# Roles and Responsibilities for UW Bothell Faculty with Externally Sponsored Grants

There are many ways for faculty to develop robust scholarship programs as part of their portfolio. For some faculty, external support is desired. The UW Bothell Office of Sponsored Research (OSR) provides the administrative capacity to use the UW systems that support compliant sponsored research for those who want to seek such funding resources at any level. We answer questions and triage the work and we approach faculty with targeted support as described below.

## Sponsored Project Procedures for UW Bothell Faculty Research

### PLAN/PROPOSE

* OSR Budget Analyst prepares the eGC1 in the System to Administer Grants Electronically (SAGE) and routes new proposals for approval.
* PI and OSR staff put together the proposal package in the sponsor system.
* Proposal routing: PI is first to approve; Bothell Grants and Ad Hoc Reviewers (e.g., for proposals that require a certain type of space, individuals authorized to commit the resources listed must approve) second; Dean of the school in which their primary appointment is held, third. Division chairs are manually added as “watchers.” If the PI is the Dean, then the VCAA will be added to the eGC1 as the final approver prior to it arriving at OSP. If the PI is routing a proposal through an authorized UWB Research Center, please see Center procedures.
* After all the reviews are successfully completed, routed proposal must be received by Office of Sponsored Programs (OSP) by the 3-day deadline according to UW Grants Information Memorandum (GIM 19).
* OSP reviews for compliance and adherence to university, sponsor, federal, and state guidelines before submitting grant/contract proposals.
* OSP submits proposal to the sponsor or provides signed letter and/or signed forms for PI to submit proposal to the sponsor.

### SETUP

* OSP receives Just in Time (JIT) notices (e.g., budget negotiation, IRB documents) and then communicates with the PI concerning the request from the sponsor (as needed).
* PI prepares JIT documentation and submits to OSP.
* OSP submits revised budget and JIT documentation to sponsor.
* OSP receives, negotiates and accepts all awards.
* OSP completes the internal funding action (FA) to set up the award and releases it to Grant and Contract Accounting (GCA).
* GCA sets up the budget and communicates via e-mail that it is open to spending and able to be viewed in MyFinancial Desktop (MyFD).

### MANAGE

* OSR initiates kickoff meeting including School Administrator to review compliance requirements.
* OSR notifies Fiscal and Audit Services (FAS) of the individual to be assigned the JV/Expense Transfer Approval role in MyFD, via the ASTRA authorization system so they can review and approve cost transfers.
* The School Administrator (or their designee) contacts FAS to set up ASTRA authorizations (MyFD, purchasing, reimbursements, etc.)
* OSR reviews budget setup for accuracy and sets up subawards.
* OSP is the authorized contact for administrative and business questions from the PI to the sponsor. OSP submits concurrence e-mail, letters, revised budgets, spending justifications and other documents to the sponsor on behalf of the PI.

#### Expenditures

The PI should follow their School’s usual process for all hiring and operations expenditures on their grants. Questions about these processes should be directed to the School Administrator.

While salary expenditures may be paid for faculty or staff whose primary job is in another unit, the PI will typically be the manager and timesheet approver for personnel hired on their grants in their home units. It is particularly important that the PI review and approve timesheets for hourly staff or students working on their grants, unless they have formally delegated supervision of these activities to another individual.

When expenditures are made in the Ariba purchasing system, the PI will be expected to serve as the funding approver. Requests for purchases on a UW credit card (ProCard) should be made in writing whenever possible so that PI approval of these purchases can be documented.

#### Budget Reconciliation

Reconciliation is the process of matching supporting documents with charges on a sponsored project budget. Reconciliation status is tracked in the system called MyFinancialDesktop (MyFD). OSR will reconcile budgets in the system within 30 days from the date of the month close.

The PI is responsible for spending the awarded funds based on the project plan. The reconciler reviews the expenditures based on the research administration principles (2 CFR 200) of allowability (after examining federal, state and UW regulations), allocability, consistently treated and reasonableness. OSR will reconcile all grant budgets to assure they adhere to the University of Washington’s guidance for financial reporting.

Each School will establish and maintain a central electronic document repository for expenditure back-up. It is the responsibility of the PI and School administrator to ensure paperwork is complete and placed in the repository.

Once reconciled, the budget will appear in bold under “Reconciliation Status” in MyFD as reconciled. The reconciler will notify the PI via e-mail confirming the budget is reconciled and alert the PI to the deadline for their approval.

**PIs should review budgets in MyFD immediately upon notification that the budget was reconciled. Approval is required in MyFD within 45 days from the month-end close.**

* Questions during the review should be addressed immediately with the reconciler.
* Unreconciled expenditures will be moved to a school budget at 30-days post month closing*.* The reconciler will reach out for missing documents twice.
* The PI’s approval by checking the box in MyFD indicates the expenditures were allowable for their project.
* School Administrators and their Dean will be notified if PIs have not approved their budgets to ensure compliance policies are followed. It is expected that budget approvals be resolved within a week of notifying School administration.
* For PIs who are staff, their supervisor will be notified for unapproved budgets to ensure compliance policies are followed. It is expected that budget approvals be resolved within a week of notifying the PI’s supervisor.

*This policy adheres to the University of Washington’s* [*guidance*](https://finance.uw.edu/fr/internal-controls/reconciliation) *from UW’s Financial Reporting.*

Each quarter, OSR staff will meet with the PI and School Administrator (or their designee) to review active sponsored project budgets. Although questions can be asked at any time during an award, these sessions provide in-person communication for OSR staff, PI and School Administration an opportunity to advance understanding and promote compliance.

#### Cost Transfers

The reconciler will review sponsored project cost transfers based on the following:

* Evaluate the justification and reasonableness of the transfer
* Determine timeliness, including justification if more than 120 days
* Must have PI approval which will be kept with the reconciliation documents maintained by the school

The reconciler will communicate to the School Administrators questions and issues concerning the cost transfers via e-mail. Once the questions and/or issues have been resolved, the reconciler will notify the Administrator that the cost transfers may be submitted.

#### Effort Reporting

All UW employees paid on a sponsored project (or contributing effort to a sponsored project) will have the effort recorded in one of two University systems. The PI reviews and approves Grant & Contract Certification Reports (GCCRs) quarterly and Faculty Effort Certifications (FECs) twice per year. OSR tracks GCCRs and FECs and is available to answer questions as necessary on both.

* Electronic Faculty Effort Certification System (eFECS) records all **faculty** effort.
  + Faculty with effort on sponsored programs are required to review and certify their effort twice a year. Management Accounting and Analysis (MAA) sends out e-mails when the effort is ready to be certified.
  + If there are questions during the review, the faculty member should contact their School Administrator and OSR.
  + The faculty should certify their effort by the deadline provided by MAA.
  + See MAA’s follow-up policies [here](https://finance.uw.edu/maa/faculty-effort-certification-fec/faculty-effort/fec-process/follow-process).
* Grant and Contract Certification Report (GCCR) details **non-faculty** effort.
  + Each PI with an award under a UW Bothell org code that also employs non-faculty individuals will receive a report from the OSR budget analyst each quarter to review the employees and effort that are charged to the sponsored project.
  + This report should be reviewed for employees who are listed and those who are not.
  + Questions can be directed to the OSR budget analyst and the School Administrator.
  + All GCCRs are to be printed and signed and the hardcopy returned to the budget analyst within 30 days of receipt.
  + Budget fiscal analyst lead will keep a record of the reports received and not received during the certification period.
  + If the GCCRs are not returned within 30 days of initial contact, the budget fiscal analyst lead will contact the School Administrator to ensure compliance with the University’s deadline. If the PI is staff, their supervisor will also be notified of non-compliance.

### CLOSEOUT

* With 90 days remaining in the award period, the PI should review the budget to determine if a no-cost extension is needed. OSR can assist with budget projections and OSP will submit paperwork to the sponsor if the extension is needed.
* The PI is responsible for submitting the final technical report. GCA will submit the final financial report. If the sponsor requires extensive information for the final financial report, the PI should contact OSR for assistance.

## Roles & Responsibilities Summary Table

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| --- | --- | --- | --- | --- | --- | --- |
| **Task – Plan/Propose** | **PI** | **School** | **OSR** | **OSP** | **FAS** | **GCA** |
| Proposal/sponsor forms | X |  |  | X |  |  |
| eGC1 completion and routing | X |  | X |  |  |  |
| Proposal review and submission |  |  |  | X |  |  |

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| **Task – Setup** | **PI** | **School** | **OSR** | **OSP** | **FAS** | **GCA** |
| JIT information gathering | X |  |  |  |  |  |
| JIT submission |  |  |  | X |  |  |
| Award negotiation and acceptance |  |  |  | X |  |  |

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| **Task – Manage** | **PI** | **School** | **OSR** | **OSP** | **FAS** | **GCA** |
| Award set-up |  |  |  | X |  | X |
| Hiring (if necessary) | X | X |  |  |  |  |
| Payroll for all personnel named in proposal | X | X |  |  |  |  |
| Purchases | X | X |  |  |  |  |
| Set-up all ASTRA and Ariba spending authorizations. |  | X |  |  | X |  |
| Reconciliation | X |  | X |  |  |  |
| Reconciliation documentation |  | X |  |  |  |  |
| Reporting (technical) | X |  |  |  |  |  |
| Reporting (financial – normal) |  |  |  |  |  | X |
| Reporting (financial – extended) |  | X |  |  |  | X |
| Sponsor communications – technical | X |  |  |  |  |  |
| Sponsor communications – business (extensions, revisions, etc) | X |  |  | X |  |  |
| Subaward initiation |  |  | X |  |  |  |
| Subaward payment | X | X |  |  |  |  |

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| **Task – Closeout** | **PI** | **School** | **OSR** | **OSP** | **FAS** | **GCA** |
| Reporting (technical) | X |  |  |  |  |  |
| Reporting (financial – normal) |  |  |  |  |  | X |
| Reporting (financial – extended) |  |  | X |  |  | X |
| Sponsor communications – technical | X |  |  |  |  |  |
| Sponsor communications – business (extensions, revisions, etc) | X |  |  | X |  |  |

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| **Legend** |  |
| School: UW Bothell School Administration | OSR: UW Bothell Office of Sponsored Research |
| FAS: Fiscal & Audit Services | PI: Principal Investigator |
| OSP: UW Office of Sponsored Programs (Cindy Shirley at UW Bothell)  GCA: Grant & Contract Accounting | |