A Guide to Managing Your Award

UMass Lowell
Office of Research Administration
This guide has been created to assist you in the management of your award. If you have not already requested access to PeopleSoft, you will need to do so in order to effectively manage your award. The Principal Investigator may also request to meet with staff from the UMass Lowell Office of Research Administration (ORA) to review post-award policies and procedures at any time.

**WHO TO CONTACT** - click here to see current award management team members for your college or department.

### Financial Items
Contact: Senior Financial Research Administrator (SFRA)
- Purchase order/expenditure approvals
- Subcontractor invoices
- Financial reporting
- Award closeout
- Effort certification
- Cost transfers
- Cost Share Reporting

### Non-Financial Items
Contact: Grants and Contracts Administrator (GCA)
- Modifications to existing awards:
  - No cost extensions
  - Carry-forward requests
  - Re-budgeting requests
  - Subcontract modifications or extensions
- Technical reporting
- Items requiring prior approval

### ORA STAFF ABBREVIATIONS
FRA: Financial Research Administration Specialist
SFRA: Senior Financial Research Administrator
G&C: Grants & Contracts Administration
GC Coordinator: Grants & Contracts Coordinator
GCA: Grants & Contracts Administrator

**MEET THE TEAM** – click here for a list of all Research Administration personnel.
**AWARD REVIEW AND NEGOTIATION PROCESS**

Once a proposal has been selected for funding, the review and negotiation process begins. Any externally funded grant or contract is an agreement between UMass Lowell and the sponsor. ORA will negotiate and sign all agreements.

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**Award Notification**

The notice of final award initiates the post-award phase of a grant, and the notice is typically sent to the Office of Research Administration. If a notice of award is sent to the Principal Investigator (PI), it should be forwarded to your GCA for processing.

**Final Budget**

Sponsors will issue grants for the same amount requested in the proposal, but sometimes the amount awarded may be different from the amount requested. As a result, the PI may need to create a revised budget for the awarded amount and submit this revised budget through their Grants & Contracts Administrator (GCA).
Institutional Compliance
Contact OIC
Research activities that include human subject and animal research, restrictions on personnel or publications, or use of biohazardous materials will need to be reviewed and approved by the UMass Lowell Office of Institutional Compliance (OIC) prior to account set-up. There are other additional requirements depending on the sponsor. These may include Conflict of Interest and formal training for Responsible Conduct in Research. See all Institutional Compliance policies and procedures here.

AWARD SET-UP
Contact your GCA
Account Financial Set-up
Once ORA receives 1) fully-executed award agreement, 2) final budget, 3) conflict of interest disclosure forms, and 4) Institutional Compliance approvals (as needed), the account can be set up in UMass Lowell’s financial system. ORA will then email a “work order” document called a Project Information Notification (PIN) to the PI with account numbers, report due dates, and levels of effort for project personnel.

Payroll Set-up
Contact your SFRA
Many grant budgets include salary for the PI and/or other project personnel. It is the PI’s responsibility to ensure that salary will be paid according to the stated levels in the award budget. Faculty may receive up to 33% of their base salary as grant-funded, additional compensation. See also Faculty Additional Compensation Guidelines. Please visit the Payroll Services website for more information, including links to payroll forms and the payroll services hotline. For questions regarding the forms themselves, contact ORA_Payroll@uml.edu.

Subcontract Set-up
Contact the GC Coordinator
If a grant includes a subcontract to another institution, your GCA will begin the subcontracting process after the notice of award is received. The PI will need to review and approve the scope of work documents before ORA sends the documents to the subrecipient for signatures. Please see also the Subrecipient Monitoring Policy.

Contracts for Services Set-up
Contact the GC Coordinator
If the grant budget includes research services from a consultant or vendor for over $10,000, or if a contract is desired for amounts below the $10,000 threshold, the PI will need to submit a request form to the GC Coordinator for the establishment of the agreement.

MANAGING YOUR AWARD
Contact Travel Office or your SFRA
Travel
Many grant budgets include travel for the PI and/or other project personnel. Please visit the Travel Office web pages for policies and information regarding all elements of pre-travel registration, booking and contracted rates for travel and hotel, per diem rates, and reimbursement procedures. Please be aware that international travel pre-authorizations are vetted by the Office of Institutional Compliance and travel with electronic equipment must be requested and approved by the Export Control Compliance Manager before travel occurs.

Procurement
Contact Procurement Services or your SFRA
For all other purchases using grant funds, PI’s should refer to the Procurement Services website for policies and procedures. Please also see competitive requirements, procurement policies, and, if required, the No Bid Justification form. Also see related information regarding charging to sponsored projects on the ORA website Sponsored Research Award Expenditure Policy.
**ProCard/Payment Card**
Contact [Payment Card Services](#) or your SFRA
If a grant includes budget line items for supplies and/or travel, the PI may be able to obtain a ProCard to facilitate these purchases. PIs should refer to the [Payment Card Services](#) website for policies and procedures.

**Cost Transfers**
Contact your SFRA
If an expense is charged to an incorrect account, it can be moved to the proper account through a cost transfer. The PI should submit a signed [Cost Transfer Form](#) to their Financial Research Administrator with a justification for the expense. If more than 90 days have passed since the original charge, an explanation for the delay must also be submitted. Please see the [Cost Transfer Policy](#) to ensure compliance.

**Participant Incentive Payments**
Contact your SFRA
The University often conducts research projects which involve human participants. Payments, if previously authorized by the Institutional Review Board (IRB) as part of the protocol review process, may be paid in the form of cash, gift cards/certificates, or check depending on the circumstances of the study and the dollar amounts involved. Verification of IRB approval for the payment or incentive amount and process can be provided by either the researcher or the [IRB Administrator](#). To request an advance for participant incentives, utilize the Advance Request for Research Incentive Payments Form. These monies must be reconciled using the Advance Reconciliation for Research Incentive Payments Form. Both forms are located under the section “For Projects Already Approved by the IRB,” found [here](#).

**MONITORING YOUR AWARD**

**SUMMIT Reporting tool**
Contact your SFRA
SUMMIT is a web-based tool that delivers PeopleSoft financial data both quickly and easily through customized tables. It’s the enterprise reporting tool currently used to support Finance & Human Resources. For training dates, see the [SUMMIT overview page](#). Go to [this eForm](#) and request access to the SUMMIT’s PI Dashboard for your project. Access and training questions may be directed to [SUMMIT@uml.edu](mailto:SUMMIT@uml.edu).

**Monthly Financial Reports**
Contact your SFRA
ORA sends monthly financial reports to the PI with detailed expenses and an account summary. It is important for PIs to review these reports to confirm that expenses post as expected. Please note that the ORA financial reports do not include indirect costs for encumbrances, and forecasted balances may need to be reduced accordingly.

**Billing Types**
Contact your SFRA
The “cost reimbursable” payment arrangement is common in sponsored research, and it requires ORA to send invoices to the sponsor for reimbursement of project expenses. The PI should carefully review ORA’s monthly financial reports for any discrepancies to avoid incorrect billing. Other payment arrangements exist as well, such as “advance” and “fixed” contracts.

**SPONSOR REPORTING REQUIREMENTS**

**Technical Progress Reports**
Contact the GC Coordinator
Sponsors typically require technical progress reports from the PI. These reports update the sponsor on scientific developments related to the project’s goals. The deadlines and format for the technical reports are usually explained in the notice of award. Copies of the technical reports should also be provided to ORA’s [GC Coordinator](mailto:GCCoordinator@uml.edu).
Financial Reports  
Contact your SFRA
Sponsors typically request financial reports from UMass Lowell, often on a quarterly or annual basis. ORA will complete the financial reports and submit them to the sponsor. The PI should carefully review ORA’s monthly financial reports for any discrepancies to avoid incorrect financial reporting.

Cost Sharing  
Contact your SFRA
Cost Share is the portion of a project or program cost not borne by the sponsor. It is the University’s share in the cost of conducting the project/program. Cost sharing occurs either when 1) a sponsor requires, or 2) the University commits in a proposal, funds beyond those awarded by the sponsoring agency to support a particular grant or contract. To include cost share in a proposal, approval is required through completion of a Cost Share Form. PI’s are required to track cost sharing on their awards with the assistance of ORA. See also Cost Share Overview.

Effort Certification (ECRT)  
Contact your SFRA
PI’s are required to annually certify the amount of time they spent working on a grant. This effort certification process is completed using an online system called Effort Certification and Reporting Technology (ECRT). Detailed instructions for effort reporting are sent to PI’s by email. Guidelines and access may be found here.

PRIOR APPROVALS

Scope or Budget Revisions  
Contact your GCA
If the scope of the project or the budget changes, ORA will typically need to contact the sponsor and request approval for the change.

No-cost Extensions  
Contact your GCA
A no cost extension prolongs the project length beyond the original end date, at no additional cost to the sponsor (i.e. no new funding is provided). The SFRA will contact the PI prior to the project end date to inquire about the possible need for a no-cost extension.

AWARD CLOSEOUT

ORA will contact the PI three months prior to the project end date to initiate the closeout process. Various reports must be submitted to the sponsor as part of closeout. These reports often include a final technical report, and a final financial report.

AWARD TRANSFER  
Contact your GCA
The transfer of an award from one institution to another is a complex and time-consuming action, and a number of potential issues should be addressed prior to the transfer. An award transfer to a new institution is not simply the change of a name on the award or a check sent by UMass Lowell to the new institution. Please reach out to your GCA for more specific information.
RESOURCES

FOR NEW PIs
To effectively manage your award, we suggest you immediately request access to the following systems and schedule your university training as soon as possible.

Compliance Trainings
The CITI Program (www.citiprogram.org) now offers training modules for each of these compliance topics. Additional in-person training may be required and provided through the Office of Institutional Compliance.

- Animal Subjects (IACUC)
- Biological Safety (IBC)
- Human Subjects (IRB)
- Conflict of Interest (COI)
- Export Control
- Responsible Conduct in Research (RCR)

PeopleSoft Financial Production and SUMMIT PI Dashboard
Request Access and Job Aids

BuyWays (e-Procurement System). All employees are granted "Shopper" access.
Request "Approver" Access and Job Aids

ProCard/Apply for a Card
Training for Payment Cards is mandatory before the card will be issued. The ProCard Services group will contact you to schedule this training after you apply. Training includes subjects such as an overview of allowable and non-allowable purchases, monthly reconciliation, and audit program information.

University Budgeting Training
A three-part university budgeting certificate program is held annually, usually in mid-winter. Contact WLD_Registrations@uml.edu for upcoming dates. By special request, a member of our team can discuss your specific budget-related questions.

REFERENCE
Office of Institutional Compliance (OIC)  Current Fringe Benefits Rates
University Policies on Financial Activities  Indirect Costs
University Research-related Policies and Guidelines  Procurement Services
Federal guidelines