



# ROLES AND RESPONSIBILITIES IN DEVELOPING AND MANAGING EXTRAMURAL AND SELECTED INTRAMURAL SPONSORED PROJECTS

UWM Office Of Sponsored Programs

March 1, 2021

X

4. Post-Award: Financial Project Management				
Task	Responsibility <sup>1</sup>			UWM Resources
	PI/Division/ Dept. <sup>2</sup>	OSP	Other	
<p>PI has primary responsibility that is shared with Division/Department to manage the financial aspects of the project.            OSP is accountable for ensuring the project is managed appropriately.</p>				
Prepare financial transactions against the project account	X			
Monitor budget vs expenditures	X			
Work with the UWM Purchasing Department to purchase items that must comply with relevant state and federal procurement policies and are within the allocated budget	X			<a href="#">Purchasing</a>
Assure appropriateness, reasonableness, and allowability of expenditures	X	X		
Assure expenditures are charged to the correct grant account in a timely manner	X			
Manage expenditures to not exceed available award balance	X			
Ensure expenditures are aligned with SOW and budget	X			
Review expenditures in certain restricted budget categories	X	X		
Review and monitor cost transfers	X	X		
Initiate requests for internal rebudgeting and internal cost transfer	X			
Approve substantive modifications and rebudgeting		X		
Resolve overdrafts and revenue shortfalls in a timely manner	X			<a href="#">Business &amp; Financial Services</a>
Initiate requests with OSP that require prior approval from sponsors, such as no-cost extensions and rebudgeting required by the terms and conditions of the award	X			
Review and submit no-cost extension requests to sponsors		X		
Obtain prior approval from sponsors for transactions that require prior approval (e.g., adding/removing senior/key personnel, adding/removing subrecipients)		X		
Review and reconcile sponsored project accounts monthly using the official system of record (WISDM) and notify OSP of any issues	X			

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2. The term "Division/Dept." includes administrative positions, activities, and/or functions in individual schools/colleges, including Associate Dean of Research, Effort Coordinator, information technology staff, financial management staff, and/or other roles involved in the review and approval of proposals, awards, non-financial agreements, etc. on behalf of the division/department.

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Review sponsored project account reconciliation	X	X		
Monitor project accounts to verify costs are allowable, reasonable, and necessary for conducting the project	X	X		
Prepare financial reports for submission to the sponsor		X		
Use financial reports/invoices to audit project expenses.		X		
Monitor compliance with federal, state, sponsor, UW System, and UWM regulations and policies, including effort reporting, FCOI, COI, OAR, export, etc.		X		
Troubleshoot issues with sponsor as it relates to award management		X		
Troubleshoot issues with internal electronic systems as it relates to award management		X		
Prepare and submit invoices or letters of credit draw reports and/or financial reports to sponsors		X		
Produce and record a letter of credit draw request (federal awards)		X		
Monitor and pursue collections of overdue payments from sponsors		X		
<b>Subawards/Subcontracts</b>				
At the time of award, complete the Outgoing Subaward Request Form to OSP	X			
Send questionnaire to subrecipients; review completed questionnaire in compliance with UWM procedures		X		
Draft official subaward agreement		X		
Review and approve draft subaward agreement	X			
Negotiate subaward agreement		X		
Execute the subaward on behalf of UWM		X		
Prepare encumbrance request		X		
Submit signed encumbrance request to BFS		X		
Complete institutional reporting requirements		X		
Monitor subrecipient performance during the project; notify OSP immediately of any changes to the subrecipient's performance	X			
Submit subrecipient invoice to PI for review and approval		X		
Approve subrecipient invoice for payment based on the approved scope of work, budget, and progress completed to date	X			

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Submit approved invoice to BFS for payment		X		
Update PO		X		
<b>Effort Reporting</b>				
Monitor effort commitments for sponsored project	X			
Resolve problems or follow up on certifications not submitted		X		
Complete necessary adjustments to award charges and/or payroll distribution		X		
Ensure accuracy of completed effort certification reports	X			
Certify effort on project for self and others as appropriate	X			
Ensure that project personnel certify effort, as appropriate	X			

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