

Sponsored Projects Roles and Responsibilities

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Proposal Development

- **PI**

- Writes proposal in compliance with various policies (state, university, federal)
 - *Description of work, budget, key personnel, resources needed, subrecipients, etc.*
- Identifies compliance requirements (i.e. human subjects)
- Ensures proposal is completed with sufficient time to be reviewed
 - *Budgets complete 10 business days prior to deadline*
 - *All final docs 5 business prior to deadline*

Proposal Development

- **Department Admin**
 - In coordination with PI, aids in developing budget
 - Identifies special terms like cost sharing
 - Identifies special items like equipment or subrecipients
 - Completes appropriate University routing forms

Proposal Development

- **Pre-Award (OSPRI)**

- Assists in identifying funding opportunities
- Assists in preparing proposal budgets
- Reviews solicitations and final proposals before submission
- Reviews and negotiates grants and contracts
 - *i.e. overly burdensome compliance requirements, unacceptable cost-share obligations, restrictions on publication, potential conflicts of interest*
- Facilitates review of pre-award spending requests

Project Execution

- **PI**
 - Reviews and maintains each award's terms and conditions
 - Oversees the conduct of research
 - Oversees the research team
 - Oversees compliance with technical, progress, and compliance reporting

Project Execution

- **Department Admin**

- Reviews NOA and all other relevant award documentation

- *Reviews all special terms and conditions, cost share requirements, etc.*

- Communicates project information and ST to all parties needing to be informed of new project

- *Who is purchasing supplies? Equipment? Who is setting up POs for subrecipients/consultants?*

Project Execution

- **OSPRI**
 - If award has subrecipient, negotiates and establishes agreement in coordination with the PI

Project Execution

- **SPA (Sponsored Projects Accounting)**
 - Upon award acceptance:
 - *Receives notification from OSP via Cayuse that project has been awarded*
 - Sets up budget, ST, project in PeopleSoft
 - *Reviews award documentation*

Project Execution

- **SPA**

- Completes and/or approves any financial reporting required for project
- Invoices sponsor on monthly or quarterly basis
 - *Works with sponsor to receive payments*
- Approves JEs or PETs for expenditures that are moved or removed from the project

Administration/Oversight Through Life of Project

- **PI**

- Primary responsibility for stewardship of project funds
 - *Maintain compliance with SOW*
 - *Review expenditures monthly to ensure allowability*
- Communicates effort to department admin to set up payroll distributions and changes throughout life of project
 - *For PI and for team allocating effort to project*

Administration/Oversight Through Life of Project

- Prepares technical reports
- Communicates any contractual needs or changes to OSPRI
 - *Additional funding*
 - *Extended time*
 - *Rebudgets*

Administration/Oversight Through Life of Project

- **Department Administrator(s)**

- Sends monthly expenditure reports to PI
- Ensures expenditures being allocated to project are allowable
- Ensures any missing expenditures are promptly allocated to the project
- Reconciles project including payroll, vendor payments, supplies, etc.
- Sets up funding distributions and promptly enters changes in HCM or via PET

Administration/Oversight Through Life of Project

- **OSPRI**

- Reviews prior approval requests such as no-cost extensions, rebudget requests, changes in key personnel, modifications

Administration/Oversight Through Life of Project

- **SPA**

- Completes and/or approves any financial reporting required for project
- Invoices sponsor on monthly or quarterly basis
 - *Works with sponsor to receive payments*
- Approves JEs or PETs for expenditures that are moved or removed from the project
- Follows procedures to review questionable expenditures

Closeout

- **PI/Departmental Admin**
 - Communicates extension needs to **OSP**
 - Reviews expenditures – ensures only project related expenditures have been allocated to project and all effort has been allocated accurately
 - Updates funding in HCM so salaries do not charge to suspense
 - Submits final deliverables/technical reports

Closeout

- **PI/Departmental Admin**
 - Ensures
 - *No outstanding ePERs*
 - *Cost share requirements have been met*
 - *Subrecipients have submitted final invoices*

Closeout

- **SPA**

- Manages closeout process within PeopleSoft
- Reviews and verifies financial records
- Prepares necessary closeout forms (See SPA [SPAN | Reporting Responsibilities and JEs | Microsoft Teams](#) training for more info)
- Works with PI and admin team to resolve any discrepancies, questions, etc during closeout process
- Inactivates ST and project in PeopleSoft

Subrecipient Monitoring

- **PI**

- Maintains regular contact with subrecipient team
- Reviews any reporting required by the subrecipient
- Verifies sub's work is conducted in a timely manner that aligns with main project's goals and within compliance

Subrecipient Monitoring

- **Department Admin**
 - Reviews subrecipient invoices
 - Ensures timely receipt of programmatic reports
 - Identifies and follows up on questioned expenditures
 - Maintains documentation for all monitoring effects

Subrecipient Monitoring

- **OSPRI**

- Reviews and approves certain high risk subrecipients
 - *Reviews risk findings*
- In collaboration with PI, compiles required documentation for sub package
- Prepares the agreement

Subrecipient Monitoring

- **SPA**

- Performs risk analysis prior to OSPRI issuing agreement
- Annually requests sub certification
- Performs annual review of sub performance with PI and Grant Admin
- Reviews certifications/reports for audit findings

Effort Reporting

- **PI**

- Provides timely effort to department admin to set up payroll distributions and changes throughout life of project
 - *For PI and for team allocating effort to project*
- Ensures ePERs by project team are certified accurately and timely
- Complies with sponsor requirements

Effort Reporting

- **Departmental Admin**

- Validates that effort calculations are entered in HCM accurately and timely
- Communicates regularly with PI concerning efforts of project team
 - *Enters changes to effort in a timely manner*
- Submits PETs to correct salary to match effort

Effort Reporting

- **SPA**

- Sends out notifications for terminated employees with pending ePER certifications
- During closeout, ensures all ePERs have been certified by project team
- Works with PI and Admin to resolve inconsistencies in effort

References

- **Subrecipient Monitoring Doc**
 - Sponsored Projects Links and Publications
 - *Subrecipient Monitoring*
 - <https://vcaf.uccs.edu/units/controllers-office/sponsored-projects>



Office of Research Integrity – Spring 2024

SPAN Awareness



Office of Research Two Webpages – Research Integrity and Export Controls

<https://osp.uccs.edu/>

Offices of Sponsored Programs and Research Integrity

SPONSORED PROGRAMS ▾

RESEARCH INTEGRITY ▾

EXPORT CONTROLS ▾



Human Subjects Research →

Institutional Review Board (IRB)
Combating Trafficking in Persons
Quality Assurance/Quality Improvement
NIH Clinical Trial Overview and Registration
NIH Data Management and Sharing Plan
Good Clinical Practice (GCP) Training

Additional Research Topics →

Research Involving Animals (IACUC)
Research Involving Cannabis and Cannabis Related or Derived Materials.
Restricted and Proprietary Projects
Biosafety (IBC)

Responsible Conduct of Research (RCR) →

RCR Website
CITI RCR Training Registration
NIH RCR Requirements
NSF RCR Requirements

Research Compliance →

Conflict of Interest
Other Support Disclosure
Foreign Corrupt Practices Act
Misconduct in Research Scholarship and Creative Activities
NSF Safe and Inclusive Work Environment
Enhanced Whistleblower Protection
OIT Research and Compliance



Some Areas

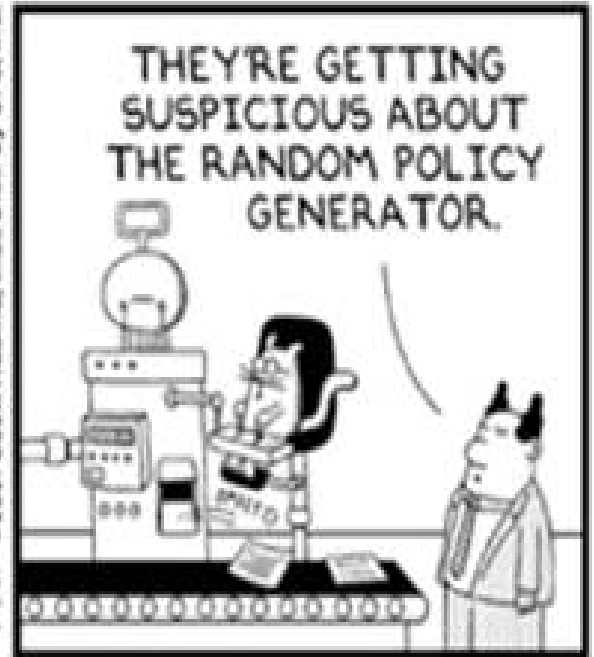
Research Compliance of SPAN Encounter

- **Human Subjects Research (Institutional Review Board – IRB) 644 active research protocols**
- **Export Controls (Student and Employee VISA, purchasing)**
- **Conflict of Interest (COI)**
- **Misconduct in Research**



Some Relatively New Areas

- **Other Support Disclosure –A renewed focus on foreign affiliations and support**
- **NSF Safe and Inclusive Work Environment**
- **OIT Research and Compliance**
- **Coming Soon – Research Security training (NSF, DoD, DoE, and other sponsors).**



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Questions?

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