

<b>The Policies of the University of North Texas</b>	Chapter 13
<b>16.12.3.10 Award Management of Sponsored Projects</b>	<b>Research</b>

**Policy Statement.**

This policy sets out requirements related to the award management of sponsored projects. Award management includes responsibility for financial management and oversight of grants and contracts, cost-sharing, cost transfers, sub-contract monitoring, the significant absence of a principal investigator, progress reporting to external sponsors, effort reporting and record-keeping related to a sponsored project.

**Application of Policy.**

This policy applies to all faculty and staff engaged in sponsored project activities.

**Definitions.**

1. COGNOS Report. “COGNOS Report” is defined as the official university record of the financial accounting of expenditures on sponsored projects.
2. Cost Sharing. “Cost Sharing” is defined as costs incurred for a specific sponsored project that are charged to institutional accounts. Cost sharing includes contributed effort, matching funds, and unrecovered F&A funds. There are two types of cost sharing: mandatory cost sharing and voluntary cost sharing. If voluntary cost sharing is included in a sponsored project proposal, it will become legally mandatory cost sharing when accepted by the sponsoring agency as a part of the award (grant or contract).
3. Cost Transfer. “Cost Transfer” is defined as moving expenditures from one account to another.
4. Effort Reporting. “Effort Reporting” is defined as an after-the-fact certification of the percentage of effort directly devoted to sponsored projects, including contributed effort; i.e. cost sharing. The certification also includes a verification that PI/Co-PI’s and other sponsored project employees are not charging more than 100% of their time to sponsored projects.
5. Facilities and Administration Funds. “Facilities and Administration Funds” (or F&A Funds) means costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with "indirect" costs.

6. Instruction Project. "Instruction Project" shall mean any project involving teaching or training activities funded by an externally sponsored grant or contract, excluding research training activities, which are considered "Research" projects.
7. Principal Investigator. "Principal Investigator" (PI) shall mean a single individual who, in the event of an award from an external funding agency, shall have the full and final responsibility for the conduct of the project as proposed and as set forth in the contract or grant.
8. Progress Reporting. "Progress Reporting" is defined as the technical report submitted by the PI to the sponsor as required by the sponsor guidelines.
9. Public Service Project. "Public Service Project" shall mean any project involving activities other than instruction or research such as public health and community service programs.
10. Research Project. "Research Project" is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. It also involves the training of individuals in research techniques where such activities utilize the same facilities as other research activities.
11. Sponsored Project. "Sponsored Project" shall mean an instruction project, public service project, or research project funded by an external sponsor with an expected outcome or deliverable.

### **Procedures and Responsibilities.**

1. Exercise financial management and oversight of sponsored project grants and contracts sufficient to ensure that all charges are reasonable and necessary, allowable under the terms and conditions of the award, properly allocated to and among multiple awards and funding sources, and limited to the funds awarded for the project.

Responsible Party: Principal Investigator/ Department/ College/  
Research Services Office

2. Monitor financial activity related to a sponsored project on a regular basis through COGNOS reports (preferably monthly, but no less than quarterly). Address any discrepancies with the Research Services Office immediately. If a cost transfer is necessary in order to resolve a discrepancy, then submit a cost transfer form to the Research Services Office (link to form is provided below). A cost transfer should occur within 90 days of the original transaction, unless there is a justifiable reason for delay.

Responsible Party: Principal Investigator

3. Prepares all billings and financial reports on sponsored projects.

Responsible Party: Research Services Office

4. Monitor and administer account receivables for all sponsored projects.

Responsible Party: Research Services Office

5. Receive and deposit all payments made on sponsored project accounts.

Responsible Party: Research Services Office

6. Monitor cost sharing expenditures to ensure that all cost sharing occurs in accordance with the sponsored project grant or contract. Complete cost sharing certification form when required by the Research Services Office (link to form is provided below).

Responsible Party: Principal Investigator/Department/College

7. Notify the Research Services Office when anticipating an absence from UNT that may negatively impact a sponsored project and/or would require relinquishing direction of the sponsored project. Notification would also be required in the event of a significant change in effort (increase or decrease greater than 25 percent effort committed at the time of the award) or plans to transfer to another institution.

Responsible Party: Principal Investigator

8. Notify sponsor of any significant absence of a PI and negotiate a replacement PI for applicable grant or contract. The replacement PI must be acceptable to the sponsor, the Research Services Office, and the Department Chair and Dean.

Responsible Party: Research Services Office

9. Monitor sub-contract activity on grants and contracts involving sponsored projects to ensure compliance with sponsor guidelines. Such monitoring shall include but not be limited to reviewing all sub-contract invoices to determine if the charges are appropriate; monitoring the progress of the sub-contract work; and obtaining all required deliverables from sub-contractors.

Responsible Party: Principal Investigator

10. Distribute effort reporting information to PIs at the end of the Fall, Spring, and Summer semesters and when needed for salary adjustments.

Responsible Party: Research Services Office

11. Responsible for effort reporting certification in compliance with Research Services Office guidelines (link provided below to guidelines). Return completed reports to Research Services Office in accordance with specified time requirements. Notify the Research Service Office of any discrepancies in effort reports that need to be addressed.

Responsible Party: Principal Investigator

12. Responsible for progress reporting in compliance with the sponsor award guidelines. Provide Research Service Office with a copy of any progress report provided to sponsor.

Responsible Party: Principal Investigator

13. Maintain and monitor accounting records of purchases and encumbrances in order to stay within the approved sponsored project budget. Submit all expenditures on sponsored project accounts to the Research Services Office for approval. Expenditures must comply with sponsor guidelines and Purchasing and Payment Services requirements.

Responsible Party: Principal Investigator/Department

14. Review requests to incur expenditures on sponsored projects to ensure compliance with all sponsor, federal and state, and UNT guidelines and requirements. Requests may be denied due to non-compliance.

Responsible Party: Research Services Office

15. Oversee award management efforts of the PI/Co-PI, Department and College and address issues as necessary to ensure compliance with all sponsor, federal and state, and UNT guidelines and requirements.

Responsible Party: Research Services Office

### **References and Cross-references.**

UNT Policy 16.12.3.7, Sponsored Projects

UNT Policy 16.12.3.9, Grants and Contracts Related to Sponsored Projects

UNT Policy 16.12.3.11, Recovery and Distribution of Facilities and Administration Funds

### **Forms and Tools.**

Research Services Forms:

<http://research.unt.edu/ors/documents/forms.htm>

Effort Reporting (Personnel Effort Reports)

<http://research.unt.edu/ors/orshandbook.htm#personnel>

Purchasing and Payment Services Website:

<http://pps.unt.edu/>

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