# ECU - PI Management Checklist

The following checklist is provided as a management tool to assist PIs and administrators in monitoring their grant activities. Contact your Office of Grants and Contracts (OGC) representative if you have any questions.

## A. General Award Management
- Attend a new award briefing - contact OGC if you need assistance in understanding your grant requirements.
- Meet with your departmental administrator to review project needs and determine financial actions to plan for this award.
- Review the Roles and Responsibilities Matrix to gain an understanding of PI and other University functions/responsibilities.
- Talk to your departmental administrator regarding your department's internal process for creating requisitions, payroll and other financial transactional documents.
- Review the award brief memo OGC sends with your award notification. It will highlight some of the administrative requirements of the award.

## B. Human Resources (including Consultants)
- Determine who will work on your award and prepare EPAF/PCF and other related HR forms to establish each individual on the award. It is extremely important that all payroll/HR transactions are processed on a timely basis and prior to the work/pay date.
- Review faculty personnel to determine if release time is being provided. If so, submit the appropriate HR forms and the Grant/Contract Reassigned Time Form.
- Review personnel to determine if any are contributing effort as cost share against the award. If so, remind the employee and the departmental administrator that cost share will need to be reported through the effort reporting system.
- Review the payroll charged to your award every month. Report any errors or missing individuals to your departmental administrator for correction.
- For each effort period, review the effort certification process with your employees and your departmental effort coordinator to assure that all effort is reported accurately. Remember to include any necessary cost share.
- For each effort reporting cycle, verify that all effort reports are completed and submitted by the deadline.
- Determine if consultants will be involved in the project. If so, discuss the scope of work and other details with your departmental administrator. Consultants must have a formal agreement established with the University. Period of performance, deliverables and a reasonable rate of payment must be established. UNC/State employees cannot be consultants. Contractual Services, in Materials Management can assist you in developing the contract and establishing the payment mechanisms.

## C. Sub-Awards
- Determine if any subcontractors will be involved in the project. If yes, continue with the steps below.
- The Office of Sponsored Programs (OSP) will need to issue the formal document. Contact OSP to assure timely completion of the subagreement.
• Develop a specific budget and scope of work for each subcontractor. Needs may have changed since the initial proposal.
• Identify any cost share to be provided by subcontractors. The required contribution should be codified in the subcontract document and the subcontractor's approved budget.
• Monitor the subcontractor's performance over the life of the project. Do not approve subcontractor invoices if deliverables have not been met.
• Contact OGC if there are any problems with subcontractor performance, deliverables, or reports. OGC will assist you with the appropriate steps to take to rectify the situation. Do not withhold payments without discussion with OGC but do not pay if there are problems.
• Verify that invoices received from subcontractors accurately reflect the work conducted for the period in question and the costs are consistent with the approved scope of work and budget. Contact OGC if you have questions or concerns about the invoice.
• Verify that subcontractors have completed their scope of work and have met all deliverables and reporting requirements before approving the final invoice for payment.
• The PI must sign/approve all invoices, verifying subcontractor performance, before payment is processed.

D. Budget Revisions and No Cost Extensions
• Plan ahead if a budget revision or no cost extension will be needed. Sponsors often require prior approval of budget revisions and have deadlines for processing requests. Requests that otherwise might be approved could be denied on the basis of timeliness of the request.
• In you need a budget revision, contact OGC before contacting the sponsor. We may be able to approve the change internally.
• If you need a no-cost-extension, contact OSP before contacting the sponsor. We may be able to approve the extension internally.

E. Monitor Expenditures
• All expenditures must be in accordance with sponsor and University requirements. For federal awards, OMB Circular A21 establishes the principles for determining the costs applicable to sponsored projects. For items such as Purchasing Cards (ProCard), equipment, and travel refer to sponsor and University policies to verify compliance.
• Request Banner access to your fund number to monitor expenditures on-line for the award. OGC recommends "Internet Native Banner" rather than "Self-Service Banner" for monitoring grant activities. INB is better adapted to grant reporting issues and formats.
• Verify budget availability prior to initiating a transaction. Project expenditures should be aligned with the authorized budget.
• Determine if any purchases are subject to the state-mandated bid-process or can be treated as a sole source acquisition. Be sure to plan long lead times for items requiring a bid process or for large orders.
• Verify the allowability of equipment expenditures prior to placing an order. Equipment and excessive supply purchases will need special approval in the last 60 days of the project. A justification and request for approval should be submitted to OGC before making any large purchases in the last 60 days of the award. All goods must be received and in use before the end date.
• Make sure that any necessary accounting corrections are processed on a timely basis (less than 90 days). Cost transfers may be if they are not processed within the audit standard time frame (90 days).

F. Cost Share - If cost share is part of your award
• Complete the certification/validation of cost share form at least every six months and at the end of the project. OGC recommends completing this on a quarterly basis so that problems can be detected early and to ensure that potential cost share is not “forgotten.”
• Maintain copies of documentation for cost share support provided from departmental/college funds with your grant documentation. You will need to provide complete transactional and FOAP details for the cost share report.
• For ECU employees, only cost share reported through the effort reporting process can be used to meet cost share requirements.
• Obtain certification of cost share from subcontractors or other third parties at the end of each budget period at the end of the project. The certification should be made by an authorized official of the subcontractor/third party. Contact OGC for guidance on this requirement.
• Notify OGC immediately if at any point in the project you anticipate cost share commitments will not be met.

G. Facilities and Administration (also known as indirect or overhead costs)
• F&A will be automatically charged to your account in proportion to the expenditures for the period.
• F&A will be charged on the basis of actual costs (not the proposal budget).
• Consider the effect on F&A (increase or decrease) for certain budget revision actions. This might affect your direct cost balance.
• Contact OGC if you have any questions about the F&A charged on your award.

H. Other
• Renew your UMCIRB and IACUC protocols/approvals as required. No contract/grant funds will be released if an IRB/IACUC protocol approval is not current. Costs may be disallowed if the approval lapses.
• No animal or human subjects activity should occur if the IACUC or UMCIRB approval is not current or has lapsed.
• Backup your data and keep it safe and secure in a remote location.

I. Account Closeout
• Review the pre-term closeout notices you receive from OGC and assure that all necessary actions/transactions are completed on a timely basis.
• Complete the critical, time sensitive actions indicated on the pre-term notification including but not limited to:
  * Personnel actions - move personnel to another account or terminate employees.
  * ProCard - move default to another account or terminate.
  * Purchase Orders - determine if any purchase orders are outstanding - liquidate, expedite delivery or move to another...
account. Make sure all purchased items have been received, invoiced, and paid for prior to the end date.

* Standing Orders - make sure vendor is given new account to use or terminate.
* Communications equipment - move to another account or terminate service.
* Travel - verify that all travel reimbursements have been submitted and are paid by the project end date. Travel must begin and end prior to the term date in order for the costs to be paid by the award. For federal awards - review US Carrier requirements.
* Subcontracts - verify all deliverables have been met and final invoice received and processed for payment by the project end date.
* Cost sharing - verify that all cost sharing commitments are met and documented by the project end date.
* Final Technical Report - needs to be submitted to your sponsor by the due date.

Please contact OGC if you have questions on any of these items or about the award management process.