

UNIVERSITY OF ALASKA SOUTHEAST

Information Manual for Research and Other Sponsored Projects *Updated: October 2007*

GM 9: School/Department Responsibilities

Management Responsibilities of the School/Department

It is the responsibility of the school/department to provide administrative assistance and management logistics of awards on behalf of the principal investigator.

The PI and the financial manager will review the technical and logistical requirements. If necessary, they shall request that the Budget and Grants Office officer negotiate with the funding agency for modifications. The Budget and Grants Office will review the contractual terms and conditions related to the financial and administrative requirements and, with participation by the PI, proceed with the necessary request to the funding agency.

The school/department should advise the principal investigator on salaries, purchasing procedures, current F&A rates, staff benefits and other BOR and/or University of Alaska policies and procedures as necessary.

I. Grant Establishment

If a PI is notified of an “intent to award” by a sponsor, the school/department may prepare a signed memorandum of Assumption of Liability. The original notice of intent to award should accompany the memorandum; such notices may be in facsimile or e-mail format. These documents should be forwarded to Budget and Grants Office for review, approval, and action.

II. Charges to Projects

The school/department will assist the PI in monitoring the requests for expenditure of funds to see that they are expended within agency and award guidelines. It will report the project expenditures of a fund to the PI in a timely and accurate manner and may provide assistance in planning future expenditure requests.

The school/department is responsible for charging appropriate account codes and expenditures on restricted funds. In addition, the school/department will assure that expenditures on the project agree with the budget (as amended) in the agreement. Purchase requests for the project expenditures will be processed by the UAS Purchasing Department. Subawards will be processed through Budget and Grants Office. A subaward template is available at the Budget and Grants Office forms website. It is advisable to go to the form on the website each time a subaward is necessary so that the most recent iteration of the subaward template is utilized.

The school/department should carefully monitor budget levels to prevent over-commitment of funds. If a project overrun occurs, Budget and Grants Office will inform the financial manager of the overrun. The school/department is responsible for either removing the charges from the grant. If the over-expenditure is not removed prior to final billing, the Budget and Grants Office will assume the responsibility, and complete the journal voucher.

III. Assuming Liability for Residual Funds Use, Pending Receipt of Incremental Support

When incremental funding does not arrive when anticipated, the school/department may assume financial liability by filing an Assumption of Financial Liability memo with funding approval documentation as backup with Budget and Grants Office. If the sponsor does not issue a modification/amendment to the award, the charges incurred past the actual end date will be journaled against the school/department's fund one by the Budget and Grants Office during the closeout procedure.

IV. Other

- **Recruitment:** The school's/department's financial manager works with the Budget and Grants Office, as well as the Human Resources Office all business matters relating to position classification and budget. The PI will select the project personnel using UAS guidelines and the school/department will handle all the paperwork required for employing them.
- **Travel:** The school/department will handle all travel details at the request of the PI after approval for the travel has been received according to university guidelines. It is the responsibility of the PI to assure that UAS Chancellor's mandate of Easy-Biz be utilized.
- **Subawards, Vendor Procurements:** In conjunction with the PI, the school/department is responsible for initiating all requests for subawards and vendor procurements. (See UA Advisory Report 2003-1 Subawards and Vendor Contracts, and UAS Subrecipient Monitoring Policy.) The department will ensure that all documents required for each type of order are provided to either Budget and Grants Office or the Purchasing Department, as appropriate. Minority/Women/Disadvantaged Business Entities (MBE/WBE/DBE) Reports. Small Business Subcontracting Plans for individual sponsoring agencies, where necessary, are the responsibility of the school/department. The Statewide system is responsible for reporting requirements to the federal agencies for UA as a whole.
- **Project Supplies:** The school/department will provide requisition as necessary for project supplies. **The use of the procurement credit-card is only allowable when used in the field.** When on-site, the university must use the standard procurement system for entering a purchase requisition into banner. This process assures utilization of the sensitive item check.

V. Closeout or Renewal of the Award: The school/department should alert the PI prior to the close of the award, and assist in the decision to request either additional funds and/or an extension of time if that is needed to complete the project.

It is the responsibility of the school/department to initiate a renewal proposal if it is required for the project to continue. The school/department will then assist the PI in the preparation of a request for an amendment to the current award, or a competitive renewal submission.

VI. Cost Sharing/Matching Funds: The school/department is also responsible for documenting cost sharing or matching as required by the award. Budget and Grants Office should receive, in a timely manner, documentation needed to accompany financial reports as prescribed in the award.

VII. Time Limitations of Charges: In all cases, the charges to a project must fall within the period covered by the effective start and end dates of the project. No charges can be made to the project prior to the beginning date unless UAS has pre-award spending authority that allows such costs. The Budget and Grant Office, and the school/department will work together to ensure that requirements have been complied with, and that the clause is present which permits such expenditures to be incurred.

VIII. Pre-Award: The pre-award costs must be allowable and incurred within the time frame specified by the pre-award cost clause. All pre-award costs are incurred at the risk of the responsible school/department until the pre-award cost clause is approved by the funding agency. If pre-award costs are later disallowed by the funding agency, or the grant is not approved, the costs must be absorbed by the school/department.

IX. Post-Award: No expenditures may be incurred on a project after the expiration date. Payments for items that were encumbered and received prior to the expiration date of the project may be made after the close date under the “liquidation of encumbrances” condition.

Purchases of supplies and equipment should be processed as early as possible to assure receipt of and use during the project period. If an award is not going to continue in future year increments, no equipment may be purchased 60 days prior to the project end date. Any commodities acquired prior to the end date that will not be used within 60 days after the end date must be liquidated and the funds returned to the account.

In the case of a continuing grant, the receipt of equipment at the end of a project year may be accepted, depending on agency regulations, since it can be used in the continuing grant year. Transfers of accountable property valued at \$5,000 or more per school/department must be accomplished in accordance with procedures established by the Statewide Property Manual.