

**3.10.5** The institution maintains financial control over externally funded or sponsored research and programs. **(Control of sponsored research/external funds)**

**Judgment of Compliance**

Compliance

**Narrative**

Institutional control over sponsored research and other externally funded programs is maintained through the Offices of the Vice President for Fiscal Affairs and the Associate Vice President for Research and Sponsored Programs.

The Associate Vice President for Research and Sponsored Programs is responsible for the operations of pre-award administration; the Vice President for Fiscal Affairs is responsible for the operations of post-award financial administration. The Office of Research and Sponsored Programs (ORSP) directs day-to-day pre-award administration and is the primary office responsible for ensuring compliance with the policies of the University and of sponsoring agencies when assisting in proposal development. As a part of pre-award services, the Office of Research and Sponsored Programs provides assistance with the preparation of proposal budgets to ensure University procedures are followed. Through the provision of technical assistance and workshops [\[1\]](#), the Office of Research and Sponsored Programs provides training [\[2\]](#) and information to faculty and staff on University Fiscal procedures including how to calculate salaries, fringe benefits, indirect costs and other line item expenditures. Information shared with faculty regarding the proper procedures for calculating line item expenditures is provided by the Office of Fiscal Affairs. Pre-award fiscal activities serve as a mechanism to ensure that proper financial controls are included in grant and contract proposals before they are transmitted to funding agencies. Resources such as sample budgets and budget templates based on Albany State University policies are contained on the ORSP website [\[3\]](#). The Office for Research and Sponsored Programs is also responsible for post-award, non-financial administration and compliance. This includes assisting in the preparation of scheduled programmatic reports and timely transmission. The Office of Research and Sponsored Programs coordinates with the Office of Fiscal Affairs to ensure programmatic reports are consistent with their fiscal counterparts. Post-award, financial administration through the Office of Budgets and Contracts ensures that expenditure transactions are in compliance with applicable laws, regulations, University policies [\[4\]](#), and specific agreement conditions, and provides all accounting data and information needed during federal audits and other program reviews of sponsored projects. In addition, each sponsored program principal investigator (PI) has primary responsibility for financial control over his or her sponsored project. The Principal Investigator's Guide [\[5\]](#) is available online for reference by the principal investigator.

ASU encourages its faculty to seek externally funded grants for sponsored research and programs. External funding from federal, state, local or private sources contributes to the professional development of principal investigators and project directors and advances the research and teaching mission of the university. ASU is the fiscal agent and official recipient of sponsored program funding. In that regard, the Vice President for Fiscal Affairs is the only authorized official that can enter into a contract or grant for Albany State University. The principal investigator or project director of a grant serves as the responsible party for managing the use of grant funds in accordance with the terms of

the award and with Federal and institutional regulations for grant management. The PI or project director is not authorized to sign award documents on behalf of ASU.

As referenced in section 3.10.3 the university's external funds are audited annually by the Georgia Department of Audits and Accounts [6a]. The State of Georgia fulfills the OMB Circular A-133 requirements of the Single Audit Act Amendments of 1996 by performing a statewide single audit [6b]. The university prepares a Schedule of Federal Assistance [7] for audit and inclusion in the state's single audit report. There have been no program specific federal audits in recent years.

### **Supporting Documentation**

- [1] [Technical assistance and workshops](#)
- [2] [Research and Sponsored Programs provides training](#)
- [3] [Albany State University policies, ORSP website](#)
- [4] [Office of Budgets and Contracts ensures compliance with applicable laws, regulations, University policies](#)
- [5] [Control over sponsored project, Principal Investigator's Guide](#)
- [6a] [Annual Audits, Georgia Department of Audits and Accounts](#)
- [6b] [Statewide single audit](#)
- [7] [Schedule of Federal Assistance](#)