



## Session 4 – Award Management



OFFICE OF  
SPONSORED PROGRAMS  
COLORADO STATE UNIVERSITY



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## Office of Sponsored Programs

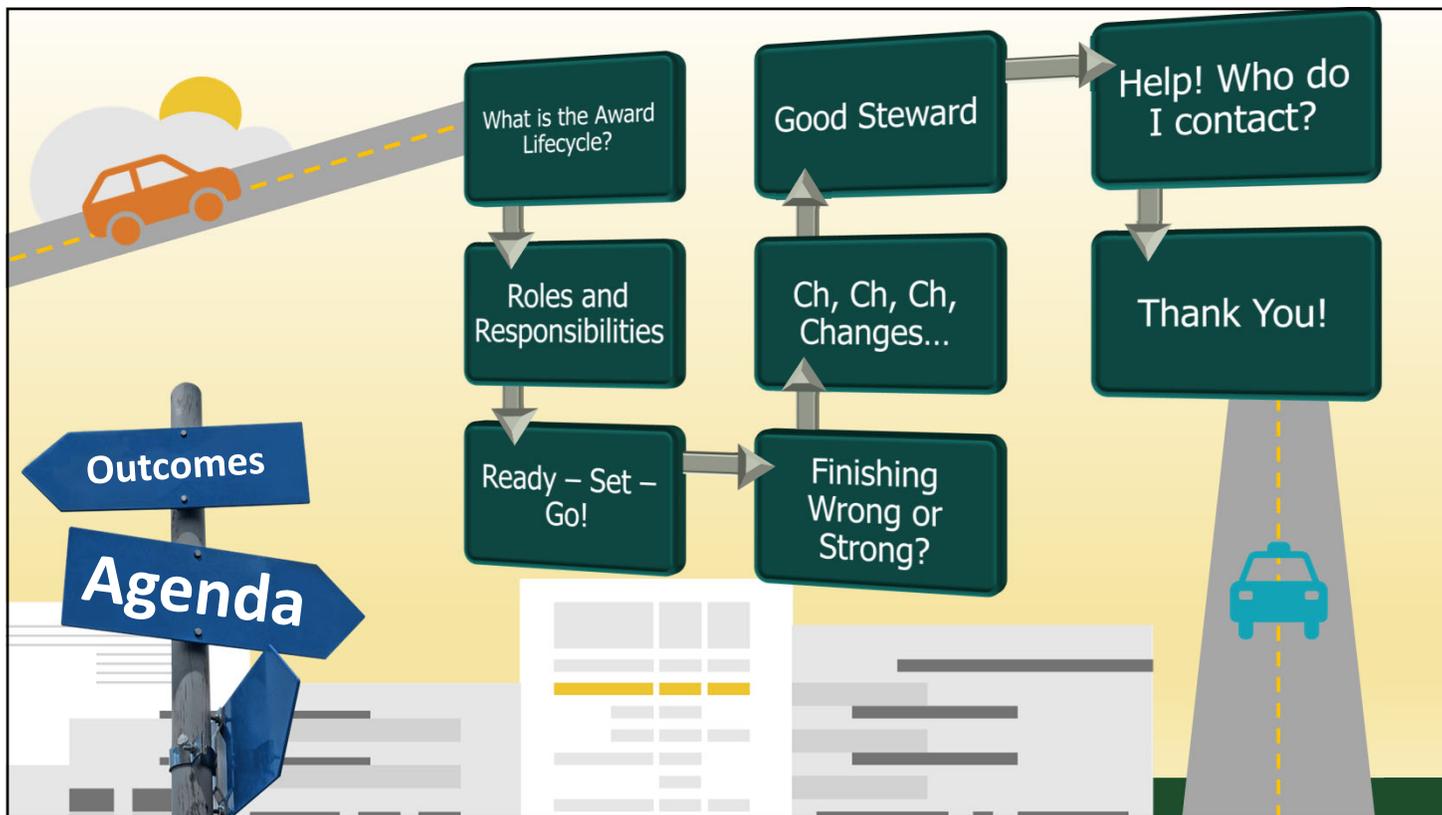
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## Our Partners

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Responsible

Account Setup & Award Administration					
Award Setup- Getting it Setup	Principal Investigator	Unit/Department	College	OSP	Other Resources
Verify protocol approvals (e.g., IRB, IACUC, Export Control, Biosafety)	Assistance	Assistance		Primary	
Enter award and budget data in University systems				Primary	
Assign Project Number				Primary	
Provide Source Cost Sharing Account Information	Assistance	Primary	Assistance		
Set up Cost Sharing Account				Primary	
Request a Work-in-Progress (88) Account for Equipment Fabrication	Assistance	Primary	Assistance	Primary	
Set up Work in Progress (88) Account for Fabricated Equipment				Primary	
Request an Outgoing Subaward to be Initiated	Primary	Assistance			See <a href="https://www.research.colostate.edu/osp/subaward/">https://www.research.colostate.edu/osp/subaward/</a>
Initiate an Outgoing Subaward				Primary	
Award Administration- Managing the Project	Principal Investigator	Unit/Department	College	OSP	Other Resources
Conduct the research project and provide oversight and stewardship on all research activities	Primary				
Initiate Materials Transfer Agreements, if needed	Primary	Assistance			
Prepare and finalize Materials Transfer Agreements				Primary	
Review programmatic changes to project	Primary	Assistance			
Coordinate administrative and award term issue resolutions with sponsor				Primary	
Notify OSP of changes to key personnel	Assistance	Primary			
Request change of key personnel from sponsor				Primary	
Identify need for No-Cost Extensions and submit request to OSP	Primary	Assistance			
Review and Submit No-Cost Extension notifications/requests	Assistance			Primary	In some cases, OSP has delegated this authority to the PI
Notify OSP of anticipated award changes (scope, schedule, etc)	Primary	Assistance			
Negotiate award changes (deliverables, schedule, scope)				Primary	
Provide programmatic deliverables as required, on schedule	Primary				

<https://www.research.colostate.edu/osp/guidance/>

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Responsible

Financial Management					
Award Administration- Managing Finances	Principal Investigator	Unit/Department	College	OSP	Other Resources
Overall responsibility for financial and programmatic stewardship of award	Primary	Assistance			
Review Notice of Award terms and conditions	Primary				
Review Project Budget and create Spending and Procurement Plan	Primary	Assistance			
Generate requisitions in purchasing systems		Primary			
Prepare revised budget	Primary	Assistance			
Initiate Re-budgeting request with OSP where Sponsor Authorization is required	Assistance	Primary			
Review and submit re-budgeting request to sponsor	Assistance	Assistance		Primary	
Monitor project spend rate	Primary	Assistance			
Inform OSP of anticipation of 75% spend, if sponsor notification is required	Assistance	Primary			
Cost Sharing: Post and Track	Assistance	Primary			
Ensure fulfillment of cost share commitments	Primary				
Request personnel appointment in HR		Primary			
Project Closeout					
Monitor award ex-Period of Performance	Principal Investigator	Unit/Department	College	OSP	Other Resources
Ensure proper do-Identify awards ready for closeout	Primary	Assistance		Assistance	
Identify changes-Review autogenerated closeout notices 90 days before project end date	Primary	Assistance			
Review deviation-Ensure expenditures/cost transfers have been posted to correct accounts in a timely manner (all cost transfers approved by OSP)		Primary			
Spot audit expen-Review accuracy Ensure encumbrances (including subrecipient) have been reviewed/closed		Primary			
Reconcile account-Ensure encumbrances (including subrecipient) have been reviewed/closed		Primary		Assistance	
Review system financial reports for allowable/budgeted expenses and resolve issues	Assistance	Primary		Assistance	
Confirm completion of subrecipients' work and approval of final invoice	Primary				
Ensure receipt of subrecipient's final invoice & closeout of Subaward prior to closeout of Prime award				Primary	

<https://www.research.colostate.edu/osp/guidance/>

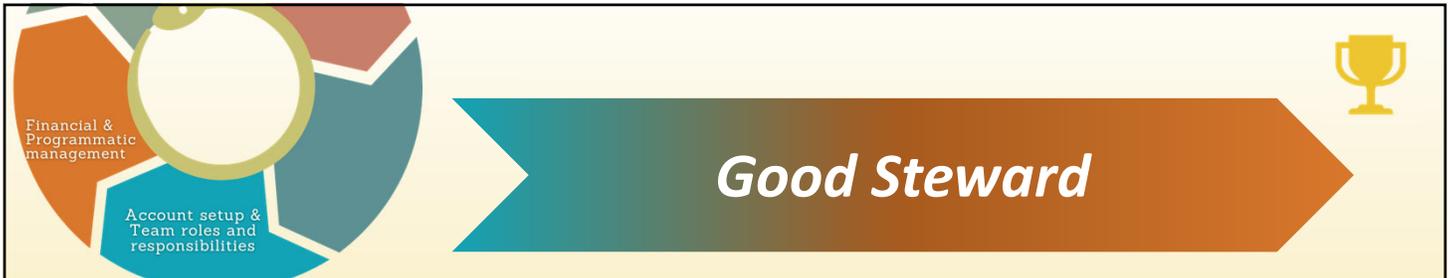
### Administrative

- [At-Risk Spending Form](#)
- [PI Request to Initiate Subaward Form](#)
- Team Management
  - Hiring
  - Recruiting
- Meet with the unit/departmental research administrator to plan ahead
- Read your award!
- Cost share setup

### Strategic

- ✓ Is pre-spending necessary/allowed?
  - ✓ Avoid general ledger transfers, which are audit flags
- ✓ Set the tone early and often
- ✓ Align the best people with the scope of work
- ✓ Advanced planning makes management and change management easier
- ✓ Make sure you understand the terms and conditions of the award

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## Good Steward

### Administrative

- Team Management
  - Subaward/Collaborators/Grad Students/PostDocs/Consultants/etc.
- Meet with the unit/departmental research administrator regularly
- Review expenditures
  - Provide adequate justifications
  - Subaward invoices & monitoring
- Timely effort certification
- Timely technical reporting

### Strategic

- ✓ Moving the work forward according to the statement of work
- ✓ Be informed and informative
- ✓ Be kind to your future self
- ✓ Future proposals and awards may be at risk for non-compliance with the terms and conditions of the award

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## Cost Allowability



### Allowable

Necessary & reasonable  
Conform to cost principles & program terms/conditions  
Permitted by law  
Consistently treated as a direct or indirect cost  
Adequately documented



### Allocable

Chargeable & assignable to cost categories  
Incurred solely to advance the work under the sponsored agreement  
Necessary to the overall operation of the agreement  
Not charged to other Federal awards



### Reasonable

"A cost is reasonable, if, in its nature and amount, it does not exceed that which would be normally incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost." 2 CFR § 200.404



## Compliant

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# Order of Precedence

Public Laws

### Strategic

- ✓ Read the sponsor award terms and conditions
- ✓ Understand the related policies and guidance at your institution
- ✓ **Most strict term applies**

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## Effort Timeline

### Award

- Staff, and GRA students may be hired if personnel is needed for project
- In appointment, employment terms are negotiated, and **IBS is established**
- Award is set up and proposed budget is input into the institution's financial system for tracking

### Post-Award

- Effort is set up in advance and charged to the project consistent with activity.**
- Adjustments to effort are made before salary posts (**best practice**), or timely after-the-fact with a Past Period Distribution Adjustment (PPDA)
- **Quarterly**, salaries are reviewed in ECRT after-the-fact by the unit and the PI for accuracy.
- After reviewing, **effort is certified by PI.**

### Project Reporting

- PI should report on personnel and their effort on the project in annual and final technical reports.**
- Deliverables such as publications, conference travel/presentations, inventions, patents, etc. should be tied to the effort and personnel on the project.

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## Ch, Ch, Ch, Changes...

### Common Amendment Types

- Scope of Work Change
  - Subaward Changes
- Supplement
- **Budget Revisions**
- Carryforward
- Change in Senior or Key Personnel
- Change in cost-share
- Changes in sub-award
- **No Cost Extensions**
- **Reduction of Senior Personnel Effort**
  - Disengagement or break from the project

### Strategic

- ✓ Ask *before* making changes
- ✓ Know who should be making the request and to whom
- ✓ Know who can make changes to an award and who can't
- ✓ Do not assume, communicate
- ✓ Always forward any Sponsor correspondence to your OSP RA Team

## Who ya gonna call?

### Technical/Program Officer

- **What they do**
  - Scientific or technical experts from the research community
  - Guides proposals through the merit review and selection process
  - Resource for PI/Co-PIs/Senior personnel for technical and scientific questions at the proposal stage and after awarded
- **Who should contact whom?**
  - They will generally be contacted by PI or other Senior personnel

### Grants/Contracting Officer

- **What they do**
  - Responsible for awarding agreements selected for funding for the sponsor
  - Administers the award from pre-award to closeout for the sponsor
  - Answers questions about prior approval requirements for changes to the award
  - Is authorized to make changes/modifications to an award agreement for the sponsor
- **Who should contact whom?**
  - They should **only** be contacted by an OSP representative

### OSP Representative, RA Team, & Post-Award

- **What they do**
  - Responsible for negotiating T&Cs and accepting an award selected for funding or modified with the Grants Officer from the sponsor on behalf of CSU
  - Answers questions about and initiates all prior approval actions with the sponsor for an award
  - Prepares required financial reports throughout the award lifecycle for CSU
- **Who should contact whom?**
  - PI/Co-PI or the unit/departmental RA should contact them with questions or concerns

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## *Finishing Wrong Last 90 days*

### Administrative

- Unspent balances
  - Restocking materials and supplies
  - Replacing equipment
  - NCE for spending out funds
- Requesting NCE late
- Unresponsive Subrecipients
  - Late final invoices
- Not submitting timely technical reports
- Not getting Work-in-Progress (WIP) completed and capitalized

### Strategic

- ✓ If work is complete, it is okay to send unspent funds back to the sponsor
- ✓ Sponsor does not have to grant untimely requests
- ✓ Contact your RA Team early if there are any problems with subs
- ✓ Everything must be completed before a project can be closed out

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## *Finishing Strong!*

### Administrative

- No cost extension (NCE) needed?
  - NCE Request Form
- All work is complete? – [Closeout Checklist](#)
  - Subawards have completed work?
  - Final invoice received
- All technical reporting is complete?
- All expenses have been checked for allowability?
- Retain documents and data as required

### Strategic

- ✓ NCE only when work is not yet complete not to spend down budget
- ✓ A closeout plan should be in place when the project is awarded – Do not wait until the last months
- ✓ Set yourself up for your next project by dotting all your “I”s and crossing all your “T”s
- ✓ Audits can happen anytime in the retention period

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Strategic



# Learning From

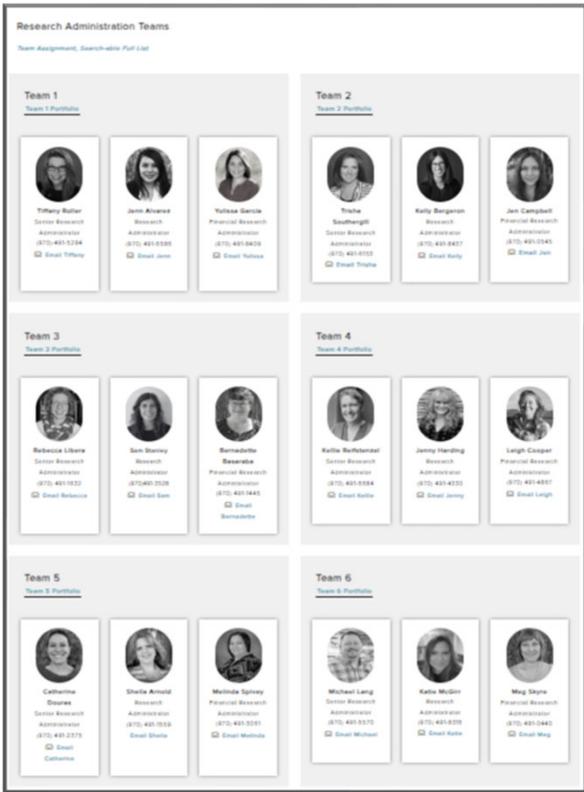
- **Previous Awards – What Worked? What didn't?**
  - Roles and responsibilities
  - Necessary Compliance
  - Affective Teams & Collaboration
  - Documents needed
  - Actions required
  - Necessary communication
- **Our Federal Sponsors**
  - Requirements
  - Expectations
  - Communication



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## Who Do I Contact?

<https://www.research.colostate.edu/osp/staff/>



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## Tablets – Are they allowable?

It depends

Yes

- Normally considered an indirect cost
- As direct costs if:
  - integral to project/activity
  - explicitly included in the budget or have prior written approval
  - not recovered as F&A

No

- If conditions in the "Yes" column are not met



## Group Lunch – Is it Reasonable?

No

- Not ordinary or necessary for the efficient performance of the Federal Award
- With very few exceptions, meals and entertainment are not allowed on sponsored projects.
- Meals and Incidentals (M&I) are allowed on sponsored projects as per diem for authorized travel

It Depends

- Some workshop proposals, depending on the statement of work
- Maybe, if your research is on the effects of pizza on team dynamics in a communal setting.



## 3D Printer – How to Allocate?

### Effort

- There is one person who will use the printer for 2 projects. Their effort is set up on ...
  - Project 1: 25% and Project 2: 75%.
 Base allocation on their effort.

### Usage

- There are 2 projects that will use the printer. In the proposals they indicated that they would need the printer for the following: Project 1: 45 days and Project 2: 12 days. Base allocation on usage

### Available Balance

- There is a balance available in 3 accounts Account 1: \$10K, Account 2: \$5K, and Account 3: \$1K. Base allocation % on those numbers.



## Advertising - Is it an Allowable Cost?

### It depends

#### Yes

- Recruitment of grant personnel
- Procurement of goods and services for award performance
- Disposal of surplus materials (unless reimbursed for disposal costs)
- Program-specific outreach
- Those allowed by the program/sponsor

#### No

- Costs to solely promote the non-Federal entity
- Excessive costs of help wanted advertising (color, size, etc.)
- Costs of promotional items and memorabilia
- Advertising costs not specified in 2 CFR §200.421



## Case Study: Equipment

A piece of equipment costing \$15,000 was charged to a Navy award within the last month of the period of performance, with no extension of time expected. There is a proposal in the pipeline to continue the specific aims of this work but on a new award.

Is the equipment allowable as a direct cost?

- The equipment cost is not an allowable expense
- The equipment cost is allowable for its full cost on the Navy award
- The equipment cost may be allocated in part to the Navy award



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## Case Study: Reconciling

During reconciliation, the PI and Fiscal Officer notice that a GRA's pay remained on the account for 2 months after their work was finished in the summer.

Is the pay allowable on this award?

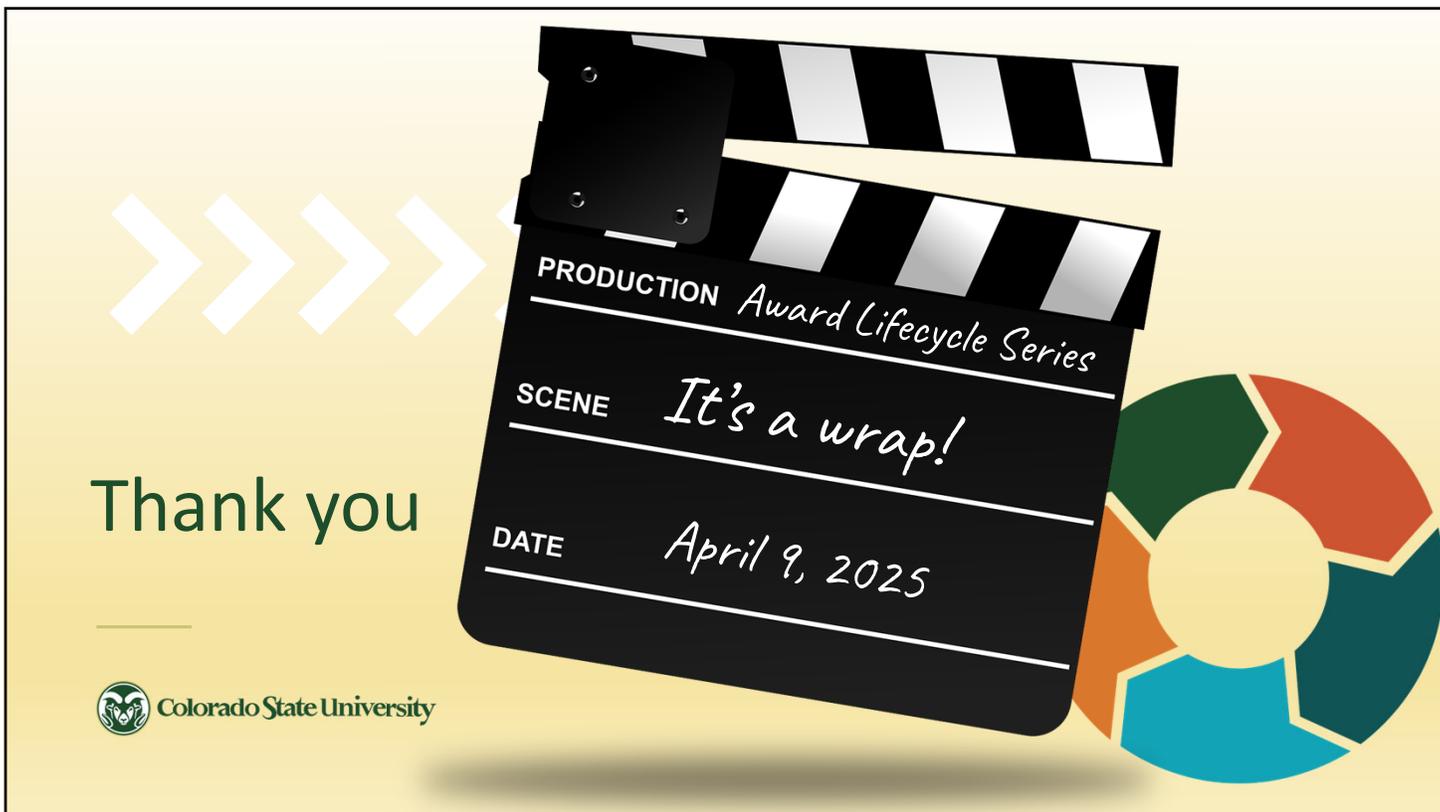
- Yes, they are associated with the work
- No, the extra paid time needs to be removed



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