Sponsored Projects Services
Post Award
• An overview of Postaward Administration and the resources we use

• Postaward Administration
  – The Award Documents
  – Types of Award Mechanisms
  – Roles and Responsibilities
  – Setting up the UA Account
  – Financial Compliance and Costing
  – Fiscal Responsibilities & Financial Management
  – Technical Responsibilities & Project Changes
  – Project Closeout and Audit
  – Systems and Resources
• Notice of Award
  – The official document that describes the award and the terms and conditions that apply to it
  – Stipulates our administrative and programmatic commitments to the sponsor
  – The award, budget, and its referenced terms and conditions supersede the proposal

• Budget
  – May be included in the award itself, or referenced as an attachment to the award package
  – The expenditure plan, but variance may be allowable depending on sponsor terms

• Additional attachments
  – Postaward forms and instructions, such as for financial or technical reporting
  – Appendices such as program specific terms and conditions or restrictions
• Important items to look for within your Notice of Award (NOA):
  – Terms and Conditions (T&C’s) – what T&C’s govern the award?
  – Direct cost and indirect cost budgets – deviations allowed?
  – Start and end dates (budget period -vs- project period)
  – Report due dates
  – Agency contact information
    • Grants Management Office
    • Program Officer
  – Award restrictions
• Types of Sponsored Awards
  – Grant
  – Cooperative Agreement
  – Contract
    • Cost Reimbursable versus Fixed Price
• Definition of a Grant
  – Purpose is to transfer money, property, services or anything of value to the recipient in order to accomplish a public purpose.
  – Usually awarded on a competitive basis to recipients responding to a sponsor's program announcement.
  – Less substantial involvement between sponsor and recipient.
  – Award is generally a short, pro-forma document referencing a standard set of regulations.
  – Generally, a grant does not require the signature of the University.
• Definition of a Cooperative Agreement
  – Purpose is to transfer money, property, services or anything of value to recipient in order to accomplish a public purpose.
  – Substantial involvement anticipated between the sponsor and the University.
  – The cooperative agreements may require a University signature.
• Definition of a Contract
  – Purpose is to acquire property or services for direct benefit or use of the sponsor.
  – Very restrictive.
  – Usually require negotiation between the University and the sponsor.
  – Require the signature of an officially designated University signatory.
    • Principal investigators are never authorized to sign contracts on behalf of the University.
• Cost-reimbursement Contract
  – Sponsor agrees to pay for all allowable costs incurred by the University in the process of doing the work or research up to an agreed upon maximum.
  – Usually invoiced on monthly or quarterly basis as costs are incurred.
  – “Best-effort” basis
• Fixed-price Contract
  – Defined scope of work for a set sum; that is, the sponsor pays the University a fixed sum to complete a specific job, regardless of actual cost.
  – Payments usually set up by milestones or deliverables.
  – Accurate cost pricing is critical in preparing the proposal budget.
  – Any remaining funds are considered discretionary.
  – Overruns to complete the work are a risk.
• Who are the key roles for a project?
  – Responsible Person (Principal Investigator)
  – Departmental Administration (Department Staff, i.e. Business Office)
  – Central Administration (Sponsored Projects Services)

• Good fiscal management results from a joint effort between the PI, the Department, and SPS
• The Principal Investigator
  – Has the ultimate responsibility for programmatic and financial administration
  – The Principal Investigator must have first hand knowledge of sponsor requirements, funding resources, and work environment to:
    • Correlate the application of costs and award related activity
    • Judge if the application of costs is proper
    • Know whether adequate resources exist for the performance and completion of the required scope

• Department/College (Business Offices)
  – Assist Principal Investigator with meeting administrative requirements of the project – reviewing and approving expenditures, providing timely financial reports, and reconciling accounts to expenditures
  – Assist Principal Investigator in understanding department, university and sponsor regulations
• Central Administration (Sponsored Projects Services)
  – Assist Principal Investigator and Dept/College with contract and grant regulation interpretation, financial analysis, fund accounting, audit and financial compliance

• SPS functional areas
  – Preaward
    • Proposals and Contracting
  – Postaward
    • Fund Accounting Teams
    • Financial Compliance, Audit, Effort Reporting and Cost Sharing
    • Property
• **Preaward**
  – Proposal submission
  – Receipt of Award
    • Review of award documents and if needed - request to department for updated routing sheet, budget etc.
    • Email notice of award documents to department email address

• **Postaward**
  – Account setup
    • UAccess Financials account setup – sent to the fiscal officer action list
    • Budget loaded
    • Cost Share subaccounts setup if necessary
  – Monitoring account
    • Invoicing, reporting, cost approval
  – Closeout
    • Financial reports, audit, etc.
**Sponsored Projects**

- **UAccess Financials account**
  - Setup with attributes based on the information in the award

- **Budget**
  - Loaded to account per the award notice
  - Restrictions noted in the SPS grant file

- **Cost share subaccounts**
  - Setup with funding source listed on proposal

- **Invoicing and cash collection**
  - Record billing and payment terms in a SPS internal database
  - Paper, electronic invoicing, or Letter of Credit draw-down
  - Allocate payments to the individual accounts

- **Financial reporting**
  - Record reporting terms
  - Prepare reports

- **Technical reporting**
  - SPS does not review

- **Patent reporting**
  - Submit sponsor form at the end of project

**Department**

*UAccess Financials account*

- Review the account attributes and compare to award notice

- **Budget**
  - Review the budget and compare to the award notice.
  - Restrictions noted in the Department grant file

- **Cost share subaccounts**
  - Confirm the correct funding source used and commitment is accurate

- **Invoicing and cash collection**
  - Review billing terms and determine if Departmental action is needed, such as providing technical reports or deliverables

- **Financial reporting**
  - Record reporting terms
  - Review SPS prepared reports

- **Technical reporting**
  - Record reporting terms

- **Patent reporting**
  - Ongoing disclosure to OTT
• **Project Changes**
  – Some project changes require sponsor approval
  – Some changes only require us to inform the sponsor of the change

• **Changes can include:**
  – Changes in Key Personnel and/or Principal Investigator
  – Changes in Project Scope and/or Objectives
  – Rebudgeting
  – Changes in Timeframe
  – Transfer of Programmatic Effort

• **Procedure for Requesting Sponsor Approval**
  – PI, Department, SPS and Sponsor each have roles
• The project is over……now what?

• End of the Project and Closeout
  – Allowable expenses near the end of the project:
    • Items must be delivered and used for the benefit of the project.
    • Auditors will review expenditure activity at the end of the project.

• Reporting requirements and final concurrence:
  – SPS prepares the financial report and billing
  – Concurrence from the PI and unit
  – The PI is responsible for preparing and submitting the final technical report
directly to the sponsor
• **UAccess Employee**
  – Human resource management system
  – Contains person data and compiles payroll recordkeeping
  – Feeds the accounting data of payroll to Financials

• **UAccess Student**
  – Student management system
  – Contains student data, bursar, classes, grades, etc.
  – Feeds bursar financial data to Financials

• **UAccess Research**
  – Research administration system
  – Contains information relating to grants and contracts
  – Does not currently feed to Financials…but will someday

• **UAccess Financials**
  – Holds all financial accounting for University business
  – Receives feeds from other management systems

• **UAccess Analytics**
  – Data repository for all University systems
  – Mirrors the data in systems via nightly feed
  – Allows reporting and querying of data across systems
• Previous “legacy” business systems
  – FRS, PSOS, SIS, SPINS, UIS

• Kuali Foundation
  – Non profit foundation dedicated to creating free enterprise business systems

• Arizona Implementation beginning in 2009
  – Kuali Financials, Research = UAccess Financials and UAccess Research
  – PeopleSoft HR, Student = UAccess Employee and UAccess Student
  – Oracle Business Intelligence = UAccess Analytics

• Future
  – UofA internal bug fixes approximately every 2-3 months
  – Upgrades to Financials and Research
  – UAccess Learning – employee training system
• **Sponsored Projects**
  – Website at http://www.sps.arizona.edu/
    • Policies and Training
  – Analytics dashboard at http://analytics.uaccess.arizona.edu/
    • Custom analytics dashboards for grants and contracts

• **Financial Services**
  – Website at http://www.fso.arizona.edu/
    • Policies and documentation

• **UITS workshops and training**
  – http://uits.arizona.edu/services/workshops-and-training-resources
    • In person and online training