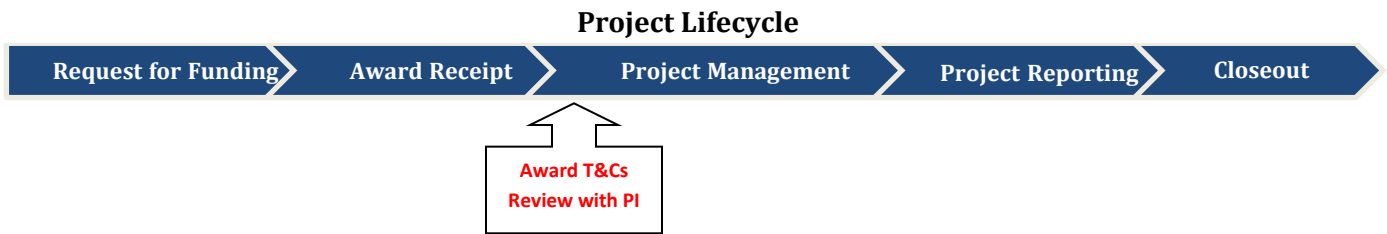


LDEO Department:
Contracts and Grants

Effective Date:
3/1/2011

Standard Operating Procedure:
New Award Kickoff Meeting



Summary:

When an award is accepted, Columbia University (CU) and Lamont-Doherty Earth Observatory (LDEO) agree to be bound by its terms and conditions (T&C) which take effect as soon as the award is accepted. There are informative T&C that offer clarifying information and restrictive terms. Most sponsoring agencies have General Terms & Conditions that relate to each award.

Proper stewardship of awards to Columbia/LDEO is a responsibility that is shared among many individuals and departments within the University. By working together the responsible parties ensure compliance with federal regulations such as OMB Circulars A-21 and A-110. The Principle Investigator (PI) is supported by the Lamont-Doherty Earth Observatory Administration, CU Sponsored Projects Administration (SPA) and CU Sponsored Projects Finance (SPF) in these efforts. All of these offices provide information, guidance and expertise to the PI’s; however it is the primary responsibility of the PI to ensure they have the proper knowledge of and compliance with all terms and conditions on his/her award and project.

The purpose of this Standard Operating Procedure (SOP) is to define the method by which the LDEO Contracts & Grants Office will ensure the Principal Investigators (PIs) and Division Administrators (DAs) understand the terms and conditions for each of their awards.

Definitions:

CU	Columbia University
DA	Department/Division Administrator
InfoEd	University system for sponsored award management
LDEO	Lamont-Doherty Earth Observatory
NOA	Notice of Award – Grant, cooperative agreement or fully executed contract
OMB	Office of Management and Budget
PI	Principal Investigator
SOP	Standard Operating Procedure
SPA	Sponsored Project Administration – The Columbia central administration department responsible for all institution level preaward review and approval and certain postaward transactions and sponsor communication
PIN	Project Information Notice – Internal Columbia form created in InfoEd, stored in ReportWeb and fed to ARC. Departments run their own PIN upon notification from ARC that a project has been setup or modified.

SPF	Sponsored Finance Administration – The Columbia central administrative department responsible for financial post award activities such as financial reporting, invoicing and cash draw downs
T&C	Terms and Conditions of an award

Procedure:

New award T&C review meetings

- After receipt, review and distribution of the Notice of Award (NOA) and associated award documents, a meeting to review award T&C will be set up with the appropriate project team, including the PI(s), Division Administrator (DA), Contracts and Finance Staff. Purchasing staff, the Assistant Director for Finance and Administration, the Manager of Human Resources and the Observatory Director will be included in these meetings where appropriate, such as when the award is particularly large or complex.
- The LDEO Contracts Project Coordinators will send out an email to the project team upon receipt of award and will host the meetings.
- The Project Team will work with the Project Coordinator to setup a convenient date and location as soon as practical but in no instance more than one month of award setup.
- The LDEO Contracts Project Coordinator responsible for each new award will develop handouts itemizing the reporting requirements as well as other specific terms & conditions for each award along with a project specific sign-in sheet for the kick off meeting (**See Attachment A**). The handout and documentation of attendance will become a permanent record for each award.
- The Project Coordinator will send out meeting reminders to ensure attendance.
- The Manager of the Contracts & Grants office has developed an internal spreadsheet that will track awards by date of receipt, attendees and date of T&C meeting. For complex and large projects one meeting will take place with all participants.
- For awards where there is little deviation from standard terms and conditions, agency specific group meetings will be led by the LDEO Contracts Project Coordinators to capture a larger number of participants at one time. These awards are characterized by having traditional reporting requirements and adherence to typical compliance regulations. Administration department heads will be required to attend a group meeting for each agency at least once a year to remain current with any new agency guidelines as released. Meetings will be planned for one agency at a time until all of the funding sources across LDEO have been reviewed with all key administrative staff. If a participant does not attend a previously scheduled group meeting, the LDEO Grants and Contracts Manager will make subsequent arrangements to provide the materials covered at the meeting.

Escalation Procedure:

Disagreements regarding the interpretation or enforcement of an LDEO SOP will be resolved internally at LDEO by conferring with either the Assistant Director for Finance and Administration or the

Observatory Director. Questions regarding University Policy will be referred to an appropriate party within the University's Central Administrative Departments.

In the event an employee does not comply with University policy or procedure they would initially be subject to a verbal warning by their supervisor. Repeated failure to comply can result in further disciplinary action, such as a written warning or an unfavorable performance review, up to and including termination of employment.

Roles and Responsibilities:

Tasks	Manager, Contracts & Grants	Project Coordinator	Administrative Assistant
Initiate communication to the Project Team to setup meeting	Perform	Perform	
Leads Kickoff meetings	Perform	Perform	
Coordinates meeting time and location	Perform	Perform	
Generates Handouts	Perform	Perform	
Sends out Reminders & Followup	Perform	Perform	
Files documentation			Perform
Updates Spreadsheet	Perform	Perform	

Attachments:

Attachment A – Project Specific Sign-In Sheet

Attachment B – Reporting Requirements

Document History:

Date	Name	Action	Notes
3/1/2011	M. Respo	Created	
5/30/2012	M. Respo	Edited	
11/9/2012	E. Soergel	Edited	
11/25/2012	M. Respo	Edited	

ATTACHMENT A

KICKOFF MEETING REVIEW OF TERMS & CONDITIONS

Project Title

Cooperative Agreement	PIs	Project Number	Effective Date	Termination Date

PURPOSE:

Review Award Terms & Conditions and Reporting Requirement with the entire Project Team and LDEO Administration to ensure award compliance.

DATE:

LOCATION:

START:

END:

HOST:

ATTENDEES:

<u>Name</u>	<u>Role</u>	<u>Signature</u>
PROJECT TEAM		
	Principal Investigator	_____
	Co-Investigator	_____
	Co-Investigator	_____
	Co-Investigator	_____
	Co-Investigator	_____
	Department Administrator	_____
	Administrative Assistant	_____
ADMINISTRATION		
Art Lerner-Lam	Deputy Director	_____
Edie Miller	Assistant Director, Finance & Administration	_____
Vicky Nazario	Finance Manager	_____
Karen Hoffer	Purchasing Manager	_____
Theresa Sencen	Project Coordinator – Contracts Office	_____
Annette Higgins	Project Coordinator – Contracts Office	_____
Rachel Young	Project Coordinator – Contracts Office	_____
Kris Harding	Administrative Assistant – Contracts Office	_____

ATTACHMENT B

REPORTING REQUIREMENTS

Project Title

Contract & Grant	PIs	Project Number	Effective Date	Termination Date	Total Awarded	Cost Sharing	Comments
SUBCONTRACTOR	PI	Status	Start Date	End Date	PO Amount		
SPECIAL TERMS							Amount Budgeted
REPORTING REQUIREMENT	Report Period	Due Date					
All required reports will be submitted via fastlane using the appropriate reporting category. For any report not specifically mentioned in fastlane (annual, or final) the awardee will use the "Interim Reporting" function to submit report. COPIES OF ALL DELIVERABLES MUST BE SENT TO CONTRACTS & GRANTS.							
ARRA Quarterly Reports – Submit using University Web Site (http://arrareporting.columbia.edu)							
Report due to agency no later than 10 calendar days after each calendar quarter. Official report is submitted by Columbia University Office of Sponsored Finance. Columbia will notify PI via email when the internal deadline is each quarter. Please watch your emails carefully for this communication. The PI is given a 2-week period to submit. Report should be clear complete sentences, no abbreviations and include subcontract detail.							
ARRA Financial Report Section 1512 – Submitted by the Office of Sponsored Finance							
Report due to agency no later than 10 calendar days after each calendar quarter. Report generated and submitted by David Lundquist with PI approval. Columbia central will email you the financial report capturing all quarterly cost. The PI is expected to review and notify David Lundquist at dl2613@columbia.edu with any required adjustments or corrections. Please watch your emails carefully for this communication. The PI is only given a small 2 day window for this review. Any adjustments or corrections must be processed immediately before the next quarterly report.							

Contract & Grant	PIs	Project Number	Effective Date	Termination Date	Total Awarded	Cost Sharing	Comments	
<p>Annual Project Reports – Submit using the "Annual Report" function on Fastlane</p> <p>Report due 90 days prior to the end of the current budget period. Reports should provide information on activities and findings; a comparison of actual accomplishments with the goals and objectives established for the period; analysis and explanation of cost overruns or high unit cost; and any significant impact that may impair the ability to meet the objective of the award and how we plan to handle. Any financial data provided must be from ARC.</p>								
<p>Final Project Report – Submit using the "Final Report" function on Fastlane.</p> <p>Report due within 90 days following the expiration date of award.</p>								
<p>Project Outcome Report:</p> <p>The grantee shall submit a Project Outcomes Report for the General Public within 90 days following the expiration date of the award. The Project Outcomes Report must be submitted electronically via Research.gov with may be accessed at http://www.research.gov/. This report serves as a brief summary, prepared specifically for the public, of the nature and outcome of the project.</p>								