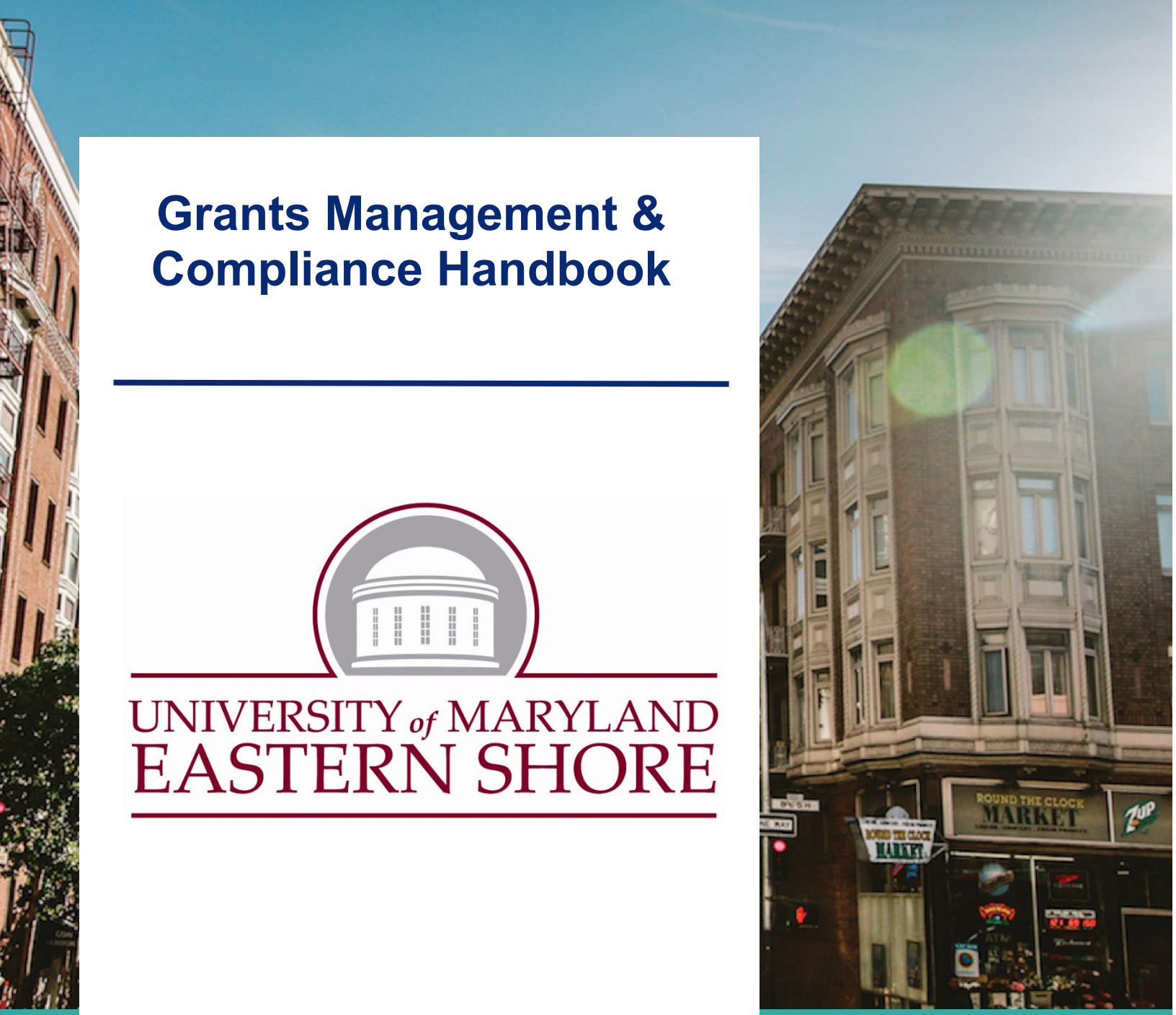
Grants Management & Compliance Handbook



UNIVERSITY of MARYLAND
EASTERN SHORE

Revised JANUARY 9, 2023

Office of Research
University of Maryland Eastern Shore
Engineering and Aviation Sciences Complex, Ste 3046
Princess Anne, MD 21853

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Grants Management and Compliance Handbook

Congratulations! *Your grant proposal has been selected for award and you are ready to begin implementation of the project.*

This Grants Management and Compliance handbook establishes a foundation for meeting basic grant management requirements and standards to assist in successfully overseeing and managing your grant. The handbook was created to increase project success, while minimizing any issues that may develop. As good Principal Investigators of grant resources, grantees are expected to understand and adhere to programmatic, administrative, and fiscal laws, regulations, policies, and procedures to most effectively implement and manage grant projects.

This guide outlines the steps to follow as grant projects are implemented and provides information related to working with the Office of Research, and other entities; ensuring audit readiness; requesting Institutional Review Board approval prior to conducting research at the University of Maryland Eastern Shore, as applicable; and a variety of other pertinent topics, as the Office of Research is here to support and ensure the success of your project.

It is important to note that activities undertaken in the first few weeks of implementing the project are crucial to the overall success of the project. These activities will not only set the tone for your project, but will also impact several important factors such as:

- Will the project be on target to meet the required performance measures?
- Will all grant funds be expended during the grant period?
- Will the project records and documentation meet audit requirements?

It is the Principal Investigator's (PI) responsibility to make sure that all team members of the grant are familiar with all aspects of the grant, which include the grant proposal, the notice of award and the terms of the grant agreement/contract. In order to alleviate potential issues that may arise in the future, please be aware of what can and cannot be done within the constraints of utilizing your grant funds.

Please contact the **Office of Research** if you have any questions regarding your grant management.

OFFICE OF RESEARCH		
Dr. Lakeisha L. Harris	**Associate Vice President & Dean of Graduate Studies & Research**	llharris@umes.edu (410)651-7996
Dr. Joseph Pitula	**Director of Office of Research**	jspitula@umes.edu (410)621-2980
Ms. Tysha R. Palmer	**Compliance & Post Award Specialist**	trpalmer@umes.edu (410)651-6714
Mr. Josh Shockley	**Contracts & Grants Associate**	Jlshockley1@umes.edu (410)651-8993

Section 1: Roles and Responsibilities for Grants Management and Administration

The primary offices that will be involved during the development, implementation and management of your project may be the following: University President, VP for Administrative Affairs, Provost/VP Academic Affairs, Dean of Graduate Studies and Research, Director of Research, School Dean, Department Chair and Office of Research. The Principal Investigator is responsible for coordinating with all of these offices and soliciting support from the appropriate offices when needed and participating in meetings scheduled by the Office of Research as requested. The University President is the only person who can commit the University to received and use grant funds.

OFFICE OF RESEARCH

The Office of Research provides grant management for externally funded grants for the University. The Office of Research will support, guide and advice faculty and staff from pre-award to post-award to closeout.

Pre-Award/Grant Development Responsibilities

1. The Principal Investigator (P.I.) **must** complete the Routing Form and submit it along with the required documentation to the Office of Research at least 10 days prior to the due date of filing for the award. **ALL GRANTS MUST BE ROUTED THROUGH DROPBOX SIGN PRIOR TO ISSUANCE OF AN AWARD.**
2. Provides information about the University to assist in the application of a grant proposal.
3. Reviews the proposal budget.
4. Coordinates final packaging of proposal and submits the final proposal to the funding agency.
5. Provides grant writing and grant management workshops to interested faculty and staff.

Appendix A : Routing Form and Appendix J: Submission Procedures for Pre & Post Award Documents

Post-Award Grants Management and Compliance

1. Reviews grants for general compliance and oversight.
2. Assists with analyzing, interpreting, and applying Federal, State and local government laws, rules and procedures, OMB Guidance, CFR, private funders' requirements, and other regulations for grant administration, and implements related University processes.
3. Serves as a resource for staff and project directors during the project implementation process to focus on allowable expenditures and the project budget.
4. Ensures compliance with agency requirements regarding purchasing regulations, equipment inventory, closing documents and monitors the budget for proper use of funds.
5. Works with Comptroller's Office to coordinate reporting, audit responses, time and effort reporting, and other grant-related financial activities.

6. Directly assists with the formulation and implementation of University policies and procedures as they affect the administration of grant projects.
7. May conduct monthly meetings with principal investigators to review financial and performance activities and provide recommendations for adjusting spending, when needed.

Office of Research/Grant Accountants

1. Provides post-award administration support for grants, financial reporting, time and effort reporting and compliance oversight of monthly, quarterly, and annual financial reports.
2. Ensures that grant funds are expended in compliance with the agency regulations or funder requirements.

Grant Project Principal Investigator (PI) and Department

The Principal Investigator is the primary person responsible for the day-to-day management of the grant throughout the grant period. The keys to effective and efficient grant management are planning, addressing issues as early as possible, allowing for time needed to complete requests, and maintaining complete auditable records. The Principal Investigator supervises the daily operations of the grant, including:

1. Managing the budget
    a. Responsible for reconciling quarterly budget reports in collaboration with the Grant Accountant.
    b. Monitoring the budget monthly to compare percentage of time elapsed in grant period with the percentage of total funds spent to date.
2. Purchasing with grant funds
    a. The Principal Investigator will ensure that all purchasing requests adhere to University policies and procedures and to federal, state, or funding agency requirements.
    b. The Principal Investigator will ensure that all grant-funded positions are paid in accordance with the grant requirements and University payroll practices and are hired in accordance with University hiring policies and guidelines.
3. Closing out the project and evaluation
    a. The Principal Investigator will prepare the final reports for close out of the grant for submission to the funding agency and Office of Research within 45 to 90 days after the project ends. **(NOTE: Not completing and submitting reports timely may have an impact on the University's future funding.)**
4. Ensure proper close out of the grant by completing the **Grant Project Closeout Checklist.**

Appendix B: Grant Project Closeout Checklist.

Section 2: Post Award Processes and Procedures

The project should begin operations immediately once a grant is awarded. Allow the time needed to work on defining grant activities, establishing timelines for milestones and deliverables, reviewing and understanding the reporting schedule, and reading and understanding how the funds will be used within the guidelines of the funding agency/grantor.

Award Letter and Contract Processing

Please notify the Office of Research as soon as possible upon receiving an award letter. Funding agencies generally inform the person who is listed on the grant proposal as the Principal Investigator about a new or continuing grant award. Do not assume that the Office of Research has been informed of the award. **(NOTE: Copies of all award letters and contracts must be received by the Office of Research for inclusion in grant records and master files.)**

Negotiating the Award

In some cases, a representative from the funding agency may request additional information or clarification on a project or contact Principal Investigator to discuss budget adjustments or required revisions. If you negotiate any changes regarding you award, please notify the Office of Research immediately.

Executing the Grant Awards/Contracts

Grant awards may only be signed by the University President or authorized official. Grant Awards/Contracts are legal agreements between the University and the funding agency or organization that holds the University accountable and responsible for delivering the outcomes set forth in the notice of award and/or contract and managing all grant funds appropriately. The Principal Investigator (P.I.) **can not** sign on behalf of the University for accepting the award notice.

The Office of Research will review all grant awards/contracts. Upon review and approval of the contract language, the Office of Research will facilitate the signature process to fully execute the grant award/contract through Dropbox Sign, in which the Principal Investigator will receive a fully executed copy, through Dropbox Sign, once all signatures have been obtained.

Grant Award Initiation Meeting

Within two weeks of receiving the notice of award, the Office of Research will initiate a grant award meeting with the Principal Investigator(s) of the grant. This meeting will allow the Principal

Investigator an opportunity to ask questions and obtain clarification on any and all aspects of project implementation. **Please review the Notice of Award/contract prior to the post-award meeting.**

The Principal Investigator should become extremely familiar with the specifics of the grant, which include all award documents, budget, performance objectives, timelines and reports that will be required by the Principal Investigator. Please take the time to read and understand the grant requirements so that we do not inadvertently fail to comply with the grant requirements. Your award documents normally include detailed information, terms and conditions regarding allowable and unallowable costs, activities, reporting requirements, and modifications that would require prior approval by the program officer with the funding agency.

At the grant initiation meeting, the following grant project details will be reviewed:

- Specific requirements of the funding agency and/or organizations
- Specific next steps and timelines for project implementation and planned activities
- Best practices for establishing a recordkeeping system
- How to locate and submit Time and Effort reporting, as applicable (instructions below)
- Issues, policies and procedures pertaining to budget, including equipment and supply purchases, contracted services, consultants, and subcontracting, as applicable
- Expectations regarding reporting requirements and due dates
- Any other issues of concern

TIME AND EFFORT REPORTING INSTRUCTIONS:

- Access ARES https://ares.umd.edu/home/
- Click on "Effort Report (located on the left side)"
- Click on "Faculty/Employee Access"
- Select Institution: "04 Eastern Shore"
- Click "Save"
- Select Report Cycle **"202101 (07/01/2020 - 01/02/2021)" (EXAMPLE REPORT CYCLE)**
- Click "Approve/Update Effort Report"
- Review and Click "Approve" located at the bottom of your Effort Report

You have now approved your Effort Report!

Starting the Grant File

The primary grant file will be maintained by the Office of Research. This file should include all administrative documents associated with all aspects of the grant, including applying for, administration of and the closeout of the grant necessary for record keeping and auditing purposes. The Principal Investigator should keep a duplicate working grant file.

(NOTE: Grant files are subject to audit and must be kept in proper order and must contain all related documents.)

Section 3: Implementation of Grant Project

Applying Best Practices

The implementation phase of the grant project is the longest phase of the grant's development. At this point, the Principal Investigator (P.I.) has reviewed the approved activities, timeliness, budget, and evaluation plan, and has completed each of he steps already discussed in this handbook. This section will provide best practices for managing the various aspects of project implementation.

The P.I. should remember to:

- Verify that all grant project files are up to date and complete
- Review budget status
- Review allowable and unallowable expenses before making a purchase or charging other expenses
- Review financial and progress report deadline and complete all reports on time
- Always keep in mind that your grant may be audited at some point. Approach all actions regarding this grant with that mindset.

Establishing the Budget

Institutional Grants

Upon receipt of the notice of award, fully executed contract, and project budget, the Contracts and Grants Associate will initiate the request for an account number for the project. This account can only be used for project-related purchases, project-related expenses and grant personnel costs and/or fund transfers. Most funding agencies use electronic wire transfers to credit grant accounts.

Once the budget is established, the Compliance Officer will review the fiscal management process with the Principal Investigator (P.I.). The P.I. will need to request access to Kuali to manage and approve budget expenditures.

The Principal Investigator should be familiar with the budget, cost categories, and amount in each budget line, as approved by the funding agency. The P.I. is responsible for initiating and approving all direct charges to the project's budget.

Note: If the Project Director should receive a check payable to the University directly from the funder, it should be immediately delivered to the Grant Accountant for processing. A full receipt for the deposit should be obtained and kept in the grant file. A copy of the check & receipt should also be forwarded to the Contracts and Grants Associate in the Office of Research. If you are unsure who your grant accountant may be, contact the Office of Research.

Managing the Budget

Note that it is imperative that all grant funds are spent timely and prudently. Grant budget reports must be consistent with the project progress or narrative reports. If issues with project implementation arise that will impact the project budget, please contact the Director of the Office of Research as soon as possible and well in advance of report due dates.

As the project progresses, the Principal Investigator (P.I.) should continue to review the grant's financial status. Make sure that you understand all aspects of the budget and allowable & unallowable expenses are understood. If you need further assistance, you may also contact the following for further assistance:

Director of the Office of Research to:

- Receive help in interpreting budget reports
- Address questions about fiscal management
- Obtain information on cumulative expenses that may be needed when preparing a follow-on proposal for the project
- Assist in revising and approving a grant budget

Grant Accountant to:

- Prepare financial reports for grant billings/draw down
- Receive assistance with payroll procedures and forms for grant-funded personnel
- Process grant related expenditures

Appendix C: Grant File Checklist. Please include this checklist in your grant files.

Budget Line Items

The Grant Accountant will set up the grant budget in the University's accounting system. Funds will be allocated to accounts and budget line items in accordance with the approved budget. Common grant budget lines include:

Personnel

Salary and wages paid to employees and/or students working part or full time on program-related tasks for the grant (i.e. curriculum development, program implementation, training, etc.). Stipends (additional pay) for employees should be included in this line.

Benefits

Medical, dental, life insurance, and other fringe benefits related to faculty or staff working on grant programs. Professional development benefits are also included for personnel assigned to the grant fund. Federal award grants may include University retirement benefits based upon the current year state funding guidelines. Consult the Division of Administration and Finance for the current fringe rate.

Travel & Meetings
Includes mileage, transportation, meals and accommodations for faculty or staff attending meetings or training for program-related work. Conference registration fees are included in this category.

Supplies
Supplies are those items with a cost of less than $500 per unit and a useful life of less than one year. Federal grants define the amount as less than $5,000. Please refer to the Grant Adjustment Notice (GAN) and the agencies grant guidelines.

> *Note: A Grant Adjustment Notice (GAN) is used to request project changes and/or correction for any programmatic, administrative, or financial change associated with a grant award. All GANS must be requested electronically by the grant recipient through the GAN module in the Grants Management System (GMS).*

Equipment

Equipment has a cost of more than $500 per unit and a useful life of more than one year. Federal grants define the amount as greater than $5,000.

Contractual Services
Contractual Services are those items provided by non-personnel or companies. Further detail on the different types of contractual services is included in the "Vendors vs. Independent Contractors vs. Sub-recipients" section, below.

Other Expenses
Other expenses may include participant support costs such as tuition waivers, or scholarships. Most costs should fit into one of the above categories if they are being directly charged to the grant. Please refer to the Kuali Financial System https://kualifinancial.umd.edu/KFS/docs/Object_Codes_UMES_02162022.pdf for a full chart of accounts.

Expending Grant Funds

Allowable Expenditures

All costs directly related to the grant, including salary, fringe benefits, stipends, travel, supplies, equipment, printing, and marketing and outreach are eligible expenditures if they were included in the original budget approved by the funding agency. Allowable expenditures are allocable, allowable, reasonable, and necessary for accomplishing the objectives of the program as defined in approved grant award for implementing activities. There may be instances where the contract may have more restrictive terms than general funding guidelines (such as the Uniform Guidance). When rules do conflict, the most conservative rule applies to the spending limitation. The Universities' institutional policies and procedures must always be followed for grant purchases and contracts. For any expense that may be questionable, you should contact the funding agency prior to committing the funds and provide documentation for the file.

Common disallowed costs, included, but are not limited to:

- Salary for faculty not working directly on the grant (i.e. an adjunct filing in for faculty working on the grant)
- Alcohol
- Entertainment Costs (unless approved as programmatic by awarding agency)
- Lobbying
- Advertising (unless for grant personnel recruitment)
- Promotional items or "giveaways"
- Employee morale or student activity costs
- Commencement or convocation

Exceptions may be made if prior written approval is obtained from the agency.

Approvals of Expenditures

Prior to expending funds, the Principal Investigator (P.I.) should review the costs to ensure they are an allowable expense and directly relate to the grant objectives and are provided for in the grant budget. The Project Director should approve expenditures through Kuali's financial system based upon their institutional authority. Evidence of approval should be part of the grant files for all expenditures.

Supplement vs. Supplant

Grant funds must supplement or add to, enhance, expand, increase, extend the programs and services offered with University funds. Grant funds are not permitted to be used to supplant (take the place of or replace) local funds used to offer those programs and services. Grant funds should INCREASE the overall amount of resources available to the Grantee. If an expense was previously paid for with University funds, it should not be charged to a grant subsequently unless it can be documented that state or local funds have been reduced/eliminated.

Documenting In-Kind, Cost Sharing and Matching

Some funding agencies or grant programs require the grantee institution to demonstrate its financial commitment to the project, or the commitment of other funding sources. This is done by sharing the total project costs through matching or leveraged funds, cost sharing, or in-kind contributions. If included in the grant proposal budget, these financial commitments become a binding requirement of the grant award and costs must be tracked and reported for compliance.

For all federal awards, any cost share, matching funds, or in-kind contributions must be accepted as part of the non-federal entity's cost sharing or matching when such contributions meet all of the following criteria:

- Verifiable from the non-federal entity's records;
- Not included as contributions for any other federal award;
- Necessary and reasonable for achieving project or program objectives;
- Not paid by the federal government unless required and;
- Included in the approved budget

The Principal Investigator (P.I.) must work closely with the Grant Accountant and the Comptroller's Office to ensure that in-kind, matching, or cost sharing funds are allocable, available, and properly documented. For example, funds cannot be used for match or cost sharing on multiple grants and federal funds cannot be matched with other federal funds. These commitments must be documented in a way that meets audit standards.

Comptroller's Office
Rhonda Daub, Assistant Comptroller Email: rldaub@umes.edu Phone: (410)651-6089

Grant Budget Revisions

The grant budget approved by the funding agency is a financial plan for achieving the desired outcomes of the grant project. Grant funds may only be expended within the cost categories and amounts identified in the approved grant budget. The approved budget constitutes part of a legal contract. Changes in planned project activities or scope of work may require budget modifications. Federal and state guidelines are usually flexible enough to allow minor (≤ 10%) line item variances without prior approval from the program officer. If the modifications are ≤ 10% please complete the Budget Modification Request Form found on the Office of Research website.

Appendix D: Budget Modification

If a larger change is anticipated, contact the Director of the Office of Research to discuss the changes before making any scope of work changes or spending funds outside of the approved budget. The Grant Accountant will work with the Principal Investigator (P.I.) to determine if the funding agency guidelines allow for the proposed budget change. The Principal Investigator will need to contact the program officer at the funding agency to discuss the change and to determine the appropriate forms or format for formally requesting the modification.

Upon receipt of the request, the funding agency will review and officially approve or disapprove the change in writing. **No budget changes may be made until official, written notification is received.** This process can take several weeks so it is important to make adjustment as early as possible. The

revised budget and copies of the written approval are to be forwarded to the Office of Research to be maintained in the grant master file. You may forward all updated information, by way of email, to the Office of Research at research@umes.edu.

Office of Procurement

The Office of Procurement has instituted an efficient and fair procurement process in accordance with federal and state procurement regulations and encourages the inclusion of all vendors and suppliers. The Office of Procurement serves the needs of the University for all purchases in excess of $5,000 as outlined in the Universities Purchasing Policy. For purchases of $10,000 or more, a formal bid process is required. Responsibility and authority to make commitments for these purchases are assigned to the Office of Procurement. For more information on purchasing procedures and processes, please view their guidelines at https://www.umes.edu/Purchasing/ .

Office of Procurement
Jackie Collins, Director Email: jmcollins@umes.edu Phone: (410)651-7940

Hiring Grant-Funded Personnel

Often, grant projects will include new positions. If new employees are to be hired for the project, the Principal Investigator (P.I.) must follow the Universities standard hiring process and procedures. Grant-funded personnel must be hired using the same procedures as non-grant personnel. For specific information regarding the Universities policies and procedures involved in developing and posting a position, and guidance on the selection and hiring process, please consult with the human resource manager.

Human Resources
Mary Ames, Manager Email: mvames@umes.edu Phone: (410)651-6401

Tracking Time and Effort

University and government policies require that all faculty or staff paid from and/or contributing effort to federally-funded and state-funded grants report and certify their time and effort (T&E) accordingly. When the University accepts federal or state funds, it agrees to this obligation as a condition of award.

Institutional records are required to verify direct and indirect cost activities related to grant funded projects. In addition to submitting regular bi-weekly timesheets, it is required that a Time & Effort Certification is to be completed by each faculty or staff who charges or contributes time to a grant project. This form provides a system of budgeted planned, and assigned work activity that is incorporated into the official records of the University and must reasonably reflect only the activity for which the faculty or staff is compensated by the University.

The Time & Effort Certification records the percentage of effort reported for a given period to substantiate the salaries and wages charged to the grant. It should be noted that effort documentation is not based on a 40-hour workweek. Instead, effort is calculated based on 100% of activities. Effort must be reported even if not paid from the grant budget. The grant-funded effort must also be allowable activities as defined in the grant contract. **Inaccurately certifying effort can be viewed as fraud.** Please be aware that recent noncompliance audit findings have resulted in multi-million-dollar fines at other large educational institutions.

Contact the Contracts and Grants Associate (Josh Shockley) at the Office of Research with questions about T&E reporting.

Office of Research
Josh Shockley, Contracts and Grants Associate Email: jlshockley1@umes.edu Phone: (410)651-8993

Faculty Release Time

Faculty release time is the time a faculty member is released from normal teaching responsibilities in order to perform other duties, e.g., working on a sponsored project. Faculty seeking release from normal teaching duties must complete the Faculty Release Time Request and Approval Form. This form **must be submitted through Dropbox Sign** for signatures.

Appendix E: Faculty Release Time Request and Approval Form

Risk, Compliance, and Sub-Award Management

Grant compliance is becoming increasingly important. Federal requirements have expanded for evaluation and monitoring or rant project outcomes, and increased scrutiny of risk management and financial accountability and transparency is codified in the federal Uniform Guidance regulations (i.e., OMB Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards in 2 CFR part 200).

The risk management cycle is a framework for continuous discovery, analysis, action, and improvement. Risk mitigation is taking appropriate action to address potential problems, including imposing the appropriate types and levels of requirements and providing appropriate types of monitoring and levels of technical assistance. Monitoring is the process followed to assess how well a grant is being implemented, achieving program objectives, and complying with requirements, terms and conditions.

Grantees who allocate subawards of federal funds to sub-recipients as pass-through entities must:

- Assess the risk of subrecipients;
- Maintain strong internal controls for managing sub-awards;
- Communicate with federal program staff and with sub-recipients;
- Document all activities; and
- Monitor sub-awards to ensure sub-recipients are spending grant funds appropriately and in compliance with the award and all regulations.
- Subawardee institution **must complete** the UMES Subrecipient Commitment form prior to subaward being issued.

Appendix F: Subrecipient Commitment Form.

When monitoring subrecipients, the pass-through entity;

- Review reports required by the pass-through entity;
- Ensure sub-recipients take appropriate action on deficiencies identified through audits, on-site monitoring, and other reviews;
- Issue a management decision for single-audit findings pertaining to the federal award; and
- Verify audits of sub-awards.

Programmatic Changes

All programmatic changes must be discussed with the Office of Research. The Office of Research will offer assistance in rectifying programmatic changes.

Personnel Changes

During the life of the grant it may be necessary to change grant-funded personnel, key personnel listed in the grant, or to adjust salary rates. Most funding agencies have established strict procedures for requesting prior approval of personnel changes which are incorporated into the terms and conditions of the grant contract. The Principal Investigator (P.I.) will be responsible for contacting the funding agency and must adhere to the funding agencies policies and guidelines regarding any personnel changes. The Principal Investigator (P.I.) must also contact the Office of Research and Human Resources regarding any personnel changes and provide documentation of any personnel changes to the Office of Research. Please keep in mind that all grant funded contracts **must be routed through Dropbox Sign** and signed by the Director of the Office of Research along with all other required signatures.

Changes in Project Scope

Substantive changes in the scope, objectives, or goals of a project, whether they impact the budget, typically require written approval from the funding agency's program officer. Some examples that

would require written approval include changing a performance location, major changes in pedagogical methods, training activities, or monitoring plans. In most cases, a fully substantiated written justification for the changes will be required to request the changes. The Principal Investigator (P.I.) is responsible for obtaining the written approval from the funding agency.

No-Cost Extension

A no-cost extension is a request to extend the end date of the project beyond the previously approved end date and for which no additional funds are needed beyond what was originally awarded. The Principal Investigator (P.I.) is responsible for knowing the deadline for submitting a no-cost extension request. Some programs do not allow no-cost extensions. Contact the Director of the Office of Research to discuss the justification for the no-cost extension. Simply having remaining funds at the end of the grant period is not sufficient justification for a no cost extension request. Some programs do not allow no-cost extensions.

Required Reporting

Reporting requirements and due dates are specified in the grant contract and a reporting schedule is formalized at the kick-off meeting. Most funding agencies require monthly, quarterly, and/or annual progress and financial reporting. The Principal Investigator is responsible for preparing the initial reports as outlined in the grant contract.

Financial Reports

Financial reports are prepared by the Principal Investigator (P.I) or the Grant Accountant. The Principal Investigator (P.I.) will report on the budget expended to date and any in-kind or matching dollars.

Narrative/Progress Reports

The Principal Investigator is responsible for preparing narrative reports. Reports should conform to funding agency guidelines and use technical report writing standards. A report narrative usually requires responses to each of the proposed outcomes, including status updates on progress toward each grant activity, objective , and milestone. Outcomes that are not accomplished as scheduled during the reporting period should be clearly explained and any challengers should be described along with the solution.

Comments should be substantiated and fully supported by evaluation data, research, and statistics. The Principal Investigator (P.I.) should work closely with the Office of Research to plan adequate time for collection and analysis of institutional project data, when needed for reports. Reports may also include charts, graphs, or other representations of data pertaining to students, participants, audience, and delivery of services.

Successfully prepare the narrative/progress reports by following these guidelines:

Follow all instructions

- Adhere to page limits, use funder formatting
- Ensure the specific questions of the funder are being answered

Review grant agreement guidelines

- Ensure each goal, objective, and activity is addressed

Explain any unexpected challengers, delays, or goals not fully achieved

- Include any corrective action taken to get back on track

Be clear, concise, and coherent

- Tie outcomes directly to project goals, objectives, and activities

Compliance Reviews

As stewards of external grant funds, the University must ensure that project implementation is on track. By monitoring the progress of grant activities and ensuring compliance with regulations, the University is working to secure strong relationships with funding agencies and other grant makers and focusing on accessing future funding opportunities.

Appendix G includes a Compliance and File Review Checklist.

Institutional Reporting

The Office of Research generates and posts an annual fiscal year report, which includes all current fiscal year grant awards. You can access it on the Office of Research website https://wwwcp.umes.edu/osrp/award-reports/ .

Section 4: Project Evaluation

Preparing for Project Evaluation

The evaluation is a key aspect of any project and evaluation plans becoming a heavily weighted criterion in grant proposals. The evaluation informs progress toward the achievement of objectives, the effectiveness of pedagogies and methods, and whether processes, strategies, or tactics require adjustment during the grant period. Expectations for rigor and quality of evaluation plans have increased in recent years across all funding agencies/organizations, so it is critical to keep in mind that evaluation must be an ongoing process throughout the life of the grant-funded project. The

Principal Investigator (P.I.) must be familiar with reporting schedules and be prepared to implement routine data collection and analysis as primary project activities. There are many approaches to project evaluation with the two most common being programmatic assessment and administrative assessment.

Programmatic assessment addressed the following questions:

- Is the project meeting the specific goals, objectives, and outcomes listed in the grant proposal?
- Is the project meeting the overall requirements and objectives of the grant program?
- Is the project programmatically compliant?

Administrative assessment addressed the following types of questions:

- Is the project meeting its milestones and deliverables?
- Do the expenditures correspond to the original budget?
- Are reports vouchers submitted correctly and on time?

Funding agencies may conduct several types of program monitoring activities, including but not limited to the following:

- ***Basic mandatory monitoring*** which includes the review of performance and progress reports and financial reports, along with the final cumulative reports at closeout, vouchers and budget changes, annual A-133 audits, data submissions as requested, and ongoing communications with the grantee.

  NOTE: A-133 single Audit, previously known as the OMB Circular A-133 audit, is an organization-wide financial statement and federal awards' audit of a non-federal entity that expends $750,000 or more in federal funds in one year.
- ***Periodic on-site monitoring*** such as program reviews, process reviews, general on-site observations, file reviews, and programmatic and operational reviews.

The following list, while not all encompassing, describes the primary steps for ensuring a comprehensive project/program evaluation.

1) Know the expectations of the project. Review goals, objectives, strategies, milestones, deliverables, outcomes and work plans. Scrutinize the performance measures and indicators and carefully plan the tools and resources that will be used for collecting and storing data, when data collection will occur, and how the data will be analyzed.
2) Seek Institutional Review Board (IRB) approval, when required. Review the next section of this handbook and work with the Office of Research to determine if IRB approval is necessary for the project.
3) Contact the Office of Research to discuss the evaluation plans. Principal Investigators (P.I.) must work with the Office of Research regardless of whether the evaluation is conducted internally

or externally by a third party. The Office or Research can advise on baselines, data collection tools and databases, and plans for analyzing data.

4) **Hire an external evaluator, if applicable.** If an external evaluator was proposed, contact the Purchasing department to initiate the bidding process. External evaluators must work with the Office of Research in collecting data and evaluating the project.
5) **Establish a sequence for conducting evaluation activities.** Activities may include complete baseline documentation, conduct pre-tests or surveys, conduct post-tests, and follow-up with participants and partners.
6) **Finalize data collection methods.** Determine what data is needed to show progress toward objectives using performance indicators; plant to collect qualitative and quantitative data from existing or new sources; identify how and where data will be entered and safely stored; and create plans to periodically pull and analyze data for reports and ongoing project improvement.
7) **Engage stakeholders.** If the proposed evaluation plan included input from a stakeholder group or steering committee, now is the time to formally establish the group and begin communication. Create opportunities for partners and stakeholders to engage in the evaluation process as well as identify solutions to the findings. Create a feedback loop throughout the process for interim findings and recommendations.
8) **Initiate data collection.** Prepare and implement plans to analyze date for reports and continuous improvement, including sharing results with stakeholders and partners. Compile data and prepare reports. This step involves the external evaluator, if applicable.
9) **Analyze the data.** Prepare and implement plans o analyze data for reports and continuous improvement, including sharing results with stakeholders and partners. Compile data and prepare reports. This step involves the external evaluator, if applicable.
10) **Monitor the budget.** Review budget expenditures and modifications; ensure that financial repots are submitted on time; and review the program's A-133 audits, as applicable.
11) **Develop plan for disseminating results.** Document and disseminate the results and lessons learned via customized communications that meet the specific needs of stakeholder groups. Findings should be considered in decisions or actions that affect the project. Schedule follow-up meetings with report users to make sure the findings are communicated and used appropriately in decision making.

Section 5: Grant Closeout

Grant closeout is the process by which the Principal Investigator(P.I.), Office of Research Director, and Grant Accountant determine that all requirements of the grant contract agreement between the funding agency and the University have been complete in accordance with the terms and conditions of the agreement. Finishing a grant project is just as important as starting one. Closing out a grant project involves making sure that all grant contract activities have been completed and funding has been exhausted.

Closeout of the grant does not cancel any requirements for property accountability, record retention, or financial accountability. Following closeout, the University remains obligated to return any unexpended funds due to the agency and the sponsor/funding agency may recover amounts based on the results of an audit covering any part of the grant period.

It is highly recommended that you review the Grant Closeout Checklist at least six months prior to the end date of your grant project. Upon closeout, all grant documents and files should by forwarded to the Office of Research for file labeling and storage.

The Closeout Checklist must be completed and returned to the Office of Research within 90 days of the grant end date.

In many cases, the way closeout procedures are handled, such as timely submission of final reports and the quality of those reports, can have a direct impact on the chances for future funding. There are seven grant management items that need particular attention at the closeout of a funded project: pre-closeout activities, budget, personnel, purchasing activities, files, final reports, and the document storage.

AREA	PROCESS
Closeout Checklist	The Principal Investigator (P.I.) should review the closeout checklist several months prior to the end of the grant and consult with the Office of Research for any questions and/or concerns. Once completed & fully ratified with signatures, please forward a copy to the Office of Research.
Budget	Review encumbrances and liquidate those no longer needed. Accounts will be closed soon after the grant's ending date.
Personnel	Complete termination paperwork for all grant-funded staff and if required, submit payroll changes for staff members transferred to other budget accounts or to the new grant budget account assigned to a continuing grant.
Purchasing	Ensure all goods and services have been received prior to the end of the grant, although payment can occur soon after the end of the grant period.
Grant Files	Review all grant documents, personnel records, purchase orders and requisitions, and budget records.
Final Reports	Follow guidelines covered in this section of the handbook.
Document Storage	See Records Management guidelines below.

Disposition of Equipment

Equipment purchased with state or federal funds must be used in the grant project for which it was acquired for as long as the equipment is needed. Grant equipment with a current per unit fair market

value (FMV) of $5,000 or less may be retained, sold, or otherwise disposed of with no further obligation to the Federal awarding agency. The Principal Investigator (P.I) should complete a Disposal of Surplus Inventory form and submit to IT & include a copy with inventory records. If the FMV is in excess of $5,000, the Federal awarding agency should by contacted for instruction prior to disposing according to the terms and conditions of the grant agreement.

Final Reporting

Grant closeout also includes the preparation and submission of final programmatic/technical reports as well as financial reports. Some funding agencies or sponsors have required forms that must be used. All final reports should be submitted to the Office of Research for review and submittal to the funding agency.

Records Management

The University adheres to Federal rules pertaining to retention requirements for grant agreements. As a general rule, all grant files must be retained for a period of at least three (3) years. More specifically, 2 CFR 200.333 states the following:

Financial records, supporting documents, statistical records, all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or pass-through entity in the case of a subrecipient. Federal awarding agencies and pass-through entities must not impose any other record retention requirements upon non-Federal entities. The only exceptions are the following:

(a) If any litigation, claim, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken.
(b) When the non-Federal entity is notified in writing by the Federal awarding agency, cognizant agency for audit, oversight agency for audit, cognizant agency for indirect costs, or pass-through entity to extend the retention period.
(c) Records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition.
(d) When records are transferred to or maintained by the Federal awarding agency or pass-through entity, the 3-year retention requirement is not applicable to the non-Federal entity.
(e) Records for program income transactions after the period of performance. In some cases recipients must report program income after the period of performance. Where there is such a requirement, the retention period for the records pertaining to the earning of the program

income starts from the end of the non-Federal entity's fiscal year in which the program income is earned.

(f) Indirect cost rate proposals and cost allocations plans. This paragraph applies to the following types of documents and their supporting records: indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).

(1) If submitted for negotiation. If the proposal, plan, or other computation is required to be submitted to the Federal Government (or to the pass-through entity) to form the basis for negotiation of the rate, then the 3-year retention period for its supporting records starts from the date of such submission.

(2) If not submitted for negotiation. If the proposal plan, or other computation is not required to be submitted to the Federal Government (or to the pass-through entity) for negotiation purposes, then the 3-year retention period for the proposal, plan, or computation and its supporting records starts from the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.

NOTE: Grant records must be maintained for three years after the final financial report is submitted.

Section 6: Compliance, Audits, and Audit Readiness

Compliance

Grant compliance is the cornerstone of grants management.

Once a grant award is accepted, the University accepts formal, legal responsibility to follow the rules and regulations of the grant including requirements stated in the original request for proposal, the notification of ward, and any other supplemental documentation, including the budget. Failure to comply with the terms and conditions could result in a finding of noncompliance and result in the following:

- The University could be labeled as a high-risk grantee, which could result in suspension or termination of current grant projects, and/or impact the University's eligibility for future grant funding (including federal financial aid);
- Cash payments/reimbursements may be withheld until any given deficiency is corrected;
- All or part of the costs for project activity or action that is not in compliance may be disallowed, meaning the University would have to reimburse the funding agency for disallowed costs;

- Future awards for the project may be withheld; and/or
- Other legal remedies may be imposed
- Additionally, the University and the Principal Investigator (P.I.) may be disbarred, suspended, or excluded from managing federal awards and subawards for mismanagement or misuse of grant funds.
- Depending on the severity of the compliance issues, in cases where fraud has been committed by the PI, the PI could possibly face arrest, prosecution and/or criminal charges.
- If you have any questions regarding any possible compliance issues, please contact Tysha R. Palmer, the Compliance and Post Award Specialist in the Office of Research.

Office of Research
Tysha R. Palmer, Compliance and Post Award Specialist Email: trpalmer@umes.edu Phone: (410)651-6714

Audit Readiness

An important thing for Principal Investigator's (P.I.'s) to remember is that all grant project records are subject to internal and external audits. When organizations receive external grant funds, particularly state or federal funds, they are responsible for using those funds in accordance with laws and regulations. Recipients must use fiscal control and accounting procedures to ensure proper disbursement of and accounting for these funds. The effective management of public and private funds should be the result of ongoing activities that ensure audit readiness, such as:

Administrative controls: Internal policies and procedures an organization follows as part of its normal business operations.

Accounting controls: Internal policies and procedures that protect an organization's finances and financial records.

Compliance with Federal, state, and grant program requirements: Adherence to laws and regulations related to reporting of financial status, treatment of grant-related income, eligibility of participants, monitoring of activities, allowability of charges, and direct and indirect cost allocations.

Records: Should include information adequate to support statements in the proposal and should be retained for the required period of time. The Office of Research will review your project records during annual file reviews.

Internal audits: May be requested by the funding agency to assist in determining the adequacy of controls and systems.

Common Audit Findings

The Office of Research researched a variety of sources to identify the most common audit findings related to the management and administration of grants. Audit findings can have a negative impact on the University and its ability to obtain grants in the future. The monthly compliance reviews are just one way that the Office of Research assists in ensuring the potential for audit findings are minimized throughout the grant period.

Common Budget-Related Audit Findings	
- Unallowable costs charged to grant - Inaccurate administrative costs - Misallocation of costs (amounts expended in unapproved cost category or other cost category) - Budget adjusted without prior written approval - Excessive cost transfers/journal entries	- Lack of time documentation to support salaries charged to grant budget - Inaccurate time and effort reporting or inadequate documentation - Lack of consulting agreements and invoices to support services were related to grant and costs were reasonable.
Common Match, In-Kind, Cost Sharing Audit Findings	
- Cash in-kind amounts not supported by adequate documentation or not verifiable - Using other federal funds as a match - Costs charged based on estimated amounts rather than actual costs - Match claimed on Federal Financial Report (FFR) based on estimates, not actual amounts	- Match expense incurred outside of grant award period - Match amounts unreasonable or excessive - Match deemed unnecessary to implement grant - Match claimed that was not in the approved grant budget
Other Common Audit Findings	
- Noncompliance with assurances and special terms and conditions of award - Significantly behind schedule in meeting grant deliverables or outcomes - Missing or inadequate support documentation for purchases - Equipment purchased without program officer approval	- Changes made to scope of work without program officer approval - Delinquent financial and progress reports - Delinquent closeout report - Inadequate or no subrecipient monitoring - Missing acknowledgement of funding agency on project materials

Section 7: Additional Information

The Office of Research wants you to be successful in managing and performing the work of your grant project. While this handbook cannot contain information or guidance for every situation, the intent is that it provides overviews of the regulations that govern grants, best practices for successful grant management, guidance for navigating the University of Maryland Eastern Shore's administration, and tips for efficient and effective management.

On-site Monitoring Visits

It is possible that during the life of your grant, the grant funding agency will conduct an on-site visit. These can be both programmatic and financial. ***If you are notified of an upcoming agency monitoring visit, the first thing you should do is notify the Office of Research.***

Seeking Institutional Review Board Approval

The University's IRB is responsible for ensuring that data derived from, or to be derived from, human subjects affiliated with UMES is collected and used in a manner that complies with the Code of Federal Regulations (45 CFR part 46) and the U.S. Food and Drug Administration (21 CRF parts 50 and 56). In fulfilling its mission, the IRB must carefully examine research proposals to arrive at an independent determination that the research or data collected and used will meet the following criteria:

- Risks to subjects are minimized and are reasonable in relation to anticipated benefits.
- Selection of subjects is equitable
- Informed consent is sought from each prospective subject or the subject's legally authorized representative and is properly documented.
- When appropriate, the research plan makes adequate provisions for monitoring data collected to ensure the safety of subjects.
- When appropriate, there are adequate provisions to protect the privacy of subjects and to maintain confidentiality of data.
- Additional safeguards are implemented to ensure members of vulnerable populations are not the subject of coercion or undue influence.

NOTE: Visit the IRB webpage (https://irb.nasa.gov/) for the IRB Manual, Forms and FAQs.

Prior to commencing any type of human subject research or confidential data collection (i.e., involving students, staff or faculty) as part of the project evaluation activities, completion, submission, and approval of a Research Proposal Form is mandatory. The form and instruction can be found on the University's website at https://wwwcp.umes.edu/irb/ . If there are questions or concerns about whether the research or evaluation plan requires IRB approval, please contact Jennifer Bobenko at (410)651-7945 or jlhearne@umes.edu .

Prior to commencing any type of animal subject research, you may need to obtain Institutional Animal Care & Use Committee (IACUC) approval. Please contact Victor Hsia at (410)651-8491 or vhsia@umes.edu .

APPENDIXES

APPENDIX A	Routing Form
APPENDIX B	Grant Project Closeout Checklist
APPENDIX C	Grant File Checklist
APPENDIX D	Budget Modification Form
APPENDIX E	Faculty Release Time Approval Form
APPENDIX F	Subrecipient Commitment Form
APPENDIX G	Compliance & File Review Checklist
APPENDIX H	Faculty Percent Effort Form
APPENDIX I	Subrecipient Commitment Form (Business)
APPENDIX J	Submission Procedures for Pre & Post Award Documents

UNIVERSITY of MARYLAND
EASTERN SHORE

APPENDIX A

OFFICE OF RESEARCH

ROUTING AND APPROVAL FORM FOR APPLICATION/PROPOSAL

1. Title of Proposal:_____

2. From: (Dept./Office): _____

3. To (Sponsor/Funding Agency):_____

4. Principal Investigator(s):_____

Email Address:_____

Phone:_____

5. Total Years: From_____To _____

Sponsored Support:

Total Direct Cost: $_____

Indirect Cost: $_____

Rate:_____% (**If not** using the UMES Indirect cost rate of 60% please explain why and list what page on the proposal this is referenced_____).

Total Cost: $_____

UMES Cost Sharing/Matching $_____

Matching Account # (If applicable, must be a state account number) _____
_____

Required Signatures:

_____ Administrative Affairs signature (required for match)

_____ (Chair or Dean Signature, if applicable)

_____ PI Signature. Note: If application is awarded, the PI will work with the designated grant accountant and Administrative Affairs to ensure the matching funds are properly used and recorded.

UNIVERSITY of MARYLAND EASTERN SHORE

APPENDIX A

OFFICE OF RESEARCH

ROUTING AND APPROVAL FORM FOR APPLICATION/PROPOSAL

6. **Complete this section *ONLY* if applicable**

Release Time or Percent Effort for PI: By signing, **the PI affirms** that they have consulted with department chairs in all departments where Release time or Percent effort of faculty is included.

Please indicate which applies: ☐ Release Time ☐ Percent Effort

Percentage/Hours Per Week: _____

Principal Investigator Signature: _____

Department Chair Signature:_____

Release Time or Percent Effort for Co-PI: (If applicable)

Please indicate which applies: ☐ Release Time ☐ Percent Effort

Percentage/Hours Per Week: _____

Co-Principal Investigator Signature: _____

Department Chair Signature:_____

7. **SUBMISSION INSTRUCTIONS**:

Due Date: _____

Submission Portal: How will this need to be submitted: (example- Grants.gov, NSF Fastlane, EZFed Grants, email submission, ERA Commons etc.)

_____

Have you created an account for the designated submission website? ____Yes ____ No

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ROUTING AND APPROVAL FORM FOR APPLICATION/PROPOSAL

8. Please indicate if you will be:

____ Prime Awardee/Principal Investigator or

____ Subawardee of another institution and the other institution will submit the grant

____ Subawardee of another institution and UMES will submit the grant

The University cannot guarantee that it will be able to meet the sponsor's deadline for any proposal submitted to the Grants and Contracts Office later than ***10 business days prior to such deadline*. (Review #10 for IRB/IACUC/Biosafety approvals).** **Should you require assistance with grant development, please allow more time for review.**

9. Types of Project (check as appropriate):

____ Research	____ New	____ Grant
____ Demonstration/Training	____ Renewal	____ Contract
____ Institutional Development	____ Supplemental	____ Formula
____ Other _____	____ Sub-Agreement	____ Cooperative Agreement

10. Protection Assurances, This Project: (select as applicable)

If your proposal requires any of these approvals, you must submit your proposal to the Office of Research at least 10 days prior to grant submission to allow UMES committee review.

____ Does ____ Does not involve human subjects, laboratory animals, biohazards*

Proposal pages Ref._____

If it does, please attach IRB/IACUC/Biosafety approval.

e.g., Hazardous chemicals, pathogenic organisms, disease plants or animals, energy orradiation sources and materials such as microwave, laser, isotopes, recombinant DNA.* **(Consult Office of Research for assistance).

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APPENDIX A

OFFICE OF RESEARCH

ROUTING AND APPROVAL FORM FOR APPLICATION/PROPOSAL

11. Institutional Agreements:

A.	Patent/Copyright Issues	____	Yes	____	No	____	N/A
B.	Cost Sharing or Matching	____	Yes	____	No	____	N/A
C.	Campus Facility/Space Needs	____	Yes	____	No	____	N/A
D.	Off-Campus Arrangements	____	Yes	____	No	____	N/A

12. Will these grant funds be used to run a UMES Summer Camp?

____ Yes ____ No

If "Yes", on what page of the proposal is this mentioned? ____

If "Yes", approval from the Office of the Provost/Academic Affairs is required below.

Signature: _____
Provost/VP Academic Affairs

13. Organizational Relationships: This Project (select as applicable):

____ Does ____ Does not involve other campuses, state or private organizations

_____ If awarded, this grant will require UMES to issue subawards

_____ If so, how many?

Total Amount allotted for all subawards to be issued. (For UMES to issue subawards from this award)

$ _____

Proposal Pages Ref. _____

IF YES, letter(s) of interest or support **must** be attached to proposal.

14. Are funds for this project requested for computer labs or infrastructure that requires UMES IT Department support, installation or procurement? If so, please list what page they are referenced on.
_____

Signature of Chief Information Officer: _____

15. Will student workers be employed from this application (if awarded)? ____ Yes ____ No

UNIVERSITY of MARYLAND
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APPENDIX A

OFFICE OF RESEARCH

ROUTING AND APPROVAL FORM FOR APPLICATION/PROPOSAL

Administrative Approval: Please sign on the appropriate line and forward to the next approval authority.

By signing below, all parties certify that the contents of the proposal represent the work of the Principal Investigator and, if warranted, any and all collaborators.

Principal Investigator: _____ Date: _____

Department Chair: _____ Date: _____

School Dean: _____ Date: _____

Director of Research: _____ Date: _____

Dean of Graduate Studies and Research: _____ Date: _____

Provost/VP Academic Affairs: _____ Date: _____

VP for Administrative Affairs: _____ Date: _____

President: _____ Date: _____

CC: jlshockley1@umes.edu (Josh Shockley)
jeguerrerodelacruz@umes.edu (Julia Guerrero De La Cruz)

APPENDIX B

OFFICE OF RESEARCH
Grant Project Closeout Checklist

Please respond within 10 days of the date of this notice.

□**Date** _____	**Principal Investigator Name** _____	**Award End Date** _____
Funding Agency _____	**Award Number** _____	**KFS Account Number** _____

Expenses

• All expenditures charged to this project are allowable	☐ Yes	☐ No	☐ N/A
• Committed effort requirements have been met and are certified	☐ Yes	☐ No	☐ N/A
• All related pcard transactions and expenses have been approved and posted to this award.	☐ Yes	☐ No	☐ N/A
• All PO's and supplier contracts have been closed (encumbrances released & invoices paid)	☐ Yes	☐ No	☐ N/A
• All journal entries have been completed and processed	☐ Yes	☐ No	☐ N/A
• Sub-recipient's final invoice has been paid (Must be marked final)	☐ Yes	☐ No	☐ N/A
• Have expenses exceeded the award amount?	☐ Yes	☐ No	☐ N/A
• If expenses have exceeded the award amount, has this been documented and corrected?	☐ Yes	☐ No	☐ N/A

Reporting

• All required reports have been submitted to the sponsor with copies to the Office of Research	☐ Yes	☐ No	☐ N/A
• All matching commitments have been met.	☐ Yes	☐ No	☐ N/A

By my signature below:

- **I hereby certify that the above information is true and accurate in all respects.**
- I certify the salary charged and payroll accounting adjustments processed to this award reasonably reflect the work performed during the award period.
- Based on my review of the financial data, I believe that the expenditures are accurate.

	NAME	SIGNATURE	DATE
Principal Investigator			
Department Chair			

*The Department Chair signature is only required if the account has a deficit.

Phone: (410)651-6714 Email: research@umes.edu Web site: https://www.umes.edu/osrp/

UMES

OFFICE OF RESEARCH

Grant File Checklist

PI Name: _____ KFS# _____

Grant Accountant Name: _____

Left Side (Top to Bottom

☐ Grant Number Assignment Memo/email (Issued by Grant specialist)

☐ Official Award Letter (Issued by the Funding Agency)

☐ Routing Form with Submitted Grant Proposal (with President's Signature)

☐ Copy of Indirect Cost Agreement

☐ Cash matching documentation (Note: Should be treated as if it were federal dollars with regards to the scrutiny of allowability and allocability, and documentation. This documentation should show who is providing the match, who is responsible for the management of matching resources, the reporting of those resources and the methodology of how in-kind matching was calculated.)

Right Side (Top to Bottom)

Correspondence

☐ Compliance Notifications (All compliance notifications should be satisfied. Attach all documentation provided to satisfy the compliance notification.)
☐ Internal organization correspondence re: grant project
☐ In-Kind letters confirming donation value and timing
☐ Granting agency correspondence
☐ Account Maintenance Requests (if any)

Budget

☐ Approved Budget Revisions (if any)(i.e. approval letter from Granting Agency authorizing any budget revisions)

☐ Monthly or Quarterly Reports (Note: P.I.'s should sign the monthly reports so that it indicates they reviewed them)

HR

☐ Copies of all HR Forms, Contracts, Stipends, Personnel Activity Reports, and timesheets (if applicable) and any and all descriptions of expected work duties paid for by the grant.

Procurement

☐ Invoices and receipts (be sure there are approval signatures on these from the P.I.)

☐ Purchase orders (Note, for purchases that may exceed the funding agency or the university's monetary amount to where prior approval is required, please be sure to attach the approval to the requisition and include it in the file)

☐ Copies of all VISA forms and detailed receipts

☐ Copies of all Petty Cash forms (if applicable)

☐ Documentation that vendors have been checked for debarment or suspension of receiving federal dollars

☐ Copies of all professional or technical contracts

Inventory

☐ Documentation of all inventory purchased with grant funds. Physical inventory should be done at least once a year by the P.I.

☐ Disposition of broken, obsolete, stolen or lost equipment is key. If equipment was stolen, there should be reports on action taken to recover stolen property or to replace it.

Grant Closing Contents

☐ Final Financial Status Report and/or Narrative Report (Include records/documentation that supports how the report was constructed.)

☐ Grant Project Closeout Checklist

NOTES:

_____
_____
_____
_____
_____
_____
_____

UNIVERSITY of MARYLAND
EASTERN SHORE

Office of Research

COST TRANSFERS/BUDGET AMENDMENTS

Principal Investigator: _____ Telephone: _____

Department: _____ Account: _____

Award Title: _____

Budget modification request is to modify the following:

BUDGET CATEGORY	APPROVED BUDGET	ADJUSTMENTS	REVISED BUDGET

Reminder: When applicable, include changes that affect the F&A budget category. (Example: Transfer of funds to purchase equipment from salary) Please indicate why this transaction is requested.

_____

_____

_____

_____

If purchasing equipment, does the campus currently have similar equipment? Yes ☐ No ☐

If yes, why do you need additional equipment? Please provide explanation below.

_____

_____

_____

_____

Required signatures: Signature of the Principal Investigator certifies that this budget reallocation is necessary to achieve project objectives, is consistent with award terms and conditions, and does not change the scope of the project. **Please date all signatures.**

_____ _____

(1) Principal Investigator Date (2) Department Chair Date

_____ _____

(3) Accountant Date (4) Office of Research Director Date

Revised 5/12/22

FACULTY RELEASE TIME REQUEST AND APPROVAL FORM

Guidelines for Requesting Release Time

Tenure-track faculty seeking release from normal teaching duties must complete this release form prior to any reduction in course load. No release time will be granted unless it is fully approved. The individual faculty member is responsible for completing the form before the release occurs. The completed form is submitted to the department head for review and approval and then to the dean. A clear description of what will be accomplished using the release time must accompany the form.

Requestor: _____ Requestor's Phone: _____

Requestor's Title: _____ Department: _____

Requestor's Email: _____ Name of the Grant: _____

Amount of Release (Percentage of FTE): _____% KFS Account # to be charged: _____

Grant Start Date: _____ Grant End Date: _____

Release Start Date: _____ Release End Date: _____

Grant PI: _____

Type of Release: ☐ Grant Supported Release ☐ Program Review ☐ Special Projects

☐ Other: _____

Describe the purpose of the release from teaching duties and what specifically will be accomplished:

FACULTY RELEASE TIME REQUEST AND APPROVAL FORM

Faculty Member Name	Faculty Member Signature	Date
Grant Accountant Name	Grant Accountant Signature	Date

To Be Completed by the Department Chair:

If approved the Department will need to initiate the appropriate HR paperwork for the replacement of the faculty member during their release time. Please consult with Mary Ames, in HR, for any questions regarding the hiring process. Please attach a copy of the signed, approved Faculty Release Time & Approval Form to the hiring contract.

☐ **Approved** ☐ **Denied**

Department Chair Name	Department Chair Signature	Date

If denied, please provide a reason:

Compliance & Post Award Specialist Name	Compliance & Post Award Specialist Signature	Date
Director of Office of Research Name	Director of Office of Research Signature	Date
HR Director Name	HR Director Signature	Date

UNIVERSITY of MARYLAND EASTERN SHORE

University of Maryland Eastern Shore
Office of Sponsored Research and Programs
www.UMES.edu/OSRP

SUBRECIPIENT COMMITMENT FORM

Date: _____

UMES INFORMATION

Principal Investigator: _____

Proposal Title _____

Prime Sponsor _____

Period of Performance _____

SUBRECIPIENT INFORMATION

Subrecipient Institution Legal Name: _____

Principal Investigator: _____

Proposal Title: _____

Place of Performance: _____

Phone:_____Fax:_____Email: _____

Administrative Contact: _____

Phone: _____Fax:_____Email: _____

Congressional District:_____Zip Code:_____-_____ EIN# _____

DUNS# _____

Fiscal Officer: _____

Phone: _____ Fax: _____ Email: _____

Remittance Address: _____

_____

Requested Amount of Funding for Subrecipient: _____

Authorized Official: _____

Phone: _____ Fax: _____ Email: _____

Address: _____

_____

PROPOSAL DOCUMENTS

The following documents must be included in Subrecipient's subaward proposal submission:

- ☑ Statement of Work
- ☑ Budget and Budget Justification
  (If multi-year subaward, then Budget is to include entire length of project, broken down by year.)
- ☑ PI Current and Pending
- ☑ Key Personnel CV
- ☑ Letter of support/commitment
- ☐ OTHER:_____
- ☐ OTHER:_____

SPECIAL REVIEW AND CERTIFICATIONS

1. **Facilities and Administrative Rates** included in this proposal have been calculated based on:

   ○ Subrecipient federally-negotiated F&A rates for this type of work, or a reduced F&A rate that Subrecipient hereby agrees to accept.
   (If this box is checked, a copy of Subrecipient's F&A rate agreement must be submitted along with this Subrecipient Commitment Form.)

   ○ Other rates
   (Please specify the basis on which the rate has been calculated.)

2. **Fringe Benefit Rates** included in this proposal have been calculated based on:

   ○ Rates consistent with or lower than Subrecipient's federally-negotiated rates.
   (If this box is checked, a copy of Subrecipient's Fringe Benefit rate agreement must be submitted along with this Subrecipient Commitment Form.)

   ○ Other rates
   (Please specify the basis on which the rate has been calculated.)

3. **Cost Sharing** **Yes** ○ **No** ○ **Amount: $**_____
   (Cost sharing amounts and justification should be included in Subrecipient's budget.).

REGULATORY APPROVALS (Questions 4-12)

4. **Debarment, Suspension, Proposed Debarment**
   Is Principal Investigator or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance? Yes ○ No ○

   Subrecipient certifies that they: (answer all questions below)

◯ Are	◯ Are Not	Presently debarred on the SAM system
◯ Are	◯ Are Not	Presently debarred, suspended, proposed for debarment, or ineligible for award of Federal Contracts
◯ Are	◯ Are Not	presently ind icted for, or otherwise criminally or civilly governmental entity.
◯ Have	◯ Have Not	Within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft,
◯ Have	◯ Have Not	Within three (3) years preceding this offer, had one or more contracts terminated for default by any Federal Agency. If you have, please provide explanation:

5. Human Subjects Research Yes ◯ No ◯ Approval Date:_____

If "Yes": Provide Federal wide Assurance (FWA) Number: _____

6. Vertebrate Animal Research Yes ◯ No ◯ Approval Date: _____

If "Yes": Provide Approval Date: _____

(If "Yes": A copy of the IACUC Committee approval must be provided before any subaward will be issued. If pending, obtain approval as required and forward these documents to NCA&T's PI as soon as they become available.)

Does your organization /institution have a PHS Animal Welfare Assurance Number?

Yes ◯ No ◯ If "Yes": Provide Number: _____

7. Hazardous Materials ◯ Yes ◯ No

If Yes, is an institutional Hazardous Materials Management Plan in place? Yes ◯ No ◯

8. Fiscal Responsibility

Subrecipient certifies that its financial system is in accordance with generally accepted accounting principles and**:**

- ☐ has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received
- ☐ maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants
- ☐ complies with applicable laws and regulations
- ☐ can prepare appropriate financial statements, including the schedule of expenditures of Federal awards
- ☐ there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

A 133 Audit Status

Does Subrecipient receive an annual audit in accordance with OMB Circular A-133?
Yes ☐ No ☐
If "Yes": Has the audit been completed for the most recent fiscal year? Yes ☐ No ☐
If "Yes": Were any audit findings reported? Yes ☐ No ☐
Please explain any audit findings:

_____

_____

If Subrecipient does not receive an annual audit in accordance with OMB Circular A-133, please select the appropriate box indicating why the Subrecipient would not be subject to compliance with A-133 certification:

☐ Non-profit entity expending less than $500,000 per year in Federal and Sub-Federal funds
☐ Foreign (non-U.S.) entity
☐ For-profit entity that expends Federal or Sub-Federal funds and has DCAA audited rates
☐ For-profit entity that does not expend Federal or Sub-Federal funds
☐ For-profit entity that *does not* have annual audits For-profit entity that *has* annual audit
☐ Federal Agency
☐ Other

Authorized Signature

APPROVED FOR SUBRECIPIENT: The information, certifications, and representations above have been read, signed, and made by an authorized official of the subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies should an award be made.

Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.

_____ _____
Signature of Subrecipient's Authorized Official Date

_____ _____
Printed Name and Title of Authorized Official Telephone Number

_____
Email

OFFICE OF RESEARCH

P.I. Name: _____
KFS#: _____
Grant Name: _____

GRANT REVIEW CHECKLIST

REASON FOR REVIEW: ☐ Random Check ☐ Notification Received from funding agency

TYPE OF FILE: ☐ Grant ☐ Subaward ☐ Contract

ADMINISTRATIVE

☐ Yes ☐ No Proposal routed through Office of Research

☐ Yes ☐ No Cost Sharing/Matching verified – Matching Account # _____

☐ Yes ☐ No Faculty Release Time form completed and forwarded to HR? _____

☐ Yes ☐ No Any amendments to the grant?
Amendments noted: _____

☐ Yes ☐ No Prior approvals obtained for amendments?
If no, why? _____

☐ Yes ☐ No Absence of Comingling

SALARY/TIME AND EFFORT/CONTRACTS

☐ Yes ☐ No ☐ N/A Time and Effort Reports approved?

☐ Yes ☐ No ☐ N/A All copies of employee contracts associated with the grant in file?

☐ Yes ☐ No ☐ Are all those being paid from the grant on the grant?

☐ Yes ☐ No Are they performing duties related to the grant?

☐ Yes ☐ No Are they working for those associated with the grant?

INVENTORY

☐ Yes ☐ No ☐ N/A Procurement open competition and bids/proposals verified?

☐ Yes ☐ No Procurement items reviewed?
Discrepancies noted: _____

☐ Yes ☐ No ☐ N/A Property Inventory records verified?

☐ Yes ☐ No Inventory obtained with grant funds: _____

UNIVERSITY of MARYLAND EASTERN SHORE

OFFICE OF RESEARCH

P.I. Name: _____
KFS#: _____
Grant Name: _____

☐ Yes ☐ No ☐ N/A Have all purchased items been tagged by UMES?:
If no, provide reason why: _____

☐ Yes ☐ No ☐ N/A UMES Inventory number assigned: _____

TRAVEL

☐ Yes ☐ No Is there any travel utilizing grant funds?

☐ Yes ☐ No Has all travel been approved by Department Chairs?

☐ Yes ☐ No Has all travel been approved by Beatrice Wright/Academic Affairs?

☐ Yes ☐ No Any travel unrelated to the grant?
If Yes, who and when? _____
_____

REPORTS

☐ Yes ☐ No Annual reports current?
If no, has a compliance notification been sent and when? _____

NOTES

_____

_____

_____

_____ _____
Office of Research Compliance Specialist Signature Date

Further Review Needed ☐ Yes ☐ No

_____ _____
Office of Research Director Signature Date

_____ _____
Office of Research Dean Signature Date

PERCENT EFFORT APPROVAL FORM

Guidelines for Requesting Release Time

Tenure-track faculty seeking release from normal teaching duties must complete this release form prior to any reduction in course load. No release time will be granted unless it is fully approved. The individual faculty member is responsible for completing the form before the release occurs. The completed form is submitted to the department head for review and approval and then must be routed through HelloSign for additional signatures. A clear description of what will be accomplished using the release time must accompany the form.

Requestor: _____ Requestor's Phone: _____

Requestor's Title: _____ Department: _____

Requestor's Email: _____ Name of the Grant: _____

Amount of Release (Percentage of FTE): _____% KFS Account # to be charged: _____

Amount of Release in exact dollars: _____ ***(This amount includes fringe benefits)***

Grant Start Date: _____ Grant End Date: _____

Release Start Date: _____ Release End Date: _____

Grant PI: _____

Type of Release: ☐ Grant Supported Release ☐ Program Review ☐ Special Projects

☐ Other: _____

Describe the purpose of the release from teaching duties and what specifically will be accomplished:

PERCENT EFFORT APPROVAL FORM

Faculty Member Name	Faculty Member Signature	Date
Grant Accountant Name	Grant Accountant Signature	Date

To Be Completed by the Department Chair or Dean. ***If you are a Chair requesting Percent Effort, you must obtain approval from your Dean.***

☐ **Approved** ☐ **Denied**

Department Chair Name	Department Chair Signature	Date
Dean Name	Dean Signature	Date

If denied, please provide a reason:

Compliance & Post Award Specialist Name	Compliance & Post Award Specialist Signature	Date
Director - Office of Research Name	Director - Office of Research Signature	Date
Director of HR Name	Director of HR Signature	Date

UNIVERSITY of MARYLAND EASTERN SHORE

OFFICE OF RESEARCH

WEBSITE: WWW.UMES.EDU/OSRP

SUBRECIPIENT COMMITMENT FORM (BUSINESSES/CONSULTANTS)

Date: _____

UMES INFORMATION

Principal Investigator: _____

Proposal Title: _____

_____

Prime Sponsor: _____

Period of Performance: _____

SUBRECIPIENT INFORMATION

Subrecipient Business Name: _____

Administrative Contact/Consultant: _____

Proposal Title: _____

Place of Performance: _____

Mailing Address for Business: _____

Website Address for Business: _____

Phone: _____ Fax: _____ Email: _____

PROPOSAL DOCUMENTS

The following documents must be included in Subrecipient's subaward proposal submission:

- ☐ Statement of work
- ☐ Budget and Budget Justification (If multi-year subaward, then Budget is to include entire length of project, broken down by year)
- ☐ Key Personnel CV
- ☐ Letter of support/commitment
- ☐ OTHER: _____

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OFFICE OF RESEARCH

WEBSITE: WWW.UMES.EDU/OSRP

SPECIAL REVIEW AND CERTIFICATIONS

REGULATORY APPROVALS (Questions 1-2)

1. Debarment, Suspension, Proposed Debarment

☐ Yes ☐ No Is authorized official, administrative contact, consultant or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance?

Subrecipient certifies that they: **(answer all questions below)**

☐ Are ☐ Are Not Presently debarred, suspended, proposed for debarment, or ineligible for award of Federal Contracts

☐ Are ☐ Are Not Presently indicted for, or otherwise criminally or civilly charged by a governmental entity.

☐ Have ☐ Have Not Within three (3) year preceding this offer, been convicted of or had a civil judgement rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement and/or theft

☐ Have ☐ Have Not Within three (3) years preceding this offer, had one or More contracts terminated for default by any Federal Agency. If you have, please provide an explanation.

UNIVERSITY of MARYLAND EASTERN SHORE

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WEBSITE: WWW.UMES.EDU/OSRP

2. Fiscal Responsibility

Subrecipient certifies that its financial system is in accordance with generally accepted accounting principles and:

☐ There are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

☐ Please attach most recent year W-9 form (completed & signed)

☐ Please attach a copy of your business license/LLC license

☐ Yes ☐ No Does subrecipient have any outstanding debt with the Federal Government?

☐ Yes ☐ No Has subrecipient filed bankruptcy within the last 7 years?

AUTHORIZED SIGNATURE

APPROVED FOR SUBRECIPIENT: The information, certifications, and representations above have been read, signed , and made by an authorized official of the subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regards to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies should an aware be made. Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.

_____ _____

Signature of Subrecipient's Authorized Official Date

_____ _____

Printed Name and title of Authorized Official Telephone Number

_____

Email

OFFICE OF RESEARCH

SUBMISSION PROCEDURES FOR PRE AND POST AWARD DOCUMENTS

PRE-AWARD SUBMISSION PROCEDURES

All proposals must be routed through the Office of Research through Dropbox Sign. A Principal Investigator (P.I.) may **NOT** submit any application on their own, that has not yet gone through the campus routing process, **or** without the confirmation from the Director of Research.

1) The P.I. must submit a completed **Routing Form**, **Scope of work for your project**, **Budget and/or Budget Justification** along with their grant application, for routing, to the Office of Research **through Dropbox Sign** ***at least 10 days prior to the application being submitted to the funding agency.*** Please be mindful of your application due date!

2) **When routing your documents through Dropbox Sign**, please use the following information below as a signature guide for your Routing form. The following sections will require signatures if applicable. If your proposal application requires signatures on the interior pages of the document, along with the routing form, please place the signature spots where necessary in Dropbox Sign. If you are unsure who should sign the interior sections, please contact Dr. Joseph Pitula (ext. 2980) or Josh Shockley (ext. 8993)

   - **Section 5** (If applicable) – **Matching Funds**
     - P.I.
     - Department Chair
     - Dean

   - **Section 6** (If applicable) – **Release Time or Percent Effort**
     - P.I.
     - Department Chair
     - Co-P.I.
     - Department Chair

   - **Section 12** (if applicable) – **Summer Camps**
     - Provost/VP Academic Affairs

   - **Section 13** (if applicable) – **IT Department Support**
     - Chief Information Officer

3) All signatures are required for this section.

- **Administrative Support** **(This section must be fully signed on all routing forms. Please be sure to indicate all of these signature)**
  - P.I.
  - Department Chair
  - School Dean
  - Director of Research (Dr. Joseph Pitula – jspitula@umes.edu)
  - Dean of Graduate Studies & Research (Dr. Lakeisha Harris – llharris@umes.edu)
  - Provost/VP Academic Affairs (Dr. Rondall Allen – reallen@umes.edu)
  - VP for Administrative Affairs (Anastasia Rodriguez – awrodriguez@umes.edu)
  - President (Dr. Heidi Anderson – hmanderson@umes.edu)
  - **Please CC: the following people in Dropbox sign**: Josh Shockley – **jlshockley1@umes.edu** **and** Julia Guerrero De La Cruz – jeguerrerodelacruz@umes.edu

4) Additional Attachments or documents required by the funding agency for submission, such as subrecipient commitment forms, signed letters of commitment, signed budgets, signed W-9 forms, signed waiver letters, etc. should be routed to the Office of Research ***at the same time as you send the proposal through Dropbox Sign.*** Please email this documentation to Josh Shockley @ jlshockley1@umes.edu and CC: Dr. Joseph Pitula @ jspitula@umes.edu .

5) Matching costs, IRB components or IACUAC components to the PI's application must be noted on the routing form in the designated areas. Please copy the Office of Research on **all correspondence sent to the IRB Chair or IACUAC Chair** (CC: Josh Shockley @ jlshockley1@umes.edu and Dr. Joseph Pitula @ jspitula@umes.edu)

OFFICE OF RESEARCH

SUBMISSION PROCEDURES FOR PRE AND POST AWARD DOCUMENTS

POST-AWARD SUBMISSION PROCEDURES

The Principal Investigator (P.I.) must adhere to the following procedures and are the direct responsibility of the P.I.

POST AWARD SUBMISSION PROCEDURES	PROCESS
SUBAWARDS	If there is a subaward, **the P.I. must email a request** to Josh Shockley at jlshockley1@umes.edu at the Office of Research to issue a subaward to any of the subcontractor(s) who are part of the P.I.'s grant. Please include your KFS account number in the subject of your email.
MONITORING YOUR GRANT ACCOUNT	The Principal Investigator (P.I.) is responsible for accessing KFS (https://kualifinancial.umd.edu) and monitoring the activity on their grant account(s). The Principal Investigator (P.I.) is required to contact their grant accountant directly regarding any questions involving any activity and invoicing on their grant account.
EXPENSES	The P.I. is responsible for assuring that all approved expenses in support of a project are properly charged prior to the grant nearing expiration. Charging departmental budgets for sponsored projects is normally not appropriate. Prompt and accurate reporting to the OSRP will preclude costly department labor needed to effect cost-transfers to rectify errors.