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University of Rochester Medical Center
Department of Medicine – Research Administration

Policy for Quarterly Research Account Review During Principal Investigator/Administrator Meeting

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Applies to: University of Rochester, School of Medicine and Dentistry, Department of Medicine Divisions and their faculty and research administrative staff receiving and managing federal, foundational, industry, pilot, or institutional funds to conduct sponsored research studies in the various divisions during a predetermined period of time, assisted by divisional administrators or research grant administrators at each division.

Policy Statement: The Department of Medicine is committed to establishing an appropriate research post-award grants management process with quarterly review of the budget, expenditures, and remaining commitments within the budget provided by the sponsor.

Background: There is a need for a **uniform, consistent post-award grants management approach across DOM divisions,** to ensure that we are (1) Controlling expenditures and remaining within the budget awarded, (2) Ensuring costs are allowable, allocable, and reasonable and (3) Managing and mitigating grant out of award and grant deficits. Upon receiving an award notice for sponsored research funding, it is important to ensure that post-award activities and proper grants management is in place. This is the responsibility of the Principal Investigator (PI), and by extension their department/division, supported by divisional administrators or research grant administrators at each division.

Procedures:

Effective September 15ᵗʰ, 2022, all divisions within the Department of Medicine with research accounts will be required to schedule ongoing PI/administrator quarterly meetings, at a minimum, with their Division research administrative staff to review the research account budgets (first meetings concluded by December 15ᵗʰ, 2022). For any projects projected to run a deficit, more frequent reviews (monthly) should be in place.

- These meetings should be attended by the PI, division administrator and any other research administrative staff, as applicable. Minimum requirements to be discussed in this meeting are listed below on page 2, to ensure that post award management is discussed in detail and decisions can be made about next steps.

- In preparation for these meetings, the division administrative staff will prepare a comprehensive summary of all accounts and the PI will be prepared to discuss budget items and financial concerns.

- Following the meeting, the administrator and/or research admin staff who led the meeting will email a summary of the discussion along with a list of action items. It is expected that the PI promptly respond to both requests for meetings and follow-up emails to ensure efficient and timely post-award management.

Compliance of quarterly PI/administrator meetings will be monitored regularly. Divisions will be requested to send a quarterly report showing that the policy was adhered, as well as a summary of any issues. For active sponsored research projects that anticipate **a direct deficit of 10% of the budget or $10k**, **whichever is less**, an action plan is requested to mitigate the deficit that each division shares with department leadership for further review. Serious non-compliance may include the PI being precluded from future, high-risk grant applications.

If there are any questions or concerns about this policy, please feel free to reach out to any of the following individuals. Stefanie_Fingler@urmc.rochester; Laura_Calvi@URMC.Rochester.edu; Valentina_Kutyifa@URMC.Rochester.edu

KEY ITEMS TO REVIEW DURING THE PI/ADMIN QUARTERLY MEETING
Agenda to be sent out at least 3 business days prior to the meeting.

1. Review of all active accounts
   o PI, Title of Award, Sponsor, Award Dates, Account Number(s), Award Amounts, Current Month Expenses, Expenditures to Date, Outstanding Obligations including who is paid on each account and for what % effort, Pending Sponsor Revenue and Projected Award Balances
      ▪ *PI/Admin Staff should come prepared with a list of the active research accounts, names of personnel that should be covered and type of expenses that they typically charge to each of their accounts (animals, core facilities, other expenses).*
   o If the agreement requires that the department/division be responsible for invoicing, it is important that this is reviewed with the PI, in terms of what costs have been invoiced for to date and what is pending. This will typically be the case for non-federal awards, such as Clinical Trials or other fixed price agreements that are based milestones.
      ▪ *If applicable, PI should come prepared with a summary of patient enrollment/visits to date.*

2. Review any spending issues
   o Includes overspend based on average rate of spending, effort allocations of personnel, any costs that are concerning, any major upcoming purchases.
      ▪ *PI/Admin should discuss any major purchases anticipated that may not already be reflected in the award balance. (i.e., large core facility charges anticipated but not yet invoiced, a large animal purchase, or equipment purchase)*
   o If within 3 months of the budget period or project period end date (1) Does the award have automatic carryforward? If the award allows for carryforward what is the projected amount to be carried into the next budget period – this may require a scientific justification for approval. (2) If the award is ending within the next 3 months, does the award require a no-cost extension? If so collect pertinent information to be submitted to ORPA. (3) Will award receive additional funding? If so, follow up with sponsor on anticipated notice of awards and/or subaward amendments (4) Is the award closing? If so, ensure appropriate end of award spending and prepare for closeout.

3. If Applicable (Clinical Trials), review recruitment and enrollment
   o Review enrollment goals, number of patients screened and enrolled to date
      ▪ *More through reviews of recruitment, enrollment, regulatory, and other key considerations should be occurring with the study staff and clinical research manager.*

4. Are there any reports that are coming due, either financial or technical?
   o This often drives subsequent year funding.

5. Review of effort reporting for PI
   o What the PI committed to the grant, compared to the effort they are devoting, compared to what is reported in HR. It ensures that we are meeting minimum effort requirements and notifying the sponsor when there is a significant reduction of effort requiring sponsor approval.

Additional topics for discussion if time permits:
1. Review of pending support
   o PI should notify admin staff of any pending awards anticipated for to be funded or were not funded.

2. Are there any hiring plans?
   o What is the project that they would be supporting and is there funding available to support this person and if so, for how long. Should be at least 1 year.

3. Are there any new grant submissions planned?
   o Ideally PI should notify admin staff 3 months prior to a planned submission, when they are able to do so.

4. Look at long term plans and when funding would run out/need for new or resubmissions to support current lab staff and costs.