Sponsored Projects
Postaward Overview
Agenda

• Postaward overview and responsibilities
• Expenditure and account monitoring
• Effort reporting and cost sharing
• Closeout
• Compliance
Information collated from https://research.arizona.edu/administration/home

Recommended postaward specific reading:
Sponsored Projects Lifecycle
Award Administration

- Define Opportunity
- Proposal Development & Submission
- Award Negotiation and Acceptance
- Award Administration and Management
- Award Setup
- Award Closeout
Proposal Development & Submission

- Proposal prepared by PI and department research administrator
- Reviewed and submitted by central sponsored projects preaward team as authorized organizational official on behalf of UArizona
Contracting (Bilateral awards)

- UAHS and RII Contracting review and accept any agreement that requires UA signatory for acceptance
- Negotiation of terms and conditions
- Release to SPS postaward for central account setup and management
Unilateral awards (Grants)

- Awards that do not require UA signatory are accepted directly by SPS postaward and the department. Contracting is not involved.
- Expenditure constitutes acceptance.
Sponsored Projects
Postaward Responsibilities

- Create financial award/account in UAccess Research & Financials
- Review of award terms and conditions
- Preparation of invoices and financial reports
- Aged accounts receivable
- Cash management
- Account closeout and interaction with sponsoring agencies and university personnel
- Financial Compliance – audit, effort reporting, cost sharing, property management, subaward monitoring
Postaward Teams

Marcel Villalobos – Director, Postaward

Financial Compliance Team | Tara Gonzales – Senior Manager
Audit, Cost Share, Effort Reporting, Sponsored Property Management, Subaward Payments and Closeout, Invoicing/Receipting/Monitoring

Team 1 | Manager – Ashley Taylor
College of Agriculture and Life Sciences; College of Architecture, Planning & Landscape Architecture; College of Engineering; College of Optical Sciences; College of Veterinary Medicine; Honors College; James E. Rogers College of Law; Outreach College; Research, Innovation & Impact; UA South

Team 2 | Manager – Yohana Orduno
College of Education; College of Fine Arts; College of Humanities; College of Science; College of Social and Behavioral Sciences; Eller College of Management; Graduate College; UA Libraries

Team 3 | Manager – Carmen Raffensparger
College of Medicine - Tucson; College of Medicine - Phoenix; College of Nursing; College of Pharmacy; Mel & Enid Zuckerman College of Public Health

Department Directory:
https://research.arizona.edu/research-services/sponsored-projects-services-and-office-research-contracts-directory
Communication with Postaward

- **Email preferred**
  - For record retention and audit
  - Allows SPS to prioritize inquiries during heavy workload and deadlines

- **Subject line**
  - UA account number
  - Description of the postaward topic

- **Award documents**
  - Send to front desk
  - sponsor@email.arizona.edu

- **Please reserve IM for brief questions**
  - Please do not contact multiple team members unless truly urgent

- **Setup a meeting for complex awards or training**
  - Zoom, MS Teams

- **We appreciate your patience with turnaround time to requests!**
How am I notified of a new award?

- Contracting Process: UAHS or RII Contracting emails a copy of the fully ex. agreement to PI and dept
- SPS Processing: SPS emails a copy of the award to PI and dept
- Negotiation ID number – allows for tracking
How do I track account setup?

• Contract negotiation
  • RII Office of Contracting – Contract Status dashboard in UAccess Analytics - Research – Negotiation Log
  • UAHS Contracting - [https://research.uahs.arizona.edu/facilities-and-resources](https://research.uahs.arizona.edu/facilities-and-resources)

• Unilateral agreements and contracts after they are fully executed and delivered to postaward
  • Award Setup Status dashboard in UAccess Analytics - Research – Negotiation Log
Access to dashboards

• UAccess Provisioning Tool - “UAccess Analytics” as the System and “Research” as the Subject Area
• UAHS Contract Status Dashboard - netid
What is the account setup turnaround time?

• Start to finish – a Contract (Bilateral) will take longer than a Grant (Unilateral) because of the contracting process.

• From the time postaward receives either a contract or grant, turnaround time is 1-3 weeks for award/account setup in UAccess systems.

• Turnaround posted at: https://research.arizona.edu/administration/project-initiation-and-setup
How do I get a copy of my award?

- Contracting Process: ORC/UAHS Contracting emails a copy of the fully ex. agreement to PI and dept
- SPS Processing: SPS emails a copy of the award to PI and dept
How do I find my award document in UAccess Research?

• After the fact: The award documents are stored in UAccess Research for provisioned campus users
How do I find out my account is setup in UAccess Financials?

- Email to PI and research admin/fiscal officer
- Fiscal officers receive the account and budget e-document in their UAccess Financials Action List
What do I review when I receive a new or updated award?

• Read the agreement/funding opportunity
• Read the budget
• Forward to appropriate departmental personnel
Award Management Tips

• Review award terms and conditions
• Record technical and deliverable due dates
  • SPS will handle financial/invoice reports
• Monthly financial reconciliation - PI review of expenditures
• PI and fiscal officer – contact postaward for assistance with award terms and prior approval requests
• Timely closeout- posting final expenses and submitting final reports
What is my responsibility when charging an expense to a sponsored account?

- **General cost principles**
  - Consider allowability, risk level, cost amount, and need for documentation

- **Expense/Budget restrictions in award documents**
  - Preaward costs
  - Travel, equipment, participant support
  - Line item budget deviations

- **Available balance in Financials**
Account Reconciliations

- [Financial Services Policy](https://policy.fso.arizona.edu/fsm/600/610)
- Roles
  - Fiscal Officer (FO)
  - Account Supervisor (PI)
  - Account Manager
  - Sponsored Projects
- Monthly reconciliations - FO-PI review of expenditures
  - Ideas – setup Analytics agent, email shadow system reports, check-in calls
How do I correct an expense?

• Financials documents to use:
  • Salary: Salary Expense Transfer (SET)
  • Operational Cost:
    • Current fiscal year: General Error Correction (GEC)
    • Prior fiscal year: Distribution of Income and Expense (DI)
Cost transfer expectations

- Description line in Financials contains short explanation for transfer

- Error certification if untimely

- Original doc number

- Avoiding language such as clearing deficit, etc. Instead, use corrective language
Error certification documentation

• A must have for federal/subfed late transfers
• All four questions should be
  • Fully answered
  • Project specific
  • Detailed
• We can train you what we look for, but we can’t fill this out for you
More Expenditure Training

• See May 11, 2022 Expenditure Video Training at:
  https://research.arizona.edu/research-resources/training/administrators

• Including handouts
Project Changes

Many changes *do not* require sponsor approval

- Correspond with your department fiscal officer who will include SPS postaward as needed for advice on changes

- Programmatic scope change – will always require sponsor approval

- Rebudgeting – variety of latitude depending on your award
Project Changes

*If* formal approval is needed

- **Unilateral**
  - Postaward will initiate the request to sponsor, and accept approval for award processing

- **Bilateral Contracts**
  - Request a contract amendment from sponsor, or ask RII/UAHS contracting for amendment draft help
PI Transfers Out

- Notify SPS as soon as possible for planning and advice
- College/Department decision of whether to relinquish project or nominate a new PI
  - Departing researcher cannot stay PI on a UA project on an unpaid appointment
  - Subawards can be issued in either direction for components of research
PI Transfers Out

• Subawards
  • Notify Office of Research Contracts Subawards team as soon as possible to terminate them for closeout – contractual notice needed

• Pending proposals
  • Notify SPS preaward of plans to relinquish or resubmit with a new PI
PI Transfers Out

- Equipment acquired on sponsored funds *may* be eligible for transfer depending on terms.
  - Non sponsored equipment cannot be transferred, must be purchased at fair market value through financial service property procedure
- Non sponsored funds such as gift and fixed price complete not eligible for transfers

- [https://research.arizona.edu/administration/managing-projects/special-circumstances/award-transfers/award-transfer-process](https://research.arizona.edu/administration/managing-projects/special-circumstances/award-transfers/award-transfer-process)
Aged Receivables

- Most sponsored accounts have awarded budget loaded up front – cash collection is transparent to department and PI
- When issues arise, we will copy in FO and PI
  - Deliverables
- Cash basis – foreign or high risk sponsors
Payment claims

- SPS Cash team processes sponsored check payments, and claims electronic payments
- Many unclaimed electronic payments in the Financials portal that need department/college review
- Financial system modernization will require receivable entry for external billings – start cleanup and good practice now.
Effort Reporting

Federally mandated process for individuals paid from federal or subfederal funds

Semi-Annual six-month reports in UAccess Financials

Route to fiscal officer and PI. Approve as is, or make corrections which will generate a correcting cost transfer
Some sponsors require that the University contribute to the funding of a project. There are also instances when the University chooses to contribute support.

That portion of the project cost not covered by the sponsor is called cost sharing or matching.
Inclusion of Cost Share

Should be included in proposal submissions only when it is mandatory based on the sponsoring agency's policy or guidelines.

Should be used only to the extent required by the program.
• **Mandatory** cost share is required by the sponsor and must be documented. It may be identified in the agency’s policies and guidelines, the funding announcement, or in the award terms and conditions.
Types of Cost Share

• **Voluntary Committed** cost share is not required by the sponsor but is included by the University of Arizona as part of the proposal. If the proposal is awarded, it becomes part of the award and is therefore committed by the University.
Types of Cost Share

• Voluntary Uncommitted cost share is provided by the University but was not required by the sponsor or committed in the proposal. Voluntary uncommitted cost sharing does not need to be tracked and documented.
Tracking Cost Share

Cost Share Subaccount that is attached to the sponsored account, and funded by a non sponsored source

Ex. 3001050-CS001 Cost Share Wildcat 1230000

Cost Share will post to the subaccount, and overnight be funded by a transfer of funds from 1230000
Reporting and Closeout

Financial, Invoice, Invention Reports are submitted by SPS Postaward

Progress/Technical reports are submitted by the PI

Some invoices are only paid upon submission of technical report or deliverable – SPS postaward will inquire with you on status if that is the case
Closeout Report Process

A SPS team member will be proactively assigned to reconcile account and send a concurrence/worksheet package to fiscal officer and PI for review.

After you review and modify as needed to include updated transactions, SPS will send final invoice/report.

General closeout questions to sponsor@arizona.edu. Once a SPS person is assigned work with them through the process.
Closeout tips

• Monthly reconciliation within 30 days of month end
• Most sponsored accounts have a 60-90 closeout window
• The concurrence/worksheet package should not be the first review of the account by FO and PI
• Subaward closeout and final invoices
• Cost share posted
Sponsored Account

Deficits

- Emphasis on closing terminated accounts for financial modernization
  - Please remove expenses 30 days after concurrence closeout, or SPS will need to transfer costs to department/college continuation account as mentioned on the concurrence memo
- Backstop for cash basis accounts, or while waiting for next year of funding
Operational Advances - Requesting

• Two Attachments Required
  • Operational Advance Request Form
  • Operational Advance Custodial Agreement
  • Include Adobe audit log (signature verification)
  • https://financialservices.arizona.edu/forms/o

• IRB Approval Letter required for Human Subjects
  • If IRB not required for activity, notate why
  • For field work/non-human subject activity, letter not required. Business purpose sufficient.
Operational Advances – Settlement Dates

• Period of use must be **lesser of**
  • Account end date
  • IRB expiration date

• Settlement can be up to 30 days after period funds will be expended

• A long-term backstop (up to one budget period) may be utilized if continuation in process, with department head approval

• Settlement Dates cannot be extended
  • A new overlapping operational advance may be requested to accommodate use of existing funds while new advance is processed, if the current advance is not overdue. If overdue, SPS will need information regarding the settlement in process.
  • **Op Advance dashboard**
Compliance

Postaward – Financial Compliance Services coordinates:

- Audits and desk reviews
- Equipment management
- Effort reporting and cost sharing
- Subrecipient payment requests

Partners with

- Internal Audit
- Financial Services
- Research Compliance units
  - IRB, IACUC, Research Integrity
Campus training and outreach

• More documentation for these topics at: https://research.arizona.edu/administration/negotiation-and-acceptance

• Monthly Research Administration Forum, Research Operations Newsletter at: https://research.arizona.edu/research-resources/training/administrators
Q&A