Post-Award Non-Financial Management

Office for Sponsored Research
The Sponsored Project Life Cycle

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

2. Award Set-Up
3. Award Management
4. Award Closeout

5. Post-Award Administration

- Identifying Funding Opportunities
Before the Award

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

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

• 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

• IRB / IACUC approvals in place

• Once negotiation is completed OSR signs the agreement
Research Terms & Conditions (RTC)

Defined as the standard core set of administrative terms & conditions for research & research-related awards that are subject to A-110/Uniform Guidance

Largely based on terms & conditions originally utilized by institutions participating in Federal Demonstration Partnership (FDP)

Waives the requirement for prior approval from many federal sponsors for:
- Rebudgeting
- Carryover of funds
- 1st no-cost extension
What is “Uniform Guidance”? 

• The OMB “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” was released on December 26, 2013

• The “Uniform Guidance” consolidates the eight federal circulars that govern financial assistance (grants), including A-21, A-110 and A-133, also effectively consolidating grantee communities

• Meant to ease administrative burden and strengthen oversight over Federal funds to reduce risks of waste, fraud and abuse
  • Effective December 26, 2014
Award Set-Up

• OSR checks that all approvals and determinations are in place, and that all required information has been obtained
  – Financial Conflict of Interest (FCOI) 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

• **PI/department should carefully review both the 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

For Additional Information:
Evanston – On the PAS there is a section for Appropriation notes that contains important award terms and conditions*
Elements of NUFinancials Chart Strings

Fund Code: First three digits of the chart strings indicate the sponsor type

Department Code: Seven digit code for the managing department/division

Project Number: Eight digit code unique to a specific project

Example Fund Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Sponsor Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>610</td>
<td>Federal Grants &amp; Contracts</td>
</tr>
<tr>
<td>620</td>
<td>Federal Flow-Through</td>
</tr>
<tr>
<td>630</td>
<td>State of Illinois</td>
</tr>
<tr>
<td>640</td>
<td>Industry Clinical Trials</td>
</tr>
<tr>
<td>650</td>
<td>Other</td>
</tr>
</tbody>
</table>
Award Management: Department Responsibilities

- Review PAS against the award notice; ask questions if something looks amiss
- Obtain access to the Chart String across all NU business systems (payroll, NUFinancials, etc.)
- Establish salaries; notify other departments if utilizing outside personnel
- May request additional budgetary accounts to be opened, if needed
- Ensure correct expense accounts are used when charging expenditures
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**
  - Most recent 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 grant 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 an grantee approved one-year NCE

- Non-federal sponsors generally require 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

An agreement between the prime institution (pass through entity (PTE)) and another organization (subrecipient) under a sponsored project, the subcontract outlines the nature and extent of the subrecipient’s involvement. It includes a scope of work, a corresponding budget, and budget justification.

In addition, the Subcontract incorporates the appropriate terms and conditions from the agreement between the originating sponsor and the PTE

• To initiate a subcontract:
  – Department submits an ESPR request along with subrecipient’s SOW, budget, and justification

• 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 FCOI 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, if applicable
Award Close-Out

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