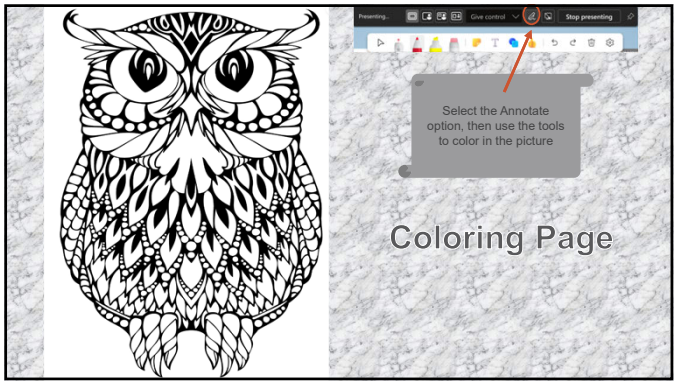
Select the Annotate option, then use the tools to color in the picture
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1

Award Management
Programmatic Mana ent
The Fundamentals of Sponsored Project Administr CSU
Colorado State University

2

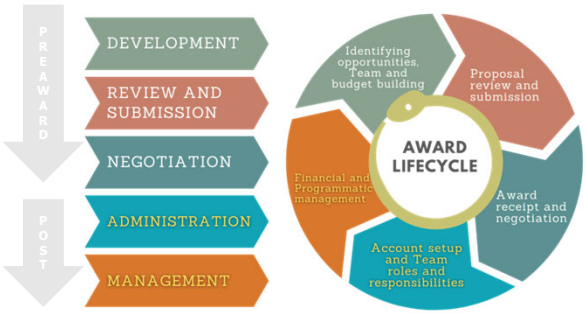
Presenting:
Catherine Douras, CRA
Senior Research
Administrator, OSP
&
Tiffany Roller, Senior Research
Administrator, OSP

3

Award Management
= **Programmatic** +
Fiscal Management

4

Sponsored Project Lifecycle

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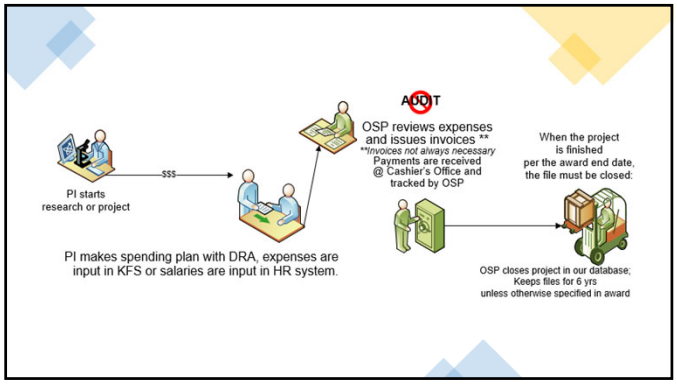


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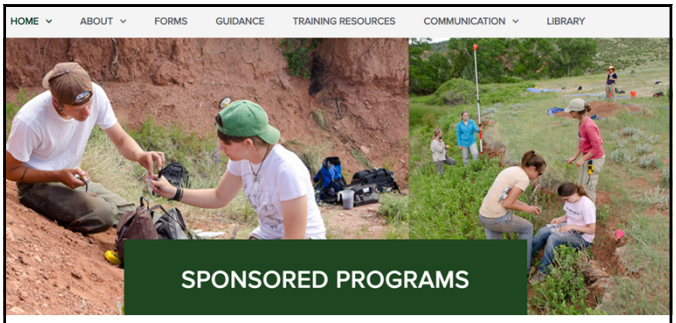


Shared Responsibility

7

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## Common Amendment Types

- Budget Revisions
- Carryforward of Budget into Subsequent Years
- Changes in Principal Investigator (PI) or Key Person
- Changes in Cost Share
- No Cost Extension Requests
- Change in Participant Support Costs
- Principal Investigator (PI) takes a long break (disengagement)
- Scope of Work Change
- Changes in Subaward terms/budget

9

Change in Scope - Recipients are required to report deviations from budget or project scope or objective, and request prior approvals from Federal awarding agencies for budget and program plan revisions, in accordance with this section.

10

Budget Revision - Budget revisions may be needed if planned expenditures differ from the original or most recent sponsor-approved budget.

11

Carry Forward - A Carry Forward request is a process by which unobligated funds remaining at the end of a budget period may be moved to the current budget period to cover allowable expenses.

12

No Cost Extension (NCE) - The extension of a project period without additional funding from the sponsor.

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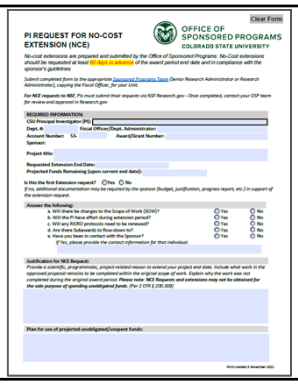

PI REQUEST FOR NO-COST EXTENSION (NCE)

OFFICE OF SPONSORED PROGRAMS
COLORADO STATE UNIVERSITY

Clear Form

REQUIRED INFORMATION

CSU Principal Investigator (PI):
Dept. #: Fiscal Officer/Dept. Administrator
Account Number: 55- Award/Grant Number:
Sponsor:
Project title:
Requested Extension End Date:
Projected Funds Remaining (upon current end date):
Is this the first Extension request? Yes No

Answer the following:
a. Will there be changes to the Scope of Work (SOW)? Yes No
b. Will the PI have effort during extension period? Yes No
c. Will any RCRO protocols need to be renewed? Yes No
d. Are there Subawards to flow-down to? Yes No
e. Have you been in contact with the Sponsor? Yes No
If Yes, please provide the contact information for that individual:

Justification for NCE Request:
Plan for use of projected unobligated/unspent funds:

## Requested Documentation

https://www.research.colostate.edu/osp/forms/

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16

## Prior Approval Authorities

§ 200.308 (e) the Federal awarding agency is authorized, at its option, to waive other cost-related and administrative prior written approvals
(1) Incur project costs **90 calendar days before** the Federal awarding agency makes the Federal award. Expenses more than 90 calendar days pre-award require prior approval of the Federal awarding agency. All costs incurred before the Federal awarding agency makes the Federal award are at the recipient's risk (*i.e.,* the Federal awarding agency is not required to reimburse such costs if for any reason the recipient does not receive a Federal award or if the Federal award is less than anticipated and inadequate to cover such costs).



17

## Prior Approval Authorities

§ 200.308 (e) (2) Initiate a one-time extension of the period of performance by up to 12 months unless one or more of the conditions outlined in paragraphs (e)(2)(i) through (iii) of this section apply. For one-time extensions, the recipient must notify the Federal awarding agency in writing with the supporting reasons and revised period of performance at least 10 calendar days before the end of the period of performance specified in the Federal award. **This one-time extension must not be exercised merely for the purpose of using unobligated balances.** Extensions require explicit prior Federal awarding agency approval when: **(i) The terms and conditions of the Federal award prohibit the extension. (ii) The extension requires additional Federal funds. (iii) The extension involves any change in the approved objectives or scope of the project.**



18

## Prior Approval Authorities

§ 200.308 (e)(3) Carry forward unobligated balances to subsequent budget periods.



19

## Prior Approval Authorities

§ 200.308 (f)
The Federal awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions, and activities for Federal awards in which the Federal share of the project exceeds the simplified acquisition threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency.

*https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/section-200.308*



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## When is Prior Approval Necessary?

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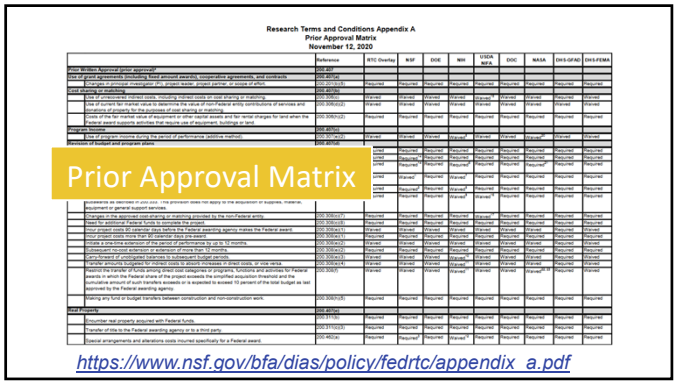
Research Terms and Conditions Appendix A
Prior Approval Matrix
November 12, 2020
Prior Approval Matrix
https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf

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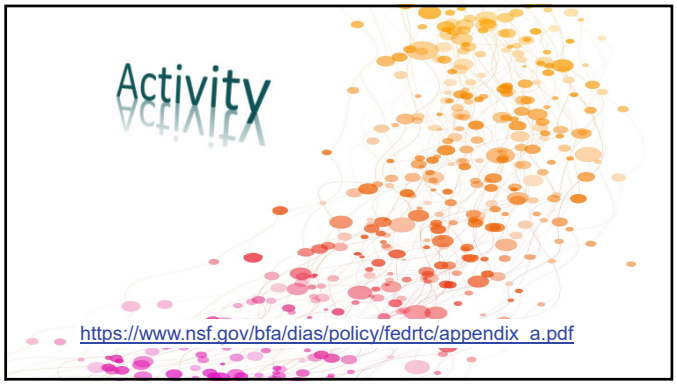
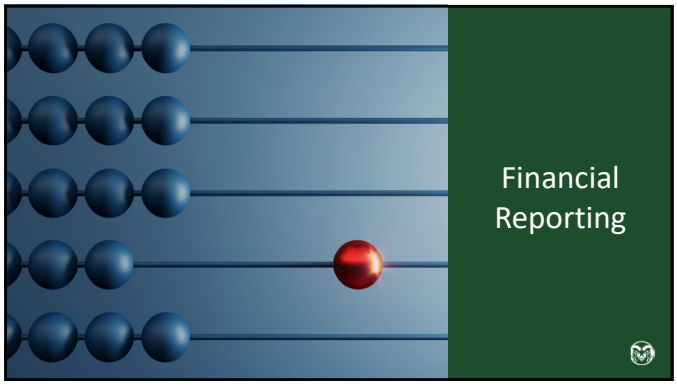
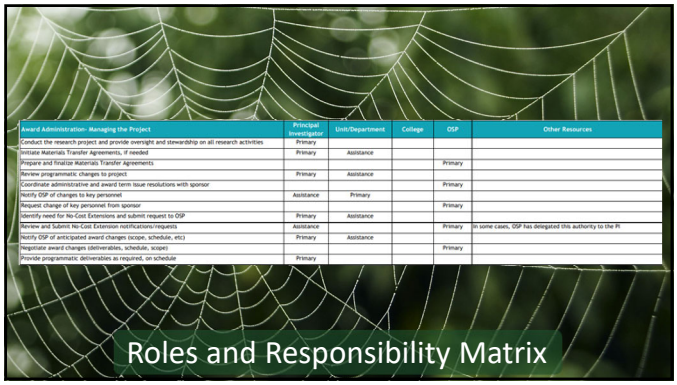

Activity
https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf

23


Financial
Reporting

24




| 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 | | | | |

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Common closeout requirements:

- All expenditures have posted (incl. charges from recharge centers, purchasing cards, travel cards, tuition, labor, subrecipients, etc.).
- All unallowable charges have been removed from sponsored account.
- Staff have been terminated or moved to another funding source.
- Outstanding encumbrances have been liquidated.
- Accounts are not over-spent and deficit balances have been cleared.
- Cost share obligations have been met.
- Final invoice from subrecipients have been received.
- Final payment has been received from the sponsor.
- Final expenditures reported to the sponsor match the total expenditures in KFS.
- If a fixed-price award, a residual funds sweep request has been sent to OSP.
- Project deliverables have been met (incl. subrecipient deliverables).
- Final technical/scientific reports have been submitted with a copy provided to OSP.

## Award Lifecyle: Closeout

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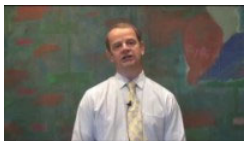
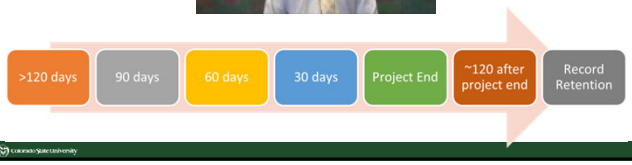
## Closeout Best Practices



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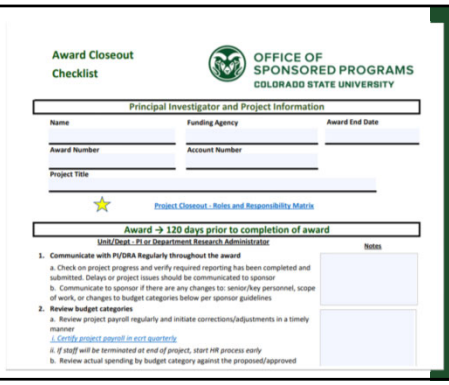
## Closeout Checklist



Award Closeout Checklist

OFFICE OF SPONSORED PROGRAMS
COLORADO STATE UNIVERSITY

Principal Investigator and Project Information

Name | Funding Agency | Award End Date

Award Number | Account Number

Project Title

Project Closeout - Roles and Responsibility Matrix

Award → 120 days prior to completion of award

Unit/Dept - PI or Department Research Administrator | Notes

1. Communicate with PI/DRA Regularly throughout the award
   a. Check on project progress and verify required reporting has been completed and submitted. Delays or project issues should be communicated to sponsor
   b. Communicate to sponsor if there are any changes to: senior/key personnel, scope of work, or changes to budget categories below per sponsor guidelines
2. Review budget categories
   a. Review project payroll regularly and initiate corrections/adjustments in a timely manner
   i. Certify project payroll in ecrt quarterly
   ii. If staff will be terminated at end of project, start HR process early
   b. Review actual spending by budget category against the proposed/approved

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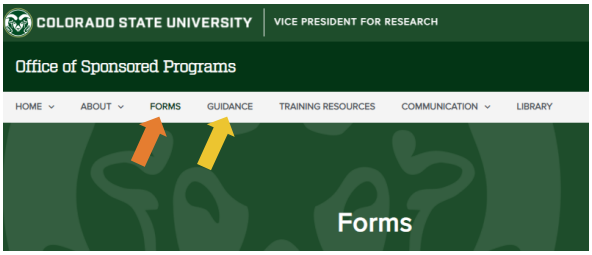
## Forms & Guidance

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1

Sponsored projects are vital to CSU's mission of providing teaching, research, extension, public service, and engagement to the people of Colorado and beyond.

2

As a Research Administrator, you are a valued partner in the pursuit and conduct of externally funded projects.

3

We thank you for attending today's session and look forward to learning and growing together. Please share with your colleagues one new thing you learned today.

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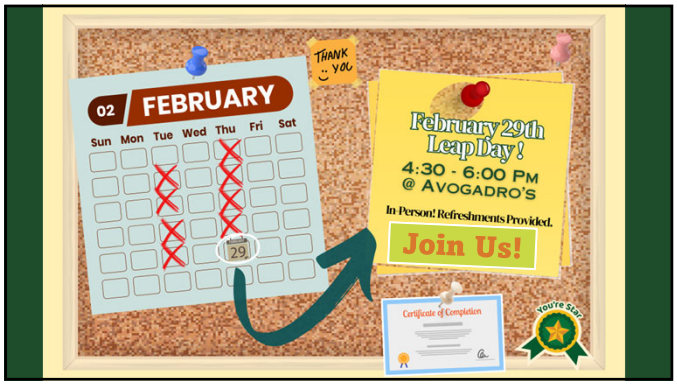


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## Resources

e-Code of Federal Regulations – Expanded Authorities
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/section-200.308

OSP Award Lifecycle
https://www.research.colostate.edu/osp/#AwardLifecycle

OSP Guidance
https://www.research.colostate.edu/osp/guidance/

OSP Forms
https://www.research.colostate.edu/osp/forms/

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## Resources

FDP Research Terms and Conditions Matrix
https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf

Administrative Applications & Resources - MyRAM Portal
https://aar.is.colostate.edu/research.html

NCURA video on closeout:
https://www.youtube.com/watch?v=mYyepB-w6N4

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## Award Management Tools

- Effort Certification (ecrt)
- Kuali Research Administration
  - Kuali Research (KR)
  - Kuali Financial System (KFS)
- COI Status Report
- Research Data and Reports
- Research Project Status (RPS)
- Symphony
- WebFocus

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