**Faculty Research Management Services** **_POST AWARD_ Partnership Agreement**

**PARTNER:** **Effective Date:**

**Reporting to Grant PIs only:** Yes

Service Description:

**Respond to Notification Requests - This includes follow up with At Risk Account Set Up**

**Award Set Up** - These primary activities include completion of outstanding compliance activities, setup of award details via an Account Budget Setup (ABS) Form and creation of COA account(s).

**Review New Award and Modifications** - This includes one-time set-up activities for new awards and recurring activities for award installments.

**Complete Financial Review Checklist (FRC)** - This includes the monthly cycle of preparation and review of financial reports for principal investigators.

**Perform Ongoing Grants Management** - This includes the ongoing activities to maintain grant award information in the system based on updates from principal investigator and/or sponsor.

**Complete Award Close Out** - This includes the activities to close out an award upon the completion of research. **Prepare Sponsored Award Reporting for University Budget Cycle -** This includes providing data and analysis for quarterly monitoring, fiscal year budget forecasting, and year end close.

**Prepare University Effort Related Requirements per University Deadlines -** This includes performing effort review and reporting, preparing PAAs as needed, and coordinating 9 over 9 program and summer salary requests.

**Compliance Materials** - Human and Animal Subject protocol approvals, Conflict of Interest approvals, etc.

| Current Total Volumes | What is being measured? | Current Fiscal Year | Year over Year |
|---|---|---|---|
| | # of COAs Reported | | |

**FRMS Commitment**

**Responsibilities:**

***4.3 Respond to Notification Requests***

*Follow Up At Risk Set Up Activities*

- Identify need to set up "At Risk" Account, confirm need with the PI, and validate funds are available and anticipated expenses are allowable
- Communicate to department need for "At Risk" account
- Complete ARR form and send to department for signatures and then to OSP for review and approval

*Perform Progress Report Submission*

- Provide Faculty with grant personnel allocated to award and anticipated grant unobligated balance

*Process Outgoing Grant Transfers*

- Complete Sponsor Specific Relinquishment forms and work with OSP to close out award at Yale

***4.5 Complete Award Set Up***

*Perform Budget Review - Notice of Award against proposed budget*

- Coordinate any required setup of multiple awards, co-PIs, sub projects, Facilities and Administrative (F&A) rates as needed
- Follow up on any issues w/ Faculty/PI and inform OSP, submitting budget revisions if needed.

*Perform Institutional Review*

- Follow up on any concerns regarding Notice of Award with Faculty/PI and inform OSP

*Set Up Award Record*

- Follow up on any concerns regarding IRES record with Faculty/PI and inform OSP
- Complete and upload ABS Form including naming the award and determining the structure of award lines.

***4.6 Review New Award and Modifications***

*Review and Transition Award from Pre Award*

- Coordinate review of award with departments and Pre Award to finalize transition to Post Award
- Send the Department Business Office COAs/Charging instructions for new awards

*Plan and Set Up Award Financial and Labor Information*

- Coordinate with faculty / PI and department to plan commitments, allocations, and cost sharing details
- Communicate new allocations to financial assistants and department administrators
- Enter grant budget into Workday; enter payroll costing allocation into Workday
- Send GSPS costing allocation update to Graduate Registrar

*Set up Sub Awardees*

- Work with the OSP subaward team to ensure subawards are issued.
- Review sub award contract draft and contact OSP to update record (if necessary)
- If new subawards are added to projects in post-award, FRMS will collect materials from the subawardee and submit to OSP

***4.7 Complete Monthly Financial Review for Research Accounts***

*Review and distribute Account Holder Report to faculty and department*

- Save Account Holder Reports via a single source
- Review FRMS supported account balances and trends for faculty, if applicable
- Review "At Risk" Accounts (if applicable) and follow up with PI and department
- Review outstanding labor, non-labor, and manual commitments

*Identify future labor transactions in Temp Charging holding account*

- Schedule 'Payroll Results Verification with Costing - Yale' report
- Review commitments against the Temp Charging Program and Project worktags
- Gather correct charging instructions and update worker costing allocation in Workday, if necessary
- Send initial charging to Graduate Student Registrars for graduate payroll entry

*Manage Labor Transactions Posted to Temp Charging Worktags*

- Run the Labor Suspense - Yale Report to identify individuals posted to the Temp Charging Project and Program
- Gather correct charging instructions and prepare PAA
- Ensure tuition is following Graduate Student Stipends

***Financial Review Checklist (FRC) Reviews for Sponsored Awards***

*Review recommended FRC financial reports monthly per the attached FRC Addendum*

*Determine if adjustments are required, gather correct charging instructions and prepare Journal or Payroll Accounting Adjustment*

*Send department revised FRC Addendum when changes in reporting requirements occur*

*Complete, initial and send monthly review checklist to department via a single source*

***4.8 Perform Ongoing Grants Management***

*Perform Periodic Review with Departments* **Initial Schedule:** ***(Weekly / Bi-Weekly / Monthly / Quarterly)***

*Perform Periodic Review with PI and Department to ensure proper management and monitoring of all PI accounts, including research related personnel charged to PI accounts.*

*Prepare Periodic/Interim Sponsor Financial Reports (FSRs)*

*Assist in preparation of Periodic Sponsor Progress Reports, identifying anticipated unobligated balance and send to department*

*Prepare and distribute Special Financial Reports to PI as requested or necessary*

- FRMS Senior Director to inform Vice Provost for Research of any research funding concerns

*Respond to audit inquiries pertaining to sponsored awards*

- Analyze and prepare responses, engaging Department Business Office and PI when necessary

***4.9 Complete Award Close Out***

*Perform Review and Resolve Open Items*

- Prepare and Certify Financial Status Report (FSR)

***4.10 Prepare Sponsored Award Reporting for University Budget Cycle and Year End***

*Provide data and analysis for quarterly monitoring, fiscal year budget forecasting, and year end close.*

- Complete YBT report analysis and summary for sponsored awards, distributing to departments for input into YBT Financial Plan

***4.11 Prepare University Effort Related Requirements per University Deadlines***

*Perform Effort Review and Reporting, escalating to department when necessary*

*Prepare Payroll Accounting Adjustments, as needed*

*Coordinate 9 over 9 Program and Summer Salary requests with Faculty and department*

| Service Level Measure | Current Fiscal Year | Target |
|---|---|---|
| % of Account Holder reports submitted by end of subsequent month | | 100% |
| Client Satisfaction - Post Award Support | | 85% |

**PARTNER:** **Effective Date:**

**Partner Commitment**

**Responsibilities:**

**4.3 Respond to Notification Requests**

*Follow Up with At Risk Set Up Activities*

Department signs off on At Risk account request forms

*Process Outgoing Grant Transfers*

Inform FRMS of intent to transfer from Yale

Provide transfer documentation to FRMS

***4.5 Complete Award Set Up***

*Perform Compliance and Conflict of Interest Review*

Work with PI to provide requested compliance documentation to OSP

Follow up on any compliance issues with Faculty/PI and inform OSP

***4.6 Review New Award and Modifications***

*Review COA setup for new awards and advise on any necessary COA structure requirements*

*Plan and Set Up Award Financial and Labor Information*

Department implements and approves all procurement allocations and activities

Department obtains and maintains Delegated Authority documentation

Complete and submit stockroom card requests and communicate to research personnel to pick up cards

Request creation of new Supplier in Workday for Subawards

Coordinate with University Service Providers to setup allocation details

***4.7 Complete Monthly Financial Review***

*Review recommended FRC financial reports monthly per the attached FRC Addendum*

Review the temp charging program and project for non-sponsored accounts

Provide documentation to Post Award, if necessary

*Review and approve Journal Entries and Payroll Accounting Adjustments, if necessary*

***4.8 Perform Ongoing Grants Management***

*Perform Monthly Review with Departments*

Review Financial Reports, including Account Holder report, prepared by FRMS

Escalate research funding concerns to appropriate departmental management

Process fund transfers against Start up and SDF funded accounts, if necessary

*Perform Periodic Review with PI and FRMS to ensure proper management and monitoring of all PI accounts*

Process appointments for all research related personnel

Inform FRMS of any new Provost or Dean funding related to a PIs portfolio that FRMS will be responsible for managing

*Prepare Periodic/Interim Sponsor Financial Reports (FSRs)*

Assist in preparation of financial reports, if necessary

*Prepare documentation for audit inquiries*

Obtain documentation for audit responses, if necessary

***4.9 Complete Award Close Out***

*Perform Review and Resolve Open Items*

Review and approve Journal Entries and Payroll Accounting Adjustments

***4.10 Prepare Sponsored Award Reporting for University Budget Cycle***

*Provide data and analysis for quarterly monitoring, fiscal year budget forecasting, and year end close.*

Enter sponsored award data from the YBT report analysis provided by FRMS into YBT Financial Plan

***4.11 Prepare University Effort related requirements per University deadlines***

*Perform Effort Review and Reporting*

Follow up with PI to address issue(s)

Review and approve Payroll Accounting Adjustments

*Escalate Effort Reporting concerns to appropriate departmental management, including Vice Provost for Research, if necessary*

*Assist in the coordination of 9 over 9 Program and Summer Salary requests*

Enter all personnel appointments including 9 over 9 elections and Summer Salary

| | | | |
|---|---|---|---|
| | | | |

**Lead Admin:** **Date** **Ops Manager:** **Date**

**Partner:**

**Darlene Jones, Senior Director** **Date** **Morgan Lavigne, Associate Director** **Date**
**Faculty Research Management Services**