



Florida Atlantic University
Division of Research - Research Accounting

Roles & Responsibilities for Post Award Management and Financial Compliance

Category	Principal Investigator (PI)	Grant Manager (GM)	Research Accounting (RA)
<u>AWARD/ACCOUNT & BUDGET SETUP</u>			
Process post award documents to establish new, amended and NCEs for awards/accounts in the financial system (Workday)			X
Setup authorized award budget within the financial system including amendments or supplemental funding			X
<u>EXPENDITURE REQUESTS, APPROVAL & OVERSIGHT</u>			
Process personnel expenditure requests (Costing Allocations, Payroll Accounting Adjustments and Period Activity Pay)	X	Primary	
Process non-personnel expenditure requests (expense reports for travel and p-cards, purchase orders, supplier invoices, etc.)	X	Primary	
Identify need for and request cost transfer	Primary	X	
Request and process cost transfer	Primary	X	
Review and approve expenditure requests (personnel and non-personnel) for financial compliance	Subawards only	Primary	Oversight
Monitors allowable and unallowable costs on sponsored research	X	Primary	Oversight
Monitor Over 90 Day Cost Transfers (personnel and non-personnel)		X	Primary
Request and process budget amendments	Primary	X	
Review and approve budget amendments			Primary



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<u>SUBAWARDS & SUBAWARD MONITORING</u>			
Process Supplier Contract and Amendments to obligate subaward agreement			Primary
Review and approve subaward invoices	Primary	X	Oversight
Monitor budget availability and balance	Primary	X	Oversight
Subaward Monitoring / Verification Forms	Primary	X	Oversight
Administer subaward monitoring process and maintain monitoring documents	X	X	Primary
Close-out subaward	X	X	Primary
<u>COST SHARE</u>			
Cost Share account establishment			Primary
Monitor and review that required cost share is met	X	Primary	Oversight
Cost Share Financial Reporting	X	X	Primary
<u>PROGRAM INCOME</u>			
Program Income account establishment			Primary
Process, record and apply all program income			Primary
Monitor and review program income	X	Primary	Oversight
Program Income Financial Reporting	X	X	Primary



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<u>EFFORT CERTIFICATION</u>			
Administer Effort Certification Reports and Maintain Official Records			Primary
Review and Certify Effort Certification Reports	X -Certify	X - Review	
<u>INVOICING, FINANCIAL REPORTING & COLLECTIONS</u>			
Prepare and submit invoices (billing/drawdown) to sponsors	X	X	Primary
Prepare and submit financial reports to sponsors based on sponsor required frequency	X	X	Primary
Prepare and submit sponsor required supporting documentation for invoices and financial reports		X	Primary
Reconciliation of awards to university financials		X	Primary
Monitor financial status of awards (budget vs. expenses) on a routine basis (Grant Inception to Date and Burn Rate Reports)	Primary	X	Oversight
Process, record and apply all invoice payments			Primary
Monitor account receivable and collection efforts	X	X	Primary



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<u>AWARD CLOSEOUT</u>			
Preparation and submission of Final Financial reporting/invoicing	X	X	Primary
Preparation of Final Technical reports	Primary	X	
Submission of Final Technical report to sponsor that DOES NOT require an authorizing officials signature to sponsor.	Primary	X	
Preparation and submission of patent report	X		Primary
Preparation and submission of Property report	X		Primary
Close-out of award in financial system	X	Primary	Oversight
<u>FINANCIAL COMPLIANCE, AUDITS & OTHER</u>			
Provide oversight of sponsor requirements, Uniform Guidance, state and university policy			Primary
Prepare and process Uniform Guidance (UG) subaward responses and questionnaires			Primary
Maintain approved rates for core facility and re-charge centers within the financial system when charging awards (ISD)			Primary
Serve as point of contact (POC) for financial audit requests as well as prepare and process audit requests			Primary
Communicate updates to polices, procedures and updates to business processes within the financial system			Primary
Provide assistance and training for post-award administration			Primary