

POST SUBMISSION TASKS

Post-submission tasks involve the preparation and submission of additional information to the sponsor following proposal submission and prior to receipt of formal notice of award for review and/or negotiation. Some examples of post-submission tasks include but are not limited to: Revised budgets, budget impact statements, leadership plans, subrecipients commitment letters, W-9s, Single Audits, F&A rate agreements, representations and certifications, current and pending support, approvals for human subject and/or lab animal protocols, etc.

The following are steps we must take to process Post Submission Tasks:

DETERMINE REVIEW STATUS OF PROPOSAL

Verify if a proposal has been completely reviewed by PNT or OIRC GCO in one of two ways:


1. Access the report [Proposals Submitted with No Review](#) and search by FP Number in the Find field. If nothing is found, the proposal is fully reviewed.



2. Click  in the History section of the ERA Workspace.


Check for complete review: [Proposal reviewed against PNT Checklist](#)
[Complete review](#)


3. If the proposal is NOT fully reviewed, Contact assigned GCO by running the ERA Activity

-  [Notify PNT](#) asking that they complete their full institutional review of the proposal and continue.

POST SUBMISSION REQUESTS IN ERA (IN RESPONSE TO PROPOSAL, PRIOR TO SPONSOR REVIEW OR PRIOR TO FULLY EXECUTED AWARD)


1. If we receive a post submission request from PI or Sponsor, proceed to step 1.1. If Res Ops receives the request, proceed to step 1.2.


1.1. The RA will run the activity  [Notify PNT](#) alerting the GCO who submitted the proposal.



1.2. The GCO will run the activity  [Sponsor Post Submission Request](#) which changes the state to [Sponsor Change Requested](#).

The system will send a notification to the RA alerting them to the request. This will allow the RA and GCO to upload revised documents to the Funding Proposal and update the budget.

1.3. The RA and GCO will determine which items are the responsibility of the GCO and which are the responsibility of the RA.


1.4. Once in the state of **Sponsor Change Requested** the RA will communicate with the GCO using  **Notify PNT**.

1.5. The RA will send the completed sponsor documents to the PNT GCO using the activity  **Notify PNT**.

1.6. RAs should **not** run the activity  **Sponsor Request Complete**. Doing so will cause the proposal to leave the PNT GCO's My Inbox and may cause the sponsor request to be delayed. Once all sponsor requested changes have been made and the sponsor has received the updated information, the PNT GCO will run the activity  **Sponsor Request Complete**.

INVESTIGATOR/ALLOCATION CHANGES, PRIOR TO BEING AWARDED

1. If an RA receives post submission requests from the PI, Unit or other Investigator to change allocations or investigator(s):


1.1. The RA will run the activity  **ASU Post Submission Request** which changes the state to **ASU Post Submission Change Requested**.

This will allow the RA to edit the Funding Proposal and change investigators and/or allocations.

1.2 Once changes are made, if Department Reviews are *incomplete*, the RA should review the Dept Reviewers tab to determine what steps are needed:

1.2.1 If no affected reviewers have completed their review AND no new Investigator/Approver/Unit/Center is affected, proceed to step 1.5.

1.2.2. If any Investigator/Approver/Unit/Center is added to the proposal AND no affected

Investigator/Approver has completed their review, use the  **Update Reviewers for Proposal Review** activity to include all new Investigators and/or appropriate Department/College/Center approvers.

1.2.3. If any reviewers who are affected by these changes have completed their review, proceed to step 1.3.

1.3 If Department Reviews are *complete* or there are investigators/approvers who have already completed their review and are impacted by these changes, the RA should run the

activity  **Cancel Department Review**. The previous review will be archived.

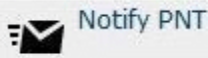
1.4. The RA can run the activities  **Generate Department Approvers** and  **Submit For Department Review** to capture approval for the new changes. Any reviewer **who is unaffected by the changes** should be removed prior to the RA submitting for Department Review.



1.5 After Department Reviews are complete, the RA must run the activity . Doing so will cause the proposal to leave the RA's My Inbox and will revert back to the state.

Submitted - Pending Sponsor Acceptance

1.6 If it is necessary that the Sponsor be notified of the change(s), the RA must run the



activity to request assistance or action from the assigned GCO.

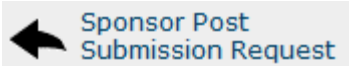
NOTE: An ASU Post Submission Request cannot be made to a proposal in an awarded state in which case the RA will have to run changes through [PostAward Changes Sharepoint \(PACS\)](#).

REPRESENTATIONS AND CERTIFICATIONS

1. Representations and Certifications – At times, a GCO may receive a request from a sponsor to complete a representation or certification form.

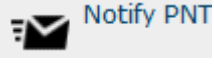
POST SUBMISSION REQUEST PROCESSING


1. If a GCO receives post submission request from Department or Sponsor

1.1. The GCO or RA can run the activity  which changes the state to **Sponsor Change Requested** .

The system will send a notification to the RA alerting them to the request. This will allow the RA and GCO to upload revised documents to the Funding Proposal and update the budget.

1.2. The RA will manage, sharing with the GCO as appropriate including status updates, form completion, etc.

1.3. The RA will send instructions regarding the completed sponsor package to the PNT GCO using the  action. PNT GCO will review and manage.

1.4. Once all sponsor requested changes have been made and the sponsor has received the updated information. The PNT GCO will run the  action. ERA automatically changes application state from **Sponsor Change Requested** to **Award Anticipated** .

NOTE:

• Post Submission requests are managed by the GCO who submitted application unless GCO requests reassignment to ensure timely processing.

• After running  activity ERA automatically changes application state from **Submitted - Pending Sponsor Acceptance** to **Sponsor Change Requested** .



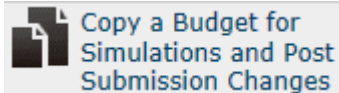
- The first time ERA activity [Sponsor Post Submission Request](#) is run for a proposal, the RA and GCO are automatically notified by email. When the ERA activity is run subsequently, the RA and GCO are notified by updates to their ERA “My Inbox”.

The process described above covers sponsor requested changes for-

- Scope of Work and/or Project Management/Leadership Plan
- Cost Share Documentation
- Sub-recipient Commitment/Form Letters/Docs
- FDP Forms
- NICRA
- A-133 Audit
- Sponsor-Specific Forms
- W-9
- Biosketches
- Current and Pending Forms
- Other

Creating a Post-Submission Changes Budget

After a proposal has been submitted, the sponsor may request changes to the submitted budget. Users can create a Post-Submission Changes budget by running the activity



No changes should be made to the Submitted Budget without approval from PNT. Changes to the Submitted Budget will affect REC/RID/IIA and other reporting information. RAs should only make changes to the Post-Submission Changes budget.

After all changes have been made on the Post-Submission Changes budget the RA will want to run the

activity .

This will archive the Submitted Budget and make the Post-Submission Changes budget the Current Sponsor Budget.

New Awards and Award Modifications Process

If a sponsor has selected a proposal for funding but ASU has not yet received the award document, or the award is not yet fully negotiated, the PI, in conjunction with the unit, may request an At-Risk Pre-Award Account.

A Pre-Award Account is only allowed if the sponsor allows Pre-Award expenditures; some sponsors will not reimburse costs incurred prior to award.

The PI and unit must guarantee the Pre-Award account using a **non-sponsored** account with an available balance equal to or greater than the amount of funds requested. If ASU does not receive the expected award or if cost items are not approved by the sponsor, the unit guarantee account will reimburse expenditures.

Support for the Pre-Award request must include the sponsor's written confirmation of the forthcoming award, the anticipated award start date, and anticipated level of funding. Because of the potential for lost funds, units are cautioned to make use of this route only when:

- The project must absolutely begin on a certain date to accommodate scheduled work.
- The project will support personnel. If delayed it would disrupt the project's progress when awarded.
- There is assurance that if the funds arrive later than the start date, the sponsor will allow for Pre-Award costs.

Terminology

There are two primary types of at-risk requests. They are:

- Pre-Award At-Risk
 - These are requests for an account to be setup before the notice of award has been fully executed.
 - There are two common flavors to this type of request:
 - Standard: The start date requested of the at-risk account is the start date anticipated on the notice of award.
 - Incur Pre-Award Costs: The start date requested of the at-risk account is up to 90 days before the start date anticipated on the notice of award. Many federal sponsors allow us to incur costs up to 90 days in advance of the start date.
- Post-Award At-Risk
 - These are requests for time and/or funding to be added to an existing project account family before an amendment has been fully executed.

In order to request this, the RA must complete an OAF or ORSPA ACTION FORM.

ORSPA Action Forms

An ORSPA Action Form is the main form used for requesting certain tasks or rush activities from ORSPA. An OAF is used to start this process of Pre-Award or Post-Award At Risk Accounts. The OAF is submitted to the Award Management Team (AMT) via notifications@asu.edu. An activation task will be setup and assigned to a designated Proposal and Negotiation Team (PNT) GCO for Pre-Award request or the Award Management Team (AMT) GCO for Post-Award requests.

Form Pictured Below:

Principal Investigator	Cost Center
Individually List ALL Research Advancement Staff needing notifications	Grant ID or Proposal # if Grant doesn't exist
	Award Management Team (AMT) GCO

A. Change Request B. Requests for Approval of CAS Exceptions

This form should not be used for at-risk requests. To submit an at-risk request, follow updated process posted [here](#).

A. Change Request Options

<input type="checkbox"/> Pre-award Spending within and/or in Excess of 90 Days New Start Date _____ <input type="checkbox"/> 1st No-Cost Extension New End Date _____ <input type="checkbox"/> 2nd No-Cost Extension New End Date _____ <input type="checkbox"/> Subaward Extension New End Date _____ <input type="checkbox"/> Subaward Increase/Decrease Funds <input type="checkbox"/> Budget Revision* <input type="checkbox"/> Change in Key Personnel and/or Project Effort <input type="checkbox"/> Relinquish Award to Sponsor <input type="checkbox"/> Foreign Travel	<input type="checkbox"/> Carryforward of Funds from One Budget Period to the Next Budget Period <input type="checkbox"/> Change in Objective or Scope <input type="checkbox"/> Adjustment to Cost Sharing Commitments (attach CSRF) <i>Non-Competitive Requests for Additional Funds Processed in EF Additional Funds for a Sponsored Project</i> <input type="checkbox"/> Rearrangement/Alterations in excess of \$25,000 <input type="checkbox"/> Inclusion of Costs Requiring Prior Approval in Cost Principles <input type="checkbox"/> Other: _____
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B. Request for Approval of CAS Exceptions

<input type="checkbox"/> Request to Direct Charge Administrative Labor Employee Name _____ ID# _____ % of Effort _____ <input type="checkbox"/> Postage <input type="checkbox"/> Office Supplies/Computers	<input type="checkbox"/> Local Telephone (including cellphones) <input type="checkbox"/> Membership and dues
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C. Budget Changes (Use for single account only)
 *(Use Additional Budget Information tab For multiple accounts)

Budget Category/Object Code	(in whole \$)
Salaries (7110)	
Wages (7120)	
Fringe Benefits (7200)	
Tuition Remission Only	
Services (7310)	
Subagreements <= \$25,000 (7314)	
Subagreements > \$25,000 (7315)	
Materials/Supplies (7320)	
Non-Capital Equipment (7325)	
Communications (7330)	
Rentals/Licenses (7340)	
Facility Rent/Lease (7340-01)	
Miscellaneous (7390)	
Participant Expenses (7400)	
In-state Travel (7510)	
Out-of-state Travel (7520)	
Foreign Travel (7530)	
Student Support (7700)	
Capital Equipment (7810)	
TOTAL DIRECT COSTS (TDC):	\$ -
TDC =	\$ -
- Exclusions	\$ -
MTDC =	\$ -
	ASU F&A Rate = \$ -
	ASU F&A Cost
TOTAL BUDGET CHANGE:	\$ -

D. Justification of Technical/Programmatic Benefit to the Project
[Job Aid: How to Prepare a Scientific Justification](#)

Processing Notes

E. CERTIFICATION by PRINCIPAL INVESTIGATOR

This request is consistent with the scope and objectives of the project as approved by the sponsor and is necessary to ensure project performance.

Principal Investigator Signature and Date (or attach email from Principal Investigator authorizing change request)

Grant ID _____				Grant ID _____			
Direct Costs	Object Code			Direct Costs	Object Code		
Salaries	7110			Salaries	7110		
Wages	7120			Wages	7120		
ERE	7200			ERE	7200		
ERE-Tuition Remission	7200.*			ERE-Tuition Remission	7200.*		
Services	7310			Services	7310		
Computer Services	7310.80			Computer Services	7310.80		
Sub agre<=\$25K ^M	7314			Sub agre<=\$25K ^M	7314		
Sub agre>\$25K	7315			Sub agre>\$25K	7315		
Materials/Supplies	7320			Materials/Supplies	7320		
Non-capital equip	7325			Non-capital equip	7325		
Communications	7330			Communications	7330		
Rentals/Licenses	7340			Rentals/Licenses	7340		
Facility Rent/Lease	7340.01			Facility Rent/Lease	7340.01		
Utilities	7350			Utilities	7350		
Miscellaneous	7390			Miscellaneous	7390		
Participant exp	7400			Participant exp	7400		
In state travel	7510			In state travel	7510		
Out state travel	7520			Out state travel	7520		
Foreign travel	7530			Foreign travel	7530		
Student Support	7700			Student Support	7700		
Post-doctoral Support	7750			Post-doctoral Support	7750		
Capital equipment	7810			Capital equipment	7810		
Construction	7890			Construction	7890		
TOTAL DIRECT COSTS:		\$	-	TOTAL DIRECT COSTS:		\$	-
Facilities & Administrative Costs				Facilities & Administrative Costs			
1.	TDC -	0	Formulated with standard	1.	TDC -	0	= MT Formulated with standard exclusions
	Exclusions(*)				Exclusions(*)		
		x	0.00%	= 8201	\$	-	
	MTDC						
2.	OR Fixed Amt for F&A Costs	\$	-	2.	OR Fixed Amt for F&A Costs	\$	-
	TOTAL BUDGET CHANGE:	\$	-		TOTAL BUDGET CHANGE:	\$	-

OAF INSTRUCTIONS FOR RA'S

- Complete fields Principal Investigator, Cost Center, Department Administrator, and ASU Proposal or Grant ID.
- Check the boxes pertaining to the actions requested.
 - * If boxes labeled "Change Request" is checked, skip to section A. [Job Aid: Scientific Justification](#)
 - * If box labeled "Request For Approval of CAS Exceptions" is checked, skip to section B.
- Section A Documentation Requirements: Complete the sections of the form as noted with an "X".
 - * Revised Cost sharing, Investigator and/or Allocation Changes, - Form is required if there are changes to the original forms or commitments
 - ** Justification must include a technical/programmatic reason to support the request [Job Aid: Scientific Justification](#)
 - *** Refer to step 7 for further instructions.

Change Request

Please Note: For NSF Award Changes requested through FastLane, please refer to Processing NSF Award Changes Job Aid as an OAF may not be required

Type of Change Request	CAS Exceptions Section C	300 Form	Budget Section D	Justification Section E	PI Certification Section F	Revised Scope of Work	Cost Sharing Requirement Form
Pre-award Spending within and/or in Excess of 90 Days		*	X	** X	*** X		
No-Cost Extension		*		** X	*** X		
Budget Revision		*	X	** X	*** X		
Subaward Extension		*		** X	*** X		
Subaward Increase/Decrease Funds		*	X	** X	*** X		
Change in Key Personnel and/or Project Effort		*		** X	*** X	X	
Relinquish Award to Sponsor		*		** X	*** X		
Carryforward of Funds from One Budget Period to the Next Period		*	X	** X	*** X		
Foreign Travel		*	X	** X	*** X		
Change in Objective or Scope		*		** X	*** X	X	
Adjustment to Cost Sharing Commitments		*		** X	*** X		*X
Rearrangements/Alterations in Excess of \$25,000		*	X	** X	*** X	X	
Inclusion of Costs Requiring Prior Approval in Cost Principles	X	*	X	** X	*** X		
<i>Other: Describe change in section D and AMT will determine the documentation required.</i>							

4. Section C Additional Budget Information Tab

- * Funds that transfer within multiple accounts should be entered in the Additional Budget Information tab. This will show the detailed starting and ending points of a multiple account transaction.
- 4.a. Section C IDC area is for ASU IDC, not for IDC on Subawards.

5. Section B Completion Requirements

- * Only required for Federal and Subfederal awards
- * Complete all relevant fields in this sections
- [See CAS Sitelet for additional information](#)
- * Complete Section D
- * Skip to step 6 for further instructions.

6. Section E Certification by Principal Investigator

The PI may authorize processing of the form by either signing the form or by email. The PI e-mail requirements are as follows:

- * The email must be sent from the PI.
- * The subject line must include the Grant ID or proposal # for the project.
- * The date of the email must be on or about the date the form is submitted to notifications@asu.edu. The PI can send their email to the RA, as long as the date of the e-mail to the RA and the date of email to notifications@asu.edu are close enough that no one could question that they belong together.
- * The body of the email should contain the following statement: "This e-mail constitutes my approval for processing of the Request for ORSPA Action form for [Grant ID or proposal #] for which I am the Principal Investigator".

7. Submit via email a clear PDF copy of signed form plus the excel version to notifications@asu.edu.

Once the notifications team receives the OAF and supporting documentation, they forward all the information to a Reviewer.

Risk Assessment Review

A Risk Assessment is conducted to determine the probability of this award/modification's request for an At-Risk Status will be granted. The Reviewer will read through the rules and guidelines for the sponsor. They will access sponsor website, or sponsor email/or paper letter notice of the forthcoming award. They will look for information sufficient to make a determination:

- Stated/implicit date ASU will receive award
- Status of contract negotiation
- Named steps required before award will be completed/fully executed
- Outstanding Reports

For an **existing awards**, they will verify status of deliverables. On the OAF is a check box which allows the Unit to confirm the project is current with deliverables. If the current deliverable box is checked, no need to verify the report submission as by checking the box the PI/Unit has certified they are current on the submission of deliverables.

Based on assessment, assign risk rating in accordance with Risk-Rating Assessment Chart and move onto Final Processing.

Risk-Rating Assessment Chart

Risk Rating	Pre – Award At-Risk Request	Post – Award At-Risk Request
1	Award with no critical or onerous terms* and conditions in proposed award document Start date contained in proposed award document or some other firm commitment to start date.	Award with no critical or onerous terms and conditions in award document. PI is current with the submission of project deliverables (i.e. progress reports). Documentation from sponsor indicates that award modification is forthcoming. Award mechanism is a grant. Sponsor is federal, subfederal or a common sponsor which we've had no current payment/collection issues with.
2	Previous history of protracted or contentious negotiations with the sponsor (disproportionate to the complexity of the agreement and the scope of the project). Presence of one onerous term or condition in proposed award document. No previous negotiation history with the sponsor. Non-standard payment* terms Agreement is fully-executed awaiting sponsor pre-payment/reserve.	All 2 nd At-Risk requests. PI is current with the submission of project deliverables (i.e. progress reports). Packet doesn't contain any correspondence from sponsor regarding status of award modification. Sponsor is mid-level risk meaning we may have had previous (over 1 year) problems with payment/collection or negotiations but not currently.

	<p>Informal/email notice that grant transfer is in process and anticipated period of performance and anticipated funding increment are specified. DOD award is expected via contract and ASU received Federal Agency Contracting Officer Determination that the ASU research project is fundamental and confirmation that Pre-Award expenditures are allowable.**</p>	
<p>3</p>	<p>No official indication of firm start date for award. Historical sponsor preference for making the effective date of award the date when the contract is fully executed. Presence of multiple onerous terms and conditions in proposed award document. Presence of one critical term or condition in proposed award document. Sponsor refusal to make prepayment or issue an Authorization to Proceed. History of payment problems with sponsor. Sponsor has not formally responded with draft agreement. DOD award is expected via contract and ASU has not received Federal Agency Contracting Officer determination that the ASU research project is fundamental and confirmation that Pre-Award expenditures are allowable.**</p>	<p>All 3rd or greater At-Risk requests. PI is not current with the submission of project deliverables (i.e. progress reports). Packet doesn't contain any correspondence from sponsor regarding status of award modification. Sponsor is a high-level risk meaning we are currently having problems with payment/collection or negotiations.</p>
	<p>OKED will NOT guarantee level 3 at-risk accounts regardless of sponsor or faculty status (EARS). Unit Chair/Director must provide written approval to move forward with level 3 requests.</p>	

Final Processing

Risk Rating Level 1

- Request can be immediately processed for activation.

Risk Rating Level 2

- The RA Team will be notified of the Risk Rating via email. The unit is given 2 business days to take action to stop processing of the activation, otherwise the request will be processed.

Risk Rating Level 3

- The School Director and the OAF contact are notified via email of the risk rating. The Director and RA Team must take action within 2 business days to indicate acknowledgement of risk and decision to move forward despite the risk.
- The Activation will continue upon receipt of decision/response from Unit. If no response after 2 business days, activation process will be terminated

Setting Up The Account

Upon receiving a fully-executed award, Research Operation's Award Management Team (AMT) establishes a Workday ACC# number for the project using the following steps:

- RA's should forward the notice using the following steps:
 - When a unit RA receives an award agreement that requires negotiation and signature by PNT or OIRC, the RA will send the draft agreement to PNT/OIRC by using one of the three following methods:
 - Forward the agreement to proposalandnegotiation@asu.edu (for Federal, local government, non-profit, etc. sponsors) or industryagreements@asu.edu (for Industry sponsors)
 - PNT/OIRC will create an ERA Agreements Task
 - Use the Notify PNT activity within the ERA funding proposal site to send a copy of the agreement to the Proposal GCO
 - The Proposal GCO will create an ERA Agreements Task

Note: For Charitable Grants where the ASU Foundation (ASUF) is the grantee institution, follow the Working with ASUF Post Submission/Post Award instructions.

- **Verification**
 - The award is reviewed against the proposal and internal compliance requirements.
 - AMT may contact the Unit RA for missing compliance requirements.
 - Examine activation documentation (i.e., Sponsor Notice of Award, ORSPA Action Form (OAF) to determine the action needed
 - For New Awards
 - The information on the table below is reviewed and verified.

Sponsor Name	Prime Sponsor Name and Prime Agreement Number	Agreement Number	Period of Performance (Obligated and Anticipated)
Award Amount (Obligated and Anticipated)	Agreement Type (Contract, Grant, Cooperative Agreement)	Sponsor Type (federal, subfederal, nonfederal)	CFDA Number for Federal and Subfederal Awards
Method of Payment (Cost Reimbursable, Fixed Price, LOC, Scheduled Payments, Invoice)	Account Type (i.e. Regular, Cost Share, Program Income, Consortium, Plant Fund, Award Clearing)	Sponsor Contact	Sponsor Prior Approval requirement for carryover of funds between budget periods or if reporting requires funds to be segregated by year
Cost Share Commitments (in agreement or IB)	Invoicing and Reporting Requirements (Fiscal, Property, Intellectual Property, and Technical)	Special Terms and Conditions	For HHS Awards, PMS Document Number

- **For Award Modifications** (Changes on EXISTING awards such as the next increment of funds, revised budgets, additional funds, or the reduction of funds and No Cost Extensions)
 - The award change documents are reviewed, and the changes are identified (i.e., budget changes, project period changes) and verify the documents are adequate to authorize the change(s).

3. Based on the new award or modification review, the ORSPA team will verify, and update the Activation task:

- Activate Award Account
 - The Award is set up in the Financial Management System (FMS).

4. PI and Unit RA are notified via email the account has been established for the award.

DELAYS IN AWARD/ACCOUNT SETUP

AMT will hold the setup of an award if any of the following items are missing or found to be non-compliant. A detailed explanation of these holds can be obtained from your RA Team.

- The awarded budget has a 20% difference than the proposal budget. The RA will have 3 days to respond to submit a revised budget to notifications@asu.edu. If no response is received within 3 days, AMT will use best efforts to revise the budget on file on the Unit's behalf.
- Approved Human Subjects Protocol
- Approved Lab Animals Protocol
- Biological Materials approval
- Approved F&A Waiver
- Conflict of Interest: Investigators on the proposal have COI certifications that need to be verified by ORIA prior to award/account setup
- PHS Conflict of Interest: Investigators have not fulfilled the additional COI requirements for PHS-funded awards
- Approved Export Controls license
- Native American Involvement Approval
- The award contains a pre-payment clause and payment has not been received

CHECK STATUS OF AWARD/ACCOUNT SET UP

New award activations are tracked in the [ERA Awards](#) module. For modifications to awards, see "[My Items in ORSPA](#)" on the [RA SharePoint](#) site.

Please note items are posted from the source emails every business day – if an award notice just arrived today, wait one business day before sending an email to notifications@asu.edu requesting it be posted. For access to RA SharePoint and/or ERA Awards, follow the instructions on the [ASU Systems Access for RA](#) page.

INITIATING THE PROJECT

The first step an RA Accountant must take to initiate a project is to meet with the PI to develop a plan for expenditures.

REVIEW AWARD TERMS AND CONDITIONS

Is this a Grant, Cooperative Agreement, or Contract? Review specific terms.

Grant: Supports basic research efforts, generally proposed by the PI with limited involvement from the sponsor and requiring little more than a final technical report

Cooperative Agreement: Supports basic research efforts, proposed by the PI, but where the sponsor anticipates substantial involvement in the project but still generally only requires technical reports

Contract: Project requirements are determined by the sponsor and carried out by the PI according to the sponsor's specifications and where deliverables must be submitted

- Review the Award documentation
- Review the Funding Opportunity Announcement (FOA) and the sponsor's award management guide to ensure there are no conditions which were in the FOA or sponsor's Award Management Guide but not stipulated in the award document
- Identify any gaps/discrepancies in budget justification/budget
- When are the deliverables due - e.g., technical and financial technical progress reports?

BUDGET SPECIFIC REVIEW

- Do the start and stop dates for current spending period match what's in the Financial Management System
- Does the obligated award amount match the budget in the Financial Management System (FMS)
- Have child accounts been set up, where necessary?
- Is the F&A rate TDC or MTDC?
- Was the budget loaded onto the correct budget lines?

Personnel and ERE:

- Has there been any significant changes to the salaries, ERE and tuition remission since the proposal was submitted?
- If yes, talk to the PI to identify a plan to make up the difference due to changes from proposal to award. Confirm whether any of the planned **rebudgeting** requires sponsor approval (see award terms and conditions).

Fed Ex, Consultants, Journal Editing, etc.:

- Speak to the PI to see if there is a need for any services.
- If yes, set the funds aside to ensure sufficient funds will remain available through the life of the project until the services are needed.

Subcontracts:

- Are the child accounts established and budgeted for each subcontractor? One child account per subcontractor is needed.
- Have the subrecipient form(s) been completed? If not, obtain a completed form from each subcontractor.
- Has the budget been reduced? If yes, contact subcontractor for revised budget and scope of work.
- Has the PI completed the sole source justification and cost-analysis? If not, provide the form to the PI.
- Has the subcontract been issued?
- Has the purchase order been encumbered?

Materials and Supplies, Non Capital Equipment, Miscellaneous:

- Does the sponsor allow spending across budget lines? If not, make sure there are adequate funds in each budget line based upon project budget justification.
- Will there need to be a significant change in the budget as established?
- Confirm whether any of the planned **rebudgeting** requires sponsor approval (see award terms and conditions).

Participant Support:

- Does the project have participant support budgeted? If yes, follow the [compensatory or non-compensatory](#) guidelines.
- Has AMT set up a separate child account to accommodate these funds

Travel

- Is travel allowed on the project?
- Does the travel budget match sponsor approved budget?
- Is foreign travel allowed? Notify [ORIA](#) for [Export Controls](#). Refer to the [Foreign Travel Guide](#).

Student Support

- Does the project pay [compensatory or non-compensatory stipends?](#)

Capital Equipment:

- Is there [Capital Equipment](#) on the budget?
- What is the total budget and what items are approved by sponsor?
- Does the budgeted amount match WORKDAY

AWARD REVIEW BETWEEN PI AND RA

Communicate the following to the PI:

- The account number, project title, sponsor, period of performance and awarded amount
- Confirm the PI is aware of the reporting requirements for the project and dates due
- Go over any administrative terms and conditions the PI should be aware of, e.g., carry forward is not automatic

ADVISE OF UNIT SERVICES AVAILABLE TO THE PI

- For PIs receiving an award for the first time, it is recommended that the award and unit services be provided both in writing and in person. Here are some services you might address from the unit perspective:
- Guidance and review of allowability of expenditures
- Where to receive Payroll Services
- Monthly budget reconciliation report, showing them an example so they know what to expect
- Forecasting and its importance to planning expenditures
- Support for annual and technical reports, including who does what
- Document retention for internal and external audits - who, what, why
- Other services that the unit offers to PIs of sponsored project awards

REVIEW PI'S ROLE IN EXPENSES

Discussing award conditions as well as unit services will help ensure the PI knows what their role is in the management of the program. Review:

- [PI Responsibilities - RSP 103](#)
- Requirement for PI approval of all expenditures
- Cash Advances
- Expenditure rate and potential impacts of low expenditure rate to future funding
- Effort Reporting
- 90-day rule for cost transfers
- Deficits and how they are managed
- Subawards, if included in the award, and what needs to be reviewed prior to ASU PI invoice approval
- Travel, especially foreign travel requirements including the Fly America Act and Export Controls

Establish and Maintain Project File

- Unit will establish a separate file for each award in whatever method is preferred and will:
 - file all documentation with the corresponding monthly reconciliation.
 - set up calendar alerts (90 days prior to requirement) to remind of end date, technical, and financial reports.

- keep copies of all technical and progress reports on file. The unit is the office of record for these reports.
- keep all other records/documentation for the time period noted in the [Sponsored Projects Record Retention Schedule](#).
- Once the retention period expires, the project file including documentation should be destroyed.

AUDIT READINESS

Audit preparation takes place throughout the entire life of the project. It consists of managing the project, reviewing

project accounts to ensure all charged costs support the project's scope of work, complying with sponsor requirements, and adhering to university policy for monitoring and reconciliation. It also entails the proper maintenance of technical requirements, including the timely submission of reports, other deliverables, and notations to project notebooks, as appropriate. See the Financial Accountability Sitelet's Audit Readiness tab for additional information and FAQ.

Understanding Your Notice of Award (NOA)

While sponsors' Notices of Award will differ in format, most will contain information about the topics included on this page.

Reviewing Notices of Award at the time of receipt, in conjunction with the sponsors' general award management guidelines, will help to ensure that projects are set up correctly and that they progress smoothly from the start.

Award Type

Grants generally have a more flexible scope of work and budget. Diligent efforts are used in completing research and delivery of results. The PI has more freedom to adapt the project, and less responsibility to produce specific results.

Example:

	National Aeronautics and Space Administration	<h2>NASA Grant and Cooperative Agreement</h2>	CHOOSE ONE: <input type="checkbox"/> COOPERATIVE AGREEMENT <input checked="" type="checkbox"/> GRANT
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Cooperative Agreements are used when there is a substantial scientific and / or programmatic involvement by the sponsor. The sponsor's scientific or program staff will assist, guide, coordinate, or participate in project activities.

Example:

This award is issued as a **Cooperative Agreement**, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Cooperative Agreement Terms and Conditions of Award

Contracts place emphasis on delivery of results and performance. Payment is based on completing deliverables and / or milestones. There are frequent reporting requirements and a high level of responsibility to the sponsor for the conduct of the project and production of results.

Example:

The purpose of the **contract** is to conduct advanced research and development of a Biodosimetry Assay System to assess an individual's absorbed dose of ionizing radiation after a nuclear/radiological detonation or incident in which mass injuries have occurred utilizing nucleic acid biomarkers. This is a Cost-Reimbursement type contract with an educational institution issued under BAA-BARDA-09-36.

Award Periods

Budget Period – An interval of time, most commonly 12 months, which the project period is divided into for budgetary and funding purposes. It may or may not coincide with your project period.

Project Period – The total time for which support of a project has been programmatically approved, may consist of more than one budget period (each budget period is generally contingent on availability of funding and / or project progress).

Example:

Budget Period: 09/01/2011 – 08/31/2012
Project Period: 09/15/2008 – 08/31/2013

Funds

Dollars Committed / Obligated – The dollars committed or obligated refers to the amount of funds which may be spent during a given time period.

Future Funding – When a sponsor plans to give funding in increments, they will indicate an amount obligated, plus the additional amount of funding anticipated in the future. Generally, the sponsor's commitment for future funding is contingent on the availability of funds and satisfactory technical progress.

Example:

16. FUNDING	ACTIVITY/AGENCY SHARE	RECIPIENT SHARE	TOTAL	17. CURRENT FUNDING PERIOD
PREVIOUSLY OBLIGATED:	\$.00	\$.00	\$.00	01-Apr-09 through 31-Mar-10
OBLIGATED BY THIS ACTION:	\$1,118,156.00	\$.00	\$1,118,156.00	
TOTAL OBLIGATED ON AWARD:	\$1,118,156.00	\$.00	\$1,118,156.00	18. PERIOD OF PERFORMANCE 01-APR-09 THROUGH 31-MAR-14
FUTURE FUNDING:	\$3,852,581.00	\$.00	\$3,852,581.00	
GRANT TOTAL:	\$4,970,737.00	\$.00	\$4,970,737.00	

Budgetary Restrictions – Sponsors sometimes place restrictions on how funds may be used. In the examples below, each statement deals with carryover of funds from one budget period to another. In one case, the carry forward has been allowed, but how those funds may be used is restricted. In the other scenarios, the sponsors and stating that carryovers from one budget period to another are not automatic. The must be

explicitly requested of the sponsor. Carryovers are just one type of budgetary restrictions that may be noted in NOA.

Examples:

SECTION IV – DA Special Terms and Conditions – 5U01DA025307-04 REVISED

This award includes a carryover of \$402,572 (\$319,502 direct costs; \$83,070 F&A costs) from the 03 year to the 04 year. These funds are restricted for the purpose requested in the letter of MM/DD/YY from Danielle Silvas/Arizona State University, and may not be rebudgeted or used for other purposes.

B. This award is not subject to Expanded Authorities. Carryover funds are restricted and may not be used without the prior written approval of Grants Management Branch, NIDA.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

Additional Budgetary Restrictions – Other types of restrictions may be related to specific activities within the project. For example, in a case where the award was made prior to receipt of human subjects approval, the sponsor restricted funds allocated to this activity until such time that all approvals were in place. In the other scenario, restrictions prohibit project activities with China.

Examples:

2. Human Subject Restriction

Funding in the amount of \$ 2,240 has been restricted pending receipt of the appropriate IRB approvals in the following categories:

Healthcare Associated Infections Prevalence Survey (HAI):

Direct	\$2,000	
Indirect		240
Total	\$2,240	

A. Restrictions on Funding Activities with China for Awards Subject to 14 CFR § 1260 (DEVIATION FEB 2012)

(a) Pursuant to The Department of Defense and Full-Year Appropriation Act, Public Law 112-10, Section 1340(a); The Consolidated and Further Continuing Appropriation Act of 2012, Public Law 112-55, Section 539; and future-year appropriations (hereinafter, “the Acts”), NASA is restricted from using funds appropriated in the Acts to enter into or fund any grant or cooperative agreement of any kind to participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level or at any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

Other Terms and Conditions – When sponsors want to place certain rules or prior approvals upon a project, whether financial or administrative, specific terms and conditions appear in the NOA. These terms and conditions are specific to the award, and supersede general rules that may normally apply to that sponsor’s awards.

Examples:

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

A. The Principal Investigator shall allocate at least 20% of his/her time to this grant.

C. Organizational Changes -- Changes in key personnel, the addition or deletion of sites and partners (e.g., prisons, parole/probation departments, and treatment programs), or other significant organizational changes must have the prior written approval of NIDA.

Accounting and Reporting Obligations – The PI is responsible for ensuring technical reports are completed on time. The RA will assist with reminders for reports due under the award. ORSPA's AMT will submit financial reports. The RA / Unit should ensure that allowable expenses are posted to the account in a timely manner to facilitate accurate preparation and submission of the financial reports by AMT.

Example:

G. Quarterly status reports must be submitted to NIDA, within 30 days of the end of each calendar quarter, in addition to the standard NIH requirement for annual progress reports. Quarterly status reports must report on quarterly and cumulative recruitment, retention, and follow-up rates for each research protocol, by research site. The inability of a Research Center to meet the performance requirements and responsibilities may result in an adjustment of funding, withholding of support, or suspension or termination of the award.

H. Annual progress reports must report on the Research Center's activities. In addition, annual progress reports will report on the Center's progress on each study in which it participates, including progress, obstacles and steps taken to remedy them, and any changes and departures from the approved study protocol, as well as any human subjects issues. Annual reports must also include specific sections on: (a) progress regarding HIV/AIDS research; (b) GPRA.

Deliverables – This terms may refer to technical reports, oral presentations, and other work products, which must come out of the project. Failure to complete and submit deliverables according to the timeline established in the award is cause for the sponsor to withhold payment of funds due, delay the aware of future funding, and / or terminate the project.

Example:

Item	Description	Quantity	Addresses	Delivery Schedule
Technical Progress Reports				
1)	Monthly Progress Report	2 electronic	CO: (1) electronic copy COTR: One (1) electronic	The 15 th calendar day of each month following the first full month of the contract award. The Monthly Progress Report will not be required on months when an Annual or Quarterly Progress Report is due.
2)	Quarterly Progress Report	2 electronic	Same as CO and COTR above	15 th calendar day of the month following the end of each 3 month performance period. The Quarterly Progress Report will not be required on months when an Annual Progress Report is due.

Payment to the University – PIs should make themselves aware of the conditions for payment. For example, are there payments that are linked to reports of other deliverables? If yes, it is particularly important that the PI make timely submissions of required items to ensure ASU can receive payment. Also important is the need to ensure allowable expenses are posted as soon as possible, so invoices to the sponsor can recover funds expended in a timely manner.

Example:

4. INVOICING - 812INV (06-10)

Contractor shall submit an original invoice within thirty (30) days of delivery of goods or services or once monthly within the Period of Performance in accordance with contract Terms and Conditions. Invoices may be submitted either by U.S. Mail addressed as shown below, or by electronic means as described in the Electronic Invoicing Option in part B of the following Invoicing Instructions:

INVOICING INSTRUCTIONS: Any deviation from the following invoicing instructions, including invoices delivered to a street address, MAY DELAY PAYMENT.

Agency Contacts – The Project Officer / Program Officer (PO) is responsible for all programmatic issues. The Grants Management Officer (GMO) is responsible for administrative and fiscal issues. Change requests that require approval from the sponsor typically must come from the GMO, not the PO.

Examples:

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Edith L. Davis
Email: davised@mail.nih.gov **Phone:** 410-360-4734

Program Official: Dionne Jones
Email: dj99r@nih.gov **Phone:** 301 402-1984

C. NF 1687, Block 15, Administrative Grant Officer is changed to Ken Albright.