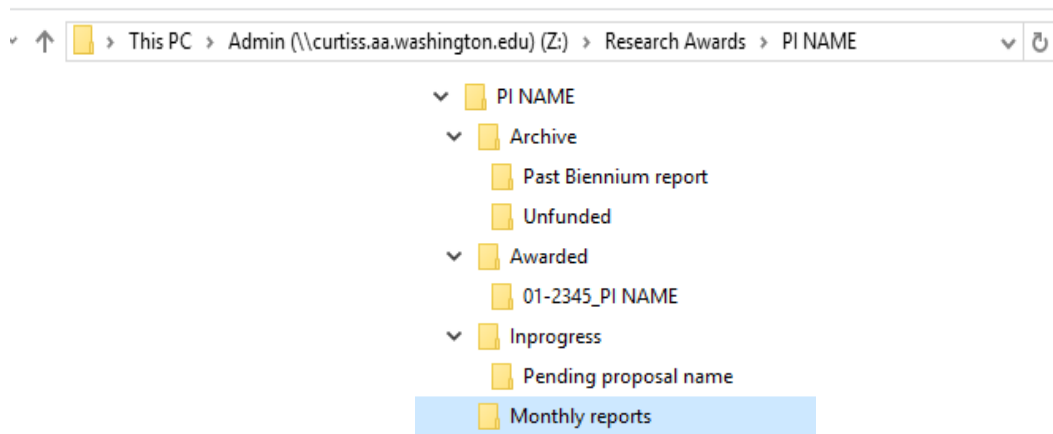




### Grant Management Policy

All active PI's with submissions in Aero & Astro will have a department server folder that is specific to retaining their records digitally per the UW's guidelines on records retention. This will help identify and retrieve information in a central location for all pre/post award inquiries. This is in addition to central campus resources like SAGE and GrantTracker. Any worksheets or communication that would not be attached to central systems should be retained in the server folders for reference by others.

#### Folder Structure Template:



#### Fiscal Support Assignments:

Each Grant and Contract fiscal staff member supports a portfolio of the Departments research portfolio, divided by PI, as indicated below:

Steve Pearson Grant & Contract Operations Manager <a href="mailto:skpear@uw.edu">skpear@uw.edu</a> 206-543-6323		Candy Housholder Budget Fiscal Analyst <a href="mailto:Candyh@uw.edu">Candyh@uw.edu</a> 206-543-6321	
Acikmese, Behcet	Knowlen, Carl	Bragg, Michael	Shumlak, Uri
Breidenthal, Robert	Little, Justin	Hansen, Chris	Vagners, Juris
Bruckner, Adam	Meier, Eric	Jarboe, Thomas	Yang, Jinkyu
Dabiri, Dana	Raman, Roger	Kurosaka, Mitsuru	
Ferrante, Antonino	Salviato, Marco	Livne, Eli	
Hermanson, James	Williams, Owen	Lum, Chris	
Holsapple, Keith		Mesbahi, Mehran	
Housen, Kevin		Morgansen, Kristi	

## **Pre-Award Proposals:**

All proposals will be retained electronically until a denial notice is obtained or one year. At that time the proposal record will be moved to the archive folder for retention for future reference. Proposal folders should at a minimum include a copy of the eGC1, labeled <eGC1 AXXXXXX>, a copy of the budget worksheet and justification, the program announcement and a copy of the proposal package that was submitted to the sponsor.

## **Post-Award Procedures:**

After a Funding Action has been received, the fiscal office will create a new folder in the award section of the PI's folder. The pending proposal folder will be added as a subfolder for reference. The PI will establish a timeline for all deliverables with the fiscal team member, to include; FTE commitments, GCCR's, eFEC's, Task based invoicing, fabrication schedule, quarterly/annual reports and closeout schedule. Quarterly meetings with the fiscal team member will be required to update and review these actions. The fiscal team will maintain a worksheet that includes a summary of all PI activity, to include payroll allocations, budget projections, fabrication estimates and task based invoicing.

**Budget Reconciliation:** Fiscal staff will reconcile source documentation to budgets in MyFD on a monthly basis. PI's must perform budget reconciliation either online in MyFD (preferred) or via a printout of the Budget status report which requires a signature. During review, the PI certifies they have reviewed all expense and salaries for accuracy, allowability, allocability, reasonableness and that source documentation meets sponsor and UW policy. The source documentation is filed by budget number, monthly. Items that are retained electronically via Ariba are linked to MyFD and must be reviewed electronically even if the PI chooses to perform a paper review.

Fiscal Staff will be monitoring PI reconciliation activity and updating the Administrator and Chair about those not reviewing their accounts according to UW policy. In the event a PI has not properly reviewed and updated their accounts in a timely manner the following will occur:

- At the end of a quarter an email will be sent to the PI indicating the months that need to be reviewed with a due date for completion. Generally, one quarter will be given to be in compliance.
- If the PI is more than one quarter behind in reviewing their accounts a meeting will be set with the PI, Administrator and Chair in order to determine how to bring accounts current.
- If the PI is more than two quarters behind on reviewing their accounts, the PI will temporarily lose access to pre-award proposal support.
- Additional actions may be taken if the PI continues to fail to review grant budgets in a timely manner and in accordance with UW policies.

**Closeout:** During the final 90 days of the project, the fiscal team member will notify the PI of remaining balances and suggest actions. These may include a No Cost Extension, deficit planning and final fabrication processing. A copy of the final technical report will also be required by the fiscal office to allow for closeout of the project. The final technical report will be retained in the award folder and also supplied to OSP.

After the technical report is submitted and the budget is moved to status 3 by GCA, the fiscal team member will move the award folder to the archive section for the PI. The file folder name will also be extended to include a fiscal year end date, *<Budget Name and Number Year>*.