

# Compliance

(Grants & Contracts)

---

**Office of Research**

**University of Maryland Eastern Shore**

# Grants Management and Administration

---

- Know your role and responsibilities as a Principal Investigator
- Ensure that all project team members are familiar with the grant proposal, the notice of award and the terms of the grant agreement/contract
- Efficiently and effectively use grant funds, while maintaining compliance with grant requirements
- Know your allowable vs. unallowable costs and activities
- Comply with all reporting requirements per the terms of the grant/contract

# Audit Issues & Common pitfalls

---

- Misuse of grant funds
- Misrepresentation of grant results
- Violating laws, regulations, or grant conditions
- Failing to achieve the grant objectives
- Reputational damage from grant misuse
- Loss of future funding

# Have the right internal controls in place to avoid significant deficiencies

---

- Approval and authorization of expenditures, reports and procurement
- Program monitoring (on-going monitoring of expenditures, performance targets, etc.)
- Timely and accurate reconciliations of expenditures and related revenue, grant budget and other adjustments, as well as related financial reports and grant deadline requirements
- Regularly review your organization's grant administration processes and procedures

# Keep up with Compliance Supplement updates

---

- Grant compliance can be challenging, but preparation and knowledge are key. By taking these steps and regularly reviewing and updating your processes, you can minimize the risks associated with grant administration and avoid future fallout related to noncompliance.

# Office of Research Contacts



LaKeisha Harris, Ph.D., CRC  
Dean  
Phone: (410)651-6080  
Fax: (410)651-7571  
Email: lharris@umes.edu



Tysha R. Palmer, M.S.M.  
Compliance & Post Award  
Specialist  
Phone: (410)651-6714  
Fax: (410)651-7571



Joseph Pitula, Ph.D.  
Director of Research  
Phone: (410)651-2980  
Fax: (410)651-7739  
Email: jspitula@umes.edu



Josh L. Shockley  
Contracts and Grants  
Associate  
Phone: (410)651-8993  
Fax: (410)651-7571  
Email: jlshockley1@umes.edu