

Process: Contracts and Grants
 Sub-process: Grant Management
 Document Title: PI Management Checklist

Award Information

Award Name:	
Sponsor Name:	
Fund Number:	
PI Name:	
Department:	
Award Begin Date:	
Award End Date:	
Assigned Accountant:	
Post Award Administrator:	

The following checklist should be used as a monitoring tool as part of your responsibilities, as PI, for management of the award:

- A. General Award Management**
 - Attend a New Award Project Briefing.
 - Meet periodically with your assigned Accountant.
 - Review the Roles and Responsibilities Matrix to gain an understanding of PI and other University function responsibilities.
 - Talk to your departmental administrator regarding your department's process for creating requisitions and other transactions.
 - Request a P-Card if allowable under sponsor regulations.

- B. Human Resources (including Consultants)**
 - Determine who will work on your award and prepare Personnel Budget Action (PBA) Forms (or related HR forms) to establish each individual on the award.
 - Review personnel to determine if release time is being provided. If so, submit the appropriate Personnel Forms.
 - Review personnel to determine if any are contributing effort as cost share against the award. If so, complete the appropriate Certification of Time and Effort Report form.
 - Review the effort certification process with all employees on the award (direct and cost shared).
 - For each effort reporting cycle, verify the accuracy of all effort reports. In addition, verify they are approved and submitted by the deadline.
 - Determine if consultants will be involved in the project. If so, contact the Post Award Administrator in Office of Sponsored Programs (OSP) to discuss the scope of work and other details. Independent consultants need to have a formal agreement established with the University.

- C. Sub-awards**
 - Determine if any subcontractors will be involved in the project. If so, complete the Subrecipient Information Form per the guidelines.
 - Develop a specific budget and scope of work for each subcontractor. A purchase requisition will need to be entered in your department to encumber the funds (see How to Encumber Contractual Services on OSP website).
 - Identify any cost share provided by subcontractors. The required contribution should be codified in the subcontract document and the approved specific budget.
 - Monitor the subcontractor's performance over the life of the project. Do not approve subcontractor invoices if deliverables have not been met.
 - Verify that invoices received from subcontractors accurately reflect the work conducted for the period in question and the costs are consistent with the approved scope of work and budget prior to giving Principal Investigator approval to pay the invoice.
 - Verify that subcontractors have completed their scope of work and have met all deliverables and reporting requirements before approving the final invoice and and verify that all invoices are paid prior to the project end date.

- D. Budget Revisions and No Cost Extensions**
 - Plan ahead if a budget revision or no cost extension will be needed. Sponsors often require prior approval of budget revisions and have deadlines for requesting no cost extensions. Contact the Office of Sponsored Programs as soon as you anticipate the need for a budget revision or no cost extension.

- E. Monitor Expenditures**
 - All expenditures must be in accordance with sponsor and University requirements. For federal awards, OMB Circular establishes the principles for determining the costs applicable to contracts, grants, and other agreements with educational institutions. For items such as Purchasing Cards (P-Cards) and travel, refer to sponsor and University policies to verify compliance.
 - Request Banner access to your fund number to monitor expenditures on the award.
 - Verify budget availability prior to initiating a transaction. Project expenditures should be aligned with the established budget and budget categories.
 - Determine if any purchases are subject to the state-mandated bid-process or can be treated as a sole source acquisition.
 - Verify the allowability of equipment expenditures prior to placing an order. Equipment and excessive supply purchases need special approval in the last sixty (60) days of the project. A justification should be submitted to your assigned Accountant for such transactions. Reasonable justification could include failure of current items critical to completion of the project or final reporting requirements or the project is on-going (i.e. continuation funding is anticipated).

- F. Cost Share**
 - Complete the certification/validation of cost share (required or voluntary) at the end of each budget period and at the end of the project. Coordinate documentation with your assigned Accountant.
 - Maintain documentation for cost share support provided from departmental/college funds.
 - Obtain certification of cost share from subcontractors or other third parties at the end of each budget period at the end of the project. The certification should be made by an authorized official of the subcontractor/third party.
 - Notify your assigned Accountant immediately if at any point in the project you anticipate cost share commitments will not be met.

G. Facilities and Administration (Indirect Cost)

- F&A will be charged to your account in proportion to the expenditures for the period.
- Consider the effect on F&A (increase or decrease) for certain budget revision actions. Contact your assigned Accountant to determine if there are restrictions on the treatment of F&A for the award.

H. Other

- Renew your IACUC or IRB protocols as required. No contract/grant funds will be released if an IACUC or IRB protocol is required but not current.
- Notify the Research Compliance Officer as the project is ending.
- Backup your data and keep it safe and secure in a remote location.

I. Account Closeout

- Review the 90-day Pre-Closeout Checklist and initiate critical, time sensitive actions. The Office of Sponsored Programs will remind you of the award closeout procedures.
- Complete the critical, time sensitive actions indicated on the 30-day pre-closeout checklist including:
 - * Personnel actions - move personnel to another account or termination employees
 - * P-Cards - move to another account or terminate
 - * Purchase Orders - determine if any purchase orders are outstanding - liquidate, expedite delivery or move to another account. Make sure all purchased items have been received, invoiced and paid for prior to the end date
 - * Communications equipment - move to another account or terminate service
 - * Travel - verify that all travel reimbursements have been submitted and are paid by the project end date
 - * Subcontracts - verify all deliverables have been met and final invoice received and processed for payment by the project end date
 - * Cost sharing - verify that all cost sharing commitments are met and documented by the project end date
 - * Final Technical Report - submit a copy or evidence of submission of the final report to your assigned Accountant

Please contact the Post Award Administrator and/or your assigned Accountant if you have questions on any of these items or about the award management process.

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