Sponsored Research: Post-Award Non-Financial Management
The Sponsored Project Life Cycle

1. Identify Funding Opportunities
2. Proposal Development & Submission
3. Award Negotiation & Acceptance
4. Award Set-Up
5. Award Management
6. Award Closeout
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
- **Dept. of Defense (DOD)** – Salary verification and other budget documentation
- **National Science Foundation (NSF)** – may request budget revisions

**Other Information / Documentation**

May vary per sponsor request
Receive the award...
Award Negotiation & Acceptance

Sponsored Research is the institutional unit authorized to accept awards on behalf on Northwestern

– If department / PI receives award directly, forward to Sponsored Research. (Dept/PI cannot sign for award on behalf of 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
– Signs the agreement, pending completion of any negotiation

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
- First 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](https://osr.northwestern.edu/infoed) on the OSR website
**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:

<table>
<thead>
<tr>
<th>Proposal</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Original budget and justification</td>
<td>• Current budget and justification</td>
</tr>
<tr>
<td>• Revised budget and justification</td>
<td>• Revised budget and justification</td>
</tr>
<tr>
<td>• Key personnel effort reduction</td>
<td>• Key personnel effort reduction</td>
</tr>
<tr>
<td>• Sponsor correspondence</td>
<td>• Multiple chart strings clearly marked</td>
</tr>
<tr>
<td>• Revised scope of work <em>(if applicable)</em></td>
<td>• Uncommon budget categories specified</td>
</tr>
</tbody>
</table>
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, note it in the Change Request - sponsor approval may be required
  – For NIH, if level of effort for key personnel will decrease by 25% or more, prior approval is required

• Under RTC, most federal awards allow a grantee approved one-year NCE
  – Note: DOD requires approval for NCE’s

• 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 Basics

• Almost all sponsors require some type of technical report
• For some sponsors, funding in subsequent years is dependent on satisfactory progress
• NIH awards require an annual progress report (Research Performance Progress Report) or noncompeting continuation application
  – Due 45-60 days prior to the start of the next budget period
  – Required use of Research Performance Progress Report (RPPR) module in eRA Commons for all annual non-competing (Type 5) NIH awards
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
- Department works with ASRSP to reconcile and close chart string

For more: SPOT: Award Closeout: Basics
Questions?