

Award Documentation

The following information should be reviewed and maintained for each award:

The PI should:

- Review Notice of Award: To confirm project deliverables, restrictions on project changes, and return of balances or carryover authority
- Keep Communications: Any correspondence among all parties that is related to the award
- Keep all technical and financial reports with supporting documentation

The Business Office should:

- Review Notice of Award: To confirm any restrictions/limits on project costs, return of balances or carryover authority
- Keep Communications: Any correspondence among all parties that is related to the award
- Keep all financial reports with supporting documentation
- Maintain documentation for the period specified by the records retention schedule or per specific sponsor guidelines

Account Management

The PI should:

- Identify significant dates and activities such as due dates for interim reports, final progress/technical reports, completed milestones and competing renewals
- If your budget includes subrecipient funds, you must complete an OSPA On-Line Subagreement Request

Form: <https://ris.uky.edu/ospa/subagreement/Default.aspx> before the Office of Sponsored Projects Administration (OSPA) can issue a subagreement.

- Purchase supplies and equipment as soon as possible in order to avoid unforeseeable difficulties and possible audit disallowances of the costs when such items are ordered or purchased during the final months of the project.
- On a monthly basis, review and verify award expenditure reports with their business office (or other authorized personnel as appropriate)
- Review subrecipient invoices for accuracy as it relates to the work performed before approving for payment
- Review and approve documentation of project changes prepared and maintained by their business manager. Some project changes require prior approval from the sponsoring agency. For example:
 - Changes in key personnel; and
 - Significant changes in PI effort (often defined as the absence of the PI from a project for more than 3 months and/or a reduction in effort of 25% or more)
- On a quarterly basis, confirm or request revision on all federally funded project statements during the confirmation period.

The Business Office should:

- Review Expenditure Documentation: Demonstrates that expenditures charged to the award were approved by the PI and that the expenses are allow-able, allocable and reasonable.
- Make sure all faculty effort and all monthly non-faculty salary to be charged directly or cost shared are entered in the Cost Distribution Entry Module (CDEM). Normally, an approved budget will provide for the salaries of those involved in the project.
- Make sure all bi-weekly non-faculty salary charges are handled through the SAP Human Resources (HR) system.
- Make sure the PI has purchased supplies and equipment as soon as possible in order to avoid unforeseeable difficulties and possible audit disallowances of the costs when such items are ordered or purchased during the final months of the project.
- Make sure consultant/vendor services costs to make sure they are paid in accordance with the University of Kentucky Business Procedures. The required

documentation will vary depending on the services provided; contact UK Purchasing prior to the start of work. The BPM E-7-3 Worker Classification Employee or Independent Contractor process must be followed for hiring a consultant.

- If the budget includes subrecipient funds, make sure the PI has completed an OSPA On-Line Subagreement Request Form: <https://ris.uky.edu/ospa/subagreement/Default.aspx> which will enable the Office of Sponsored Projects Administration (OSPA) to issue a subagreement.
- Make sure all sponsored project accounts are reconciled monthly per BPM E-17-6. Ensure all transactions are allowable, allocable and reasonable.