Post-Award Non-Financial Management

Office for Sponsored Research
The Sponsored Project Life Cycle

- Pre-Award Administration
  - Proposal Development and Submission
  - Award Negotiation and Acceptance

- Award Set-Up
- Award Management
- Award Closeout

- Identifying Funding Opportunities

- Post-Award Administration

Northwestern RESEARCH
Before the Award

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

<table>
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<tr>
<th>For NIH, Just-In-Time (JIT) information is often required. This can include “Other Support” as well any required certifications (including human subjects education)</th>
<th>Sometimes a revised budget may be requested by the sponsor</th>
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<td>DoD often requests salary verification and other budget documentation, assurances of compliance, and IRB/IACUC approvals</td>
<td>Other information and documentation as applicable</td>
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Award Negotiation & Acceptance

- OSR is the institutional unit authorized to accept all award on behalf on the University

- Negotiation & Acceptance Process
  - OSR receives notice of award or award agreement
  - OSR reviews and, when necessary, negotiates terms and conditions
  - OSR confers with PI/Department as needed (e.g. in the case of significant budget cuts)
  - OSR submits any necessary revisions to sponsor
  - OSR confirms that COI and IRB / IACUC approvals in place
  - Once negotiation is completed OSR signs the agreement

- Learn more about award documents: SPOT Course: How to Read an Award Document
Research Terms & Conditions (RTC)

Defined as 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 Guidance consolidates the eight federal circulars that govern financial assistance, including A-21, A-110, and A-133

• Guidelines that ALL Federal agencies have to follow in regards to financial assistance mechanisms (i.e. grants and cooperative agreements – NOT contracts)

• Meant to ease administrative burden and strengthen oversight over Federal funds to reduce risks of waste, fraud and abuse

For Additional Information:
http://www.northwestern.edu/asrsp/federal-initiatives/uniform-guidance.html
Award Set-Up

- OSR checks that all approvals and determinations are in place, and that all required information has been obtained
  - Conflict of Interest (COI) determination
  - IRB/IACUC approvals as appropriate
  - Revised budgets as applicable
- OSR completes award data entry in InfoEd and NUFinancials
- OSR generates chart strings and distributes Project Account Summary (PAS) and award documents to PI/department
- **Department should carefully review NOA and PAS**
  - The PAS includes the funding appropriation, chart strings, and other award details
  - Any questions should be referred to your GO in OSR
- Learn more about award set-up: SPOT mini-course: Setting up an 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.
Electronic Sponsored Projects Request (ESPR)

- Award Relinquishment
- Budget
  - Carry-forward of unobligated balance
  - Open new budget categories
  - Revised budget for an award
  - Revised budget for a proposal
- Data Use Agreements & Non-Disclosure Agreements
- Material Transfer Agreements
- Fabricated Equipment
- Personnel
  - Effort change for PI or other key personnel
  - Extended absence of PI
  - PI or Co-I change
  - Change of department
- Prespending
  - New award
  - Continuation year
- Subcontract
  - Request to issue new subaward
  - Subaward amendment
- Withdraw proposal
- No-cost Extension
Revised Budgets

Revised budgets may be required at both pre- and post-award stages. For these requests an ESPR 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 ESPR 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 OSR
- Submit an ESPR 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

- Most of the primary award terms and conditions will flow through to the subrecipient, particularly the regulatory requirements and obligations.
- The subcontract will also incorporate the subrecipient’s proposed scope of work and budget

To initiate a subcontract:
- Department submits an ESPR request along with subrecipient’s SOW, budget, and justification
- May need agency approval to initiate a subcontract if into 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”

• Make certain COI disclosures are up to date

• Provide a completed copy of the Unobligated Balance calculator, found on the OSR website under Resources and Training → Tools and Checklists

• Provide current IRB and/or IACUC approval, as needed
Award Close-Out

1. PI submits final progress report
2. Submission of final invention statement
3. ASRSP submits final financial report
4. Dept. works with ASRSP to reconcile and close chart string
Questions?