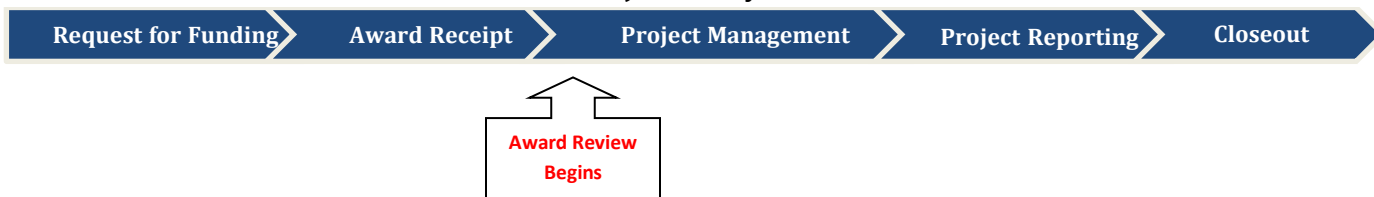


LDEO Department:
 Contracts and Grants

Effective Date:
 11/1/2010

Standard Operating Procedure:
 Award Setup Review

Project Lifecycle



Summary:

Upon receipt of a Notice of Award (NOA) from a sponsoring agency, the award document is reviewed and distributed, to Lamont-Doherty Earth Observatory (LDEO), by Sponsored Projects Administration (SPA). Once SPA has completed all the necessary steps in their New Award Receipt and Account Setup Standard Operating Procedure (SOP), they enter the key award information in InfoEd, the grants management system, feed the project to Accounting and Reporting at Columbia (ARC) and distribute the award document and project information via standard procedures.

As a condition of its acceptance of funding from a sponsor, the University is obligated to undertake certain stewardship activities and to ensure compliance with federal, state and local laws & regulations, University policies and with sponsor restrictions. The purpose of this SOP is to define the method by which the LDEO reviews the project setup for compliance with award terms and conditions.

Definitions:

AA	Administrative Assistant (LDEO Contracts and Grants)
ARC	Accounting and Reporting at Columbia. Online system that allows for the creation, approvals routing, and transmission of financial data.
DA	Department/Division Administrators
InfoEd	University system for sponsored award management
LDEO	Lamont-Doherty Earth Observatory
NOA	Notice of Award. Grant, Cooperative agreement or fully executed contract.
PI	Principal Investigators
PIN	Project Information Notice. Internal Columbia form created in InfoEd, stored in ReportWeb and fed into ARC. Departments run their own PIN upon notification from ARC that a project has been setup or modified.
SOP	Standard Operating Procedure
SPA	Sponsored Projects Administration. The Columbia central administration department responsible for all institution level preaward review and approval and certain postaward transactions and sponsor communication.
SPF	Sponsored Projects Finance. The Columbia central administrative department responsible for financial post award activities such as financial reporting, invoicing and cash draw downs.

Procedure:

Award Receipt, Review and Distribution

The NOA is sent from SPA via email to the following individuals at LDEO:

- Principal Investigator
- Manager of Contracts & Grants
- Post-Award Project Coordinator
- Contracts & Grants Administrative Assistant

Upon notification from ARC of project setup the following steps are taken at LDEO to review award setup and project attributes:

- The Contracts & Grants Administrative Assistant (AA) prints the award documentation received via email from SPA and pulls the appropriate award and/or proposal folder.
- The AA compares the PIN to ARC for consistency and checks the department codes for accuracy.
- The Manager of Contracts & Grants will review the PIN against the proposed budget and NOA for accuracy. If any inconsistency is present the PIN will be marked up to reflect changes and sent to SPA for correction and a revised PIN.
- The Manager of Contracts & Grants will generate an “LDEO Notification of Award” [**See Attachment A**]. The AA is responsible for the distribution of the entire packet to the Principal Investigator (PI), all CO-Investigators, their respective Division Administrators (DA), their respective Contracts & Grants Project Coordinator and LDEO Finance. The LDEO notification of award includes the PIN, NOA, and serves as a snapshot of an award terms for the PIs.
- The Manager of Contracts & Grants highlights special terms and conditions in bulleted form on the “LDEO Notification of Award” to make it easy for PIs and other staff involved in grants management to be clear on special terms.
- The Manager of Contracts & Grants will change the status from pending to awarded within the departmental proposal log. The AA will add the award detail to the list of active LDEO awards.

Award Information Tracking

- If the award has a subcontract, the necessary subcontract documentation is gathered by the Manager of Contracts & Grants and forwarded to the SPA Subaward Team [**See LDEO Subrecipient Monitoring Compliance SOP**].
- If the award requires cost sharing the Manager of Contracts & Grants notifies the DA, PI and LDEO Finance via a standard cost sharing letter. Internal cost sharing spreadsheet is updated tracking award and amount of cost share per year.
- Most awards are invoiced at Sponsored Projects Finance (SPF); however, there are some awards that may require backup documentation accompany the University invoice. The Manager of Contracts & Grants will monitor these accounts monthly. The backup documentation is either gathered from LDEO finance, the DA and/or the PI, as needed and emailed to SPF.
- Each member of the Contracts & Grants office is responsible for tracking award deliverables. Each member is assigned a specific division/department located at LDEO. Upon distribution of an LDEO

notification of award each member updates their respective reporting spreadsheet. Notification is sent out monthly to all PIs and DAs of upcoming reporting due [See LDEO Reporting Compliance SOP].

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:

	Manager Contracts & Grants	Project Coordinator	Administrative Assistant
Prints NOA and PIN		Backup	Perform
Checks for consistency between PIN and ARC		Backup	Perform
Reviews project setup for accuracy against NOA	Perform	Backup	
Generates LDEO notification of award and changes status to awarded	Perform	Backup	
Copies and distributes LDEO notification of award			Perform
Updates list of active LDEO award spreadsheet			Perform
Updates subaward spreadsheet	Perform	Backup	
Updates reporting spreadsheet	Perform	Perform	Perform
Cost Sharing reporting	Perform		

Attachments:

Attachment A – LDEO Notification of Award

Document History:

Date	Name	Action	Notes
11/01/2010	M. Respo	Created	
2/18/2011	M. Respo	Edited	
11/09/2012	E. Soergel	Edited	Reflects changes due to ARC
11/25/2012	M. Respo	Edited	

ATTACHMENT A

**LAMONT-DOHERTY EARTH OBSERVATORY
Administration - Contracts/Grants**

Notification of Award

TO:

RE:

TITLE:

AMOUNT:

PERIOD:

P.I.'s:

COMMENTS:

**Maribel Respo
Manager, Contracts & Grants**

**Cc: Finance
Project Coordinator
File**

LDEO Proposal #

PIs:

Award & Account Nos.

Period:

Total Award:

ADDITIONAL AWARD INFORMATION

TECHNICAL CONTACT:

ADMINISTRATIVE CONTACT:

REPORT REQUIREMENTS:

**COPIES OF ALL DELIVERABLES MUST
BE SENT TO CONTRACTS & GRANTS**