



## Guidance on Sponsored Projects for Principal Investigators, Administrative Assistants, Business Managers, and College/Unit Leaders

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### I. Introduction

This document provides guidance related to the acceptance, implementation and management of awards received from external sponsors. The document also describes the roles and responsibilities of principal investigators (PIs)<sup>1</sup>, administrative staff, business managers, and college/unit leaders during the conduct of externally funded projects.

UNC's Office of Sponsored Programs (OSP) provides centralized pre-award and post-award services to UNC faculty and staff. The OSP staff is assisted by a grant accountant in the General Accounting Office.

PIs receive day-to-day administrative support from staff located in their home units; or, with the agreement of his or her home unit, college, and center or institute leadership, a PI may arrange to receive support for day-to-day administration of a sponsored project through a center or institute. Good coordination, communication, and an understanding of best practices and compliance requirements between OSP, General Accounting and college/unit-based support staff are essential to the administration of sponsored projects.

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<sup>1</sup>A research project is generally under the direction of a principal investigator (PI), while other types of projects are under the direction of a project director (PD). For the purposes of this document, the term "principal investigator" or "PI" is used to refer to both.

## II. Pre-Award

### A. Project Ideas and Sources of Funding

#### 1. Generating Project Ideas

Developing project ideas should not wait until a potential sponsor announces a request for proposals. Conceptualize your ideas, talk them over with colleagues and possible collaborators, prepare brief written overviews, and discuss them with the Associate Director of OSP. As you continue to develop and refine your idea, present it to your chair or director to ensure support at that level before going further. Depending on requirements of the project, you may want to discuss it at this point with your dean as well.

#### 2. Finding Funding Sources

Use the resources on the How to Find Funding page to search for external funding opportunities that are a good match with your project. If you provide a brief written overview of your project idea, OSP will work with you to identify funding opportunities. Contact the Associate Director of OSP (351-1932) for assistance identifying external funding opportunities. Faculty and staff members who are interested in identifying sources of external funds to support their work may use the Sponsored Programs Information Network (SPIN) database that is made available on the OSP website. OSP provides training in the use of SPIN, and will assist with individual searches.

#### 3. Reviewing Proposal Guidelines

To determine if a project is a good match, the PI should obtain a copy of proposal guidelines and requirements from programs identified as potential funding sources. Most sponsors make these available on their websites. GCAs can assist with this if the guidelines aren't readily available.

GCAs can also help to analyze the guidelines and produce an outline or summary of key points whether the program is a good match for your project.

OSP recommends that, in addition to reading proposal instructions, PIs also review the sponsors' websites for additional information that could help strengthen proposals. A sponsor's mission statement, legislation authorizing a grant program, and lists of previous awards can provide insight into what the sponsor values that may not be included in a request for proposals.

### B. Proposal Development

#### 1. Notice of Intent

Once a PI selects a grant program that is a good fit for his/her project, the process of developing a proposal for submission to an external sponsor begins with the PI submitting a Notice of Intent (NOI) form to OSP, allowing the OSP staff to prepare for working with the PI on development and submission of the proposal. Whether the submission is for a preliminary proposal or a full proposal, the information provided on the NOI will be used by OSP to assist the PI throughout the proposal development process.

OSP recommends that the NOI be submitted at least 30 days before the proposal submission deadline. Within a few days of receiving a NOI, a GCA will contact the PI to discuss proposal development and submission. The NOI form is available on the OSP website

Please note that a preliminary proposal is any type of submission that provides information about a project that is used by the sponsor to determine a full proposal will be invited. A second NOI is required when a full proposal is invited.

A notice submitted to a sponsor solely for the purpose of helping the sponsor estimate the number of proposals to expect does not need to go through OSP.

## 2. Notifying Others

Once a PI has selected a grant opportunity and committed to developing and submitting a proposal, it is the PI's responsibility to make certain that chairs/directors of all involved units are notified to ensure the project will be supported before going forward with proposal development.

Continuing communication is necessary when proposals involve faculty and/or staff from multiple colleges or units. The PI must anticipate coordination needs and discuss them with deans and others well in advance of proposal submission to avoid post award problems.

## 3. Proposal Narratives

The project narrative is a critical part of the proposal. It is the PI's responsibility to prepare the narrative in according to the sponsor's guidelines (request for proposals, program announcement, funding opportunity announcement, etc.). It is important that the PI and any collaborating writers review the guidelines carefully before beginning to write the narrative; something that may seem as insignificant as including color in a proposal can be cause for rejection without review if use of color is prohibited in the instructions. Ignoring the recommended proposal sequence may not be cause for rejection, but could irritate reviewers and result in lower scores. GCAs provide a secondary review of proposals; however, PIs are ultimately responsible for ensuring that the narrative portion of the proposal meets the sponsor's requirements.

## 4. Proposal Budgets

A project budget that provides adequate resources to accomplish the work being proposed with proper justification is essential.

Before considering a budget, PIs must think through projects in enough detail to know the type of costs they will incur in carrying out the work. Preparing an executive summary of the project is a good way to start; it can then be the foundation for developing both the detailed proposal budget and the narrative description. Using a [project planner](#) can also assist with creating a budget. PIs may contact OSP for additional information about executive summaries and project planners.

While the project description should define the budget, deciding what resources are needed to conduct the proposed work may help the PI to refine the project description. Developing a budget will also determine if the project can be accomplished within any funding limits set by the sponsor or if the scope of the project will need to be reduced.

GCAs will meet with PIs who desire assistance understanding the basics of sponsored project budgeting. However, budget development is a collaborative effort between a PI and a GCA, with the PI determining what categories of cost the project will include (e.g., salaries, graduate students, travel, equipment, etc.), and the GCA assisting with specific calculations and ensuring that the budget is consistent with university policies, federal cost principles, and sponsor regulations and restrictions. The back-and-forth nature of this collaboration requires continuing and timely communication from both parties.

Budgets and budget narratives are closely scrutinized by sponsors when making funding decisions. A sponsor may reduce a budget before making an award if it doesn't correlate with the proposed project narrative and is not reasonable or well justified.

#### i. Uniform Administrative Requirements, Cost Principles and Audit Requirements

UNC complies with the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards as codified in Title 2, Part 200 of the Code of Federal Regulations, commonly referred to as the [Uniform Guidance](#). PIs agree to ensure that requirements of the Guidance are met throughout the period of a funded project.

Subpart E of the Guidance identifies factors affecting allowability of costs charged to a grant – costs must be necessary and reasonable, allocable to the grant, and allowable.

Charges must also be permitted under the terms of the specific award and must be consistent with university practice (e.g. salaries for graduate students must abide by graduate school model).

- *Allowable* if it is permitted under the terms of the grant, any statute authorizing the grant program, and the Uniform Guidance.
- *Reasonable* if it does not exceed that which would be incurred by a prudent person in similar circumstances;
- *Allocable* if the goods or services involved are assignable to the specific grant in proportion to the benefit to the grant;

Subpart E also provides principles for determining the allowability of certain items of cost ([Paragraphs 200.420 through 200.475](#)). PIs may refer to it to determine if, and under what circumstances, a cost is allowed (e.g., advisory councils, entertainment costs, materials and supplies, computing devices, scholarships and student aid costs, etc.).

## 5. Including Subcontracts in Proposals

PIs whose projects involve other entities conducting part of the scope of work must include those entities as subcontractors in their proposals. Collaborative Research proposals to the National Science Foundation are the exception, and PIs submitting NSF proposals that include other entities should talk with their OSP GCA to determine how best to handle the collaboration.

PIs are asked to identify subcontractors on the NOI. If there are to be subcontractors that were not identified at that time, to avoid delays and last-minute problems, PIs should notify their GCA as soon as possible.

PIs work with their collaborators on the division of work and budget; however, the GCA works with the entity's office of sponsored programs or equivalent to obtain required documents that must be submitted to OSP by representatives who are authorized to sign on behalf of the subcontractors.

Note: The total budget for the collaborating entity is included on the subcontract line in UNC's proposal to the sponsor.

Note: UNC cannot submit a proposal that includes subcontracts without an authorized signature from the subcontractor entity. PIs must allow time for the subcontractor PI to obtain approvals and signatures.

## C. Proposal Review and Approval (*Internal Routing*)

### 1. Purpose of Internal Review

A completed proposal is not submitted to the sponsor until it has been reviewed and endorsed by the PI and Co-PI's home units and their colleges or administrative units; and finally, approved for submission by OSP, acting for the university. This process is in place to assure that, if funded, the project can be carried out as proposed. This review and approval ensures that:

- The proposed project has the support of the PI and Co-PI's home units and their college or administrative units;
- The proposed budget is acceptable to the PI and Co-PI's units and OSP;
- If multiple units or colleges/areas are involved in the project, they have agreed on a division of any recovered indirect costs (IDCs);
- A commitment is made to provide post-award administrative support;
- Any commitments for space, personnel, or matching funds included in the proposal will be available upon award; and
- Any unallowable costs or budget overruns charged to the project will be the responsibility of the PI's unit and college or administrative division

### 2. Proposal Review & Endorsement Form (PREF)

The PREF is an internal document that is used to obtain the required proposal endorsements and approvals. After a proposal budget is finalized and all project considerations (e.g. curriculum, renovation, human subjects, matching funds, etc.) have been addressed to the satisfaction of unit and university leaders, the GCA will create a PREF for the PI to complete and route with required attachments for review and approval.

Please note that a preliminary proposal requires a PREF if it includes a line-item budget or other commitments from UNC; otherwise a PREF is not necessary until such time as a full proposal is invited by the sponsor. If a preliminary proposal doesn't require a detailed budget, but the sponsor asks for a total estimated budget amount, the PI should confirm that the sponsor will not restrict the project to that estimated amount in an invited full proposal.

Required signatures for the PI and all Co-PIs certify that:

- The information presented in the proposal is true, accurate, and free of misconduct (falsification, plagiarism and fabrication).
- If this proposal results in an award, the PI and Co-PIs will accept responsibility for the management and conduct of the project as specified in the proposal and in accordance with the terms and conditions of the award.
- The PI and Co-PIs will comply with all UNC policies, rules and regulations pertaining to my role and responsibilities on the project, including fiscal management and regulatory compliance matters.
- Any proposed external and internal collaborations are genuine and have been reviewed and approved by the collaborators.
- The university may decline an award if the project includes commitments that were not approved by the appropriate university leadership at time of proposal submission.

Required signatures for the chairs and directors of all units with personnel on the project affirm that:

- The proposed project is consistent with the mission and goals of the unit.
- Commitments of personnel in the unit to the project are compatible with their other commitments to the unit.
- The chairs/directors approve of release time, allocation of facilities, and cost sharing commitments as proposed; and will make all such available should the proposal result in an award accepted by the university.
- If the proposal includes the purchase of equipment, the chairs/directors verify that no like equipment is available in the units to support the proposed work.

The signature of the PI's chair or director further certifies that:

- The unit will be responsible for any unallowable costs and/or budget overruns charged to the award's grant ORG.

Required signatures for the deans and AVPs of the PI and all Co-PI's units affirm that:

- The proposed project is consistent with the mission and goals of the college/administrative units.
- The deans/AVPs will ensure that the project is supported and that proposed resources will be available.
- The deans/AVPs agree to the indirect cost distribution as indicated on the PREF..
- The PI's dean/AVP agrees that the college/administrative unit will be responsible for any unallowable costs and/or budget overruns charged to the award's grant ORG.

Careful review of the proposal by institutional officials is expected before signing a PREF.

The PI is responsible for obtaining all required signatures and conveying the signed document to OSP prior to proposal submission. PIs must allow adequate time before the proposal deadline for obtaining the required signatures, taking into account the availability of signatories

### 3. Preparing for Submission – Internal Deadline Policy

The internal submission deadline policy is intended to provide sufficient time for OSP to complete a review of the proposal, to obtain the final university approval, and to ensure that proposals can be submitted in time to meet the sponsor's submission deadline.

The final version of the signed PREF and all proposal documents, attachments, approved budgets, and forms (including those for any subrecipients, if applicable), must be received by OSP **by 9:00 a.m. at least 3 business days before the sponsor's deadline.**

Note that Information needed to complete forms, budgets, or other parts of the proposal that OSP has agreed to prepare must be provided well in advance of this internal deadline. Appropriate schedules will be agreed to during the development process, but must allow for completion of the final versions by the three day internal deadline.

If OSP does not receive proposal documents by the internal deadline, or if changes are made after it:

- The proposal will be considered late and will be processed by OSP after proposals that are received earlier;
- The proposal may be submitted without a review for completeness and formatting;
- It may not be possible to meet the sponsor's deadline; and
- OSP will not be responsible for any errors that result in the proposal being declined, or for a late submission that is rejected by the sponsor.

### D. Submitting the Proposal

PIs are not authorized by the university to submit proposals to external sponsors on behalf of the university. All external proposals for funding that will be awarded to the university are to be submitted by the OSP. Proposals for scholarships or fellowships that will be awarded to the individual applicant are submitted by the applicant, and in some cases where a sponsor stipulates that awards are made to individuals rather than to the university. Those are also submitted by the applicant and do not go through OSP.

When a proposal is to be submitted by email or through a sponsor's web-based form, the PI should provide all required information to the GCA, so that OSP is able to submit the proposal.

### E. Pre-Award Spending

In some circumstances, it may be allowable to start a project and make expenditures before an award has been received and/or accepted by the university. If there is a situation that warrants pre-award spending, the PI should contact the GCA to determine whether the sponsor will reimburse pre-award costs, and the degree of financial risk such costs would be to his or her unit and college/division. If it is determined that there would be little to no risk, the PI must provide OSP with a signed [Application for Advance Account Form](#). Signatures certify that the PI and the leadership of his or her unit are aware of risks involved with spending prior to receiving an award, and that the units will be responsible for any such expenditures should they be unallowed when the award is received, or should there be no award.

## F. Award Negotiation and Acceptance

OSP is the university's authorized signing authority for external awards. PIs are not authorized to sign any sponsored agreement (grant, contract, cooperative agreement, memorandum of understanding, material transfer agreement, etc.) on behalf of the university.

### 1. Negotiating Prior to an Award

There are scenarios that may require negotiation with a sponsor before an award is offered. A sponsor may request a change to the proposed scope of work, or may offer to fund the project at an amount less than was proposed. In these cases a negotiation is warranted, and the PI must notify OSP. The GCA will assist the PI with negotiations and with submitting revisions to the proposal when necessary.

### 2. Receiving Award Documents

When an award is made, the sponsor usually notifies the authorizing official listed on the proposal (typically the AVP for Research), and provides the award document; however, if an award or notice of funding is sent to the PI, he or she should immediately contact the GCA.

### 3. Final Review and Acceptance of Award Documents

The GCA reviews the complete award document and communicates with the PI should there be a need to revise the terms and conditions imposed by the sponsor, and to confirm that other aspects of the award are accurate. GCAs work with sponsors, PIs, and university legal counsel when negotiations are necessary. When a final version is agreed upon by all parties, the award will be accepted and/or signed on behalf of the university by an authorized signatory.

## III. Post-Award

External sponsors award grants and contracts to the university, which acts as the fiscal agent. The PI, however, is responsible for management of the award. While the PI may delegate some duties to others (e.g., Co-PIs or department administrators), the accountability for management of the award always remains with the PI. He or she is responsible for ensuring that the work is carried out and that funds are spent according to the terms of the award and in compliance with additional requirements referenced in the award and with university policies and procedures.

Primary post-award PI responsibilities:

- Ensuring that the project is conducted as described in the award document
- Spending funds according to the award budget, and in compliance with sponsor and university requirements
- Acting as liaison with the sponsor on all technical or programmatic issues
- Assuring that no one involved on the project has a conflict of interest
- Maintaining records as required by the sponsor and the university
- Preparing and submitting progress or technical reports

Depending on the sponsor and the project, there may be additional PI responsibilities:



- Monitoring the performance of subrecipients, assuring that work is completed and any deliverables received
- Hiring and/or managing project personnel
- Documenting cost sharing (match) funds committed to the project
- Complying with UNC research compliance policies and procedures (e.g., human and animal subjects)

## A. Award Set-Up

### 1. Fund Application

Once an award has been accepted by the university, the GCA prepares a Fund Application Form (FAF) that outlines important financial and award-related information, such as the Banner Fund-Org-Program (FOP) number, budget information for the award (direct costs, indirect costs, cost sharing), the project period and budget period dates, related Banner FOP numbers (e.g. cost sharing, research incentive, prior period/system), personnel FTE, and the sponsor approved expenditure budget by Banner budget account codes and by amount. General Accounting provides the GCA with the fund number and the university grant number.

The FAF also lists the names of those granted financial signature authority on the account, the names of those who need Banner financial security access, and the name of the unit administrator who is responsible for providing administrative support to the project. Once the FAF is completed, the grant and contract administrator gives it to the PI for review and to obtain the required signatures. The PI is responsible for forwarding copies of the signed forms to General Accounting, his or her business manager and unit administrator, and to the GCA.

### 2. Expenditure Approvals

Deciding who should be authorized to approve expenditures on an award is guided by General Accounting's [Approval Queues procedures](#). The PI and a Co-PI are authorized to approve expenditures on an award, as they have first-hand knowledge of the project and can ensure that costs charged are allowable, allocable, and reasonable. When there is not a Co-PI on a project, the PI's supervisor is the second authorizing signatory.

The GCA prepares an Approval Queue form for each fund that will be established for an award. They are given to the PI for review and to obtain the necessary signatures. The PI is responsible for forwarding copies of the signed forms to General Accounting, his or her business manager and unit administrator, and to the GCA.

PIs should be aware that, after receiving signed FAFs and Approval Queues, it can take several days or weeks for General Accounting to set up an award in Banner before expenses can be charged to the fund.

#### i. Financial Responsibilities

The responsibilities that employees agree to assume when they are granted authority to approve award expenditures are itemized in the Accounting Services document, [Basic Financial Responsibilities Required by Authorized Personnel to Approve a University of](#)

[Northern Colorado Financial Transaction](#). Multiple items are listed that the approver must verify for each transaction. The individuals who are authorized to approve expenditures on a sponsored project award must comply with sponsor regulations and conform to university policies and procedures that govern financial transactions.

### 3. Award Set-Up Meeting

After an award is received, the GCA will invite the PI, college/unit business manager, and administrator assigned to the project to an award set-up meeting. The meeting allows for discussion about the terms and conditions of the award and outlines useful information for the successful implementation and conduct of the project. The GCA provides other attendees with copies of the award documents, including the approved budget. The FAFs and Approval Queues are reviewed, and given to the PI to obtain the required signatures. PI responsibilities, reporting requirements, award terms and conditions, and university procedures relative to the award are discussed. The GCA provides training on the use of Grant Insight reports for monitoring award funding.

### 4. Cross-Disciplinary Awards

Sponsored projects that include participants from multiple units require focused leadership from the PI, and coordination among project team members. The business manager from the unit housing the award (usually that of the PI's home unit) takes the lead in assisting the PI with contracting personnel and payroll forms, and coordinating with business managers from collaborating units.

### 5. Subcontracts

A subcontract is a legally binding agreement between UNC and the collaborating entity. It obligates the subcontractor to conduct work according to the scope of work and budget included in the agreement, and it obligates UNC to reimburse the subcontractor for budgeted expenses it incurs during the period of the subcontract.

When a proposal including a subcontract is funded, the GCA works with the PI to determine if any changes are needed in the subcontractor's proposed scope of work and budget. Once that is finalized, the GCA prepares the subcontract document and routes it for review by the university's Legal Counsel as needed.

When a final version of the subcontract has been agreed upon, OSP forwards it to the subrecipient for review and signature. Negotiation of terms may be necessary; if the subrecipient wants to make substantial changes, it will require another internal review.

Once the subrecipient signs, the subcontract is signed by an authorized representative of the university, and a fully signed copy returned to the subrecipient entity and to the PI. A PI should never sign a subcontract.

## B. Project Management

The ability of the PI to successfully manage a project is dependent upon receiving adequate administrative support. OSP and General Accounting provide support to funded PIs throughout the award period; however, the operational, day-to-day support from college and

unit<sup>2</sup> levels is essential, enabling PIs to conduct projects and helping them to meet financial and nonfinancial compliance and reporting requirements.

Although sponsored projects must conform to all university policies and procedures that govern project and financial management, PIs and administrative staff must be aware that important differences exist between university funded and externally funded (sponsored) projects that affect project administration and financial monitoring:

- Sponsored projects have specific project and budget periods that are usually different than the University's fiscal year (July 1 – June 30). This means that expenditures and budget procedures must follow the award's project and budget period, not the university's fiscal year.
- Sponsored projects are subject to additional sponsor and government compliance requirements. Careful stewardship of external funding means ensuring that, in addition to university and state procedures, project deliverables, reports, expenditures, and other requirements as noted in the award documents, contract provisions, and sponsor regulations must be met.

Care and attention to these differences are essential to satisfactory project and financial management of awards.

### 1. Project Expenditures

The PI is responsible for overall management of the award, making sure that adequate funds are available in the appropriate budget category prior to making an expenditure, and approving all expenditures, including payments to subcontractors.

The administrative support person or business manager assisting the PI prepares all necessary documents (in accordance with university policies and procedures) for transactions to be charged to an award, and presents those documents for approval by the individuals listed on the approval queue.

The following questions should be asked and answered before making an expenditure:

- Is the item allowable and allocable to the project?
- How much will it cost?
- Would a prudent person purchase this item under similar circumstances?
- Is there funding available in the budget line item to purchase the item?
- Is sponsor approval required?

### 2. Changes to Budgets or Scopes of Work

As a project progresses, it may be necessary to revise a project's scope of work or make changes to the budget. Because a modified award document or sponsor approvals will be necessary, when considering such changes PI's must notify OSP. OSP will ensure that any required sponsor approvals are obtained. PIs may proceed with revised budgets or

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<sup>2</sup> Home units include schools, departments or offices (in the case of non-college based proposals). Home units are parts of larger colleges or areas.

changes in scopes of work only when authorized to do so by OSP after sponsor approvals are in place. PI's should allow time for an award modification. (Refer to the OSP website to review the policy, [Revisions to Program Plans and Budgets for Funded Awards.](#))

### 3. Financial Monitoring

A reporting tool that extracts grant data from the Banner financial system is available for PIs and administrative staff to use. The Insight Grant Information Reports were created by a team of representatives from OSP, Information Management & Technology (IMT), and General Accounting with the end user in mind.

PIs should use Insight to review their grant accounts at least monthly, communicating with their grant and contract administrator if they notice problems or discrepancies.

PIs and administrative staff access the reports through the [Insight Portal](#) by selecting the "Production" menu, and logging in with UNC credentials.

The Insight Grant Information Report is GRT002. These Insight reports organize grant financial information, and include "drill down" capability, allowing users to view additional, detailed data. They include important information on grant awards such as:

- Descriptive data including the project title, the funding agency, the PI name, the project start date and end date, the grant budget cumulative amount, the grant type and category, the Catalog of Federal and Domestic Assistance (CFDA) number (if applicable), the sponsor ID, and the Indirect Cost rate and type.
- Numerical and Banner data such as the grant number (the number assigned by the university at the time of award), the fund number(s) associated with the award, the fund name, the default ORG code for the grant (e.g., the ORG code that will assume any negative balances or cover any over-expenditures or disallowed costs) and the default program code.
- Indirect cost (IDC) data, including the distribution formula for recovered IDCs ("research incentive" funds), as well as detail on IDC amounts budgeted, spent and available.
- Summary financial data for each fund number associated with that award including budget, expenditures, encumbrances and available balance by fund number, fund description and line item budgets (e.g. professional salaries, student wages, graduate assistantships, fringe benefits, travel, materials and supplies, etc.).
- Detailed financial transaction data that is accessed by drilling down on hyperlinked information, and that provides transactional detail (e.g., Banner account code, transaction date, document number, etc.).

The GCAs provide training for PIs and administrative staff on the use of the Insight Grant Information Reports, usually during award set-up meetings; but if not then, it is required within a month of the meeting. The training goes over how to: 1) access the reports, 2) review summary information, and 3) locate important detailed budget and expenditure transaction data.

If required training is not completed, signature authority will be removed from the fund until the PI and appropriate administrative staff do so. PIs who have had previous awards and are already proficient in using Grant Information Reports may be exempted from training by the grant and contract administrator.

4. Other University Training - other university offices provide training to assist administrative staff:

- [Financial Services Training Resources](#)
- [Financial Services Resource Links](#)
- [Banner and URSA Training](#)
- [Insight Training](#)

5. Subcontract Management

PIs are responsible for monitoring the work of subcontractors, assuring that the work is successfully completed on time and on budget, and that any deliverables listed in the subcontract are supplied. Subcontractor invoices must be approved by PIs before OSP forwards them to General Accounting for payment.

## C. Reporting

Reporting requirements will be outlined in the award document, and may vary from one sponsor to another. It is essential that the PI understands the reporting requirements of his or her award.

1. Technical or Progress Reports

Typically, a progress or technical report is required periodically (e.g., quarterly or annually). It is the PI's responsibility to know when these reports are due, and to prepare and submit them on time. In some circumstances, a sponsor may require institutional signature and submission. The PI is then responsible for preparing the report and providing it to the GCA in time for submission to the sponsor.

The PI sends a copy of progress or technical reports to the GCA.

2. Financial Reports

Any financial reporting required by the sponsor is prepared and submitted by General Accounting. The grant accountant may request input from OSP and the PI, but usually submits financial reports directly to the sponsor.

3. Miscellaneous Reports

The PI should discuss any other reports required by the sponsor with his or her GCA.

## D. Award Closeout

(In Progress)

## UNC Websites to Help Manage Awards

### Personnel:

Payroll: <http://www.unco.edu/payroll/procedures.html>

Human Resources: <http://www.unco.edu/hr>

Student Employment: <http://www.unco.edu/ofa/employment/index.asp>

Graduate Students: <http://www.unco.edu/grad/forms/index.html>

### Purchasing:

Financial Services Procedures: <http://www.unco.edu/purchasing/asp/procedures.asp>

Purchasing and Contracts: <http://www.unco.edu/purchasing>

Making a Purchase: <http://www.unco.edu/purchasing/purchases.htm>

UNC Visa Card Program: <http://www.unco.edu/purchasing/pcard/index.htm>

Hiring Contractors: <http://www.unco.edu/purchasing/acctpay/indcont.htm>

Xtender Processing: [http://www.unco.edu/purchasing/acctpay/xtender\\_processing.html](http://www.unco.edu/purchasing/acctpay/xtender_processing.html)

UNC Fiscal Rules: <http://www.unco.edu/purchasing/ftp/purc/Fiscal%20Rules%20Final.pdf>

### Travel:

UNC Travel Procedures: <http://www.unco.edu/purchasing/acctpay/travpro.htm>

Fly America Act (federal travelers): <http://www.gsa.gov/portal/content/103191>

## **Sponsored Project Checklist for Administrators and Business Managers**

### **Award Set-Up**

- Attend Project Set-up Meeting to review budget and award terms and conditions
- Complete Insight Grant Information Training
- Provide day-to-day administrative support to the PI
- Maintain good communication with others (e.g. OSP, PI, grant accountant, business manager)
- Ensure that Approval Queues are followed

### **Expenditure Monitoring**

- Become familiar with approved budget and proposed project
- Conduct regular and ongoing reviews of Insight Grant Information Reports and Banner screens
- Compare the approved budget to charges against the grant
- On a regular basis, provide the PI with information related to expenditures and financial status
- Inform financial signatories and OSP if there are issues, discrepancies, or questions
- Immediately take steps to correct any problems (e.g., incorrect charges, mistakes in posting, etc.)
- Retain paperwork, receipts and documentation for expenditures and financial transactions
- Follow university procedures and coordinate with other offices as necessary
- AVOID after-the-fact adjustments (Journal Entries/Cost Transfers) to award expenditures as they are viewed as a red flag to external sponsors and auditors

### **Personnel**

- Review approved budget to ensure personnel charges are allowable on the award
- Prepare paperwork for hiring/reassignment of personnel (faculty, staff & students)
- Ensure that all personnel charges are calculated at the institutional base salary (IBS) rate
- Ensure that all paperwork for hiring students is prepared correctly
- Get PI approval on all documents and route appropriately for other approvals
- Submit all paperwork for approval prior to personnel starting work on the award
- Ensure that workload adjustments for faculty on awards are in compliance with approved award budget and sponsor regulations
- Review payroll charges in Banner/ Insight Grant Information Reports for accuracy and timeliness
- Maintain all documentation related to personnel hiring, charges, timesheets, etc.

### **Purchasing**

- Review approved budget to ensure purchases are allowable on the award
- Follow all university procedures when buying materials, supplies and equipment
- Prepare paperwork for PI approval
- Route documents appropriately for approvals
- Correctly reallocate One Card transactions on a monthly basis
- OSP will serve as second signature on Standard Services Invoices (SSI)
- General Accounting will serve as second signature on purchases
- Maintain all documentation related to purchases
- Ensure that purchases are charged correctly to the fund

### **Travel**

- Review approved budget to ensure that travel expenses are allowable on the award
- Travel must occur within approved budget period
- Prepare travel authorization and route for approvals
- Coordinate travel and expenditures in line with university regulations
- Coordinate travel and expenditures according to sponsor restrictions
- Maintain all travel documentation
- Ensure that travel charges are charged correctly to the fund
- General Accounting will serve as second signature on travel expenses

## SPONSORED PROJECTS: WHO'S RESPONSIBLE

Task	PI/PD	Director Chair	Unit Admin	Business Manager	Dean AVP	Office of Sponsored Programs	General Accounting	Others
<b>PRE-AWARD</b>								
Proposal Narrative Development	X							
Budget Development <small>(including subcontracts and other collaborations with non-UNC entities)</small>	X					X		
Cost Principles	X	X	X	X	X	X	X	Collaborators
UNC Review & Approval	X	X			X	X		Collaborators
<b>POST AWARD</b>								
Award Negotiation & Acceptance	R					X		UNC Legal
Award Set-Up						X	X	
Fund Application Form							X	
Approval Queues	R			X (changes)	X	X (initiates)		
Financial Responsibility	X	X	X	X	X			
Project Set-Up Meeting	X		X	X		X (initiates)		
Collaborative Awards	X	X			X			Collaborators
Subcontract Negotiations	R					X		UNC Legal
Project Management	X	X						
Audits (PI copies OSP)	X				R/A	X		
Spending funds	X	X	X	X	R/A	R (select)	A	
Budget Revisions	X					X		
Financial Monitoring Tools	X	X	X	X	X	X	X	
Insight Reports	X	X	X	X	R	R	R	
Insight Training	X			X				
University Training				X				
<div style="display: flex; justify-content: space-between;"> <span>X-Responsible</span> <span>R-Review</span> <span>A-Approve</span> <span>Office of Sponsored Programs &amp; Office of Research</span> <span>08.2016</span> </div>								