

## Award Administration Roles and Responsibilities

### Checklist of research award management during the research project life cycle

	Principal Investigator	Research and Innovation (R&I)	Support provided in Academic Department/Research Centre
<b>Project Start Up</b>	<ul style="list-style-type: none"> <li>Read and fully understand the project's description of work and budget and the award agreement T&amp;C's.</li> <li>Be aware of LSE Financial Regulations and other School procedures.</li> <li>Develop/initiate a plan for project implementation</li> <li>Attend kick-off meeting with R&amp;I.</li> <li>View starting your project.</li> </ul>	<ul style="list-style-type: none"> <li>Organise kick-off meeting with PI and unit manager.</li> <li>Advise on the award agreement T&amp;Cs, LSE Financial Regulations, and other School procedures.</li> <li>Set up the project's unique account code.</li> <li>Set up project on Converis.</li> <li>Send Project Information Report to PI, unit, and Finance Division.</li> <li>Set up collaboration and/or consultant agreements.</li> </ul>	<ul style="list-style-type: none"> <li>Be aware of the project's description of work and budget, the award agreement's T&amp;C's, LSE Financial Regulations, and other School procedures.</li> <li>Assist in providing resources needed for project– space, computers, stationary etc.</li> <li>Agree with PI on level of support /delegated tasks during project.</li> </ul>
<b>Recruitment</b>	<ul style="list-style-type: none"> <li>Initiate with the help of the unit manager.</li> <li>Provide job description and other information as needed.</li> </ul>	<ul style="list-style-type: none"> <li>Provide budget information.</li> <li>Advise on the award agreement's T&amp;C's and the School's HR procedures.</li> <li>Provide funding confirmations.</li> </ul>	<ul style="list-style-type: none"> <li>Assist with HR recruitment process (e.g. liaison with HR, filling in relevant forms, advice on HR procedures, etc.).</li> </ul>
<b>Expenditure against award</b>	<ul style="list-style-type: none"> <li>Maintain receipts and submit expenses in a complete and timely basis.</li> <li>Liaise with vendors/payees who provide services to or require reimbursement from the project.</li> <li>Authorise expenditure against project.</li> <li>Keep track (with the help of the unit manager and/or R&amp;I) of expenditure and commitments so that aware of budget availability and pace of spending.</li> <li>Ensure that expenditure is an appropriate use of School funds and confirm that it falls within the School's Financial Regulations, eligible under the terms and conditions of</li> </ul>	<ul style="list-style-type: none"> <li>Provide advice on how to appropriately spend funds.</li> <li>Provide second-level authorisation, confirming availability of funds and eligibility per award agreement T&amp;C's and LSE Financial Regulations.</li> <li>Prepare and send financial statements to PI and/or unit manager to assist with budget tracking.</li> </ul>	<ul style="list-style-type: none"> <li>Assist PI with completing forms in compliance with LSE Financial Regulations and Accounts Payable (AP) procedures.</li> <li>Liaise with AP on unpaid claims/invoice.</li> <li>Authorise expenditure.</li> <li>Maintain copies of expenditure before submission to R&amp;I in the event paperwork goes missing or is not scanned into Aptos by AP.</li> <li>Assist PI with tracking expenditure and commitments – may include the maintenance of spreadsheets.</li> </ul>

	the award, and in line with <a href="#">Accounts Payable (AP) procedures</a> .		
<b>Advances</b>	<ul style="list-style-type: none"> <li>• Send advance request and justification to R&amp;I.</li> <li>• Agree with R&amp;I on a date by which the advance will be reconciled.</li> <li>• Confirm to R&amp;I when the advance is received.</li> <li>• Maintain receipts and provide an accounting for how the advance was spent.</li> <li>• Return unspent funds promptly.</li> <li>• Ensure all staff working on the project who may receive an advance comply with these procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Authorise and process advance request.</li> <li>• Chase PI for an accounting of the advance if needed.</li> <li>• Review accounting of the advance and adjust account.</li> </ul>	<ul style="list-style-type: none"> <li>• Assist PI in initial advance request if needed.</li> <li>• Assist PI with the preparation and submission of the advance reconciliation if needed.</li> </ul>
<b>LSE Financial Regulations</b>	<ul style="list-style-type: none"> <li>• Read, understand, and comply with LSE Financial Regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• Check Financial Regulations are being adhered to.</li> <li>• Provide advice.</li> <li>• R&amp;I is Budget Controller for all Research Projects running through R&amp;I.</li> <li>• Responsibilities of Controllers are detailed in <a href="#">LSE's Financial Regulations</a></li> </ul>	<ul style="list-style-type: none"> <li>• It is the responsibility of department heads and spending units to email/provide a copy of School's Financial Regulations to their staff.</li> <li>• Inform staff of the existence, content and importance of observing its provisions.</li> </ul>
<b>Sponsor terms and conditions (T&amp;C's)</b>	<ul style="list-style-type: none"> <li>• Read, understand and comply with award agreement T&amp;C's.</li> <li>• Ensure that other staff working on project also understand and comply with award agreement T&amp;C's.</li> <li>• Seek guidance from unit manager and/or R&amp;I regarding interpretation of the award agreement T&amp;C's.</li> </ul>	<ul style="list-style-type: none"> <li>• Be expert in award agreement T&amp;C's.</li> <li>• Provide PI and/or unit manager with definitive guidance and judgement regarding compliance.</li> <li>• Ensure compliance with award agreement T&amp;C's.</li> </ul>	<ul style="list-style-type: none"> <li>• Be aware of the award agreement T&amp;C's.</li> <li>• Provide advice to PI regarding compliance.</li> <li>• Refer PI to R&amp;I as appropriate.</li> </ul>

<b>Financial reporting</b>	<ul style="list-style-type: none"> <li>Review financial statements and notify R&amp;I of any need for revisions.</li> <li>Submit expenditure within deadlines needed to prepare financial statements by sponsor deadlines.</li> <li>Provide additional information to R&amp;I as needed.</li> </ul>	<ul style="list-style-type: none"> <li>Prepare and submit financial reports.</li> <li>Raise invoices and ensure receipt of funds from sponsor.</li> </ul>	<ul style="list-style-type: none"> <li>Review financial statements and notify R&amp;I of any need for revisions.</li> <li>Submit expenditure within deadlines needed to prepare financial statements by sponsor deadlines.</li> <li>Provide additional information to R&amp;I as needed.</li> </ul>
<b>Scientific Reporting and other project deliverables</b>	<ul style="list-style-type: none"> <li>Note deadlines.</li> <li>Prepare and submit reporting/deliverables to sponsor by deadlines.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor against deadlines.</li> <li>Provide guidance. Obtain necessary signatures.</li> <li>Obtain copies for records.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor against deadlines.</li> <li>Possible administrative support.</li> <li>Provide guidance.</li> </ul>
<b>Contracts: including amendments, subcontracts, service contracts, terminations, transfers)</b>	<ul style="list-style-type: none"> <li>Inform R&amp;I of requirements/changes.</li> <li>Authorise contractor invoices.</li> <li>Monitor contractor performance and ensure deliverables are met.</li> </ul>	<ul style="list-style-type: none"> <li>Advise on procedures for setting up and managing contracts.</li> <li>Draw up contracts or other documents and organise signatures.</li> </ul>	<ul style="list-style-type: none"> <li>Inform R&amp;I of requirements/changes.</li> <li>Authorise contractor invoices.</li> </ul>
<b>Audits</b>	<ul style="list-style-type: none"> <li>Input as required.</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate and coordinate; follow up.</li> </ul>	<ul style="list-style-type: none"> <li>Input as required.</li> </ul>
<b>Liaison and correspondence with Sponsor on contract and finance issues</b>	<ul style="list-style-type: none"> <li>Provide information to R&amp;I as necessary.</li> </ul>	<ul style="list-style-type: none"> <li>Contact the sponsor and manage sponsor relationship.</li> </ul>	<ul style="list-style-type: none"> <li>Liaise with R&amp;I and PI.</li> </ul>
<b>Buyout</b>	<ul style="list-style-type: none"> <li>PI to discuss with HoD.</li> <li>Inform R&amp;I of requirements at application stage.</li> <li>Complete necessary forms.</li> </ul>	<ul style="list-style-type: none"> <li>Funding check.</li> <li>Transfer funds to substitute teaching account.</li> </ul>	<ul style="list-style-type: none"> <li>HoD Approval.</li> <li>Help with forms.</li> <li>Manage substitute teaching budget.</li> </ul>
<b>Timesheets</b>	<ul style="list-style-type: none"> <li>Complete and get appropriate approval e.g. line manager.</li> <li>Ensure that all project members are completing timesheets and approve their timesheets.</li> <li>Submit to R&amp;I.</li> </ul>	<ul style="list-style-type: none"> <li>Advise on award agreement's T&amp;C's and School procedures.</li> <li>Set up timesheets for individuals and advise when completion necessary</li> <li>Collate timesheets</li> <li>Review timesheets for correct completion.</li> </ul>	<ul style="list-style-type: none"> <li>Assist with coordinating timesheets.</li> </ul>

<b>Closing Projects</b>	<ul style="list-style-type: none"> <li>• Inform R&amp;I as soon as possible of any need to extend project end date.</li> <li>• Submit final scientific deliverables.</li> <li>• Submit all expenses.</li> <li>• View closing your project guidance. (link)</li> </ul>	<ul style="list-style-type: none"> <li>• Remind PI of project end date.</li> <li>• Advise on closing projects.</li> <li>• Check all deliverables submitted.</li> <li>• Ensure all funds are received and account balance is zero.</li> <li>• Close and archive project.</li> </ul>	<ul style="list-style-type: none"> <li>• View closing your project guidance. (link)</li> </ul>
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R&I = Research and Innovation

PI = Principal Investigator

AP = Accounts Payable