University of Kentucky
Grants Checklist

**Purpose:** The purpose of this checklist is to provide a guide for the various issues that need attention during the process of a grant – from pre-award through the closeout process. It is intended that the person working with the grant in the department can keep this checklist in the grant file and use it as a reference throughout the life of the grant to make sure that proper attention is given to key items impacting the grant.

List of Roles and Responsibilities/Accountabilities -

**Disclaimer** – This checklist is intended to be a tool and is not meant to supersede University requirements or regulations.

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Date: November 30, 2011
University of Kentucky
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Pre-Award

☐ Send monthly e-mail to PI’s, post-docs and graduate students asking if working on grant submissions or if will have a subaward
   ◦ Reminder that IAF is to be submitted preferably prior to or at the latest, with the proposal (required electronic submission beginning in FY2012)
☐ Get Request for Proposal from PI
   ◦ Look in RFP for eligibility
   ◦ Check for restrictions on grants
   ◦ Check for odd forms or anything specific that needs to be included in proposal
   ◦ Review F&A rate
   ◦ Budget restrictions or limitations
   ◦ Review and/or gather the Current & Pending Support information
☐ Download package of forms for submission
☐ Contact CGO & RA to let them know PI is planning to submit and send copy of program announcement
   ◦ Contact Clinical Trial Research Administrator in Office of Sponsored Projects Administration (OSPA) if a clinical trial
☐ Complete budget proposal including cost share – review with PI (see Subaward checklist if needed)
☐ If any cost share commitment, obtain approval for cost share from any department needing to cost share
☐ Notify Co-i’s departments of grant submission
☐ Send budget and budget justification to CGO to review
☐ Complete various forms needed (see program announcement)
☐ Create internal approval form (electronically on myUK)
☐ Complete Conflict of Interest form
☐ Complete submission package
☐ Route internal paperwork for signatures so all certifications are obtained before submitting entire package to OSPA
   ◦ Include budget, budget justification, abstract, commitment for cost sharing, sponsor guidelines, enrichment calculations
   ◦ Attach IRB, IACUC, IBC or RSC approval letter(s)
☐ Submit entire package to OSPA 3 working days (may be subject to change) before due date deadline.

Post-Award

New Account Review

☐ If you know the grant will be funded and want to set up account, complete form to request E status
☐ Alert RA or CGO if pre-award costs are needed
☐ Complete Just-In-Time Information
   ◦ IRB approvals
   ◦ IACUC approvals
   ◦ Current and pending support
☐ Review Notice of Grant Award

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- Check start and end dates
- Check budget
- Check for pre-award costs
- Review cost share – make sure if budget is cut, the amount to cost share has been cut in proportion to the budget cut
- Review provisions and restrictions
- Revise budget and internal approval form based on new budget amount, if different from original proposal and the change is 25% or more unless adding cost share that was not on the original IAF (see Subaward checklist if needed)
- Notify Co-I’s department of award and their responsibility related to the grant
- Review PADR to ensure everything is correct
- Review PADR remarks for specific reporting requirements or instructions to the department
  - Review carefully any items noted as “department responsibility”
- Review Cost Share Information Form (CSIF)
  - Has a commitment been made on the grant
  - Which expenses are required as cost share
  - How will the expenses be recorded
  - How will the expenses be reported
  - How will the expenses be funded
- Develop process for providing any required documentation, milestone, or cost share information to the FA in SPA for invoicing or reporting throughout the life of the award
- Disseminate information to the appropriate personnel
- Take action as appropriate to start charging project costs

**Account Maintenance**

- Ensure payroll cost distributions and DOE’s are revised in a timely manner so payroll will charge correctly
- Order budgeted equipment as soon as possible
- Send monthly ledger and labor reports to PI’s
  - Ask if all personnel working on the project have salary charging to the project
- Reconcile grants monthly
  - Review for payroll, errors
  - Reconcile to SAP
  - Verify all expenses posted in SAP are accurate and investigate any expected expenses that are missing
- Initiate any required cost transfers as soon as errors are identified
  - Follow up on any JVs not posting in a timely manner
  - SPA generally maintains a 10 day turnaround for JVs
- Edit all procard charges in a timely manner
- Record all purchase orders have goods receipts recorded in SAP when the items are delivered and approved
- Check GMAVCOVRW for CAS items, zero budget sponsored class(es), budget overages per sponsored class (including F&A) as well as overall budget
- Review for under-expenditure and no expenditure, especially if the project has been active for 6 months or more
- Check cost sharing charges are posting correctly if applicable and part of automatic funding job with SPA
- Monitor charges going to HR clearing, FES Clearing, Indirect Overrun or Direct Overrun accounts
- Monitor Graduate Student issues – salary funded from grant, tuition, frequent changes
- Complete budget revisions as needed for budget overages
- Ensure annual Progress Report is completed and that payrolls are charged appropriately as of the date of the Progress Report
- Review Financial Reports or invoices from SPA for correctness
Grant #________________
P I________________________

☐ Review non-competing Notice of Grant Award for budget changes and any restrictions or changes
☐ Non-competing renewal – complete budget and Internal Approval forms
☐ Ensure payroll is charging appropriately and that any changes are made in a timely manner... (back up to steps above)
☐ Maintain all source documentation for each grant including receipts for travel, procard edits, DAVs, etc.
☐ Ensure justification for all payroll retroactive adjustments are documented and maintained for each account

**Close Out**

☐ 90 days prior to the budget end date, start reviewing grants in detail
  ◦ Avoid late in the project expenditures that appear to be spending down the project budget balance, equipment
  that cannot be justified as a benefit to the project, or items that are received after the budget end date
☐ Notify RA, CGO of any no-cost extensions
☐ Ensure payroll end dates are on or before budget end date on grant
☐ Make sure PI and lab knows to stop spending
☐ Review categories to ensure all have necessary budget no budget category is too overspent
☐ Review cost share commitments and ensure all obligations have been met
  ◦ Is cost share funded?
☐ Notify service/recharge centers of new account to charge if charges are continuing
☐ Verify all invoices and/or goods have been received on purchase orders and remaining amounts are liquidated
☐ Verify issues listed in the “Open Items” column on the S_ALN_01000003 have all been resolved and the total is zero

**Record Retention Requirements**

Different types of documents have different record retention schedules. Please review the schedule at the website listed below.

SUBAWARDS

Pre-Award

- Determine who will be preparing the proposal package for the subawardee. Contact CGO or RA for assistance
- Request budget and budget justification from subawardee
- Request biosketch from subawardee PI and any Co-I’s as needed (key personnel)
- Obtain letter of intent signed by subawardee organization official
- Obtain NIH checklist or some confirmation of their F&A rate
- Obtain scope of work statement

Post Award

- Prepare Subagreement Request Form, including any budget changes or scope of work changes
- OSPA will send out subagreement to subwardee organization
- Follow-up with subawardee to ensure original is signed and returned
- OSPA will generate PO for subaward once fully executed
- Monitor to ensure invoices are received monthly or quarterly and include cost sharing expenditures if applicable
- When invoices received, ensure PI signs invoices approving payment of invoices and progress to date
- Send copies of invoices with cost share expenditures to the FA in SPA to fulfill documentation requirements
- Monitor subaward budget to ensure appropriate spending per budget submitted
- Ensure final invoice is received – marked FINAL INVOICE – within 30 days of UK’s project end date (sooner if state funded account ending 6/30)
- If funding left on subaward, un-encumber the PO to reduce the amount of the subaward and adjust project budget accordingly, taking F&A into account

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COST SHARE

Proposal Stage

☐ Review sponsor guidelines to verify is cost share is required
☐ Review proposal to see if there is committed cost sharing
  o Note: Cost sharing is considered committed if it’s committed in the budget, budget justification or in another proportion of the proposal
☐ Verify that NIH salary cap cost share is recorded properly for faculty and staff (HTTP://grants.nih.gov/grants/policy/salcap_summary.htm)

Post-Award

☐ Review proposal and PADR to see what was proposed as cost share
☐ Verify items listed in proposal are included on the Cost Share Information Form (CSIF) received with the PADR
☐ Verify items listed on CSIF are listed on the cost share tab on GMGRANTD
☐ If cost share is committed by another department, notify the appropriate individuals that the account is active and the cost share is required – send copy of PADR to Department Administrator/Business Officer
☐ If a percentage of effort was proposed for the faculty, staff, students, post docs, etc., then that percentage of effort should be reported on the WBS element and cost share fund

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☐ Verify that there is a cost share fund in the GMGRANTD transaction code in SAP under the dimensions tab. This is a 10 digit number and begins with 00189
☐ Faculty effort – The distribution of effort (DOE) should be revised in the Faculty Effort System (FES). The cost share effort will need to be in the “Shared Effort” column of the payroll distribution/AVC check tab.
☐ Staff effort – A cost distribution (0027) screen will need to be completed in SAP/HR to charge the WBS element and the cost share fund.
☐ Payments using the procurement card, DAVs, SAG forms, JV, Travel, Purchasing, RA Tuition, service/recharge center must charge to the WBS element and cost share fund.
☐ Review ledgers on a monthly basis to verify that the expenses were posted to the cost share fund.
☐ Fund cost share on a monthly or quarterly basis
   ☐ Option to use automated cost share funding or fund via JV.
☐ Verify that the cost share is funded at fiscal year end and at the project end date.
☐ Verify that the cost share match is being met (if required).

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