AWARD MANAGEMENT CHECKLIST

AN AWARD MANAGEMENT TOOL FOR GRANT MANAGERS

Marc Todesco, Associate Director Office for Sponsored Programs

FALL 2022



Closeout Subcommittee

- Subcommittee under Operations and Policy Committee (OPC)
- Membership includes:
 - OSP: Tricia Hopkins, Marc Todesco (lead)
 - o HMS: Rita Bergemann, Sheila Doyle
 - o HSPH: Jen Neira
 - o Wyss: Nicole Boquet

- Award Management Checklist
 - New resource to assist with managing and closing out sponsored awards

Awards Management Checklist

- Supplemental resource for the "<u>Closeout</u> and <u>Reporting Policy for Sponsored</u> <u>Awards</u>" revised in May 2021
- Developed from an existing checklist deployed at the Harvard Kennedy School
- Checklist was piloted by schools and departments over the past year

HARVARD UNIVERSITY



Closeout and Reporting Policy for Sponsored Awards

Originally Issued: November 16, 2015

Last Revised: May 6, 2021
Effective: May 6, 2021

Responsible Office: Office for Sponsored Programs

Policy Statement

As the recipient of sponsored funding from federal and non-federal sources, Harvard University is required to provide accurate, timely, and complete disclosure of financial information, as required by each sponsored award. The timely recording of financial transactions to sponsored awards is critically important, especially as an award's end date approaches, since it is the basis for financial reporting, cash collection, and sponsor closeout requirements. The Closeout and Reporting Policy for Sponsored Awards establishes the framework for administering the timelines to manage the sponsor's financial deadlines and non-financial reports.

Reason for Policy

By accepting extramural funding from sponsors, Harvard agrees to manage and use these funds in accordance with sponsor terms and all applicable federal regulations. This policy provides guidance to financial and administrative staff who are responsible for managing federal and non-federal sponsored awards. This policy also ensures that Harvard adheres to the requirements under the Office of Management and Budget (OMB) Uniform Guidance (§200.344) which requires projects to be closed out within one year of their end date. Most notably, "if awardees do not submit reports within one year, the awarding agency must report to OMB (currently FAPIIS) as a material failure to comply with the award terms and conditions." This policy applies to all sponsored projects at Harvard, whether or not they are subject to the Uniform Guidance and includes financial and non-financial reports.

ANOTHER CHECKLIST!





NOT JUST ANOTHER CHECKLIST!

- ✓ Tool for Grant Managers
- ✓ Consolidated list of activities
- ✓ Links to resources
- ✓ Customizable
- ✓ Not required by OSP!



Who should use the checklist?

- Department Local Level Managing Units (DLLMU)
 - Grant managers, research administrators, etc.
- Department Managers
 - Can implement locally to improve internal controls and procedures
- New staff
 - Outlines a range of activities to monitor during the award and at closeout
- Note: the checklist is NOT REQUIRED BY OSP

User Guide for Award Management Checklists

ne award through its post-award lifecyle: 1) During Award and 2) During Closeout.

used once a project is awarded and up to 90-days prior to the award/account end date.



e in corporated into a school or department's local procedures to assist with managing award

ormed on a MONTHLY basis, unless another frequency is specified.

sponsibilities required with managing a sponsored research award and can be used to supplement a school or department's local procedure:



Award Management Checklist - During Award

Obligated Dates: Anticipated Dates: OSP Contact: Pre-Award Contact Date:



erformed on a MONTHLY basis unless a different frequency is noted. Higher priority activities are noted with an asterisk.

i manage sponsored research awards and can be used to supplement any local procedures. It is NUT HEQUIRED BY USP.

Award Management Checklist - During Closeout

Obligated Dates: Anticipated Dates: OSP Contact: Pre-Award Contact: Date:



and includes monthly activities that should be performed 90-days before the end date and throughout closeout. There is a separate checklist of activities to monitor "during the award"

ork of the responsibilities required to manage sponsored research awards and can be used to supplement any local procedures. It is NOT REQUIRED BY OSF

MU = Department/Local Level Managing Unit; OSP RF = Office for Sponsored Programs Research Finance; PI = Principal Investigator, Pre-Award = Central Pre-Award Offic

CHECKLIST ACTIVITY DTE: Perform these activities monthly, beginning 90-days before the end date and throughout closeout	Primary (and Secondary) Responsibility	I Facking and Notes (use these fields to record the completion of activities and any relevant notes throughout the avard)
ck in with PI and research team about progress, and remaining outstanding purchases.	DLLMU	
nind PI and research team to submit any outstanding reimbursements for travel or other enses.	PI(DLLMU)	
iew the HART Committed Funds report (or PI Dashboard) to check for open Purchase Orders.	DLLMU	
RT Wiki: Committed Funds		
plicable: For underspent accounts, review and discuss award terms for carry/orward restrictions Pilf a renewal is anticipated. Submit an NCE Request in GMAS and continue to review the status by pending NCE requests until approved/processed.	DLLMU (PI)	
plicable: Follow up on outstanding subcontract invoices throughout the subcontract period of ormance, including a Final Invoice. Obtain PI approval. Ensure all subcontract transactions are ted in the GL using the appropriate object codes (8190-8192), and the subcontract transactions are see note. Any advance subcontract payments posted to 8193 must be reconciled by transferring in to the 8190-8192 range or removing any advance payments that were not spent, requesting a	DLLMU	
nd from the subawardee. P Website: Budget Expense Object Codes – Subcontract Object Codes		
plicable: Follow up with vendors/suppliers/consultants/"outgoing" billing agreements on tanding invoices throughout period of performance.	DLLMU	
iew personnel allocations with PI and update the costing to move personnel after award end.	PI (DLLMU)	
plicable: For any departing personnel, obtain manual effort certifications or fill out a prоху form. ov: Effort Reporting	DLLMU	
SULTING TRANSPORTING PiliCable: Excurse that ourrent tuition charges align with salary and that upcoming tuition charges not be paid from the award.	DLLMU	

Benefits of the Checklist

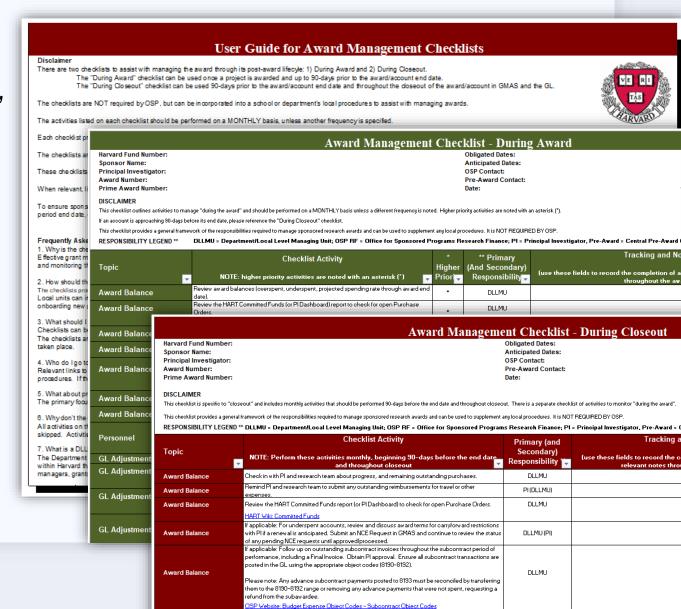
- Award management tool that is useful to new or existing grant managers who manage sponsored awards
- Provides grant managers with a list of common areas that require oversight and monitoring
 - Reminders for potential compliance issues

Separate checklists for:

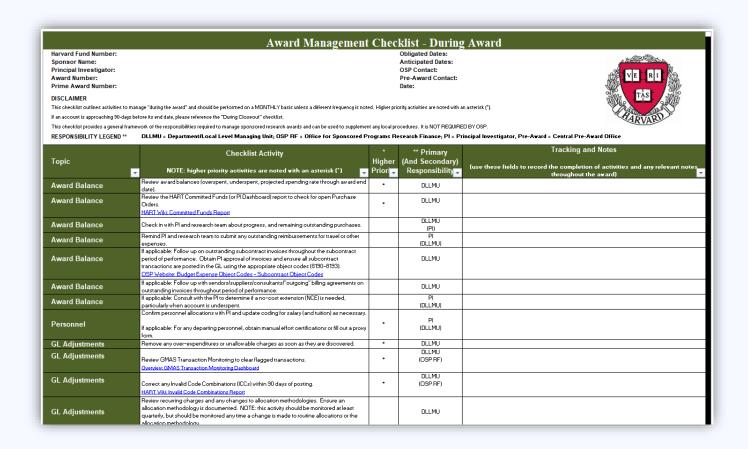
- During Award
- During Closeout
- Can be used as a "hand-off"
 - Helpful when transferring portfolios across staff

Other Features

- Downloadable from the "Resources" section of the <u>Closeout Policy</u>
- Excel file
 - Customizable based on award terms
- Includes:
 - Links to relevant policies and guidance
 - User Guide and FAQs



DEMO



REMINDERS AND RESOURCES

- Downloadable from the "Resources" section of the Closeout Policy
 - Blog post to follow, once the checklist is available
- •The Award Management Checklist is not required by OSP
 - Download and save locally (not in GMAS)
- The checklists are comprehensive but not exhaustive
 - Can be customized based on local procedures and award terms
- For any future questions or feedback, please reach out to one of the Closeout Subcommittee representatives listed below

OSP: <u>Tricia Hopkins</u>, <u>Marc Todesco</u> (lead)

HMS: <u>Rita Bergemann</u>, <u>Sheila Doyle</u>

HSPH: Jen Neira

Wyss: Nicole Boquet

Notes from Demo: User Guide Tab

User Guide for Award Management Checklists

Disclaime

There are two checklists to assist with managing the award through its post-award lifecyle: 1) During Award and 2) During Closeou

The "During Award" checklist can be used once a project is awarded and up to 90-days prior to the award/account end date.

The "During Closeout" checklist can be used 90-days prior to the award/account end date and throughout the doseout of the award/account in GMAS and the GL

The checklists are NOT required by OSP, but can be incorporated into a school or department's local procedures to assist with managing awards

The activities listed on each checklist should be performed on a MONTHLY basis, unless another frequency is specified

Each checklist provides a general framework of the responsibilities required with managing a sponsored research award and can be used to supplement a school or department's local procedures.

The checklists are not meant to be an exhaustive list of activities, since each award is different and may require unique and varying levels of management throughout the lifecycle of the project.

hese checklists can be downloaded and customized to assist with the management of specific award terms and conditions.

When relevant, links to associated policies and guidance are included below the activities on the checklists

To ensure sponsored accounts are closed on a timely basis, the "During Closeout" checklist can be used as a resource when reviewing year logic accounts reaching a budge period end date.

Frequently Asked Questions

Why is the checklist important?

Effective grant management is a cornerstone for ensuring compliance with sponsor policies and award terms and conditions. These checklist outline the most common areas that require oversight and monitoring throughout the award.

2. How should the checklists be use

The checklists provide a centralized method for tracking common post-award activities that occur during an award and closeout. It is recommended that checklists be reviewed monthly, but are not required by OSP.
Local units can incorporate the checklists into their local procedures to provide standardization and consistency with the oversight of sponsored awards. The checklists can also be very useful when onboarding new part meanagement of these new to managing acconsored awards.

What should I do with the checklists:

Checklists can be saved locally for others to access. These checklists can be especially use fill when training and onboarding new staff providing them with a resource to reference throughout the award. The checklists are not expected to be uploaded to GMAS or submitted to OSP. The checklists are also useful when transitioning portfolios, since they provide a summary of the monitoring that has already taken place.

4. Who do I go to if I have question about the checklist?

Relevant links to policy and guidance are included throughout the checklist. If there are specific questions about checklist activities, users should check with their local manager to understand the local procedures. If there are questions about University policy, guidance, and business process, the OSP Financial Analyst can provide additional support.

5. What about pre-award activities (i.e. disclosures, IP, etc.)?

The primary focus of these checklists is on the post-award financial management of an award, including the closeout activities

6. Why don't the checklists include a "critical time" to perform each activity?

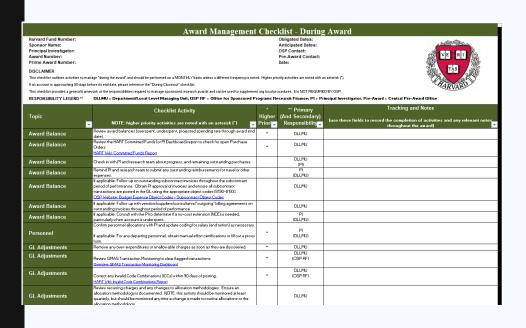
All activities on the "During Award" checklist should be performed monthly unless noted with a different frequency. In addition, a "Higher Priority" column helps to identify activities that should never be skipped. Activities on the "During Closeout" checklist should be performed monthly, beginning 90-days prior to the end date of the award.

7. What is a DLLM

The Department Local Level Managing Unit (CLLMU) is the terminology designated by the Operations and Policy Committee (OPC) when referring to departments, center, smaller schools, and local units within Harvard that are responsible for managing sponsored awards. The roles associated with the DLLMU can include, but are not limited, grant managers, grant administrators, lab directors, finance managers, grant administrators and administration, etc.

- When to use each checklists
 - During Award use up to 90-days prior to award/account end
 - During Closeout use 90-days prior to award/account end through closeout
- Frequently asked questions (FAQs)
- How to use the checklists
 - Review checklists monthly
 - Save locally (not in GMAS)
 - Customize checklist based on award terms
 - Record and track notes for each activity

Notes from Demo: During Award



- Download and save a checklist for each project
 - Helpful reminders to review as part of monthly reconciliation and when preparing for meetings with PI
- Checklist activities arranged by topic
 - Includes links to related policies and guidance
- Checklist can be filtered and sorted
 - Identifies "higher priority" items with an asterisk*
- Identifies the Primary and Secondary roles responsible for each activity
- Area for Notes to track each activity and Additional Comments

Notes from Demo: During Closeout

Award Management Checklist - During Closeout Harvard Fund Number: Sponsor Name: Diligated Dates: Anticipated Dates: Anticipated Dates: OSP Contact: Pre-Award Contact: Pre-Award Contact: Date: Discreption of Contact: Disc

Ecoc	TO DELMO : Department/Local Level Managing Onit; OSF NF : Office for Sponsored Frogran		
Торіс	Checklist Activity NOTE: Perform these activities monthly, beginning 90-days before the end date and throughout closeout	Primary (and Secondary) Responsibility	Tracking and Notes (use these fields to record the completion of activities and any relevant notes throughout the avard)
Award Balance	Check in with PI and research team about progress, and remaining outstanding purchases.	DLLMU	
Award Balance	Remind PI and research team to submit any outstanding reimbursements for travel or other expenses.	PI(DLLMU)	
Award Balance	Review the HART Committed Funds report (or PI Dashboard) to check for open Purchase Orders.	DLLMU	
	HART Wiki: Committed Funds		
Award Balance	If applicable: For underspent accounts, review and discuss avard terms for carryforward restrictions with PII if a renewal is anticipated. Submit an NCE Request in GMAS and continue to review the status of any pending NCE requests until approved/processed.	DLLMU(PI)	
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Award Balance	If applicable: Follow up with vendors/suppliers/consultants/"outgoing" billing agreements on outstanding invoices throughout period of performance.	DLLMU	
Personnel	Review personnel allocations with PI and update the costing to move personnel after award end.	PI(DLLMU)	
Personnel	If applicable: For any departing personnel, obtain manual effort certifications or fill out a proxy form. Policy: Effort Reporting	DLLMU	
Personnel	If applicable: Ensure that current tuition charges align with salary and that upcoming tuition charges will not be paid from the award.	DLLMU	
GL Adjustments	Review recurring charges and any changes to allocation methodologies. Ensure an allocation methodology is documented. NOTE: this activity does not have to be monitored monthly, but should be monitored any time a change is made to routine allocations or the allocation methodology. Guidance: Cost Allocation Methodology.	DLLMU	
GL Adjustments	Review GMAS Transaction Monitoring. All flagged transactions must be cleared prior to confirming the Compliance Checklist with OSP.	DLLMU (OSP RF)	
GL Adjustments	Overview: GMAS Transaction Monitoring Dashboard		
	If applicable: correct expense object codes in the general ledger if the cumulative balance is a		

- Includes the same functionality as the "During Award" checklist
- Outlines specific actions to take during closeout