



# WPI

**Title:** Grants Administration  
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**Administrator:** Office of Sponsored Programs, Sponsored Programs Accounting  
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## **Purpose**

To establish policy and procedure for managing external grant awards to advance the achievement of the mission and strategic priorities of the University.

## **Policy Statement**

WPI solicits and accepts contracts and grants from a variety of federal and non-federal sponsors (including industrial and commercial concerns, universities, governments, private foundations, and other organizations). With the acceptance of externally funded awards, the University agrees to provide technical or scientific expertise and to manage each award in conformance with various fiscal and administrative regulations. Responsibility for managing these contracts and grants is necessarily shared throughout the University environment and is comprised of the set of procedures that assure the fulfillment of that commitment, compliance with law, and with relevant regulations.

## **Internal Control and Procedures**

### **Pre-proposal Considerations**

Worcester Polytechnic Institute employees or groups wishing to apply for external funding through local, state, or federal grants or grant awards from corporate or foundation sources shall contact the Office of Sponsored Programs (OSP) prior to beginning the application process. No funding application should be submitted without the approval of OSP.

### **Proposal Development and Submission**

The Office of Sponsored Programs will monitor the grant application process, the status of submitted requests, and the coordination of approved and received grants.

### **Grant Award and Acceptance**

The Office of Sponsored Programs should receive the notification of the award from the grantor agency. OSP reviews the award, adjusts the budget and/or negotiates award terms if necessary, and accepts the award. OSP will maintain institutional records dealing with grants proposals.

## **Grant Administration**

PI - Every sponsored project has a Principal Investigator assigned who is responsible to ensure appropriate management of the project and accomplishment of programmatic objectives. Specific responsibilities include:

1. Overall responsibility to ensure programmatic commitments are accomplished.
2. Adhering to project schedule and period of availability.
3. Timely expenditure of grant/program funds and ensuring that expenditures are necessary, reasonable, allowable, and allocable to grants as well as in compliance with the terms, conditions, rules, and regulations of the external grantor.
4. Maintaining up-to-date records of financial obligations and expenditures.
5. Monitoring financial reports for accuracy and informing SPA when discrepancies occur.
6. Completing and filing technical/project reports required by the granting agency.
7. Ensuring proper supervision of project employees.
8. Interfacing with regulatory agencies, auditors, and internal staff.

SPA – The Sponsored Programs Accounting office is responsible for fiscal oversight, and it is obligated to ensure that all institutional parties to the project are in financial compliance with governmental, sponsor, and university policies and regulations. Specific responsibilities include:

1. Assisting with budget implementation and award interpretation.
2. Providing purchasing support and advice on obtaining equipment, supplies and services.
3. Providing assistance in maintaining budget controls and processing budget adjustments.
4. Filing required fiscal reports on a timely basis with state, federal, and other agencies.
5. Monitoring award activity to ensure charges are allowable, reasonable, and consistently treated per federal, sponsor, and university policy and are within the period of availability.
6. Overseeing grant receivables and ensuring that expenditures are invoiced in a timely manner.
7. Interfacing with regulatory agencies, auditors, and internal staff.

## **Closeout, compliance verification, and documentation**

A Grant Expiration Notice showing the remaining balance is sent to PIs 60 and 30 days prior to, at the time of, and 30 days after the end of the performance and budget period of an award. The primary purpose of the Grant Expiration Notice is to remind PIs of their responsibilities leading up to and following the grant or contract end.

Once determined that the project period has ended and all necessary administrative actions and financial obligations have been completed, the grant award or contract will be closed out.