## SPONSORED PROJECTS FAMILY MAJOR RESPONSIBILITY AREAS

### PROPOSAL PREPARATION AND SUBMISSION:

- Sponsor Opportunities and Materials
- Coordination and Communication
- Budgeting
- Preparation and Submission
- Research Compliance
- Other

### AWARD INITIATION:

- Track proposal status
- Develop revised budgets/obtain revised budgets from subrecipient if needed
- Complete agency-required documents (i.e. Just In Time)
- Work with SPA & PI to review terms of pending award for acceptability;
- Negotiate / accept award on behalf of the University
- Develop PS-friendly budgets and submit to SPA
- Submit subaward initiation documents to SPA
- Create / issue NOGA; establish award within EFS
- Review NOGA; establish award within dept
- Issue subawards
- Review Subawards

### AWARD MANAGEMENT (NON-FINANCIAL):

- Interpret regulation and guidelines to ensure continuous adherence to award terms
- Advise faculty sponsor terms (i.e. prior approval; rebudgeting; carry forward requests)
- Prepare / process continuation proposals / track progress reporting
- Monitor compliance approvals and assist with annual reviews / protocol modifications
- Monitor subrecipient(s) to ensure compliance
- Review effort obligations / monitor or perform effort certification processes
- Ensure incremental funding or continuation awards are received
- Obtain cost sharing agreements and monitor cost sharing commitments
- Assist in sponsored award closeout

### AWARD MANAGEMENT (FINANCIAL):

- Determine allowability, allocability and reasonableness of costs
- Using sponsored project expertise, manage direct and cost share charging in consultation with the PI
- Using sponsored project expertise, reconcile expenditures to budget/provide financial reporting to PIs and Department Head
- Manage sponsored award to resolve questions or problems that arise during post award
- Using sponsored project expertise and knowledge of cost share policy, ensure cost share is properly documented in EFS
- Provide sponsored award analysis and reporting; interpret data; and recommend action to be taken
- Review financial reports (for sponsored) and cost sharing projects.
- Provide policy and procedure interpretation
- Coordinate with Sponsored Financial Reporting the financial aspects of sponsored award closeout
Within the department/center/unit, responsibilities likely include coordination, preparation, review, and submission of proposals to SPA for sponsored grants and contracts (new, renewal, supplemental, transfer); these pre-award personnel possess a specialized body of knowledge that guides judgment, decision making, interpretation of policy and allows for the identification and resolving of potential post-award issues during the pre-award process. In addition, these personnel understand the consequences and risk to the University when policies are not followed. Specific responsibilities may include some or all of the following:

**SPONSORED PROJECTS FAMILY MAJOR RESPONSIBILITY AREAS**

### PROPOSAL PREPARATION AND SUBMISSION:

- **Sponsor opportunities and materials**
  - Search and/or assist the PI in searching for sponsored funding opportunities using tools such as Community of Science, InfoEd SPIN, Grants.gov, the Foundation Directory, and sponsor websites
  - Determine appropriate award type of the potential funding (gift, sponsored activity, external sale) prior to preparation of proposal
  - Obtain and review sponsor RFA/guidance, policies, procedures, instructions; assure understanding of sponsor’s eligibility criteria, required documents, instructions, deadline, and terms and conditions of award

- **Coordination and communication**
  - Act as liaison between the PI and SPA/spONSOR; SPA’s first point of contact regarding proposal submission
  - Use project management skills to manage the department/center/unit pre-award workload and assure that sufficient time is allocated to prepare proposals and meet sponsor deadlines

- **Budgeting**
  - Develop budgets for various types of proposals (e.g., basic research, clinical research, clinical trials, fixed-price agreements, training grants, centers and program projects, consortia, fellowships, public service, equipment, contracts) assuring adherence to sponsor and University research policies/procedures including personnel categories, effort, cost sharing, charging of direct and indirect costs, F&A calculation, and justifications; working knowledge of federal circulars A21, A110, A133. (including allowability, allocability and reasonableness of costs)
  - Act as liaison to other organizations to develop and obtain subaward proposals; understand subaward vs. contract for professional services
  - Use in-depth knowledge of the University’s F&A Sharing policy to guide the development of proposed F&A sharing plans

- **Preparation and submission**
  - Use in-depth knowledge of the pre-award process to assure that all proposal components are included and prepared accurately (e.g., cover pages, abstract, key personnel listing, budget, budget justification, resources/facilities/equipment, biosketches, support letters, work scope, subaward documents, human subjects, vertebrate animals, scientific narrative, appendices, etc.)
  - Use in-depth knowledge of specific software (Adobe Acrobat, Excel, Word, graphics programs) to create proposals in the required format
  - Use the University’s Electronic Grants Management System (EGMS) to prepare proposals and/or to prepare, route, and track proposal routing forms (PRFs). Understand the basis of each of the PRF questions, assure that responses are accurate and appropriate, and identify all required signers
  - Understand budget categories as they relate to the University’s chart of accounts
  - Prepare and submit electronic proposals using in-depth knowledge of sponsor’s electronic submission system (e.g., grants.gov, ProposalCentral, HRSA Electronic Handbooks, eRA Commons, NSF FastLane, American Heart Association, etc.)
  - Track proposals as they move through SPA and through the sponsor’s process; respond to SPA and sponsor as required
Research compliance
- Use working knowledge of research compliance areas to assure that proposals accurately document requirements with respect to IRB, human subjects education, HIPAA, IACUC, custom antibodies, IBC, conflict of interest, patents and inventions, stem cells, safety training, blood borne pathogen training, radioactive permits, public access policies, program income, data and safety monitoring boards, resource sharing, data sharing, responsible conduct of research, etc.

Other
- Assist PIs with progress reporting and preparing/submitting noncompeting proposals as above
- Work with PIs and SPA to process material transfer agreements (MTAs)
- When awarded, work with post-award staff to assure smooth transition from pre-award to post-award
- Maintain documentation of department/center/unit proposal submissions and related pre-award reporting
- Participate in research grants management activities, meetings, workshops, etc. offered by the University and professional organizations

AWARD INITIATION:

Track proposal status
- Award of sponsor timeline for issuing awards
- Setting up tickler system to monitor progress of award status at sponsor
- Contacting SPA to coordinate this effort
- Ability to determine, at receipt of award, difference between gift, sponsored activity, external sales and employ university process for determining correct classification

Develop revised budgets / obtain revised budgets from subrecipient if needed
- Respond to SPA’s request for revised documentation need by sponsor for issuance of award
- PI/Dept. provide additional information required for subaward issuance
- Understand cost share and the implications (demands a knowledge of the University’s Cost Sharing policy)

Complete agency-required documents (i.e. Just In Time)
- Upon notification from Sponsor provide SPA with updated proposal documentation for submission to the sponsor; this may include updated Current and Pending documentation, more detailed budget/budget justification, etc.

Work with SPA & PI to review terms of pending award for acceptability
- Develop project management plan for review by PI of award documentation (statement of work, budget, deliverables, reporting requirements, etc.) for implementation of award
- Provide SPA with PI approval to have the award institutionally endorsed / accepted
- Adhere to RSPP determinations that work cannot begin until approved protocols have put in place
- Monitor PI(s)/Co PI(s) endorsements are up to date (i.e. RCR training and REPA) in place

Negotiate / accept award on behalf of the University – SPA

Develop PS-friendly budgets and submit to SPA
- Interpret sponsor budget categories as they relate to the University’s Chart of Accounts and prepare PeopleSoft budget form, submitting to SPA in a timely manner for the establishment of appropriate funding distribution in the University’s financial system
- Must be able to perform calculations to ensure sponsor’s rules are followed for appropriate account code set up
Submit subaward initiation documents to SPA
- PI assesses need to modify statement of work or budget to conform to changes initiated by sponsor
- Provide appropriate document of changes to SPA
- PI/Dept. verify compliance approvals are current for subrecipient’s portion of statement of work (human subjects, animal subjects, biosafety)

Create / issue NOGA, establish award within EFS – SPA

Review NOGA; establish award within dept.
- PI and DRA review Notice of Grant Award, issued by SPA for sponsor / university compliance requirements
- Set up appropriate departmental files (electronic/paper) to monitor ongoing progress of award
- Communicate to appropriate individuals information for the ongoing performance of the award (human resource/payroll, lab personnel, etc.)
- Determine appropriate assignment of cost categories and department systems for monitoring progress of project
- Maintain required compliance components (human subjects, animals biosafety)

Issue Subawards - SPA

Review Subawards
- Work with PI to provide SPA with approval to initiate subaward document to subrecipient
- Set up departmental files (electronic/paper) for monitor subaward progress / payments
- Able to recognize the difference between Subaward and Contract for Professional Services

AWARD MANAGEMENT (NON-FINANCIAL):

Interpret regulation and guidelines to ensure continuous adherence to award terms
- Understand sponsor’s regulations / terms and conditions and University policies and procedures to avoid being non-compliant when assisting PI with delegated tasks
  - Understand and abide by U Policy Charging Direct and Indirect Costs to Sponsored Project (distinguishing between direct / indirect costs charges)
  - Understand the Managing Program Income Policy recognizing potential program income and how to document, if applicable
  - Facilities and Administrative rate / costs
- Understand the consequences of not following these regulations which puts the University at risk

Advise faculty of sponsor terms (i.e. prior approval; rebudgeting; carry forward requests)
- Assure that post award staff / PI are aware of agency requirements at time of award
- Knowledge of when SPA or agency approval is required for a change to the project and ability to prepare appropriate request and maintain records when approved
- Understand that any changes to the scope of the project or budget, compared to the proposal, may need to be agency approval and dept review
- Manage any UFRA’s during the project performance period to ensure the integrity of the sponsored project (UFRA – unfunded research agreement (MTA, CDA, NDA, etc.)
- Managing Pre-Award Advance Projects
  - Basic knowledge of process
Where form is, who is involved
- Knowledge of sponsor terms/conditions related to preaward spending
- Ability to monitor pre-award of advance project for adherence to sponsors terms (i.e. 90 day preaward)

- Manage personnel appointments (type, term, etc.)
  - Must understand the bases for different personnel appointments in order to properly comply with specific sponsor award terms
  - Must enter distributions correctly so sponsor is charged appropriate
  - Understand the impact the management of personnel appts have on the effort statement

- Recognize and report if scientific finding are not correct: basic knowledge of mechanism to report scientific misconduct

- Prepare / process continuation proposals / track progress reporting
  - Must apply same policies and procedures as when preparing new proposals
  - Knowledge of sponsor requirements for preparing and submission of continuations/renewals
  - Understand the significant of the technical report as a term/condition of the award
  - May assist the PI in meeting the deadline by coordinating documentation and other details
  - Assist with coordination of Sponsor Site visits

- Monitor compliance approvals and assist with annual reviews / protocol modifications
  - Could include HIPAA, Lab Safety, Conflict of Interest, Equipment Inventory, etc.
  - Knowledgeable of various compliance issues to assure that all appropriate approval are in place before expending funds and that no inappropriate information is transmitted on documents (i.e. financial)
  - Monitor the submission of IRB applications / approvals
  - Maintain equipment inventory documentation for compliance with agency/UMN policies

- Monitor subrecipient(s) to ensure compliance
  - Able to recognize, during the project period, to determine whether the appropriate process is being followed (e.g. Subaward vs Contract for Professional Services)
  - Including tracking subaward performance is in line with scope of work
  - Payments are reviewed / approved by PI; At termination of subaward, obtain appropriate technical reports to assist SPA with closeout of subaward

- Review effort obligations / monitor or perform effort certification processes
  - Knowledge of UMN policy regarding effort certification
  - Understand effort certification
  - Manage effort certification process in the department to ensure completion
  - Prepare required documentation of the current effort commitments
  - Monitor effort to make sure currently level is in line with award terms and conditions
  - Knowledge of agency requirements regarding ongoing effort

- Ensure incremental funding or continuation awards are received
  - Work with SPA for timely submission of continuation proposal and other required documents to ensure receipt of amendments from sponsor, allocating incremental funding / next year funding

- Obtain cost sharing agreements and monitor cost sharing commitments
  - To ensure proper documentation is maintained

- Assist in sponsored award closeout
  - Monitor end date of project
  - Be aware of procedures governing - Fixed price close out
  - Early terminations
  - Relinquishing process
- Changes in PI request
- Knowledge of UMN and agency document retention policies

**AWARD MANAGEMENT (FINANCIAL):**

- **Determine allowability, allocability, and reasonableness of costs**
  - Review approved budgets and sponsor requirements to determine allowability, allocability, and reasonableness of costs
  - Obtain additional prior approval of sponsor or SPA if needed
  - Analyze and approve/deny financial transactions as department Certified Approver based on University policies and sponsored requirements.
  - Using sponsored project expertise, analyze and approve/deny financial transactions as department approver based on University policies and sponsored requirements.

- **Manage direct and cost share charging in consultation with the PI**
  - Using sponsored project expertise:
    - Prepare documents within University policies and sponsor requirements
    - Monitor compliance with IRB and IACUC before approving changes to ensure inappropriate charges are not made
    - Monitor for compliance with NIH salary cap or other
    - Review sub-award invoices and ensure they are approved by the PI and processed by SPA
    - Act as liaison with other institutions for sub award invoices and payments
    - Work with PIs and/or project staff to determine personnel to be moved onto and off of new projects
    - Identify need for, and process, HSAs to correct payroll transactions to ensure adherence with effort policy

- **Reconcile expenditures to budget/provide financial reporting to PIs and Department Head**
  - Using sponsored project expertise,
    - Verify/reconcile accounts for accuracy on a monthly basis, review financial transactions, and resolve problems
    - Compile, summarize, and interpret accounting and statistical data for special reports as requested

- **Manage sponsored awards to resolve questions or problems that arise during post award process**
  - Respond to inquiries from PIs and their project staff. Work with PIs and their project staff to resolve problems of overdrafts, inappropriate expenses, and expired accounts; recommend resolution plan
  - Serve as liaison between PIs and SPA
  - Monitor fixed price account activity
  - Serve as department liaison to SFR
  - Using knowledge of sponsored and research administration policies, compose no-cost extension letters
  - Prepare continuation budgets and submit all agency required information for continuations and renewals.
  - Prepare continuation budgets for sub awards working with personnel from prime institutions.
  - Using knowledge of sponsored and research administration policies, prepare carry forward requests (budgets, letters, etc.)

- **Ensure cost share is properly documented in EFS**
  - Using sponsored project expertise and knowledge of cost share policy,
    - Request cost share account set up with appropriate function code
    - Work with PIs and/project staff to determine personnel to be moved onto and off of cost share accounts
    - Identify need for, and process, HSAs to correct payroll transactions to ensure adherence with effort policy

- **Provide sponsored award analysis and reporting; interpret data; and recommend action to be taken**
  - Forecast budget period ending balances and final project ending balances; communicate to PI
• Analyze financial data for project accounts to identify gaps using various sources of information, e.g. EFS, UM Reports, EGRS, ECRT, etc.
• Meet regularly with PIs and project staff regarding budget issues and recommend a course of action for problem resolution
• Develop and submit rebudget request within sponsor and University requirement

☐ Review financial reports (for sponsored) and cost sharing accounts
  • Monitor required financial reporting and verify SFR reports
  • Monitor program income
  • Monitor interest income (TIP) on appropriate sponsored accounts

☐ Provide policy and procedure interpretation
  • Review NOGAs with PIs and their project staff
  • Keep current on all University policies, sponsor policies, federal regs, etc.
  • Interpret and explain contract/grant terms and conditions
  • Ensure PIs and their project staff are updated on new and revised University policies and procedures
  • Ensure PIs and their project staff are updated on new and revised federal/agency policies, procedures, and requirements

☐ Coordinate with SFR the financial aspects of sponsored award closeout
  • Facilitate grant closeout which may include removing late charges/overdrafts and ensuring that recurring charges are stopped
  • Work with department payroll personnel to ensure future payroll distributions are stopped on both sponsored and cost share accounts
  • Assist SFR with account close out – verify information, including cost share, and make transaction adjustments as necessary
  • Work with SFR to identify fixed price balances (with consideration of F&A waiver or reduction)
  • Set up non-sponsored account with appropriate function code for fixed price balances
  • Review closed project files and develop individual retention plan for each account