College of Education Grants and Contracts Policies and Procedures

General Pre-Award and Post-Award Support

Responsibility & Oversight

The College of Education Office of Grants and Contracts (OGC) is responsible for ascertaining that all COE grant and contract proposals adhere to University, State, Federal, and funder guidelines, as appropriate for each specific proposal. This Office is also responsible for confirming adherence to the rules that govern operations and expenditures associated with awarded grants and contracts. The policies and procedures described in this document are to ensure that the Office can carry out this responsibility and to enable this Office to provide a high level of support to the College faculty.

Liaison Role

The Director of the OGC works as the College’s official contact for the University offices of Sponsored Awards Management and Contract and Grant Accounting. Communications from these offices regarding specific projects should be routed to the Director of the OGC.

Funding Proposals

The OGC provides assistance with identifying funding opportunities and preparing proposals for submission. All funding proposals should be submitted to this Office as soon as possible, but no later than one week prior to the funder’s proposal deadline. The Director of the OGC will work with the principal investigator on revisions, if needed, to enhance the chances for proposal success. The extent that the Office can help with these revisions is dependent on how much time is available prior to final submission, so it is important for the principal investigator to contact the Office early in the proposal stage. The OGC will be responsible for routing the proposal to College administrators and ascertaining that these administrators have forwarded the proposal to Sponsored Awards Management in a timely fashion.

Post-Award Support

The OGC helps secure administrative support for all awards. The OGC will work with department chairs to identify personnel who will be responsible for grant expenditure paperwork and other project-related logistics. Identification of this support will be made in the award notification letter to be distributed by the OGC upon receipt of each grant award. When possible, especially for larger projects, funding for this purpose will be included in the proposal budget. Options would include temporary grant-funded personnel or paying for part of the salary of permanent staff. For proposals that will lead to smaller projects, administrative assistance will be identified by the OGC in conjunction with the department chair.

All financial and personnel requests must be routed through the OGC for approval. The Director of the Office will serve as a proxy for department chairs and office directors in the role of signatory responsibility for financial matters associated with funded grants and contracts. The Director will communicate regularly with chairs and directors about funded projects and will seek direct approval when there are questions about proposed expenses. In addition, the COE Grants and Contracts Finance Manager will send regular reports to principal investigators with a copy to the respective chair or director.

Centers and Offices

Permanent centers and offices that are largely funded through grants and/or contracts and that employ administrative assistants and finance managers may request an exemption from routing requests through the OGC. Administrative transactions will still be monitored by this Office and failure to comply with relevant policies will result in revocation of the exemption.
A. Overview of LX Account Management procedures

1) Account management for College of Education (COE) LX00 accounts is provided by the College of Education Office of Grants and Contracts (OGC). All budget adjustments to COE LX accounts, including accounts for COE Departments, are coordinated through this office.

2) The COE OGC will work with the Office of Educational Outreach (OEO) to ensure that all account actions affecting budgeted amounts in COE units’ LX accounts accurately reflect actual revenues received for OEO courses.

B. Budgeting of LX accounts

1) All externally-funded contract course and degree program proposals (consisting of either a Course Approval Form or MOU) will be routed through USCeRA for department and college approvals. At the time of USCeRA routing the OGC will make note of the predetermined college/department revenue split as stated in the approval memo that accompanies each CAF/MOU.

2) Upon receipt of a fully executed MOU from the OEO, the Director of the OGC will submit a request to the Office of Sponsored Awards Management (SAM) to increase the relevant department LX account budget by the appropriate amount, after taking into account the applicable revenue split between the college and department LX account. The division of revenues between the college and department LX accounts will be determined based on the split information provided in the original approval memo. The budget increase request submitted by the Director of the OGC to SAM will include the original proposal number and contract amount routed through USCeRA and the budget increase amounts for both the college and department LX accounts. The Director of the OGC will copy OEO staff and the OGC Business Manager on the budget request emails to SAM.

3) OGC staff will submit the invoicing memo to the Accounts Receivable Office. This memo will include information regarding the revenue amounts to be deposited into both the department and college LX accounts. In addition to information regarding the split between college and department LX accounts, the memo will include the following object codes, as applicable, to be used for the revenue deposits: 1) 40125 – Contract Course Fee Summer I; 2) 41035 – Contract Course Fee Summer II; 3) 40145 – Contract Course Fee Fall; 4) 40155 – Contract Course Fee Spring. Subsequently, OEO staff will immediately notify the COE OGC of any necessary amendments to contract courses or degree programs that will result in a change in revenue realized.

C. Management of Internal LX00 course budgets

1) The Director of the OEO will provide the Director of the OGC with an internal budget for each contract course/degree program at the time of submission through USCeRA. These budgets will be for internal purposes only and will not be uploaded into USCeRA. Each budget will provide details regarding anticipated expenses for each degree program, including salaries of regular faculty members.

2) The OGC Business Manager will maintain a separate subaccount file for each degree program within each department account file (15230 LX00, 15240 LX00, 15250 LX00), with the internal budget included as part of that subfile. These budgets will be used for reference purposes when approval of LX expenditures is required.

3) The OGC Business Manager will distribute monthly LX account budget reports to department chairs and to the COE Business Manager, and will provide post-award assistance as necessary to manage these accounts.