# Faculty Research Management Services

# *POST AWARD* Partnership Agreement

| CLIENT: | Effective Date: |
| --- | --- |
| | Reporting to Grant PIs only: |

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**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 in Oracle Grants Management and creation of PTAEO account(s).
**Receive New Award and Modifications** - This includes one-time set-up activities for new awards and recurring activities for award installments.
**Complete Monthly Financial Review** - 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 during the completion of research.
**Prepare Sponsored Award Reporting for University Budget Cycle -** This includes providing data and analysis for quarterly monitoring and fiscal year budget forecasting.

| Current Total Volumes | What is being measured? | Current Fiscal Year | Year over Year |
| --- | --- | --- | --- |
| | # of PTAOs 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 and validate funds are available
Communicate to department need for "At Risk" account
Complete ARR form and send to department for signatures and then OSP for review and approval
*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, overhead rates as needed
Follow up on any issues w/ Faculty/PI and inform OSP
*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

***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
*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 budget into YBT; enter labor schedule into appropriate system
Send GSPS labor distribution update to Graduate Registrar
*Set up Sub Awardees*
Review sub award contract draft and contact OSP to update report (if necessary)

***4.7 Complete Monthly Financial Review for Research Accounts***
*Review and distribute Account Holder Report to faculty and department*
Review Startup and SDF funded account balances and trends for faculty, if applicable
Review "At Risk" Accounts (if applicable) and follow up with PI and department
Review outstanding custom and procurement commitments
*Identify future Labor Suspense transactions (Review Payroll Preview Report)*
Schedule Account Holder Report and review commitments against the Labor Suspense PTAO
Gather correct charging instructions and update Labor Schedule in Oracle, if necessary
*Manage Labor Suspense*
Run the Account Holder Report for the Labor Suspense PTAEO and identify individuals allocated to suspense
Gather correct charging instructions and prepare Labor Distribution Adjustment
***Planning and Financial Management (PFM) Reviews for Sponsored Awards***
*Review PFM Suite of financial reports monthly per the attached PFM Addendum*
*Determine if adjustments are required, gather correct charging instructions and prepare Journal Entry*
*Send department revised PFM Addendum when changes in reporting requirements occur*
*Complete, sign and send monthly review checklist to department*

***4.8 Perform Ongoing Grants Management***
*Perform Periodic Review with Departments*     Initial Schedule: ___ *(Weekly / Bi-Weekly / Monthly / Quarterly)*
*Perform Periodic Review with PI to ensure proper management and monitoring of all 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 Director to inform Deputy Provost of any research funding concerns
*Respond to audit inquiries pertaining to sponsored awards*
Analyze and prepare responses, engaging Client 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***
*Provide data and analysis for quarterly monitoring and fiscal year budget forecasting*
Complete YBT G500 Report for grants and distribute to departments for entering into YBT Financial Plan

***4.11 Prepare University Effort related requirements per University deadlines***
*Perform Effort Review and Reporting, escalating to department when necessary*
*Coordinate 9 over 9 Program and Summer Salary requests with Faculty and department*

| Service Level Measure | Current Fiscal Year | Target |
| --- | --- | --- |
| # of Sponsored PTAOs | | N/A |
| # of Non-Sponsored PTAOs | | N/A |
| Total Expended Sponsored $ | | |
| Total Expended Non-Sponsored $ | | |
| % of Account Holder reports submitted by end of subsequent month | | 100% |
| # of Accounts not escalated to Department within 6-12 months of PI deficit notification | | <3 |
| Client Satisfaction - Post Award Support | | 85% |

**CLIENT:**                                 **Effective Date:**

## Client Commitment

**Responsibilities:**

**4.3 Respond to Notification Requests**
- *Follow Up with At Risk Set Up Activities*
  - Department signs off on At Risk account set up
- *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*
  - Provide requested compliance documentation to OSP
  - Follow up on any compliance issues w/ Faculty/PI and inform OSP

**4.6 Review New Award and Modifications**
- *Review PTAO setup for new awards and advise on any necessary PTAO 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 request form and communicate to research personnel to pick up cards
  - Set up VIP numbers in Oracle
  - Coordinate with Internal Service Providers to setup allocation details

**4.7 Complete Monthly Financial Review**
- *Review Planning and Financial Management (PFM) Suite of financial reports monthly per the attached PFM Addendum*
  - Provide documentation to Post Award, if necessary
- *Review and approve JSAs and LDAs, 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
- *Perform Periodic Review with PI to ensure proper management and monitoring of all PI accounts*
- *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 LDA/JSA

**4.10 Prepare Sponsored Award Reporting for University Budget Cycle**
- *Provide data and analysis for quarterly monitoring and fiscal year budget forecasting*
  - Enter data from YBT G500 Report for grants 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 LDAs
- *Escalate Effort Reporting concerns to appropriate departmental management, including Deputy Provost, when necessary*
- *Assist in the coordination of 9 over 9 Program and Summer Salary requests*

| Service Level Measure | Current Period | YTD | Target |
|---|---|---|---|
| # of Accounts not escalated to Deputy Provost within 3 months of Department deficit notification | | | < 3 |
| % Completion of FRMS Customer Service Survey | | | 85% |

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**Lead Administrator:**          **Date:**         **Operations Manager:**         **Date**

**Joanne Bentley, Director**         **Date:**         **Melissa Carta, Associate Director**         **Date**
**Faculty Research Management Services**

| PLANNING AND FINANCIAL MANAGEMENT (PFM) REVIEWS | RESPONSIBILITY | |
|---|---|---|
| | *Sponsored Awards* | *Non-Sponsored Accounts* |
| **WORKDAY REPORTS** | | |
| Payroll Results Verification – Yale *(FRMS monitors for known items - Summer Salary, 9-over-9, new appointments etc.)* | FRMS | FRMS/CLIENT |
| | | |
| **PAYROLL PREVIEW REPORTS** | | |
| *Emp by Element View* | CLIENT | CLIENT |
| *Charging Org View* | CLIENT | CLIENT |
| *Home Org View* | CLIENT | CLIENT |
| *PTAEO View* | CLIENT | CLIENT |
| *Suspense Only View (FRMS uses Commitment section of Account Holder Report for Suspense PTAEO)* | FRMS | FRMS/CLIENT |
| *Other Earnings* | FRMS | CLIENT |
| *Faculty Salary >80% on Sponsored Awards (Not on Weekly Payroll Preview)* | FRMS | ------ |
| *FA Salary Charged to Federally Sponsored Awards* | FRMS | ------ |
| | | |
| **ACCESS REVIEW REPORT** | | |
| *User Access Profile Report (All Reports in BRIO)* | CLIENT | CLIENT |
| | | |
| **ACTIVITY REVIEW REPORT** | | |
| *Expense Reports Not Routed in Department for Approval* | FRMS | CLIENT |
| *SciQuest Purchases Not Routed in Department for Approval* | FRMS | CLIENT |
| *OK to Pay Invoices* | FRMS | CLIENT |
| *Sub-Award Invoice Payments* | FRMS | ------ |
| *Shipping Transactions (Accuship, e-ship global, Fed Ex & UPS)* | FRMS | CLIENT |
| *Internal Service Providers (Telcom, Facilities, ITS, RIS, Keck, Stockroom, Dining, etc.)* | FRMS | CLIENT |
| *JSA Transactions Approved outside your department* | FRMS | CLIENT |
| *LDA Transactions Approved outside your department* | FRMS | CLIENT |
| *Typical F&A Expenses Charged to Federally Sponsored Awards (**Please see footnote below)* | FRMS | ------ |
| *"Unallowable" Expense Transactions* | FRMS | CLIENT |
| *Miscellaneous Expenses* | FRMS | CLIENT |
| *General Fund Transfers* | ------ | CLIENT |
| *Gift Fund Transfers* | ------ | CLIENT |
| *Endowment Fund Transfers* | ------ | CLIENT |
| *Other Fund Transfers* | ------ | CLIENT |
| *General Fund Reclasses* | ------ | CLIENT |
| *Gift Fund Reclasses* | ------ | CLIENT |
| *Endowment Fund Reclasses* | ------ | CLIENT |
| *Miscellaneous Revenue* | ------ | CLIENT |
| | | |
| **REVIEW TOOL** | | |
| *A/P Holds (Can also use A/P Worklist to monitor A/P holds)* | CLIENT | CLIENT |
| *Labor Suspense (FRMS uses Commitment section of Account Holder Report for Suspense PTAEO)* | FRMS | FRMS/CLIENT |
| *A/P Bounces* | CLIENT | CLIENT |
| *Labor Charges (FRMS uses this report to monitor C&T Overtime & Extra Compensation on sponsored awards only)* | FRMS/CLIENT | CLIENT |
| *Review Authorizers* | CLIENT | CLIENT |
| *Review Telecom Followup Items* | CLIENT | CLIENT |
| *View - View amounts >= (FRMS does not use this report as we monitor individually by PI)* | CLIENT | CLIENT |
| *Review Trend Balances (FRMS does not use this report as we monitor individually by PI)* | CLIENT | CLIENT |
| *Source Group Comparison (FRMS does not use this report as we monitor individually by PI)* | CLIENT | CLIENT |
| *Review Assets Liabilities* | CLIENT | CLIENT |
| *Review Fund Balances* | ------ | CLIENT |
| *Grant Award Summary Report* | FRMS | ------ |
| | | |
| **EMS MONITORING REPORT** | | |
| *Out of Pocket vs. P-Card Transaction Trend* | CLIENT | CLIENT |
| *Yale P-Card Personal Charges* | CLIENT | CLIENT |
| *Potential Duplicate P-Card Transactions* | CLIENT | CLIENT |
| *Potential Duplicate OOP Reimbursements* | CLIENT | CLIENT |
| *Alcohol Charges (FRMS monitors this as part of Activity Review under Unallowable Expense Transactions)* | FRMS | CLIENT |
| *Miscellaneous ET Usage* | FRMS | CLIENT |
| *Non-Sponsored High Risk Exp Codes* | ------ | CLIENT |
| *Transactions under $75* | CLIENT | CLIENT |
| *Non-Sponsored Unallowable Code Usage* | ------ | CLIENT |
| *Sponsored Research Unallowable and High-Risk Charges* | FRMS | ------ |
| *Uncommon Merchants* | CLIENT | CLIENT |
| *Transactions Under $75 Trend* | CLIENT | CLIENT |
| *Compare Approver and Preparer Grade Levels* | CLIENT | CLIENT |
| *Preparer and Approver are Same Individual* | CLIENT | CLIENT |
| *Approvers and Preparers who approve each others ERs* | CLIENT | CLIENT |
| *Active Cards Per CardHolder* | CLIENT | CLIENT |
| *Non-Contract Vendors* | CLIENT | CLIENT |
| *Processed ER Aging* | CLIENT | CLIENT |
| *Same Day Purchase* | CLIENT | CLIENT |
| | | |
| **EXPENSE MANAGEMENT REPORT** | | |
| *View Unassigned Charges Report* | CLIENT | CLIENT |
| *View Unapproved Expense Reports* | CLIENT | CLIENT |

**NOTE:** *For our Partner Departments with minimal sponsored award activity, FRMS will perform a comprehensive review of DWH Account Holder Reports for compliance to University and Sponsor policy rather than the PFM reports listed above.*

*The Activity Review Report "Typical F&A Expenses Charged to Federally Sponsored Awards" is used to identify the transactions requiring a Direct Charge Justification Form based upon the expense codes provided by OSP. All other transactions not specified by OSP as requiring a Justification Form are reviewed and investigated per the normal Monthly Financial Review Process.*

*Responsibility involves reviewing reports and resolving as appropriate: determining if charges needs to be removed, preparing JSAs as necessary. FRMS to submit their prepared JSAs and LDAs to client for approval.*