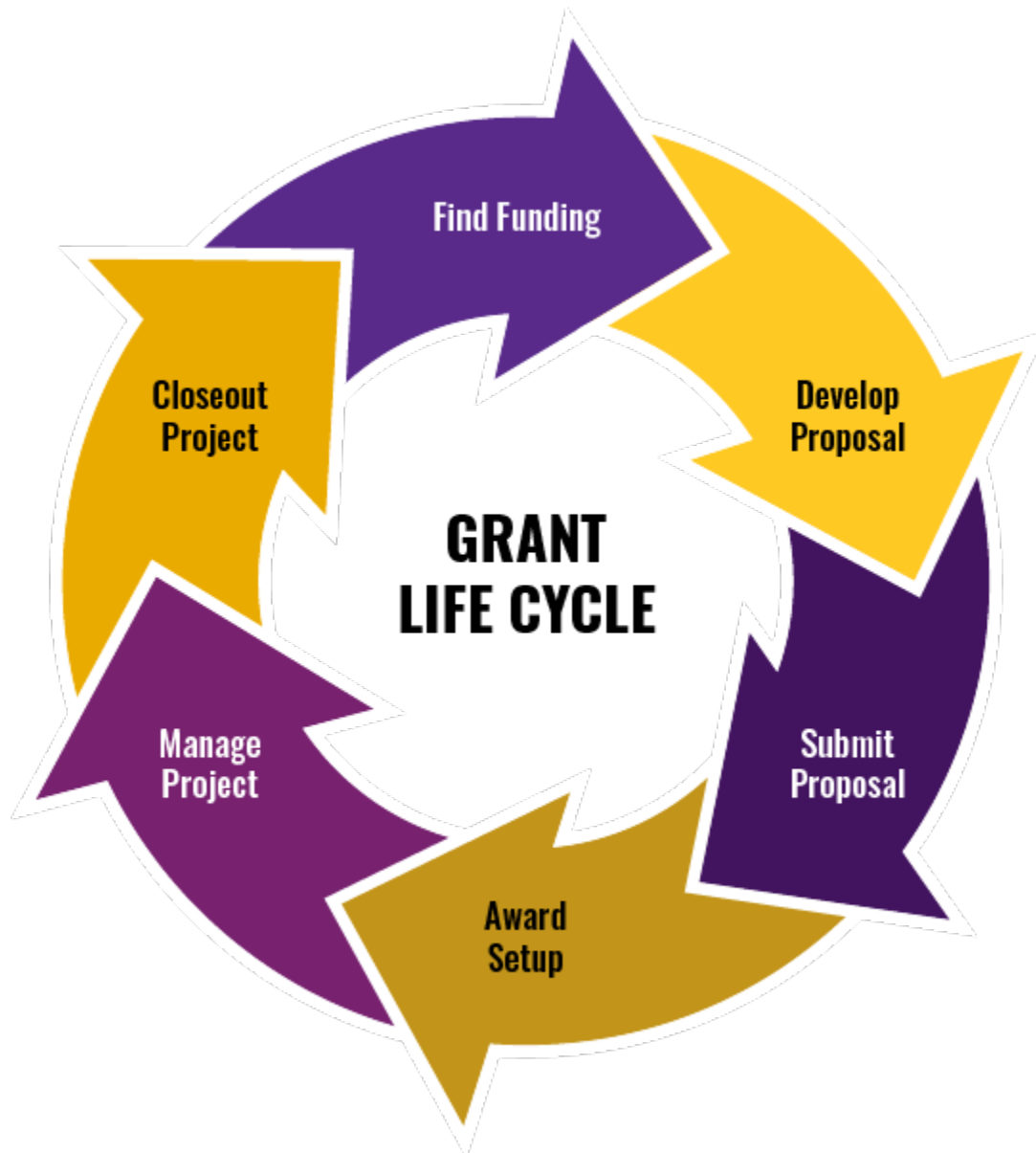


Basics for Departmental Research Administrators and Hub Personnel



Office of Research Administration

Award Setup

When a sponsor decides to fund a proposal, it sends out a Notice of Award to ECU. This notice lists key details about the award and any terms or conditions which govern the use of the sponsor's funds.

Awards are negotiated and accepted by the ORA PreAward Team. No other units are authorized to accept awards on behalf of ECU. The budget, personnel, or scope of work may require revision based on the awarding decision of the sponsor.

Once the award is accepted, research administrators work with the principal investigator to initiate the project. For example, personnel may need to be hired, equipment may need to be purchased, or other actions may be needed for the work to begin.

Award Process at ECU



Pre-Award Spending

What if you almost have an award?

A PI comes to you and tells you that s/he has received an award, but ECU has not received the official award document, what do you do?

Some common wrong answers are:

- Start spending funds on a departmental account; you can always transfer the charges later.
- Do nothing; you cannot take any action until the official award is made.

The better answers are:

- Get ORA in the loop! Send information the PI has on the award to your PreAward Liaison.
- Work with ORA to contact the sponsor about timing.
- Start planning – know what needs to happen as soon as the award arrives.
- Request a Pre-Award Spending account through eTRACS.

What is Pre-Award Spending?

Pre-award costs are those incurred prior to the effective date of the award where such costs are necessary for efficient and timely performance of the scope of work.

Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the award and only with ECU approval. Note that some sponsors do not allow ECU to incur pre-award costs. Check with your designated Hub or ORA Financial Analyst to be sure.

In most cases, pre-award spending is limited to 90 days prior to the beginning of the award. This can become a problem if an expected award becomes delayed.

See Pre-Award Spending Information at <https://rede.ecu.edu/oraintra/home/411-preawardspending/>.

What is the ECU Pre-Award Spending Process?

- Principal Investigator determines that pre-award spending is necessary for the conduct of the research.
- Principal Investigator submits a Pre-Spending Request through eTRACS which must be approved by the department chair and an alternative source of funding must be identified in the event the award is not made or charges are not allowed.



- Help submitting the request can be found at <https://etracs.ecu.edu/help/help-submitting-change-requests/>.
- ORA reviews the form to determine:
 - If sponsor approval is required
 - If the request is consistent with sponsor guidelines
 - If all approvals have been secured
 - If there is a sponsor limitation on incurring pre-award costs
- Upon approval, ORA will create a pre-award spending fund in Banner
- Banner fund released to the Principal Investigator and research administrators in the managing unit.

Note: Subagreements are not given approval for pre-award costs. Subcontract agreements will not be issued without having the Prime Award in hand.

Notice of Award (NOA)

What is a Notice of Award?

- Primary document governing a sponsored project.
- Gives ECU access to awarded funds.
- Grants authority to spend.
- Sets out terms and conditions including:
 - Project Dates
 - Award Amounts
 - Project Personnel
 - Key Restrictions on Spending

What is Prior Approval?

Prior approval is used to indicate the need for formal sponsor approval of a change after the project begins, but before the need for the change has happened. Always refer to the award document for instructions on how to request prior approval.

Some examples of when you may need to ask for prior approval from a sponsor are:

- Changes in project scope or objective
- Change of PI or other key personnel
- Disengagement of the PI for more than three months or a 25% reduction in effort scope on the project by the PI
- Equipment acquisition exceeding sponsor limit



- Subcontracting a substantial portion of the programmatic work to a third party
- Significant re-budgeting, whether or not the particular expenditures require prior approval; significant re-budgeting occurs when expenditures in a single direct cost budget category deviate (increase or decrease) from the commitment level established for the budget period by more than 25% of the total costs awarded
- Need for additional funds
- Other changes specifically cited in the award or agency-specific guidelines

When prior approval is required by the sponsor, requests should be in writing, addressed to the sponsor and in advance of the change. Verbal prior approval is not accepted. Requests for retroactive approval should be avoided. All requests must be authorized by the PI and countersigned by an authorized official from the Office of Research Administration.

What is Expanded Authority?

Several federal agencies have adopted expanded authority policies that are intended to reduce overhead costs, increase research productivity, and reduce paperwork.

Expanded Authority refers to a limited number of actions that normally require awarding agency prior approval but for which Department of Health and Human Services (DHHS) has waived its authority and given this authority to the grantee.

The NOA will indicate whether or not the award is under expanded authorities.





Department of Health and Human Services
Health Resources and Services Administration

Notice of Award
FAIN# D4033343
Federal Award Date: 05/26/2022

Recipient Information

1. Recipient Name
EAST CAROLINA UNIVERSITY
2200 Charles Blvd
Greenville, NC 27858-5201
2. Congressional District of Recipient
03
3. Payment System Identifier (ID)
1566000403A1
4. Employer Identification Number (EIN)
566000403
5. Data Universal Numbering System (DUNS)
607579018
6. Recipient's Unique Entity Identifier
HWPEKMSVFTJ9
7. Project Director or Principal Investigator
Robert A Carels
Professor
carelsr14@ecu.edu
(252)737-5070
8. Authorized Official
Kevin R Mills
Senior Sponsored Programs Officer
ora@ecu.edu
(252)737-5856

Federal Agency Information

9. Awarding Agency Contact Information
Jacqueline Dickerson
Grants Management Specialist
Office of Federal Assistance Management (OFAM)
Division of Grants Management Office (DGMO)
jdickerson@hrsa.gov
(301) 443-6512
10. Program Official Contact Information
Damien Frierson
Bureau of Health Workforce (BHW)
dfrierson@hrsa.gov
(301) 945-3356

Federal Award Information

11. Award Number
2 D40HP33343-04-00
12. Unique Federal Award Identification Number (FAIN)
D4033343
13. Statutory Authority
42 U.S.C. § 294e-1
14. Federal Award Project Title
Graduate Psychology Education Programs
15. Assistance Listing Number
93.191
16. Assistance Listing Program Title
Graduate Psychology Education
17. Award Action Type
Competing Continuation
18. Is the Award R&D?
No

Summary Federal Award Financial Information

19. Budget Period Start Date 09/01/2022 - End Date 06/30/2023
20. Total Amount of Federal Funds Obligated by this Action \$346,991.00
 - 20a. Direct Cost Amount
 - 20b. Indirect Cost Amount
21. Authorized Carryover \$0.00
22. Offset \$0.00
23. Total Amount of Federal Funds Obligated this budget period \$346,991.00
24. Total Approved Cost Sharing or Matching, where applicable \$0.00
25. Total Federal and Non-Federal Approved this Budget Period \$346,991.00
26. Project Period Start Date 09/01/2022 - End Date 06/30/2025
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period \$346,991.00

28. Authorized Treatment of Program Income
Addition

29. Grants Management Officer – Signature
James King on 05/26/2022

30. Remarks

This grant is included under Expanded Authority.





Notice of Award
Award Number: 2 D40HP33343-04-00
Federal Award Date: 05/26/2022

Bureau of Health Workforce (BHW)

31. APPROVED BUDGET: (Excludes Direct Assistance) <input checked="" type="checkbox"/> Grant Funds Only <input type="checkbox"/> Total project costs including grant funds and all other financial participation		33. RECOMMENDED FUTURE SUPPORT: (Subject to the availability of funds and satisfactory progress of project)																						
		<table border="1"> <thead> <tr> <th>YEAR</th> <th>TOTAL COSTS</th> </tr> </thead> <tbody> <tr> <td>05</td> <td>\$346,991.00</td> </tr> <tr> <td>06</td> <td>\$346,991.00</td> </tr> </tbody> </table>	YEAR	TOTAL COSTS	05	\$346,991.00	06	\$346,991.00																
YEAR	TOTAL COSTS																							
05	\$346,991.00																							
06	\$346,991.00																							
a. Salaries and Wages: \$115,097.00 b. Fringe Benefits: \$41,419.00 c. Total Personnel Costs: \$156,516.00 d. Consultant Costs: \$0.00 e. Equipment: \$0.00 f. Supplies: \$0.00 g. Travel: \$4,000.00 h. Construction/Alteration and Renovation: \$0.00 i. Other: \$0.00 j. Consortium/Contractual Costs: \$0.00 k. Trainee Related Expenses: \$0.00 l. Trainee Stipends: \$150,000.00 m. Trainee Tuition and Fees: \$15,994.00 n. Trainee Travel: \$7,640.00 o. TOTAL DIRECT COSTS: \$334,150.00 p. INDIRECT COSTS (Rate: % of S&W/TADC): \$12,841.00 q. TOTAL APPROVED BUDGET: \$346,991.00 i. Less Non-Federal Share: \$0.00 ii. Federal Share: \$346,991.00		34. APPROVED DIRECT ASSISTANCE BUDGET: (In lieu of cash) a. Amount of Direct Assistance \$0.00 b. Less Unawarded Balance of Current Year's Funds \$0.00 c. Less Cumulative Prior Award(s) This Budget Period \$0.00 d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION \$0.00																						
32. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE: a. Authorized Financial Assistance This Period \$346,991.00 b. Less Unobligated Balance from Prior Budget Periods i. Additional Authority \$0.00 ii. Offset \$0.00 c. Unawarded Balance of Current Year's Funds \$0.00 d. Less Cumulative Prior Award(s) This Budget Period \$0.00 e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION \$346,991.00		35. FORMER GRANT NUMBER 36. OBJECT CLASS 41.21 37. BHCNIS#																						
38. THIS AWARD IS BASED ON THE APPLICATION APPROVED BY HRSA FOR THE PROJECT NAMED IN ITEM 14. FEDERAL AWARD PROJECT TITLE AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE AS: a. The program authorizing statute and program regulation cited in this Notice of Award; b. Conditions on activities and expenditures of funds in certain other applicable statutory requirements, such as those included in appropriations restrictions applicable to HRSA funds; c. 45 CFR Part 75; d. National Policy Requirements and all other requirements described in the HHS Grants Policy Statement; e. Federal Award Performance Goals; and f. The Terms and Conditions cited in this Notice of Award. In the event there are conflicting or otherwise inconsistent policies applicable to the award, the above order of precedence shall prevail. Recipients indicate acceptance of the award, and terms and conditions by obtaining funds from the payment system.																								
39. ACCOUNTING CLASSIFICATION CODES																								
<table border="1"> <thead> <tr> <th>FY-CAN</th> <th>CFDA</th> <th>DOCUMENT NUMBER</th> <th>AMT. FIN. ASST.</th> <th>AMT. DIR. ASST.</th> <th>SUB PROGRAM CODE</th> <th>SUB ACCOUNT CODE</th> </tr> </thead> <tbody> <tr> <td>22 - 372GPE6</td> <td>93.191</td> <td>22D40HP33343</td> <td>\$260,244.00</td> <td>\$0.00</td> <td>N/A</td> <td>22D40HP33343</td> </tr> <tr> <td>22 - 372GPE0</td> <td>93.191</td> <td>22D40HP33343</td> <td>\$86,747.00</td> <td>\$0.00</td> <td>N/A</td> <td>22D40HP33343</td> </tr> </tbody> </table>	FY-CAN	CFDA	DOCUMENT NUMBER	AMT. FIN. ASST.	AMT. DIR. ASST.	SUB PROGRAM CODE	SUB ACCOUNT CODE	22 - 372GPE6	93.191	22D40HP33343	\$260,244.00	\$0.00	N/A	22D40HP33343	22 - 372GPE0	93.191	22D40HP33343	\$86,747.00	\$0.00	N/A	22D40HP33343			
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HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NoA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NoA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants3.hrsa.gov/2010/WebEPs/External/Interface/Common/accesscontrol/login.aspx> to use the system. Additional help is available online and/or from the HRSA Call Center at 877-G04-HRSA/877-464-4772.

Terms and Conditions

Failure to comply with the remarks, terms, conditions, or reporting requirements may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.

Grant Specific Term(s)

1. This action reflects a new document number. Please refer to this number when contacting the Payment Management System or submitting drawdown requests. Reporting on the FFR (Federal Financial Report) SF 425-Federal Cash Transaction Report (FCTR) should reflect this number for all disbursements related to this project period.
2. 45 CFR Part 75 applies to all federal funds associated with the award. Part 75 has been effective since December 26, 2014. All references to prior OMB Circulars for the administrative and audit requirements and the cost principles that govern Federal monies associated with this award are superseded by the Uniform Guidance 2 CFR Part 200 as codified by HHS at 45 CFR Part 75.
3. All post-award requests, such as significant budget revisions or a change in scope, must be submitted as a Prior Approval action via the Electronic Handbooks (EHBs) and approved by HRSA prior to implementation. Grantees under "Expanded Authority," as noted in the Remarks section of the Notice of Award, have different prior approval requirements. See "Prior-Approval Requirements" in the DHHS Grants Policy Statement: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>
4. The funds for this award are in a sub-account in the Payment Management System (PMS). This type of account allows recipients to specifically identify the individual grant for which they are drawing funds and will assist HRSA in monitoring the award. Access to the PMS account number is provided to individuals at the organization who have permissions established within PMS. The PMS sub-account code can be found on the HRSA specific section of the NoA (Accounting Classification Codes). Both the PMS account number and sub-account code are needed when requesting grant funds. Please note that for new and competing continuation awards issued after 10/1/2020, the sub-account code will be the document number.
You may use your existing PMS username and password to check your organizations' account access. If you do not have access, complete a PMS Access Form (PMS/FFR Form) found at: <https://pmsapp.psc.gov/pms/app/userrequest>. If you have any questions about accessing PMS, contact the PMS Liaison Accountant as identified at: <http://pms.psc.gov/find-pms-liaison-accountant.html>
5. Recipients are responsible for meeting all requirements as outlined in Notice of Funding Opportunity Announcement HRSA-22-043, and must continue to be in compliance with all grant requirements throughout the project period. Failure to meet grant requirements may result in action taken against the grant award, up to and including grant termination.
Recipients should ensure precise attention to the following NOFO requirements:
 - Ensure that no less than fifty (50) percent of the total budget requested each year (direct and indirect costs) per year is dedicated and distributed as Participant/Trainee Support Costs to trainees in practice, internships, and residencies.
 - Doctoral students, doctoral interns, and post-doctoral residents receiving a stipend in the GPE Program must be in an American Psychological Association (APA) accredited program or Psychological Clinical Science Accreditation System (PCSAS) accredited doctoral level schools of psychology, a citizen of the United States, a national of the United States, or permanent resident of the United States.
 - Individuals on temporary or student visas are not eligible participants, trainees must be enrolled full or part time in the school or program receiving the award in order to receive stipend support.
 - Ensure all trainees are placed in experiential training sites that provide integrated, interdisciplinary team-based care in high need and high demand areas with two or more health disciplines other than psychology.
 - Ensure at least 25 percent of the time in the experiential training site(s) must be in the delivery of Opioid Use Disorder (OUD) and other Substance Use Disorder (SUD) prevention, treatment and recovery services.
 - Ensure that the American Psychological Association or Psychological Clinical Science Accreditation System accreditation is maintained throughout the period of performance, and any change in status is reported to HRSA.
 - The Project Director must be employed by the awarded applicant organization, dedicate a minimum of 20 percent of his/her their time



(may be in-kind or funded) to grant activities, and is encouraged to have a minimum of three years of experience in the education and training of behavioral health service psychologists,

- Ensure that stipends are disbursed to only one of the following: doctoral students of health service psychology, doctoral interns in professional psychology, or post-doctoral residents in practice psychology.
- HRSA funds may not be used for APA or PCSAS Accreditation Fees and are therefore unallowable. These funds may be re-allocated within approved cost categories under the 25% re-budgeting or shall remain unobligated on the annual Federal Financial Report, and
- Desktop/laptop computers, site computers on wheels, telehealth booths, movable computer stands, I-pads, cell phones, and camcorders may be on loan to program participants, but are the express property of the award recipient and are to be retained by the University.

Program Specific Term(s)

1. This award is governed by the post-award requirements cited in Subpart D-Post Federal Award Requirements, standards for program and fiscal management of 45 CFR Part 75 except when the Notice of Award indicates in the "Remarks" section that the grant is included under "Expanded Authority". These recipients may take the following actions without prior approval of the Grant Management Officer:
Section 75.308 c(2)(d)(1) Incur pre-award costs up to 90 calendar days before the award. See also 75.458.
Section 75.308 c(2)(d)(2) Initiate a one-time extension of the period of performance by up to 12 months unless one or more of the conditions outlined in paragraphs (d)(2)(i) through (ii) of this section apply. For one-time extensions, the recipient must notify the HHS awarding agency in writing with the supporting reasons and revised period of performance at least 10 calendar days before the end of the period of performance specified in the Federal award. This notification must be submitted through the Electronic Handbooks (EHB). This one-time extension may not be exercised merely for the purpose of using unobligated balances.
Section 75.308 c(2)(d)(3) Carry forward unobligated balances to subsequent periods of performance.
Except for funds restricted on a Notice of Award, grantee organizations are authorized to carry over unobligated grant funds up to the lesser of 25% or \$250,000 of the amount awarded for that budget period remaining at the end of that budget period. If the unobligated balance is in excess of 25% of the total amount awarded, or \$250,000, whichever is less, and the grantee wishes to carry the funds forward, the grantee must obtain prior approval from the Grants Management Officer.
The grantee must notify the GMO when it has elected to carry over unobligated balances under Expanded Authority and the amount to be carried over. The notification must be provided under item 12, "Remarks", on the initial submission of the Federal Financial Report (FFR).
For all other Post Award request refer Standard Term 5 below.

Standard Term(s)

1. Your organization must comply with all HRSA [Standard Terms](#) unless otherwise specified on your Notice of Award.

Reporting Requirement(s)

1. **Due Date: 07/31/2023**
Performance data for the recently completed academic year must be reported for each budget period annually no later than July 31. An email notification will be sent as a reminder that a report is due, including instructions on how to provide the report through the EHB system. The Bureau of Health Workforce (BHW) requirements and performance measures will be available at
<http://bhw.hrsa.gov/grants/reporting/index.html>.
Contact your BHW project officer for additional information.
2. **Due Date: Within 90 Days of Project End Date**
A final report is due within 90 days after the project period ends. The final report collects program-specific goals and progress on strategies; core performance measurement data; impact of the overall project; the degree to which the grantee achieved the mission, goal and strategies outlined in the program; grantee objectives and accomplishments; barriers encountered; and responses to summary questions regarding the grantee's overall experiences over the entire project period. The final report must be submitted on-line by awardees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.
3. **Due Date: Annually (Budget Period) Beginning: Budget Start Date Ending: Budget End Date, due Quarter End Date after 90 days of reporting period.**
The recipient must submit an annual Federal Financial Report (FFR). The report should reflect cumulative reporting within the project period of the document number. Effective October 1, 2020, all FFRs will be submitted through the Payment Management System (PMS). Technical questions regarding the FFR, including system access should be directed to the PMS Help Desk by submitting a ticket through the self-service web portal (PMS Self-Service Web Portal), or calling 877-614-5533.



The FFR will be due 90, 120, or 150 days after the budget period end date. Please refer to the chart below for the specific due date for your FFR.

- Budget Period ends August – October: FFR due January 30
- Budget Period ends November – January: FFR due April 30
- Budget Period ends February – April: FFR due July 30
- Budget Period ends May – July: FFR due October 30

Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.

Contacts

NoA Email Address(es):

Name	Role	Email
Robert A. Carels	Program Director	carelr14@ecu.edu
Kevin R. Mills	Point of Contact, Authorizing Official	ora@ecu.edu

Note: NoA emailed to these address(es)

All submissions in response to conditions and reporting requirements (with the exception of the FFR) must be submitted via EHBs. Submissions for Federal Financial Reports (FFR) must be completed in the Payment Management System (<https://pms.psc.gov/>).



Activity

You are given the NOA from the previous pages and are responsible for reviewing the award for specific information to ensure that the award is set up properly. Please answer the following questions:

1. Who is the Principal Investigator?
2. What is the Project Title?
3. What is the Project Period?
4. What is the Budget Period?
5. What is the amount of funds awarded for this budget period?
6. How much was awarded for Salaries and Wages?
7. How much was awarded for Supplies?
8. Will there be additional years funded on this project?
9. Is this award under expanded authority?

Group Discussion

Refer to the Terms and Conditions section. As a group discuss five things that stand out to you as important.



Award Packet

Receipt of the award packet represents the formal launch of departmental management of a sponsored project.

It is especially important that new awards are carefully reviewed, and that actions by the department are taken to ensure that the project will be effectively managed.

The award packet is prepared and sent from the ORA Financial Analyst to the PI, the Department Research Administrator, and the Hub Manager. The packet includes:

- Award Brief – an overview of details of the project and budget
- PI Memo – E-mail from ORA that provides information to the PI about certain details regarding the award
- Notice of Award – official documentation from the sponsor
- Supporting Documents – documents supporting award setup from eTRACS

Award Brief

The award brief is prepared by the ORA Financial Analyst and includes the following information:

- Project Title, Principal Investigator, Funding Source, Sponsor Identifier Number
- Budget Period – the authorized budget period (the only dates when spending is currently permitted)
- Project Period – how long the project will last if all the requested funding is provided
- Banner Budget – the budgeted amounts in each account line or category as they are entered in Banner
- Additional Comments – essential information and dates are listed in this section by the ORA Financial Analyst



PI Memorandum

AWARD BRIEF MEMORANDUM – New/Annual Award

TO: Robert Carels
FROM: Karen Mizelle, Office of Research Administration
RE: Fund #217420 and 217421 (Participant Support), HRSA, Prepare for Practice

Congratulations on receipt of this award!

Attached is information concerning your award. Your fund has been keyed into the Banner accounting system and you now have authority to spend funds as of the effective date of the award. It may be a few days before the budget is visible in Banner, but you do not need to wait for the budget in order to process expenditures.

Please note comments in the remarks section of the attached Award Brief form and additional information about your award in this memo.

Please review your award terms and conditions, other sponsor guidelines and budget. If you have any questions about the terms and conditions of your award, grants management procedures, or any other administrative or financial matter related to this award, please let me know. I will be happy to meet with you to discuss the administrative and financial requirements for this award. If you are a first time PI or new to this sponsor, we recommend that you meet with ORA and your departmental administrator to review the administrative and compliance terms of this award.

EPAFs and other HR documents should be adjusted, as soon as possible. All payroll transactions should be timely and accurate. Individuals may only be paid on the award if they are actively working on the project at the time of the payroll period. Individuals cannot be pre-paid for work activity in a future period nor retroactively paid for work activity in a past/closed effort period. If you have any questions about the HR processes, please contact your departmental administrator.

This award is subject to time and effort reporting (ERS). Only effort certified through ERS can be charged to the grant or used for match/cost share reporting purposes. If you have any questions about the effort reporting system, please contact ershelpdesk@ecu.edu

As the PI, you have primary responsibility for the financial oversight for this award. We recommend that you review your expenditure detail monthly and review transactions with your departmental administrator on a regular and timely basis. Any errors should be corrected, as soon as possible. Corrections (cost transfers) must be processed within 90-days of the original expense date. All necessary expenditures should be processed and booked in the accounting system prior to the budget end date.



We recommend that you review the monthly e-print reports FRRGITD and FGRODTA for this project. Accounting information is also available, on a daily basis, through on-line Banner. When reviewing on-line grant activity, we recommend you use IN Banner reports rather than Self Service Banner for the majority of your grant reviews. If you do not have Banner access, you can register through ECU Pirate Port. Contact your departmental administrator for assistance with Banner access.

Attached is a PI Management Checklist which provides guidance on how to monitor your award activity.

Equipment purchases should not be processed in the last 60 days of the award period. Equipment within 60 days of term must have prior ORA approval and will only be authorized under extraordinary circumstances. All equipment must be received and in use and of benefit to the award activities prior to the end date.

Supplies or other items purchased in the last 60 days of the award period should be limited to a reasonable expectation of what will be used for the award before the termination date. All supplies/items must be received and in use and of benefit to the award activities prior to the end date. Large quantities of supplies should not be stockpiled for use beyond the end date of the award or to support other activities. If there are significant supply balances at the term date, the grant should be credited for their reasonable value and the costs should be transferred to another appropriate fund based on their anticipated usage.

All expenditures should be related to the use and needs of this award and must be incurred prior to the termination date. Unnecessary costs should not be incurred to zero out a budget balance. All costs incurred must be reasonable, necessary, allowable, and allocable with direct benefit to this specific project.

Please also note the following requirements for this award:

- Effort Commitment – Carels 20%, Carraway, 10%, Lacks 95%, Trapp 2%, Walcott 1.5%
- F&A Split – 70% REDE, 5% THCAS, 4% BSOM, 1% Allied Health, 5% Psychology, 4% Family Medicine, 1% PA Studies, 5% Carels, 5% Carraway
- Subcontracts - If you anticipate subagreements under this award, please see information below about the initiation process.
- A21 – The following costs are not allowable under this award without documentation of an authorized specific exception. Please contact ORA for prior approval before incurring these types of costs. See policy information and form at <http://www.ecu.edu/grants/>. Costs that do not have an approved exception on file will be disallowed and must be transferred to a non-sponsored fund.
 - Accounting/audit costs
 - Alcohol
 - Administrative/managerial/clerical salaries/fringe
 - Alterations and Renovations or Construction
 - Banking fees or charges
 - Computer services or use fees
 - Conference costs (conducting a conference; not attending)
 - Dues, Memberships



- Entertainment costs
- Facilities Management
- General purpose equipment – computers, fax, monitors, printers, typewriters, office furniture, file cabinets, refrigerators, etc. (regardless of dollar value)
- General purpose supplies – envelopes, paper, letterhead
- Housing and living costs
- Human subjects' payments/incentives
- Insurance (not fringe benefits)
- Legal costs
- Library costs, collections, acquisitions
- Participant Support Costs – must be authorized in award documents
- Patient Care Costs – must be authorized in award documents
- Personal Costs
- Postage
- Recruitment and relocation expense
- Sabbatical leave
- Subscriptions/books/periodicals
- Telephone (local), telephone lines, pagers, cell phones
- Travel by other than a U.S. Carrier

Some helpful links for managing your award:

<http://www.ecu.edu/grants/> (OGC website)

<http://eprint.ecu.edu/cgi-bin/eprint.cgi> (E-print)

<http://www.ecu.edu/osp/> (OSP website)

http://www.ecu.edu/business_manual/ (ECU Business Manual)

<http://www.ecu.edu/cs-acad/rgs/conduct.cfm> (Research Compliance website)

<http://www.ecu.edu/irb/> (Human Subjects)

<https://www.ecu.edu/iacuc/> (Animal Use)

<http://www.ecu.edu/oehs/> (Environmental Health & Safety)

Additional Information for Subaward Initiation & Monitoring

A subaward, subagreement, or subcontract is an agreement which passes funding and/or responsibility for the aims of a sponsored project to another person or institution. These are issued to other Universities, non-profit partners, or individuals. Purchase agreements for specific deliverables of products or services offered by non-profit organizations, commercial firms and occasionally other universities are usually not considered subawards. Please contact ORA if you have any questions about whether or not an activity should be a subaward.



ECU must comply with federal audit standards and regulations for subrecipient (subcontract/subaward) monitoring. Specifically, the Federal Funding and Accountability and Transparency Act (FFATA) standards apply to all subawards made after October 1, 2010. ECU is required to enter subaward data into a federal data base (as an institution - individual investigators do not manage this process). This information is available to the general public. ECU gathers this data using this form:

<http://www.ecu.edu/cs-acad/osp/subcontracts.cfm>

The procedure for initiating subcontracts and modifications is to enter data about the subcontractor onto a standardized PDF form. It must be signed by the PI and sent to ORA (via fax, scan, mail, or courier). Once this form is in hand, ORA handles both issuing the subagreement and the necessary federal compliance reporting.

Once the subagreement is issued, ORA must approve all subcontractor invoices before they are paid and maintain appropriate audit information. Subcontractors may be subject to audit review as part of the agreement.

Activity

Answer the following questions using the PI Memo in the previous section.

1. What is the fund number for this new project?
2. Who has the primary responsibility for the financial oversight of this project?
3. True or False: Large quantities of supplies can be purchased in the last 60 days of the project to stockpile for use after the end date of the award.
4. What is the effort commitment on this project?

Notice of Award

The notice of award included in the previous NOA section will be included in the award packet as part of the packet received in eTRACS.



eTRACS Budget

Category	Item	Period 1			Period 2			Period 3			Totals			Total Project Costs
		Sponsor	Institution	Unallowables	Sponsor	Institution	Unallowables	Sponsor	Institution	Unallowables	Sponsor	Institution	Unallowables	
Personnel	Robert A Carels	37,609	0	0	37,609	0	0	37,609	0	0	112,827	0	0	112,827
	Jane Trapp	2,703	0	0	2,703	0	0	2,703	0	0	8,109	0	0	8,109
	Meghan H Lacks	102,394	0	0	102,394	0	0	102,394	0	0	307,182	0	0	307,182
	Marissa E Carraway	11,896	0	0	11,896	0	0	11,896	0	0	35,688	0	0	35,688
	Christy M Walcott	1,914	0	0	1,914	0	0	1,914	0	0	5,742	0	0	5,742
	Sub-Total Personnel:	156,516	0	0	156,516	0	0	156,516	0	0	469,548	0	0	469,548
Participant Stipends	Participant Stipends	150,000	0	0	150,000	0	0	150,000	0	0	450,000	0	0	450,000
Participant Travel	Participant Travel	7,640	0	0	7,640	0	0	7,640	0	0	22,920	0	0	22,920
Participant Tuition/Fees/Health Ins	Participant Tuition/Fees/Health Ins	13,994	0	0	13,994	0	0	13,994	0	0	47,982	0	0	47,982
Travel - Domestic	Travel - Domestic	4,000	0	0	4,000	0	0	4,000	0	0	12,000	0	0	12,000
	Sub-Total Non-Personnel:	177,634	0	0	177,634	0	0	177,634	0	0	532,902	0	0	532,902
	Total Direct Costs:	334,150	0	0	334,150	0	0	334,150	0	0	1,002,450	0	0	1,002,450
	F&A:	12,841	0	0	12,841	0	0	12,841	0	0	38,523	0	0	38,523
	Total Project Costs:	346,991	0	0	346,991	0	0	346,991	0	0	1,040,973	0	0	1,040,973

Period 1									
Person Months									
Personnel	Personnel Type	Role	Cal	Acad	Sum	%Effort	Salary	Fringe	Total
Robert A Carels	Key	PD/PI	0.00	1.00	1.40	20.000%	28,504	9,105	37,609
Marissa E Carraway	Key	Co-Investig	1.20	0.00	0.00	10.000%	8,700	3,196	11,896
Meghan H Lacks	Key	Senior Key	11.45	0.00	0.00	95.417%	74,425	27,969	102,394
Jane Trapp	Key	Senior Key	0.24	0.00	0.00	2.000%	1,990	713	2,703
Christy M Walcott	Key	Senior Key	0.00	0.00	0.18	1.500%	1,478	436	1,914
Totals							115,097	41,419	156,516

Period 2									
Person Months									
Personnel	Personnel Type	Role	Cal	Acad	Sum	%Effort	Salary	Fringe	Total
Robert A Carels	Key	PD/PI	0.00	1.00	1.40	20.000%	28,504	9,105	37,609
Marissa E Carraway	Key	Co-Investig	1.20	0.00	0.00	10.000%	8,700	3,196	11,896
Meghan H Lacks	Key	Senior Key	11.45	0.00	0.00	95.417%	74,425	27,969	102,394
Jane Trapp	Key	Senior Key	0.24	0.00	0.00	2.000%	1,990	713	2,703
Christy M Walcott	Key	Senior Key	0.00	0.00	0.18	1.500%	1,478	436	1,914
Totals							115,097	41,419	156,516

Period 3									
Person Months									
Personnel	Personnel Type	Role	Cal	Acad	Sum	%Effort	Salary	Fringe	Total
Robert A Carels	Key	PD/PI	0.00	1.00	1.40	20.000%	28,504	9,105	37,609
Marissa E Carraway	Key	Co-Investig	1.20	0.00	0.00	10.000%	8,700	3,196	11,896
Meghan H Lacks	Key	Senior Key	11.45	0.00	0.00	95.417%	74,425	27,969	102,394
Jane Trapp	Key	Senior Key	0.24	0.00	0.00	2.000%	1,990	713	2,703
Christy M Walcott	Key	Senior Key	0.00	0.00	0.18	1.500%	1,478	436	1,914
Totals							115,097	41,419	156,516



PI New Award Meeting

Both ECU policy and industry best practice require a PI New Award Meeting at the beginning of most projects.

The PI New Award Meeting is attended by the PI, Departmental Administrator, and Hub Administrators, ORA Financial Analyst, and other significant personnel involved in the project.

The goal of the PI New Award Meeting is to ensure that the project launch is comprehensive and timely. This is the time to ensure all parties understand the project goals, plans, and timelines.

The PI New Award Meeting should accomplish the following:

- Identify unique issues to the project, including budget alignment and review of the newly established Banner fund
- Provide an overview of ECU policies and procedures impacting this project
- Inform the PI and support staff of educational opportunities across campus specific to managing sponsored projects
- Identify sub-award recipients
- Clarify and confirm cost sharing obligations
- Identify personnel resources that will be used on the grant
- Inform the PI of specific project management milestones, ideally associated with project management timeline linked to the program of work
- On projects involving human subjects, discuss the Greenphire portal and the Greenphire exception process
- Provide a review of the ECU PI Portal
- Share critical sponsor documents with the PI

A Sample PI Meeting Packet can be found at

<https://rede.ecu.edu/oraintra/home/newawardconference/426-01-sample-pi-meeting-packet/>.

Section 425.08 on the Office of Research Administration Intranet,

<https://rede.ecu.edu/oraintra/>, provides a copy of the PI Management Checklist

Banner Screens for Grants

FRAGRNT – information on the overall project rather than a specific funding increment

FRMFUND – information on the current authorized budget period including begin and end dates and the F&A Rate

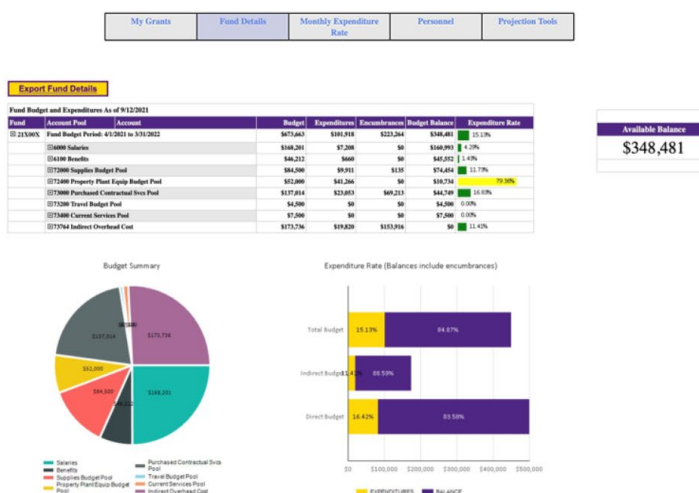


FRIGITD – information about the current authorized budget, expenditures, encumbrances, and available balances

PI Portal – go.ecu.edu/PIPortal

The PI Portal facilitates financial management of awarded projects. Each PI has access to his/her projects through the portal. Departmental Administrators can access all of the project they manage through the portal.

PI Portal: Fund Details



PI Portal: Monthly Expenditure

Information on spending during specific months.

