

University of Kentucky College of Medicine Sponsored Research Administrative Services	Identification M-SRAS –3 Version 5		Contact: SRAS Manager
	Standard Operating Procedure	Date Effective: 10/15/2015 Review Date: 10/15/2016	

Review and Action related to Project Account Data Records (PADRs) as created/distributed by the Office of Sponsored Projects Administration (OSPA)

Purpose: The purpose of this operating procedure is to clarify and define the roles of the Principal Investigator (PI), Department Administrator (DA), and the Post-Award Grant Analyst (GA) and Reconciler in Sponsored Research Administrative Services (SRAS) with regard to the review, filing, and associated action items in response to the receipt of Project Account Data Records (PADRs) as created and distributed by the Office of Sponsored Projects Administration (OSPA) for sponsored research project awards.

Introduction: Grants and contracts for sponsored projects represent a contractual obligation between the grantor and the University for the performance of a specific activity through which the grantor, or sponsor, is entitled to receive some consideration or benefit. The contractual obligation is normally documented by a proposal and award combination, contract, or a written memorandum of agreement. The University assumes full legal responsibility for complying with all requirements imposed by the grantor or sponsor upon acceptance of grants and contracts for sponsored projects, including a requirement for a report of expenditures or a provision for an audit. In turn, the College of Medicine must ensure its investigators (faculty, staff, post docs, students) is in compliance with all University and sponsor requirements. Certain of these requirements are initiated at the time of creation of the WBS element, which is documented to all interested parties by creation and distribution of the PADR.

Procedure: To receive, review, and share pertinent information provided via PADRs.

1. The PADR is a document received by the PI, DA, SRAS, and all other invested parties via email distribution from OSPA at the time the WBS is established, and subsequently at any time there is activity on the account that requires action to make changes to the OSPA database or SAP.
2. The PADR has boxes numbered 1-19 which contain the following information. Responsibility for any action needed follows each item.

The PI and the SRAS GA will review each item, in comparison with the attached award or contract document (or other backup documentation that necessitated the PADR generation) and electronic internal approval form (eIAF) and its attachments, for correct information. The SRAS GA will review each PADR received within five business days of receipt of the email to which it is attached. If discrepancies exist, the SRAS will notify RA in OSPA.

- 1) WBS number and award status -- “A” award status means the award is received and the project is active. “E” award status means either the award is still expected but special approval has been given to set up the account in advance of its receipt or there are certain restrictions on the received award such as the IRB or IACUC approval has not been received.

- GA will confirm award status is correct. GA will also confirm that the grant number is correct as well because the WBS element is located in box 1 as well.
- 2) MIS number (Internal proposal number for OSPA).
 - 3) Research Administrator (OSPA contact) name, phone, fax and email
 - 4) Financial Administrator (Sponsored Projects Accounting (SPA) contact) name, phone, fax and email.
 - 4 a) College Grants Officer (CGO) name, phone, and email. For the College of Medicine, this field contains the name of the SRAS Grant Proposal Specialist (GPS). This is the pre-award contact person in the SRAS. SRAS GA will confirm this assignment is correct.
 - 4 b) IBU reference. For the College of Medicine, this field contains the name of the SRAS Reconciler assigned to the responsible unit for the WBS/grant number. SRAS GA will confirm this assignment is correct.
 - 5) Project History – This field provides previous WBS number or numbers if this is a new competing segment, or in other cases where sponsor requirements necessitated a new account number for a non-competing award.
 - 6) Sponsor -- GA will confirm this agrees with the notice of grant award, if one is attached.
 - 7) Sponsor ID number. GA will confirm this agrees with the notice of grant award, if one is attached.
 - 7 a) Sponsor code—additional sponsor information used by OSPA only.
 - 8) Project Title -- GA will confirm this agrees with the notice of grant award, if one is attached.
 - 9) Catalog of Federal Domestic Assistance (CFDA) number, only applied to federal or federal flow-through funding
 - 10) Responsible Unit.
 - 11) PI name, department, email, phone.
 - 12) Project Period – This is the entire time frame of the project. GA will confirm this agrees with the notice of grant award, if one is attached.
 - 13) Budget Period – This is the period of currently authorized funding. GA will confirm this agrees with the notice of grant award, if one is attached.
 - 14) Agreement and grant type. See appendix for definitions.
 - 15) Indirect/F&A rate applied. GA will confirm this agrees with the notice of grant award, if one is attached.
 - 16) Budget information – GA will compare with attached budget, if one is included, to confirm they agree. Further verification may be needed with the budget justification, the proposal budget, and the eIAF budget, depending on the circumstances. The GA will review the personnel listed in the budget attachment and confirm the sponsored class for each individual’s salary is included in the correct sponsored class budget on the PADR. For any TBD positions, the budget justification will more carefully reviewed, and the PI or DA contacted for guidance on the appropriate sponsored class if needed.
 - 17) Co-Investigators – names, departments, phone, email. GA will confirm all investigators in the notice of grant award, if one is attached, are included here.
 - 18) Source of funds – new, carry-forward, project fees/other income. GA will confirm this agrees with the notice of grant award, if one is attached.
 - 19) Remarks – provides a short explanation of action completed with each PADR, along with the RA’s initials and date. Also includes specific and general terms and conditions of the award as per the sponsor requirements.
3. PI needs to inform internal service centers (i.e., DLAR) of the WBS for posting charges as appropriate.

4. PI, DA, and the SRAS GA will review the remarks. All should pay particular attention to specific reporting requirements. The SRAS GA should alert the PI and DA of any items specifically identified as a department responsibility. The PI is responsible for being aware of reporting dates and providing those reports in a timely manner.
5. The PI, DA and the SRAS GA will review the Cost Share Information form to confirm it represents the commitment made in the proposal and award/agreement.
6. Special Instructions for PADRS that note Expected Award Status—"E" Status --If award is in E status because of a delay in IACUC or IRB approval, the PI must ensure that when approval arrives, it is provided in a timely fashion to the RA in OSPA for the award to move to Award "A" status.
7. The SRAS GA will verify items listed on the Cost Share information form are listed on the SAP GMGRANTD Cost Share tab and the Dimensions tab.
8. The SRAS GA will check verify GMAVCOVRW and Budget Overview Tab in SAP to make sure Direct Costs and F&A match the PADR.
9. The SRAS GA will create a folder for PADR 1, and file the PADR with its attachments in the same electronic folder as the other financial documents for the WBS. All subsequent PADRs will be filed here by the SRAS GA.

PI is responsible for:

- Reviewing each PADR and compare with any attached documentation for accuracy.
- Informing internal service centers (i.e., DLAR) of the WBS for posting charges as appropriate
- Reviewing the remarks for specific reporting requirements
- Reviewing the Cost Share Information form to confirm it represents the commitment made in the proposal and award/agreement.
- Ensuring that if award is in E status because of a delay in IACUC or IRB approval, when approval arrives, it is provided in a timely fashion to the RA in OSPA for the award to move to Award "A" status.
- In conjunction with the DA, reviewing the remarks, paying particular attention to specific reporting requirements and associated prescribed deadlines.

Dept./DA is responsible for:

- Reviewing the Cost Share Information form to confirm it represents the commitment made in the proposal and award/agreement.
- In conjunction with the PI, reviewing the remarks, paying particular attention to specific reporting requirements and associated prescribed deadlines.
- If delegated by the PI to do so, informing internal service centers (i.e., DLAR) of the WBS/grant number for posting charges as appropriate.

SRAS GA is responsible for:

- Reviewing each PADR and compare with any attached documentation for accuracy.

- Reviewing the remarks for specific reporting requirements—and alerting the PI and DA of any items specifically identified as a department responsibility.
- Reviewing the Cost Share Information form to confirm it represents the commitment made in the proposal and award/agreement.
- Verifying items listed on the Cost Share information form are listed on the SAP GMGRANTD cost share tab and that the cost share fund appears on the Dimensions tab.
- Verifying GMAVCOVRW and Budget Overview Tab to make sure Direct Costs and F&A match the PADR.
- Confirming that any identified personnel in the budget attached to the PADR are budgeted correctly.

Appendix

Award types:

Cost Reimbursement: When a sponsor reimburses for actual costs of completing the project, usually capped at a stated dollar amount. Normally, invoiced as expenditures are incurred, or drawn down from a Letter of Credit. When funds are provided up front, a refund is expected if the pre-payment is not expended by the end of the project.

Fixed Price: When a sponsor is paying a designated dollar amount for the project or per patient regardless of what it costs UK to complete the project.

No Refund: When a sponsor has notified us in writing that they do not want a refund, but would like UK to expend the funds available to further the purpose of the original agreement. Example: KY Spinal Cord.

Grant types:

AG - Agreement: award document executed by both parties

CA – Cooperative Agreement: the sponsor is involved in programmatic activities. Federal Cooperative Agreements will be identified as such, and all NIH “U” series awards fall in this category.

CB - Cash Basis: an agreement where funds are paid on a fixed price basis, but number of dollars that will accrue isn’t known.

CO - Contract: a federal contract, usually awarded in response to an RFP/RFQ, OR when sponsor is particular about expenditures; AVC (Availability Control) does not apply to contracts. Used for subcontracts when the prime award is a federal contract.

GR - Grant: financial assistance to carry out an approved project or activity, when the sponsor anticipates no substantial programmatic involvement with the recipient.

H0 - Human Clinical Trial: Industry funded clinical trials, phases I and II.

HC - Human Clinical Trial: Industry funded clinical trials, phases III and IV

PO - Purchase Order. Not for KY State PO (use Agreement).

SG - Subgrant: Used for a subaward/subagreement from other Universities when the Prime award instrument is a federal grant. Also, used for SBIR/STTR agreements when the prime award is a grant. Not used if the prime award is a contract or cooperative agreement.

Abbreviations:

CGO – College Grants Officer

DA – Department Administrator

DLAR – Division of Lab Animal Resources

eIAF – Electronic Internal Approval Form for grant proposals

F&A – Facilities and Administrative costs

GA – Grant Analyst

IACUC – Institutional Animal Care and Use Committee

IBU – Integrated Business Unit

IRB – Institutional Review Board

OSPA – Office of Sponsored Projects Administration

PADR – Project Account Data Record

PI – Principal Investigator

RA – Research Administrator

SRAS – Sponsored Research Administrative Services

WBS Number – Term used in the University’s financial system for to identify each unique grant for accounting purposes