University of Delaware | Research Office

The Role of the Department Administrator in Subaward Monitoring

Cheryl Sisofo, Subrecipient Specialist
Amy Slocum, Associate Director, EPSCoR Programs, DE Environ. Inst.
Susan Tompkins, Senior Contract & Grants Specialist

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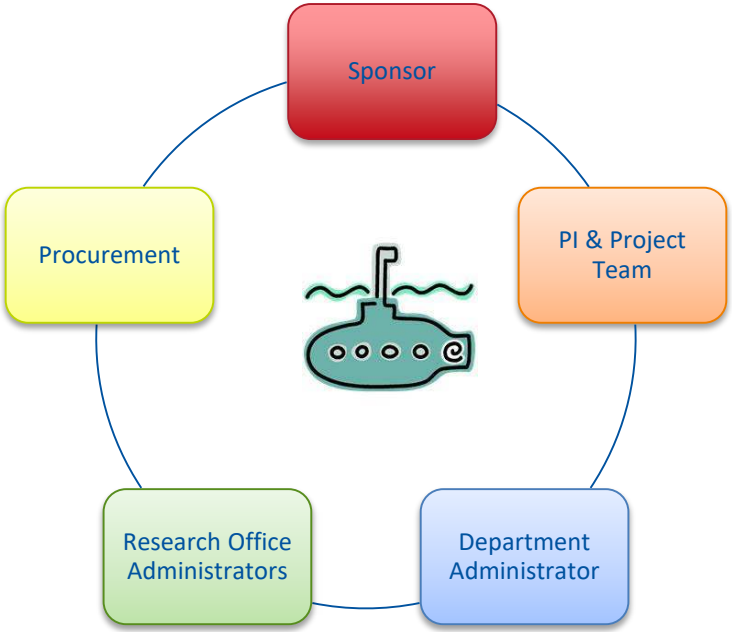
Objectives

- Defining roles: Principal Investigator (PI), Department Administrator and Research Office
- Characteristics of Subaward Monitoring
- Best Practices for subrecipient monitoring and management

“In your role, what are some obstacles you have experienced with Subawards? “

The PI, Department and Central administrators must act as partners to successfully manage a sub-award



PARTNERS: Pass Through Entity Responsibilities

Together, the Principal Investigator, Department Administrator and Research Office Staff:

- Ensure that federal funds are used for authorized purposes in accordance with laws, regulations and terms & conditions of the prime award & UD Policies
- Ensure that subrecipient's performance goals are achieved
- Conduct on-going review and oversight of subrecipient progress and compliance

Characteristics of Successful Subaward Monitoring

- Frequent contact between PI and Sub investigators
- Administrators at both institutions maintain open and cooperative communications
- Technical Progress on target
- Invoicing timely; expenditures appropriate
- Required prior approvals are obtained
- Sub agreement modified as needed
- Conflicts resolved amicably

Subaward Monitoring: Research Office

- Establish policies and procedures that ensure compliance and minimize risk
- Risk Assessment of Subrecipients
- Prepare, negotiate and sign subagreement & modifications
- Liaison with Subrecipient's contracting office
- Advise PI/Department concerning Sponsor terms & conditions
- Request and obtain prior approvals
- Handle contractual dispute resolution
- Receive, process and approve "proper invoice"

Project changes that require contractual modifications

- Change in Statement of Work for subrecipient
- Supplemental funding for additional project work
- Continuation for another budget period
- Carry-forward of funds between budget periods
- Change of Principal Investigator (PI)/Key Personnel
- Subrecipient PI move to a new institution
- Changes in funding; budget/increase/decrease
- No-cost extension of Subrecipient's period of performance
- Early termination

Subaward Monitoring: Principal Investigator

- Monitoring subrecipient's technical progress:
  - Informal: emails, calls
  - Formal technical reports or other deliverables are received on schedule and reflect appropriate progress
  - Site visits, especially for "high risk" projects or subrecipient institutions
  - Review invoices to confirm spending is in-line with technical progress and appropriate to work being performed

Subaward Monitoring: Department Administrator

- Monitor the spending rate and timeliness of invoices
- Confirm IRB/IACUC approvals are current
- Review Invoices
  - Are costs consistent with budget and payment terms?
  - Question costs that are unclear or appear unallowable
  - Verify required cost-sharing is being provided
  - Confirm that performance goals have been achieved before payment is made: Obtain PI's approval to pay

Dept Administrator Tools for Success

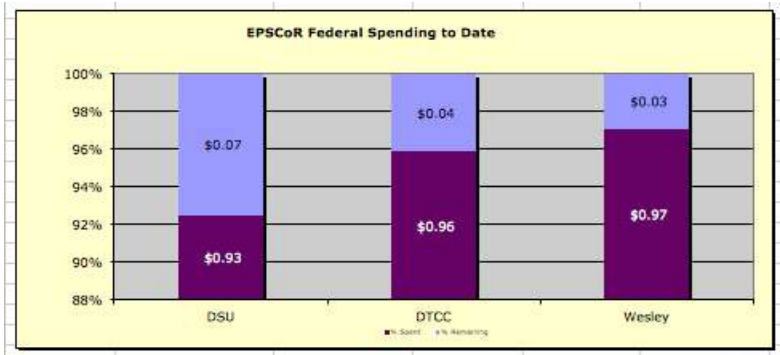
- Develop Admin Team and Build Relationships
- Work closely with Project PI's on Budget/Justification creation
- Open Communication lines with Team
- Keeping the Research Office informed about changes/updates etc.
- Central Systems – PO Activity, PO Amendment, FIN Budget Revisions, UDAtaGlance
- PO Activity Tracking spreadsheet
- Strategic Planning Dashboard/Document

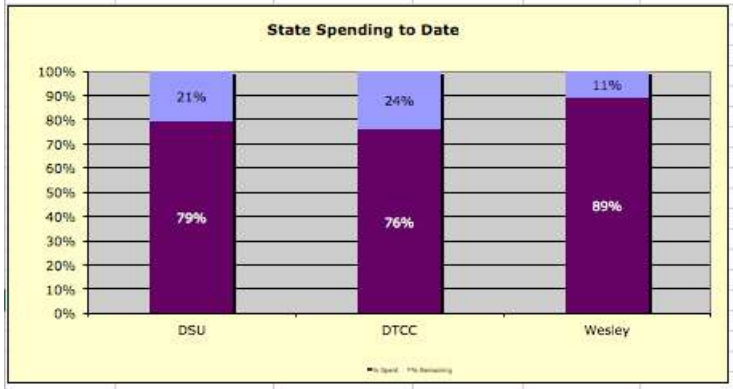
Sub Award PO Tracking Spreadsheet

DSU EPSCoR

CCZR312138				DSU		NSF BUDGET	153300	[redacted]		AMT REMAINING	[redacted]
PO#33530						NSF	153200				
PO#40852											
CCZR421113						State BUDGET	153300			AMT REMAINING	
PO#34656	New Po - Tax ID ISSUE										total spent
PO#38390				**Federal**		**State**					
DATE	INVOICE #	DATE RC'D	AMOUNT	153200	153300	CCZR421113					
12/19/13	1730		102504.99		102504.99						
2/20/14	1768		84583.19	25000	59583.19						
4/8/14	1785		75601.13		75601.13						
4/29/14	1796		67981.16		67981.16						
6/1/14	1808		163592.41		163592.41						
7/9/14	1815		3420.21			3420.21					
7/9/14	1816		110677.98		110677.98						
10/29/14	1844		289734.67		289734.67						
9/26/14	1845		1036.04			1036.04					
12/10/14	1874		133176.49		133176.49						
12/10/14	1875		118153.55			118153.55					
2/12/15	1892		159182.97		159182.97						
2/12/15	1893		13735.5			13735.5					
3/16/15	1903		64774.5		64774.5						
3/26/14	1904		13168.64			13168.64					
4/9/15	1918		88884.61		88884.61						
4/8/15	1919		9212.81			9212.81					
5/19/15	1929		103970.86		103970.86						
5/19/15	1930		10089.49			10089.49					
6/29/15	1942		129362.05		129362.05						
6/3/15	1943		12925.35			12925.35					
7/28/15	1973		357760.03		357760						
7/28/15	1974		16532.35			16532.35					
8/24/15	1990		74911.44		74911.44						
8/20/15	1991		7746.73			7746.73					
9/17/15	2008		38743.02		38743.02						
9/17/15	2009		14722.43			14722.43					
10/19/15	2021		127725.92		127725.92						
10/19/15	2022		12795.32			12795.32					
12/6/15	2030		137314.35		137314.35						
12/6/15	2031		12/6/15			14,110.56					
2/24/16	2062		29206.79			29206.79					
3/9/16	2078		11911.82			11911.82					
3/21/16	2091		39371.33			39371.33					
5/3/16	2115		12549.74			12549.74					
6/27/16	2121 Revised		151738.68		151738.68						
6/1/16	2146		17875.61			17875.61					
12/20/16	2164		70536.94			70536.94					
7/11/16	2165		275851.77		275851.77						
7/18/16	2166		289025.27		289025.27						
10/5/16	2187		25292.77			25292.77					
10/5/16	2215		29317.28			29317.28					
8/1/16	2238		40465.92		40465.92						
10/7/16	2247		204204.54		204204.54						
12/2/16	2294		18817.63			18817.63					
12/2/16	2295		189318.3		189318.3						
12/29/16	2312		13869.74			13869.74					
12/29/16	2313		61854.73		61854.73						
1/1/17	40852		93872.14		93872.14						
3/2/17	2335		14628.52			14628.52					
2/28/17	2359		17549.98			17549.98					

Sub Award PO Tracking Spreadsheet





Strategic Plan Dashboard

Friday, May 25, 18

Delaware EPSCoR Evaluation Strategic Plan (SP) Dashboard – Year 4

Dashboard Color Code:

Green – Task completed or on track to completion

Yellow – Task delayed or behind schedule, but expected to be completed within a reasonable timeframe with the possibility of some minor modifications OR postponed to a subsequent year based on revised planning

Red – Task significantly delayed (6 months or more) or abandoned due to serious difficulties that may not be fixable

Evidence/Comments – Please provide evidence for each task – for example, if research sites were identified please list how many and where they are or if publications or grants were written, provide the number. Also, provide comments for each red or yellow task indicating the problems and steps being taken to address them, or if something has been abandoned.

SEA LEVEL RISE AND CONTAMINANT TRANSPORT	Year 1	Year 2	Year 3	Year 4	Year 5	Responsibility	Status/Evidence/Source
GOAL 1: COLLABORATIVE RESEARCH ON SLR IMPACTS ON CONTAMINANT CYCLING							
WHY: Collaborative teams of natural and social scientists will help to address and solve environmental challenges faced by the state and will also foster research competitiveness							
Strategies/Approaches/Activities							
Identify vulnerable sites						Sparks/Michael	Completed in Year 1
Instrument vulnerable sites						Michael	Completed in Year 1
Observe transport of mobilized contaminants						Michael	Completed in Year 1
Develop methods to model salinization						Michael	Completed in Year 2
Develop site specific model analyses						Michael	Completed in Year 4
Develop generalized model analyses						Michael	Completed in Year 4
Seek external funding to support research						Michael/Sparks	Ongoing – applied for 21 grants (including EPSCoR RII4)
Conduct presentations and papers on research findings at local, regional, national and international meetings						Messer/ Michael/ Powers/Sparks	42 presentations, 17 publications, 2 theses and 3 book chapters
Sample soils and characterize properties						Sparks	Completed in Year 1
Conduct microcosm experiments on SLR impacts						Sparks	4 total replicates, 2 different experiments
Conduct synchrotron-based experiments						Sparks	3 students/2 postdocs took 2 trips to conduct analyses
Study the impact of perceived risk on behavior						Messer	6 studies conducted in Year 5
Develop experimental platform for risk/economic studies						Messer/Fooks	Completed in Year 4
Programming for risk/economic studies						Messer/Fooks	Completed in Year 4 – 6 studies used platform in Year 5
Develop and conduct research projects in experimental economics course						Messer	Course last offered in Fall 2016. Projects coming from this course from Fall 2014 have been published recently (3)

Discussion

No Sinking Subs….