

RESEARCH ADMINISTRATION DURING THE LIFE OF AN AWARD

Process	SR	CG	PI	DR
IDENTIFICATION OF FUNDING OPPORTUNITIES				
* Search for funding opportunities using agency websites, Community of Science (COS) or sponsor contacts	X		X	
* Obtain sponsor guidelines and application forms	X		X	
* Disseminate information on funding opportunities to PIs	X			
* Provide guidance regarding eligibility, submission requirements and deadlines	X			
PROPOSAL PREPARATION				
* Prepare technical/research content of proposal, such as: title page, table of contents, abstract, scope or statement of work, methodology, and other items dictated by sponsor guidelines			X	
* Prepare the proposal budget. This should restate scope of work and/or methodology in terms of dollars	X		X	X
* Provide guidance on the following budget issues, when applicable: current salaries, fringe benefit rates, indirect cost rates using the appropriate base, cost share amounts, and program income	X			
* Provide assistance in the preparation of agencies' standard forms	X			
* Prepare and sign certifications and/or assurances, if required	X			
PROPOSAL ROUTING				
* Prepare the following internal documents to accompany the proposal for approval and tracking purposes, and obtain the appropriate signatures - Pre Award Routing Sheet (Principal Investigator, Department Chair, College Dean) - Disclosure of Financial Conflict of Interest (Principal Investigator) - Patent Policy Acknowledgment and Acceptance (Principal Investigator) - Institutional Contribution Statement, if cost share is included in the proposal budget (Department Chair, College Dean)			X	X
* Include the following items in the proposal if a subcontract is part of the project - Letter of Intent from the subcontractor, signed by the authorized representative - Scope of work for subcontractor's portion of the project - Budget for subcontractor's portion of the project - Copy of the subcontractor's approved indirect cost rate agreement (if applicable)			X	X
* Deliver the proposal package to Sponsored Programs allowing enough time for review and to meet deadlines		X		X

RESEARCH ADMINISTRATION DURING THE LIFE OF AN AWARD

Process	SR	CG	PI	DR
NEGOTIATIONS AND ACCEPTANCE OF AWARD				
* Review terms and conditions of award and negotiate with sponsor, if necessary	X		X	
* Approve scope of work				
* Consult with the Technology Transfer Officer (TTO) if project involves intellectual property issues	X			
* Obtain the university attorney's approval for contract form and legality	X			
* Officially accept contract on behalf of Florida Atlantic University (authorized signature)	X			
* Obtain a fully executed award document	X			
COMPLIANCE REVIEW				
* Note the compliance issues for the proposal on the Pre Award Routing Sheet, such as Human Subject, Animal Subjects, Infectious Agents, Non-Exempt Recombinant DNA, Radioactive Material, Boating/Diving, or Hazardous Chemicals			X	
* Submit the protocol for each compliance issue to the appropriate Review Committee			X	
* Obtain approval from the Compliance Review Committee			X	
* Process post award paperwork after compliance issues are satisfied	X			
ACCOUNT SET-UP				
* Prepare Post Award Worksheet and distribute paperwork to CG and PI/DR	X			
* Assign account number and notify SR and the PI/DR		X		
* Set up account on Banner		X		
* Set up cost share account (if required) and notify SR and the PI/DR		X		
* Set up program income account (if necessary) and notify SR and the PI/DR		X		
* Prepare budget transfer to add budget dollars into the Banner Research Accounting System				X
* Approve budget transfer to add budget dollars to account	X			
AWARD MAINTENANCE				
* Initiate requests to rebudget				X
* Approve rebudget requests (obtain written sponsor approval, if needed)	X			
* Request no cost extensions from the sponsor (requires PI and SR signature)	X		X	
* Generate employment contracts and personnel action forms				X
* Approve employment contracts and personnel action forms	X			
* Initiate purchase requisitions			X	X
* Approve purchase requisitions for allowability		X		
* Review and approve expenditures for allowability and allocability			X	
* Oversee expenditures for allowability and allocability				X
* Reconcile accounts on a monthly basis				X

RESEARCH ADMINISTRATION DURING THE LIFE OF AN AWARD

Process	SR	CG	PI	DR
SUBCONTRACTS				
* Prepare, negotiate, and execute subcontract agreements	X			
* Provide a copy of fully executed subcontract agreement to CG and PI/DR	X			
* Prepare purchase requisition and Sponsored Programs Exemption Form (if required) and submit to SR			X	
* Submit a copy of the agreement, purchase requisition and SREF to Purchasing so that Purchasing can issue a Purchase Order to encumber funds for the subcontract amount	X			
* Monitor progress reports and deliverables submitted by subcontractor			X	
* Approve invoices submitted by subcontractor and send to Accounts Payable for payment			X	
PROGRAM INCOME				
* Deposit program income received into the proper program income account				X
* Review and approve expenditures for allowability and allocability			X	
* Oversee expenditures for allowability and allocability				X
* Reconcile accounts on a monthly basis				X
* Report program income to sponsor on appropriate financial form		X		
* Close out program income accounts using the same procedures as other sponsored accounts		X		
COST SHARE				
* Prepare budget transfer to add budget dollars into the Banner Research Accounting System				X
* Approve budget transfer to cost share account, if funded by a Sponsored Research Trust Fund Account (if cost share account is funded by an E&G account, the budget transfer is approved by the University Budget Office)		X		
* Generate employment contracts and personnel action forms				X
* Approve employment contracts and personnel action forms	X			
* Initiate purchase requisitions				X
* Approve purchase requisitions for allowability		X		
* Review and approve expenditures for allowability and allocability			X	
* Oversee expenditures for allowability and allocability				X
* Reconcile accounts on a monthly basis				X
* Monitor cost share during the life of the award to verify that it is appropriately posted as it is incurred		X		X
* Verify that the cost share required has been accounted for and documented by the end of the project period		X		
* Report cost share to sponsor on appropriate financial report		X		
* Closeout cost share accounts using the same procedures as other sponsored accounts		X		

RESEARCH ADMINISTRATION DURING THE LIFE OF AN AWARD

Process	SR	CG	PI	DR
INVOICING THE SPONSOR				
* Determine frequency and method of invoicing		X		
* Prepare and submit invoices as required, including supporting documentation as needed		X		
* Notify CG of completed tasks, milestones achieved, deliverables submitted			X	
* Coordinate FINAL invoice with the PI/DR in order to include all appropriate expenditures		X		
ACCOUNTS RECEIVABLE				
* Deposit funds received into the proper account (checks, wires, ACHs, EFTs)		X		
* Monitor accounts receivable and pursue the collection of outstanding invoices		X		
* Consult with PI on outstanding invoices when necessary		X		
PREPARATION AND SUBMISSION OF FINANCIAL REPORTS				
* Determine which financial reports are required and the due dates		X		
* Prepare and submit interim and final financial reports on a timely basis		X		
* Consult with the PI/DR on FINAL financial reports to ensure that all appropriate expenses are included		X		
PREPARATION AND SUBMISSION OF TECHNICAL REPORTS				
* Identify requirements/specifications for the technical reports required by the sponsor			X	
* Prepare and submit interim and final technical reports in a timely manner			X	
PREPARATION AND SUBMISSION OF PATENT REPORTS				
* Identify the patent reports and due dates that are required by the sponsor	X			
* Prepare and submit the patent reports in a timely manner with assistance from the TTO and/or PI, when necessary	X			
PREPARATION AND SUBMISSION OF PROPERTY REPORTS				
* Identify the property reports and due dates that are required by the sponsor		X		
* Prepare and submit the property reports on a timely basis		X		

RESEARCH ADMINISTRATION DURING THE LIFE OF AN AWARD

Process	SR	CG	PI	DR
CLOSING ACCOUNTS				
<ul style="list-style-type: none"> * Identify the accounts that should be closed. Consult with the PI/DR to determine whether or not the project will be extended * Determine whether there are pending items that need to be resolved before the account is closed, such as outstanding receivables, outstanding travel advances, and outstanding encumbrances * Work with DR to initiate transactions to zero out accounts * Verify that all FINAL technical and patent reports were submitted to sponsor, as required * Verify that all FINAL financial and property reports were submitted to sponsor, as required * Inactivate account on the SAMAS system 	X	X X X X X		

SR Sponsored Programs
CG Research Accounting
PI Principal Investigator
DR Department Representative