Sponsored Research: Post-Award Non-Financial Management
The Sponsored Project Life Cycle
Before the award…
Sponsor Supplemental Requests

Sponsor may request supplemental documentation and materials prior to issuing the award

**Sponsor-Specific Requests**

- National Institutes of Health (NIH) – Just-In-Time (JIT) information is required
- Dept. of Defense (DOD) – Salary verification and other budget documentation
- National Science Foundation (NSF) – may request budget revisions
- May vary per sponsor request

**Other Information/Documentation**
Receive the award...
Award Negotiation & Acceptance

Sponsored Research is the institutional unit authorized to accept all award on behalf on the University

Negotiation & Acceptance Process

– Receives Notice of Award or award agreement
– Reviews and, when necessary, negotiates terms and conditions
– Confers with PI/Department as needed (e.g. in the case of significant budget cuts)
– Submits any necessary revisions to sponsor
– Confirms that COI and IRB / IACUC approvals in place
– Once negotiation is completed Sponsored Research signs the agreement

For more: SPOT: How to Read an Award Document
Research Terms & Conditions (RTC)

The standard core set of administrative terms & conditions for research & research-related awards that are subject to Uniform Guidance

Waives the requirement for prior approval from many federal sponsors for:

- Rebudgeting
- Carryover of funds
- 1st no-cost extension
- Federal Agency-specific implementation
What is “Uniform Guidance”?

Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards

- Consolidates the eight federal circulars that govern financial assistance
- Guidelines that ALL Federal agencies have to follow in regards to financial assistance mechanisms
- Eases administrative burden and strengthens oversight over Federal funds

For more: Uniform Guidance
Sponsored Research sets up the award...
Award Set-Up: Sponsored Research Responsibilities

Verify receipt of all approvals, determinations, and required information

Complete award data entry

Generate chart strings and distribute PAS and Award Documents to PI/Dept.

Financial Conflict of Interest (FCOI) Disclosures, Conflict of Interest Determination, and Revised budgets (if applicable)

Within InfoEd and NUFinancials

PAS contains funding appropriation information including chart strings, and other award details

For more: SPOT: How to Read an Award Document and SPOT: Setting Up an Award
The department manages the award...
Award Management:
Department Responsibilities

- Review PAS against the award notice; ask questions if something looks amiss
- Obtain access to Chart String across all NU business systems (payroll, NUFinancials, etc.)
- Ensure correct expense accounts are used when charging expenditures
- Notify other departments if utilizing outside personnel
- Request additional budget accounts to be opened, if needed
- Monitor spending, subawards, and invoice payments; provide financial reports to PI
## Change Requests

- Use the Change Request module in InfoEd for requests for
  - Changes to proposals after they are submitted
  - Changes to awards (e.g. personnel, budget)
  - Subawards – New and amendments
- Access job aids on the [InfoEd page](#) on the OSR website

### Change Requests

#### Create New

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<th>Award Relinquishment / Transfer</th>
<th>BGT - Carry-Forward of Unobligated Balance</th>
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#### Accessing Records/Reporting

- Locate records by using filters
- Show a listing of All my records
Revised Budgets

Revised budgets may be required at both pre- and post-award stages. For these requests a Change Request should be routed containing the information below:

**Proposal**
- Original budget and justification
- Revised budget and justification
- Key personnel effort reduction
- Sponsor correspondence
- Revised scope of work (*if applicable*)

**Award**
- Current budget and justification
- Revised budget and justification
- Key personnel effort reduction
- Multiple chart strings clearly marked
- Uncommon budget categories specified
No Cost Extension (NCE)

- Extends the project period without additional funding from the sponsor
- Effort during NCE is assumed to be the same as the last year of the grant. If effort will change this should be noted in the Change Request, sponsor approval may be required
- Under RTC most federal awards allow a grantee approved one-year NCE
- Non-federal sponsors generally require prior approval for any NCE
Requesting an NCE

• Formal NCE requests should go through Sponsored Research

• Submit a Change Request with the following information:
  – Length of extension requested
  – Strong justification for the extension
    • Reason for the delay?
    • What work will be accomplished?
  – Confirmation of effort during NCE
  – Most recent IRB and/or IACUC approval, if applicable
  – Current balance
    • Justify large or small balances
Subcontract (or Subaward)

A formal agreement between the prime institution or pass through entity (PTE) and another organization (subrecipient) under a sponsored project

To initiate a subcontract:
– Department submits a Change Request along with subrecipient’s SOW, budget, and justification
– May need agency approval to initiate a subcontract if it was not included in the original proposal

PI/department responsibilities:
– Monitoring subrecipient progress
– Collecting and retaining technical reports
– Approving invoices for payment
Progress Report

All NIH awards require an annual progress report, or noncompeting continuation application, due 45-60 days prior to the start of the next budget period

- The use of the Research Performance Progress Report (RPPR) module is required for all annual non-competing (Type 5) NIH awards

Almost all other sponsors require some type of technical report

For some sponsors, funding in subsequent years is dependent on satisfactory progress
Progress Reports: Things to Remember

- In InfoEd select: “NU Progress Report / Continuation” as the template for the proposal record

- Provide a completed copy of the Unobligated Balance calculator, found on the [Sponsored Research website](Resources > Tools & Forms > Checklists)

- Make certain COI disclosures are up to date

- Provide current IRB and/or IACUC approval, as needed
The department prepares to close the award...
Award Closeout

- PI submits final progress report
- OSR submits final invention statement
- ASRSP submits final financial report
- Dept. works with ASRSP to reconcile and close chart string

For more: SPOT: Award Closeout: Basics
Questions?