI direction
SPO Responsibility

• After award is fully executed:
  • Notifies appropriate individuals
  • Establishes award in financials system, including
    • Project ChartField string
    • Budget information
    • Subawards
    • Cost sharing commitments
    • Catalog of Federal Domestic Assistance (CFDA) and SEFA cluster
    • Billing information
    • Milestones for report due dates
  • Ensures award funded non-owned assets are identified and tracked
Concluding Points

- PI reviews NGA before accepting award
  - Understand terms and conditions
  - Funding is reasonable
- SPO ensures all approvals are in place before establishing an award
- Responsibility for negotiations with sponsor:
  - SPO – fiscal, business, and legal
  - PI – technical and programmatic
Knowledge Check

• The following three questions reinforce the concepts in this session.
Question 1:

The PI can delegate authorization to any individual working directly on the award.

• True
• False
Question 2:

SPO is responsible for any fiscal, business, and legal negotiations with the sponsor.

• True
• False
Question 3:

Approvals for any regulatory compliance requirements applicable to the project must be in place before an award will be established in the financial system by SPO.

• True
• False
Additional Information

• APM 2.25.55.02 – Delegation of Authority
• APM 20.25 – Non University Owned Equipment
• APM 60.35 – Establishing an Award
• BPM 210 – Sponsored Programs
• Roles and Responsibilities
• Reference Guide for Sponsored Programs
• Other related training available:
  • Financial Compliance Training Website
• Add link to evaluation