VI. Award Management

Responsibilities	PI	Unit Admin	Dept. Chair	HSGAO	Dean's Office	VP Research	VP Finance	OSP	OGA	GCA	ORCA	IACUC	IRB	IBC	Research Park	Tech Transfer	Attorney	Auditing	Purchasing	President	Academic Affairs	Health Sciences	Grad School Dean	Gov Relations	Human Resources	RRT	ROC/Grants Admin	Facilities Mgt	Payroll
Budget Management																													
1. Establish appropriate security in BANNER							P			S																			
2. Initiate non-salary purchases that are in compliance with A21 requirements and award terms and conditions	P		S		S					S																	S		
3. Prepare single source justification for purchase, if necessary	P																		P								S		
4. Identify personnel for salary charges	P			I																									
5. Ensure key personnel are consistent with proposal or notify agency if major changes are made	P			P					S																				
6. Set up Payroll on grants	P		P		O					S											P	P			P		P		
7. Review payroll expense reports and budget statements	P		I		S					S																	P		
8. Reconcile payroll expense reports and budget statements	P									P																	P		O
9. Review transactions over $10,000 and over, all consultant fees, all capital equipment, all sub-contracts and cost transfers	P			P		O	S		P	p																			
10. Randomly check grant transactions from various units for appropriateness and adherence to federal, state, and local regulations.										P									P										
11. If funds were not received at time of award, invoice sponsor or draw down funds on letter of credit (monthly or quarterly)									P	P																			
12. Establish policy and procedures that ensure the accuracy and timeliness of all financial transactions posting to the general ledger				I			P		P	P																			

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13. Initiate request for re-budgeting and provide justification	P		O	S	O				S	S																	S		
14. Review re-budgeting requests and either approve them or return them for issue resolution (if necessary, seek sponsor approval)			S	P	S				P	P																			
15. Receive subcontractor invoice and forward to unit for PI signature				S						P																			
16. Approve that work was done by subcontractor	P																												
17. Maintain documentation of subcontractor work	P																										P		
18. Process payment of subcontractor invoices				S						P																	P		
19. Ensure A-133 reports are received from subcontractees										P																			
20. Review carry forward balances > 25%	P			S						P																	S		
21. Approve or recommend approval of carry forward of unexpended funds per award terms	I			S	S				P																		I		
22. Document cost sharing and/or matching	P			I	S				P	P																	S		
23. Collect cost sharing commitments	P		P	I	P																								
24. Report cost sharing on sponsored awards										P																			
25. Provide institutional oversight related to documenting cost sharing and/or matching										P																			
26. Prepare justification for cost transfers	P			O																							P		
27. Prepare documentation for cost transfers	P			O																							P		
28. Review and process cost transfer requests for compliance with University policy				I						P																			
29. Prepare justification for payroll JV's (journal vouchers)	P																												
30. Prepare documentation for payroll JV's	P																										P		

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31. Review and process payroll JV requests in accordance with University policy							P			P																			
32. Maintain local oversight for the project budget	P									P																	S		
33. Ensure financial systems provide adequate information to PI							P			S																			
34. Certify that charges meet A-21 requirements and sponsor terms and conditions	P						P			P																			
35. Prepare and submit invoices to sponsors										P																			
36. Prepare and process letter of credit draws										P																			
37. Prepare and submit case report forms for clinical trials	P																										S		
38. Receive payments from sponsors and deposit them in University accounts										P																			
39. Resolve payment problems with late or non-payment by funding agencies	I									P																	I		
40. Determine and identify funding source for uncollectible amounts	P				P	P				P																			

Animals Only																													
1. Place order for animals	P																												
2. Confirm that an approved protocol exists	P										P	P	P	P															
3. Verify protocol is linked to CUFS number											P	P	P	P															
4. Ensure that appropriate CUFS account is being charged by matching it to protocol																													
5. Enter order into system and send to vendor																													
6. Receive order, enter information into system, generate cage cards, and notify census takers																													
7. Create IV for monthly charges																													

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8. Distribute IV to PI & send to Accounting Services																													
9. Review/confirm charges and reconcile with CCM	P																												
10. Post IV to CUFS						P																							
Financial and Management Reporting																													
1. Provide timely and accurate financial information/reports using the general ledger										P																			
2. Use monthly reports for financial monitoring and identify and resolve errors on the account in a timely manner	P									S																S		
3. Prepare interim financial reports for submission to sponsor										P																			
4. Review and certify project expenditures reported on interim financial reports	P									P																			
5. Submit interim financial reports to sponsor										P																			
6. Identify use and monitor program income. (Program Income is gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the sponsored award).										P																			
7. Deposit program income										P																			
8. Prepare and send the report of program income to the sponsor										P																			
Scientific/Program Management																													
1. Conduct sponsored project	P	O	O		O																								
2. Complete and submit interim technical reports	P			O					O																				
3. Initiate material transfer agreements	P			I																						P			

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4. Review and approve incoming materials transfer agreements	P	S	S	S												P													
5. Complete progress report for non-competitive renewals	P			O																							P		
6. Provide oversight for all research activity	P	O	O	P	O	O		P	P																				
7. Provide local oversight on implementation of University, state and federal policies and regulations	P	O	O	P	O	P		P	P	P																			
8. Provide local oversight over appointment of individuals to the project	P	O	O	O	O	O																							
9. Initiate programmatic changes to the project	P			I		O		S	P																				
10. Review programmatic changes to the project		P	P	P	P			P	P																				
11. Provide institutional endorsement to sponsor for requests for administrative or programmatic changes initiated by PI				P		P	P	P	P	P																			
Human Resource Management																													
1. Hires or assigns research personnel for project	P			I																				S					
2. Prepares documents for appointment of individuals to project	P			I																				P					
3. Approve appointment of students	P			I																									
4. Approve appointment of researchers		P	P	I	P																								
5. Approve appointment of administrative (non-student and non-researchers) positions	P			I																									
6. Terminate research personnel	P			I																									
Inventions																													
1. Disclose invention information	P																												

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2. Review invention disclosure information			S	S	S											P													
3. Evaluate disclosure forms and notify the PI, Dept. Chair and Dean whether invention will be pursued				S												P													
4. Provide invention disclosure and patent application progress reports to sponsors	I			S												P													
5. Prepare patent applications; and file them with United States Patent Office	I			I												P													
6. Initiate and approve licensing agreements and notify the PI, Dept. Chair and Dean	I			I												P													
7. Complete standard invention disclosure form	P			I												P													