



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

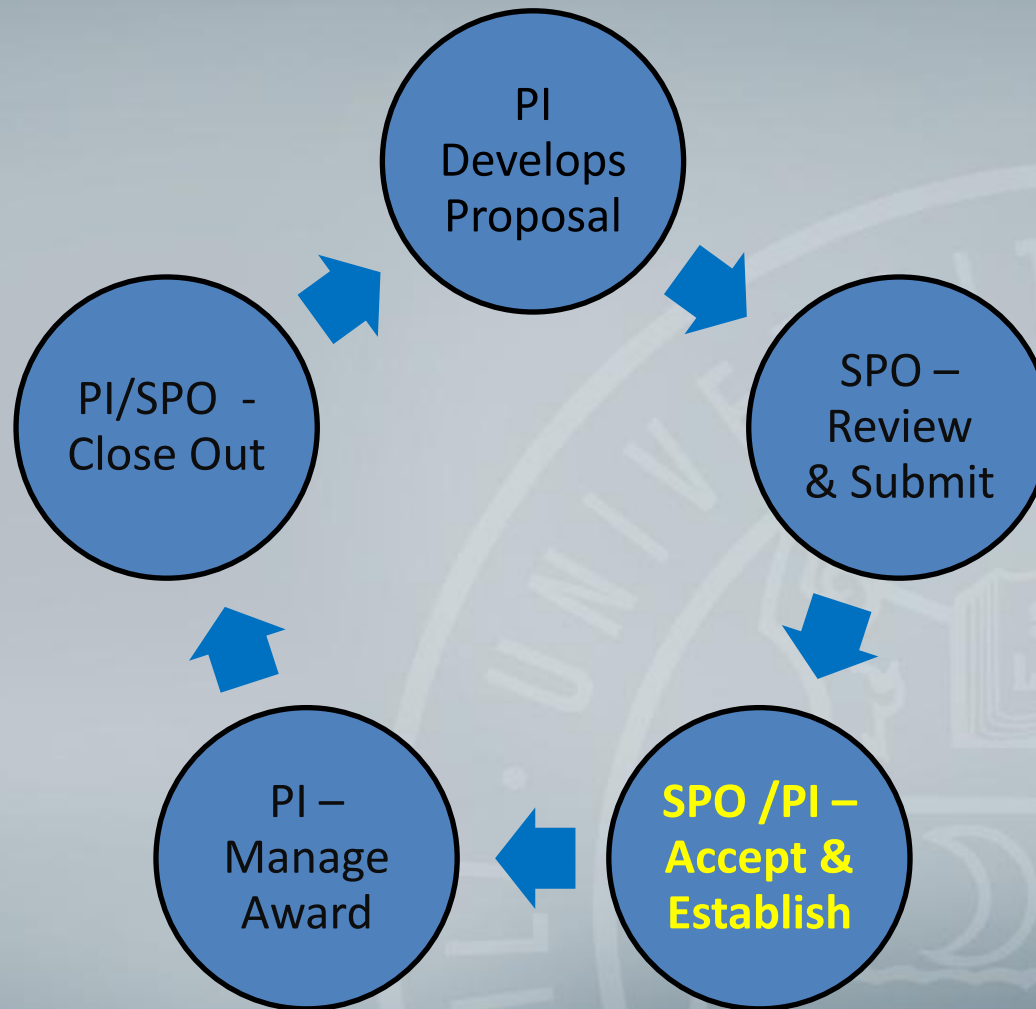
Definitions

- 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 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**