

UC Merced Grants Life Cycle

Office of Research and Economic Development and Division of Finance and Administration
Roles and Responsibilities

Step	ORED /DFA	Policy Guidance
1 Preparation of the proposed budget according to University and sponsor requirements	●	Delegation of authority - C&G Manual policy section 6-430
2 Certification of current cost and pricing data when required	●	Delegation of authority - C&G Manual policy section 6-430
3 Proposal review, approval and submission to Sponsor	●	Delegation of authority - C&G Manual policy section 10-310 (section a)
4 Prepare RA a letter of commitment form if necessary	●	Delegation of authority - C&G Manual policy section 10-310 (section b)
5 Enter data into tracking systems (Cayuse)	●	In Accordance with SPX reporting UCOP guidelines – Oracle Project Code replaces FAU
6 PI Status (VCORED if necessary)	●	Delegation of authority – C&G Manual policy section 1-530
7 Complete agency requested revisions	●	Delegation of authority - C&G Manual policy section 10-310 (section c/d)
8 Negotiate any needed changes with Sponsor	●	Delegation of authority - C&G Manual policy section 10-310 (section b)
9 Negotiate terms and conditions with Sponsor	●	Delegation of authority - C&G Manual policy section 10-310 (section b)
10 Acceptance of the agreement	●	Delegation of authority - C&G Manual policy section 6-430
11 Generate Award Notice	●	Local practice; Coordinate efforts to produce Award Activation Package
12 Establishment of the approved award budget (input budget to finance system)	●	DFA per C&G Manual policy section 6-430 (section d) and section 6-231 for entering the approved budget in the GL
13 Generate Project Notice	●	In Accordance with SPX reporting UCOP guidelines – Oracle Project Code provided to ORED to replace FAU in Cayuse
14 Expenditure of funds consistent with agreement, sponsor, and University policies	●	Local practice; ORED serves to advise faculty
15 Procurement of equipment and supplies and execution of subcontracts in accordance with sponsor and University policies	●	DFA per C&G Manual policy section 6-430 (section b) and for recording in the GL, section 6-232
	●	Local practice; ORED serves to advise faculty
	●	DFA (combination of Controller’s Office and Procurement Office) per C&G Manual policy section 6-430 (section b) and section 6-232 to enter the transaction into the GL

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16 Recording of expenditures in the appropriate account in the month the expenditure occurs to enable accurate, current, and complete disclosure of financial results	●	DFA per C&G Manual policy section 6-430 (section b and d) and section 6-232
17 Preparation and submission in a timely manner of all required technical reports or other deliverables where required for payment	● ●	Partnership between DFA and ORED in that the preparation and submission of technical matters is the responsibility of the PI/ORED; this is not cost reporting so it falls outside of the C&G Manual, Chapter 6-460
18 Avoidance of cost over-runs and unallowable cost-transfers	●	DFA per C&G Manual policy section 6-430 (section b and d) and section 6-232
19 Invoice and/or Draw from Sponsor (timely invoicing and monitoring for prompt payment when advance payments cannot be negotiated) and Allocate budget in Oracle	●	DFA per C&G Manual policy section 6-430 (section b) and for recording in the GL, section 6-232
20 Identification of the need for revised budgets and/or need for additional funds. Negotiation of revised and/or increased budget in order to secure full cost recovery	● ●	Partnership between the PI/ORED and DFA through the PPFM system generated Faculty Reports
21 Provide standard Financial reports to Sponsor (Preparation and submission in a timely manner of all required interim and final fiscal reports, including cost sharing, if any)	● ●	Local practice; ORED serves to advise faculty DFA per C&G Manual policy section 6-430 (section c)
22 Provide aged receivables report and funds	●	DFA per C&G Manual policy section 6-430 (section b and d) and section 6-232
23 Effort Report Administration/Follow-up with PI on Effort certification	●	Delegated to Campus per C&G Manual policy section 10-248
24 Deficit Clearing and process award closeout	●	DFA per C&G Manual policy section 6-430 (section c)
25 Post-award financial administration compliance	●	DFA per C&G Manual policy section 6-430 (section c)
26 Prompt completion of project close-out	● ●	DFA per C&G Manual policy section 6-430 (section c) in terms of system generated reporting but ultimately the PI's responsibility to ensuring it's done on their behalf
27 When warranted, submission of requests for waiver or exceptions to established University costing and other policies	●	PI/ORED for submitting requests for waiver/exceptions