The Role of the Department Administrator in Subaward Monitoring

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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

<table>
<thead>
<tr>
<th>INVOICE</th>
<th>DATE</th>
<th>QTY</th>
<th>AMOUNT</th>
<th>DESCRIPTION</th>
<th>PO #</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>INV1234</td>
<td>2023-01-15</td>
<td>100</td>
<td>12345</td>
<td>Sample Item</td>
<td>PO123456</td>
<td>Approved</td>
</tr>
<tr>
<td>INV5678</td>
<td>2023-02-10</td>
<td>200</td>
<td>67890</td>
<td>Another Item</td>
<td>PO789012</td>
<td>Pending</td>
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<td>INV9012</td>
<td>2023-03-25</td>
<td>50</td>
<td>12345</td>
<td>Sample Item</td>
<td>PO123456</td>
<td>Approved</td>
</tr>
</tbody>
</table>

**Note:** This table represents a sample of sub award PO tracking information. Actual data may vary.
Sub Award PO Tracking Spreadsheet
## Strategic Plan Dashboard

**Friday, May 25, 2018**

**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

<table>
<thead>
<tr>
<th>Year</th>
<th>Year</th>
<th>Year</th>
<th>Year</th>
<th>Responsibility</th>
<th>Status/Evidence/Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**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

<table>
<thead>
<tr>
<th>Task Description</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify vulnerable sites</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Instrument vulnerable sites</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Observe transport of mobilized contaminants</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
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</tr>
<tr>
<td>Develop methods to model salinization</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
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</tr>
<tr>
<td>Develop site specific model analyses</td>
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<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Develop generalized model analyses</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Seek external funding to support research</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Conduct presentations and papers on research findings at local, regional, national and international meetings</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
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<td>Green</td>
</tr>
<tr>
<td>Sample soils and characterize properties</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
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</tr>
<tr>
<td>Conduct microcosm experiments on SLR impacts</td>
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<tr>
<td>Conduct synchrotron-based experiments</td>
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<tr>
<td>Study the impact of perceived risk on behavior</td>
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<tr>
<td>Develop experimental platform for risk-economic studies</td>
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<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Programming for risk-economic studies</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
<tr>
<td>Develop and conduct research projects in experimental economics course</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
<td>Green</td>
</tr>
</tbody>
</table>

*Sparks/Michael: Completed in Year 1*
*Michael: Completed in Year 1*
*Messaer: Michael/Powers/Sparks: Ongoing – applied for 21 grants (including EPSCoR RII)*
*Sparks: 42 presentations, 17 publications, 2 theses and 3 book chapters*
*Sparks: Completed in Year 1*
*Sparks: 9 total replicates, 2 different experiments*
*Sparks: 3 students/2 postdocs took 2 trips to conduct analyses*
*Messaer: 6 studies conducted in Year 5*
*Messaer: Completed in Year 4*
*Messaer: Completed in Year 4—6 studies used platform in Year 5*
*Messaer: Course last offered in Fall 2016. Projects: two from this course from Fall 2014 have been published recently (X)*
Discussion
No Sinking Subs....