

## POST AWARD RESPONSIBILITIES

PHASE OF GRANT	PRINCIPAL INVESTIGATOR/DEPARTMENT		OFFICE OF RESEARCH & SPONSORED PROGRAMS	
	RESPONSIBILITIES	TIMING	RESPONSIBILITIES	TIMING
<b>POST-AWARD</b>				
Project Start-Up	<b>REVIEW</b> and <b>APPROVE</b> award agreement	As soon as possible	Receive & log award, negotiate terms, reconcile discrepancies in terms of agreement	Dependent upon award and amount of negotiation/revision needed, if any
			Create project accounts and load budget into PeopleSoft	Can take up to a week from the date the award is 'fully executed'
	<b>REVIEW</b> and <b>APPROVE</b> subcontracts	As soon as possible	Draw up subcontracts	Usually takes about 2 weeks to create subcontract after the project number is issued.
Award Management	<b>KNOW</b> and <b>COMPLY</b> with the terms and conditions of award	On going	Interpretation of terms and conditions of awards	As needed
	<b>Hiring:</b> <b>FOLLOW</b> appropriate <b>HIRING</b> procedures outlined by the Office of Equal Opportunity	On going		
	<b>Purchasing:</b> • <b>COMPLY</b> with UM Purchasing Policy • <b>FOLLOW</b> UM inventory procedures • <b>DON'T</b> move, lend, lease or sell grant/university property prior to obtaining clearance from the Directors of Purchasing & ORSP See <b>UMS APL VII</b>	On going		

## POST AWARD RESPONSIBILITIES

PHASE OF GRANT	PRINCIPAL INVESTIGATOR/DEPARTMENT		OFFICE OF RESEARCH & SPONSORED PROGRAMS	
	RESPONSIBILITIES	TIMING	RESPONSIBILITIES	TIMING
<b>POST-AWARD</b>				
Award Management (continued)	<b>SPEND</b> according to allowable cost guidelines See <b>UMS APL VIII-C</b>	On going	Assistance in determining allowable vs unallowable costs	As needed
	<u><b>Budget Modification:</b></u> • <b>SUBMIT</b> request for budget revision to ORSP, as appropriate • <b>NOTIFY</b> ORSP if no response has been received within 10 days See <b>UMS APL VIII-I</b>	As needed	Provide general coordination and guidance on budget revision Document requests, and subsequent action taken, of approvals for budget revisions received from PIs Submit requests for revision of budget, when required, to sponsor	As needed
	<u><b>Review of project account:</b></u> • <b>RECONCILE</b> account •Take immediate action to <b>RESOLVE</b> errors/discrepancies, • <b>REVIEW</b> all expenses posted to be <b>ENSURE</b> they are accurate and allowable. • <b>MAINTAIN</b> record of review. See <b>UMS APL VIII-J</b>	Monthly	Has authority to request documentation in support of questioned charges. Monitor project activity as needed. Coordinate periodic financial reviews. Provide general guidance re: budget review & GL Inquiry	As needed
	<u><b>Cost Transfers:</b></u> • <b>PREPARE</b> Project Adjustment Form or Labor Distribution Adjustment if necessary. • <b>MAINTAIN</b> supporting documentation for cost transfers subject to audit. See <b>UMS APL VIII-K</b>	As soon as the discrepancy is noted. MUST be within 90 days of the month-end of the originally posted charge.	Provide general coordination and guidance regarding cost transfers Approve/deny cost transfer. Process transfer if approved.	As needed

## POST AWARD RESPONSIBILITIES

PHASE OF GRANT	PRINCIPAL INVESTIGATOR/DEPARTMENT		OFFICE OF RESEARCH & SPONSORED PROGRAMS	
	RESPONSIBILITIES	TIMING	RESPONSIBILITIES	TIMING
<b>POST-AWARD</b>				
Award Management (continued)	<p><b><u>Sub-recipient monitoring:</u></b></p> <ul style="list-style-type: none"> <li>•<b>ENSURE</b> they are fulfilling their obligations</li> <li>•<b>VERIFY</b> expenses</li> <li>•<b>APPROVE</b> invoices</li> <li>•<b>MAINTAIN</b> a record of all correspondence See <b>UMS APL VIII-D</b></li> </ul>	Monthly	Send sub-recipient monitoring checklist to PI at start of project. Send/copy sub-award invoices to PI for review and approval, Issue & retain sub-recipient's A-133 certification form (one should be filed each fiscal year of performance)	On going
	<p><b><u>Progress Reports:</u></b></p> <p><b>PREPARE</b> and <b>SUBMIT</b> technical reports to sponsor See <b>UMS APL VIII-J</b></p>	As described in award terms & conditions	Prepare and submit financial reports to sponsor	As described in award terms & conditions
	<p><b><u>Time &amp; Effort Reports:</u></b></p> <p><b>REVIEW</b> for accuracy</p> <p style="text-align: center;"><b>APPROVE</b></p> <p><b>RETURN</b> to ORSP See <b>UMS APL VIII-E</b></p>	Within 60 days of receipt	Generate, distribute, collect, record and file Time & Effort reports	Three times per year: Spring, Summer, Fall
	<p><b><u>Sponsor Invoicing:</u></b></p> <ul style="list-style-type: none"> <li>•<b>APPROVE</b> project expenses in a timely manner</li> <li>•<b>KNOW</b> sponsor guidelines, only incur allowable expenses</li> <li>•<b>USE</b> accurate chartfield combinations (particularly account and fund codes) See <b>UMS APL VIII-C,J</b></li> </ul>	ASAP after incurred	Sponsor invoicing	Per terms of agreement

## POST AWARD RESPONSIBILITIES

PHASE OF GRANT	PRINCIPAL INVESTIGATOR/DEPARTMENT		OFFICE OF RESEARCH & SPONSORED PROGRAMS	
	RESPONSIBILITIES	TIMING	RESPONSIBILITIES	TIMING
<b>POST-AWARD</b>				
Award Management (continued)	<p><b><u>Modification of awards:</u></b>  <b>ALERT</b> ORSP if an award needs to be modified (Including but not limited to: Change in scope of project, PI &amp;/or key personnel, level of effort, or transfer of work                      See <b>UMS APL VIII-I</b></p>	As needed	<ul style="list-style-type: none"> <li>• Provide general coordination and guidance on program plan revision                             <ul style="list-style-type: none"> <li>• Document requests, and subsequent action taken, of approvals for program plan revisions received from PIs</li> </ul> </li> <li>• Submit requests for revision of program plans, when required, to sponsor</li> </ul>	As needed
	<p><b><u>Compliance:</u></b></p> <ul style="list-style-type: none"> <li>• <b>COMPLY</b> with all University of Maine System, University of Maine &amp; governmental policies and procedures related to project management including, but not limited to:                      All UMS APL and OMB Circulars A-21, A-110 and A-133</li> <li>• <b>FOLLOW</b> all University of Maine System and University of Maine policies and procedures with regard to human subjects, recombinant DNA, animal care, radiation safety and biosecurity</li> <li>• <b>ADHERE</b> to the Intellectual Property Policy of the University of Maine</li> <li>• <b>COMPLY</b> with Export Control Regulations</li> </ul>	Ongoing	Provide guidance and interpretation of award terms and conditions, UMS Administrative practice Letters, University of Maine policies and procedures, OMB Circulars etc.	Ongoing

## POST AWARD RESPONSIBILITIES

PHASE OF GRANT	PRINCIPAL INVESTIGATOR/DEPARTMENT		OFFICE OF RESEARCH & SPONSORED PROGRAMS	
	RESPONSIBILITIES	TIMING	RESPONSIBILITIES	TIMING
<b>POST-AWARD</b>				
Award Closeout	<b>APPLY</b> for No-Cost extension if needed	Prior to award end date. <b>Refer to award terms.</b> Generally a minimum of 30 days prior to end date for <b>first time requests</b> . Allow an additional week for processing (By ORSP)	Review No-Cost extension request. Submit to sponsor if approved.	Allow a week for ORSP to review and process request.
			Provide general guidance & technical assistance to PI/Department re: Close-Out procedures	On going/As needed
	<b>REVIEW</b> expenditures; <b>RESOLVE</b> any discrepancies	Prior to award end date		
	<b>CHANGE</b> employee pay source (or verify stop date on employee data sheet)	Prior to award end date		
	<b>REMOVE/STOP</b> any recurring charges	Prior to award end date		
	<b>REMIND</b> sub-recipient to submit final invoices	Prior to award end date	Sub-recipient close out: Final invoices from sub-recipient, final report etc.	As soon as possible after end date
	<b>COMPLETE</b> final review of project account, look for charges posted after the project end date (and remove)	First 30 days after award end date	Final sponsor invoicing	90+ days after end date
	Deficit <b>RESOLUTION</b>	First 30 days after award end date	Assist PI with deficit resolution. Charge designated closing account if deficit still remains.	90 + days after end date

## POST AWARD RESPONSIBILITIES

PHASE OF GRANT	PRINCIPAL INVESTIGATOR/DEPARTMENT		OFFICE OF RESEARCH & SPONSORED PROGRAMS	
	RESPONSIBILITIES	TIMING	RESPONSIBILITIES	TIMING
<b>POST-AWARD</b>				
Award Closeout (continued)	<b>ASSISTANCE</b> in award close-out (may be asked to prepare Equipment List, Patent list etc.)	30-90 days after end date	Inform PI/Dept. of documents needed for close-out	30-90 days after end date
	<b>SUBMIT</b> final technical report to sponsor with <b>COPY</b> to ORSP	30-90 days after end date	Submit final financial report to sponsor	30-90 days after end date
			Reconcile and close account	90+ days after end date
			Return remaining funds to sponsor, if applicable	90+ days after end date
	<b>RETAIN</b> records for 7 years		Retain records for 7 years.	

## Resources

UMS Administrative Practice Letter Index

<http://www.maine.edu/system/oft/apls/index.php?section=5>

Office of Management & Budget Circular A-21  
Office of Management & Budget Circular A-110  
Office of Management & Budget Circular A-133

[http://www.whitehouse.gov/omb/circulars\\_a021\\_2004/](http://www.whitehouse.gov/omb/circulars_a021_2004/)  
<http://www.whitehouse.gov/omb/circulars/a110/a110.aspx>  
<http://www.whitehouse.gov/omb/assets/omb/circulars/a133/a133.pdf>

Office of Research & Sponsored Programs  
Post-Award Role & Responsibilities of a PI  
Purchasing Department  
Office of Human Resources  
Office of Equal Opportunity  
Office of Research & Economic Development (ORED)  
& Department of Industrial Cooperation (DIC)

<http://www.orsp.umesp.maine.edu/>  
<http://www.orsp.umesp.maine.edu/ORSPDocs/Policies/PIResp.pdf>  
<http://www.umaine.edu/purchasing/default.htm>  
<http://www.umaine.edu/hr/>  
<http://www.umaine.edu/eo/searchinfo.htm>  
  
<http://www.umaine.edu/dic/dic.htm>