

# UAS GM 05: School & Department Responsibilities

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## **General Responsibility**

It is the responsibility of the school or department to provide administrative assistance and management logistics of awards on behalf of the principal investigator.

The PI and the financial manager will review the technical and logistical requirements. If necessary, they shall request that the Grants Office officer negotiate with the funding agency for modifications. The Grants Office will review the contractual terms and conditions related to the financial and administrative requirements and, with participation by the PI, proceed with the necessary request to the funding agency.

The school or department should advise the principal investigator on salaries, purchasing procedures, current F&A rates, staff benefits and other BOR and/or University of Alaska policies and procedures as necessary.

## **Grant Establishment**

If a PI is given notice of “intent to award” by a sponsor, the school or department may prepare an Assumption of Liability Request form (available online). The original notice of intent to award should accompany the form; such notices may be in facsimile or e-mail format. These documents should be forwarded to Grants Office for review, approval, and action.

- **Assuming Liability for Residual Funds Use, Pending Receipt of Incremental Support**  
If incremental funding does not arrive when anticipated, the school or department may assume financial liability by filing an Assumption of Liability Request form with funding approval documentation as backup with the Grants Office. If the sponsor does not issue a modification/amendment to the award, the charges incurred past the actual end date will be moved to the school or department’s fund one by the Grants Office during the closeout procedure.

## **Charges to Projects**

The school or department administrative support staff provides the PI with routine purchasing and travel requests, assuring that they are expended within agency and award guidelines. *(See UAS GM 04 Approval of Charges & Revisions to Projects.)*

The school or department is responsible for charging appropriate account codes and expenditures on restricted funds. (Refer to UA account code manual.) In addition, the school or department will assure that expenditures on the project agree with the budget (as amended) in the agreement. Purchase requests for the project expenditures are subject to approval by the grant administrator, and will be processed by the UAS Purchasing Department. Subawards will be processed through the Grants Office.

The school or department is responsible for monitoring the project budget to prevent over-commitment of funds. If a project overrun occurs, the Grants Office will inform the financial manager of the overrun. The school or department is responsible for either removing the charges from the grant. If the over-expenditure is not removed prior to final billing, the Grants Office will assume the responsibility, and complete the journal voucher.

- **Recruitment:** The school’s or department’s financial manager works with the Grants Office, as well as the Human Resources Office, for all business matters relating to position classification

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and budget. The PI will select the project personnel using UAS guidelines and the school or department will handle all the paperwork required for employing them.

- **Travel:** The school or department will handle all travel details at the request of the PI after approval for the travel has been received according to university guidelines. Along with all federal, and university travel regulations, It is the responsibility of the PI to assure that UAS Chancellor's mandate of Easy-Biz be utilized.
- **Subawards, Vendor Procurements:** In conjunction with the PI, the school or department is responsible for initiating all requests for subawards and vendor procurements. (See UA Accounting and Administrative Manual, D-06, Subawards and Vendor Contracts, and UAS Subrecipient Monitoring Policy.) The department will ensure that all documents required for each type of order are provided to either Grants Office or the Purchasing Department, as appropriate. Minority/Women/Disadvantaged Business Entities (MBE/WBE/DBE) Reports. Small Business Subcontracting Plans for individual sponsoring agencies, where necessary, are the responsibility of the school or department. The Statewide system is responsible for reporting requirements to the federal agencies for UA as a whole.
- **Project Supplies:** The school or department will provide requisition as necessary for project supplies.

## Closeout of the Award

The school or department should alert the PI prior to the close of the award, and assist in the decision to request either additional funds and/or an extension of time if that is needed to complete the project.

- In all cases, the charges to a project must fall within the period covered by the effective start and end dates of the project.
- No expenditures may be incurred on a project after the expiration date. Payments for items that were encumbered and received prior to the expiration date of the project may be made after the close date under the "liquidation of encumbrances" condition.
- Purchases of supplies and equipment should be processed as early as possible to assure receipt of and use during the project period. If an award is not going to continue in future year increments, no equipment may be purchased 60 days prior to the project end date. Any commodities acquired prior to the end date that will not be used within 60 days after the end date must be liquidated and the funds returned to the account.
- Transfers of property valued at \$5,000 or more per school or department must be accomplished in accordance with procedures established by the Statewide Property Manual.