

# OFFICE OF THE CONTROLLER

## Grants and Funds Management

Sponsored Awards – Pre, Post, and Close  
Roles and Responsibilities

May 2023



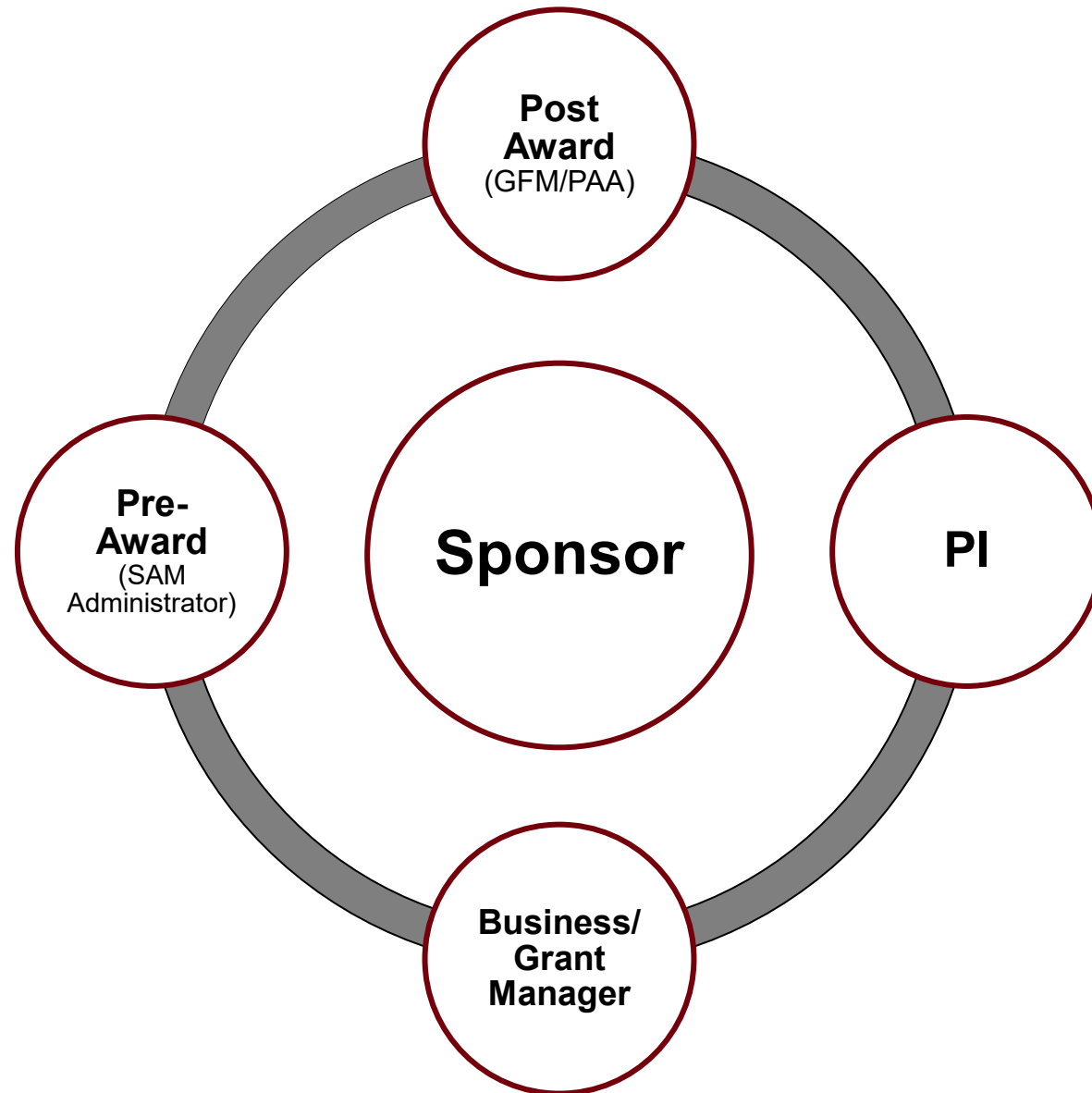


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# Sponsored Award Project Team



# Pre-Award Roles and Responsibilities

Pre-Award	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>Proposal</b>	<b>Step 1:</b> Complete and submit proposal to the SAM Office.	<b>Step 3:</b> Provide financial assertions, if applicable. (system/statements)	<b>Step 2:</b> Dean or Chair approves the proposal submission.	<b>Step 4:</b> Review proposal from PI and submit to sponsor.
<b>Risk Accounts</b>	<b>Step 1:</b> Wishes to begin work on a project upon notification that final award is pending. Completes a Risk Account request.	<b>Step 4:</b> Sets up the Risk Account in Finance PeopleSoft at which time PI can begin charging to the project account.	<b>Step 2:</b> Dean or Chair approves the request for a Risk Account.	<b>Step 3:</b> Sets up the Risk Account in USCeRA.
<b>Awarded</b>	<b>Step 1:</b> PI works with the SAM Office on negotiations and with the department to develop a spending plan.	<b>Step 3:</b> Execute financial transactions according to terms and conditions and interact with sponsor as needed.	<b>Step 2:</b> Work with the PI to develop a spending plan based on the sponsor approved budget.	<b>Step 4:</b> Negotiates and executes award acceptance process.

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# Pre-Award Roles and Responsibilities

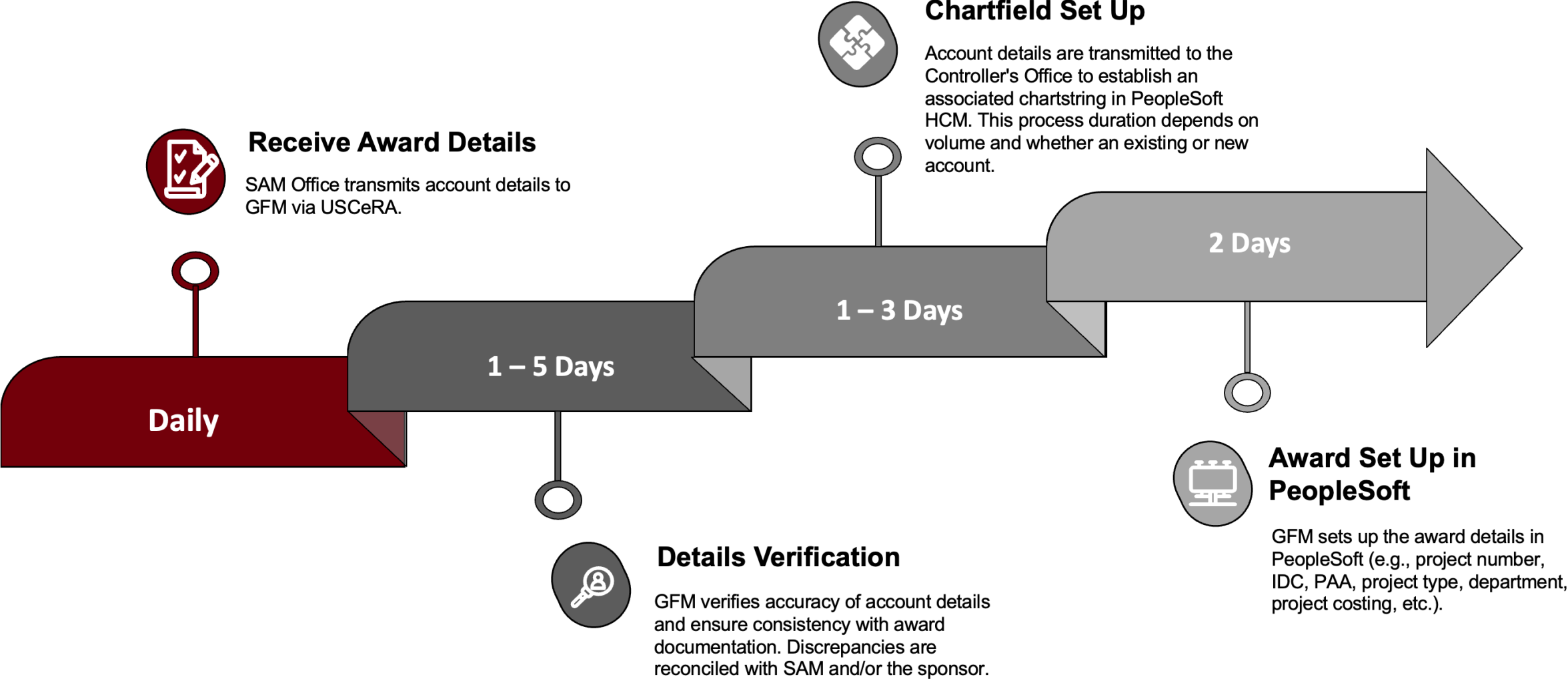
Pre-Award	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>Executed</b>	<b>Step 3:</b> Continue working on the project.	<b>Step 2:</b> Finalize award set up in Finance PeopleSoft and verify terms and conditions from USCeRA.	<b>Step 4:</b> Continue supporting the PI with project activities.	<b>Step 1:</b> Finalize the award in USCeRA, update the budget, and ensure subawards are set up.

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# Grants and Funds Management Award Set Up and Timeline



# Post-Award Roles and Responsibilities

Post-Award	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>Award Start</b>	<b>Step 1:</b> If needed, provide additional information about reporting and invoicing requirements. Begin spending according to the plan finalized at the proposal stage.	<b>Step 4:</b> The PAA becomes familiar with the Notice of Award (NOA).	<b>Step 2:</b> Needs to ensure payroll is set up, account change forms are completed, and cost share is activated.	<b>Step 3:</b> Make budget adjustments as needed.
<b>Invoicing</b>	<b>Step 2:</b> Provide the PAA with supporting documentation as requested.	<b>Step 1: ALL INVOICING IS COMPLETED BY GFM FOR ALL SPONSORED AWARDS.</b>	<b>Step 3:</b> Provide the PAA with supporting documentation as requested.	<b>Step 4:</b> Provide guidance with sponsor issues related to payment as requested.
<b>Reporting</b>	Provide the sponsor with Performance/Progress Reports and contact PAA if financial data is needed.	Complete all financial reporting and provide PI/Grant Support with financial data for the reports for which they are responsible.	Provide the PI and GFM documentation to support report completion.	Assist the PI with submitting Performance/Progress Reports.

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# Post-Award Roles and Responsibilities

Post-Award	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>Monitoring</b>	Review previous months activity on the Grant Dashboard and HCM Distribution to verify accuracy.	Monitoring project activity to ensure compliance with Uniform Guidance, any sponsor requirements, and university policy.	Review the Grant Dashboard and HCM Distribution for the previous month for accuracy. Complete Account Change forms and Retro Funding Forms in a timely manner when needed.	Support support as needed to the PI and PAA.
<b>Post Award Modifications</b>	Request changes to grant account and agreement to meet evolving needs of project such as re-budgeting, no-cost extensions, carryforward, etc.	Provide information to PI and SAM as needed for re-budget requests. Update PeopleSoft account based on USCERA changes made.	Provide PI support for necessary account and agreement changes. Review current account balance and re-budget request information for accuracy.	Process post award requests, including obtaining prior sponsor approval and contract amendments as needed. Update USCERA account to reflect approved modifications.

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# Post-Award Roles and Responsibilities

Post-Award	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>Subawards</b>	<b>Step 1:</b> Notify SAM of any subaward changes and requests for renewals of subawards.	<b>Step 4:</b> Review approved invoices for compliance with the subaward terms and conditions.	<b>Step 2:</b> Provide support to PI for necessary approval and help resolve any issues encountered.	<b>Step 3:</b> Process subaward amendments and advise the PAA on issues related to the subaward.
<b>Time and Effort Certification</b>	<b>Step 3:</b> Review and certify effort charged to sponsor account.	<b>Step 1:</b> Initiate the reports twice a year. Once released, help resolve any issue encountered and monitor the status/progress of report completion.	<b>Step 2:</b> Review and release reports to Employee, PIs, and Supervisor and manage report completion.	Route questions to the Time and Effort Certification Team.

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# Subaward Agreement Process

SAM Office

## Required Subrecipient Forms

Subaward Commitment Form, up-to-date budget reflecting award reductions and scope of work must be completed and sent to SAM Office to begin this process. Visit the SAM website for additional information.

## Agreement Drafted

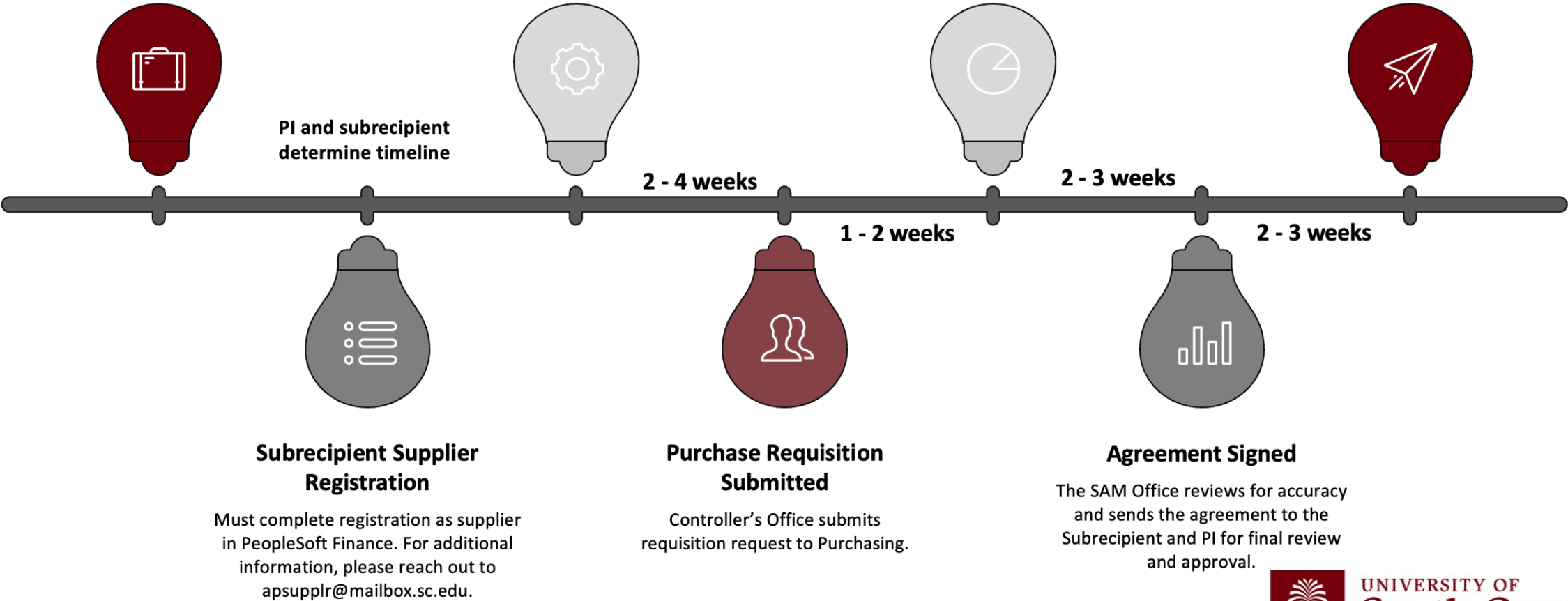
SAM Office receives all needed information and creates draft agreement based on the risk level and PRIME award terms.

## Purchase Order Approved

Purchasing reviews requisition and creates purchase order number.

## Fully Executed Agreement

The Subrecipient must return an executed agreement to the SAM Office in order to have a valid agreement and begin submitting invoices for payment. [subinv@mailbox.sc.edu](mailto:subinv@mailbox.sc.edu)



\* These are suggested time frames, and they can vary. Please reach out to your SAM Administrator with questions or for updates.

# Close Out Roles and Responsibilities

Close Out	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>AR Collection</b>	If requested, assist with obtaining information from the sponsor.	Responsible for ensuring all Account Receivables are collected.	If requested, assist with obtaining information from the sponsor.	If requested, assist with obtaining information from the sponsor.
<b>Expense Confirmation</b>	Review the Grant Dashboard and HCM Distribution to ensure all expenses have posted.	Work with the PI to make sure everything is posted and there is no spending down on the project.	Review the Grant Dashboard and HCM Distribution to ensure all expenses have posted.	Route questions to the PAA.
<b>Inactivation</b>	Confirm the project is complete.	Complete the close out process and make the project in Finance PeopleSoft.	Ensure all employees have been moved to other projects and/or departmental funds as appropriate.	Route questions to the PAA.

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# Close Out Roles and Responsibilities

Close Out	Responsibilities			
Activity	Principal Investigator	GFM Post Award Accountant	Grant Support (Department)	SAM Office
<b>Final Reporting</b>	Provide the sponsor with final Performance/Progress Reports and Scope of Work report. Reach out to PAA if financial data is needed.	Complete all financial reporting and provide PI/Grant Support with financial data for the reports for which they are responsible.	Provide the PI and GFM documentation to support report completion.	Assist the PI with submitting Performance/Progress Reports and complete the Patent and Invention Report if required.

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# Award Close Out Process and Timeline

## 90 Days Before Close Out

Begin close out process for ending project by ensuring all expenditures (including subs and cost share) have been processed and posted, all necessary corrections are made, and progress reports are completed.



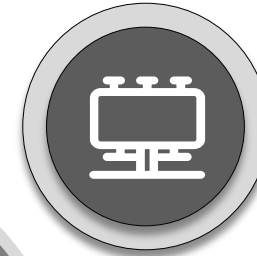
## 15 Days After Close Out

Project is complete. All expenses must be posted, non-allowable transactions moved, and Account and Retro Funding Change forms complete.



## GFM Completes the Close Out Form

The project PAA completes the Project Close Out Form and sends a Final Close Out Packet to Assistant Director of GFM for final review and approval.



## 30 Days Before Close Out

Continue to close out process for ending project by ensuring all expenditures (including subs and cost share) have been processed and posted, all necessary corrections are made, and progress reports are completed.



## Close Out Confirmation from PI/Department

PI/Department confirms all expenses are posted and project is complete giving GFM the opportunity to complete final invoices and any final financial reporting that is required.



## Project Inactivated in PeopleSoft

Assistant Director of GFM sends a request to inactivate the project chartfields to the Chartfield Maintenance Team. No further changes can be made to the project at this time.

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Terminology	Definition
<b>Account Funding Change Form</b>	An <i>Account Funding Change eForm</i> is used for any employee that requires a funding change before the next payroll. These are completed in PeopleSoft HCM.
<b>At-Risk Account</b>	An <i>At-Risk Account</i> is established to track expenditures associated with a specific proposal submission when there is no indication from the sponsor that an award is forthcoming.
<b>GFM</b>	The <i>Grants and Funds Management Office</i> or <i>GFM</i> is responsible for the accounting and management of all restricted grants and contracts within the university system.
<b>Grant Dashboard</b>	The <i>Grant Dashboard</i> provides budget vs. actual comparisons for direct and cost share expenditures by invoice categories for sponsored research awards (USCSP projects). Search by grant, contract, or PI. Includes burn rate calculations.
<b>HCM Distribution</b>	The <i>HCM Distribution</i> reporting tool displays payroll information by employee, including pay group, funding chartfield, gross earnings, and the cost of each employee's benefits to the department.

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Terminology	Definition
<b>PAA</b>	The <i>Post Award Accountant</i> or <i>PAA</i> provides guidance and technical assistance to the University departments in the management of the federal, state and other grants funds.
<b>PI</b>	A <i>Principal Investigator</i> or <i>PI</i> is the individual responsible for the preparation, conduct, and administration of a research grant.
<b>Retro Funding Change Form</b>	The <i>Retro Funding Change Form</i> is to be utilized when payroll that has already posted through the system needs to be adjusted.
<b>SAM Office</b>	The <i>Office of Sponsored Awards Management</i> or <i>SAM</i> provides pre- and post-award services to help University of South Carolina researchers develop and submit grant and other sponsored project proposals and administer awards after they are received.
<b>Time and Effort Certification</b>	A <i>Time &amp; Effort Report</i> is <b>automatically</b> generated for any individual who has salary paid from a sponsored project or COST SHARED to a sponsored project. Each report is reviewed and approved by the Employee, PI, and Supervisor.

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**THANK YOU!**



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