



**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>AWARD/ACCOUNT &amp; BUDGET 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
<b><u>INVOICING, FINANCIAL REPORTING &amp; COLLECTIONS</u></b>			
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
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>PROGRAM INCOME</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>SUBAWARDS &amp; SUBAWARD MONITORING</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



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<b><u>AWARD CLOSEOUT</u></b>			
Preparation and submission of Final Financial reporting/invoicing	X	X	RA - Primary
Preparation of Final Technical reports	Primary		
Submission of Final Technical report to sponsor that DOES NOT require an authorizing officials signature to sponsor.	Primary		
Submission of Final Technical report to sponsor that requires an authorizing officials signature to sponsor.	X		OSP - Primary
Preparation and submission of patent report	X		RA/OSP
Preparation and submission of Property report	X		RA - Primary
Close-out of award in financial system	X	Primary	RA - Primary
<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	Primary	RA - Oversight
Monitors allowable and unallowable costs on sponsored research	X	Primary	RA - Oversight
Request and process budget amendments	Primary	X	

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Review and approve budget amendments (non-sponsored)			RA - Primary
Review and approve budget amendments (sponsored)			OSP - Primary
<b>FINANCIAL COMPLIANCE, AUDITS &amp; OTHER</b>			
Provide oversight of sponsor requirements, Uniform Guidance, state and university policy			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**