



**Florida Atlantic University  
Roles & Responsibilities for Post Award Management and Financial Compliance**

Category	Principal Investigator (PI)	College/Dept. Research Administrator Grant Manager	Division of Research (DOR)
<b><u>PROJECT / ACCOUNT SETUP</u></b>			
Process post award documents to establish new, amended and NCEs for awards/accounts in the financial system (Workday)			RA - Primary
Setup authorized award budget within the financial system including amendments or supplemental funding			RA - Primary
<i>* Sponsored and Non-Sponsored (Reinvestment / Overhead / Startup)</i>			
<b><u>EXPENDITURE REQUESTS, APPROVAL &amp; OVERSIGHT</u></b>			
Process personnel expenditure requests (Costing Allocations 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	
Monitor Over 90 Day Cost Transfers (personnel and non-personnel)			RA - Primary
Review and approve expenditure requests (personnel and non-personnel) for financial compliance	Subawards only	X	RA - Primary
Monitors allowable and unallowable costs on sponsored research		X	RA - Primary
Request budget amendments	Primary	X	
Review and approve budget amendments			OSP - Sponsored RA - Non-Sponsored
<b><u>INVOICING, FINANCIAL REPORTING &amp; COLLECTIONS</u></b>			



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Prepare and submit invoices (billing/drawdown) to sponsors	X	X	RA - Primary
Prepare and submit financial reports to sponsors based on sponsor required frequency	X	X	RA -Primary
Prepare and submit sponsor required supporting documentation for invoices and financial reports			RA - Primary
Reconciliation of awards to university financials		X	RA - Primary
Monitor financial status of awards (budget vs. expenses) on a routine basis (Grant Inception to Date and Burn Rate Reports)	Primary	X	RA
<i>* <u>Sponsored</u> and <u>Non-Sponsored</u> (Reinvestment / Overhead / Startup)</i>			
Process, record and apply all invoice payments			RA - Primary
Monitor account receivable and collection efforts	X	X	RA - Primary
<b><u>EFFORT CERTIFICATION</u></b>			
Administer Effort Certification Reports and Maintain Official Records			RA - Primary
Review and Certify Effort Certification Reports	Primary	X	
<b><u>COST SHARE</u></b>			
Cost Share account establishment			RA - Primary
Cost Share reporting			RA - Primary
Monitor and review that required cost share is met	Primary	X	RA



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<b><u>PROGRAM INCOME</u></b>			
Program Income account establishment			RA - Primary
Process, record and apply all program income			RA - Primary
Program Income Financial Reporting			RA - Primary
Monitor and review program income	Primary	X	RA
<b><u>SUBAWARDS &amp; SUBAWARD MONITORING</u></b>			
Process Purchase Order and Amendments to obligate subaward agreement			RA - Primary
Review and approve subaward invoices	Primary	X	X
Receive and process subaward invoices			RA - Primary
Monitor budget availability and balance	Primary	X	RA
Subaward Monitoring / Verification Forms	Primary	X	RA
Administer subaward monitoring process and maintain monitoring documents			RA - Primary
Close-out subaward	X	X	RA - Primary
<b><u>PROJECT / AWARD CLOSEOUT</u></b>			
Preparation and submission of Final Financial reporting/invoicing	X	X	RA - Primary



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Preparation of Final Technical reports	Primary		
Submission of Final Technical report to sponsor	X		OSP - Primary
Preparation and submission of patent report	X		RA/OTD/OSP
Property report	X		RA - Primary
Close-out of award in financial system			RA - Primary
<b><u>FINANCIAL COMPLIANCE, AUDITS &amp; OTHER</u></b>			
Provide oversight of sponsor requirements, Uniform Guidance, state and university policy		X	RA - Primary
Prepare and process Uniform Guidance (UG) subaward responses and questionnaires			RA - Primary
Maintain approved rates for core facility and re-charge centers within the financial system when charging awards (ISD)			RA - Primary
Serve as point of contact (POC) for financial audit requests as well as prepare and process audit requests			RA - Primary
Communicate updates to policies, procedures and updates to business processes within the financial system			RA - Primary
Provide assistance and training for post-award administration			RA - Primary

**RA - Research Accounting**

**OSP - Office of Sponsored Programs**

**OTD - Office of Technology Development**