

Post Award Administration Roles and Responsibilities

This document outlines areas of research award management during the life cycle of a research project.

Area of Research Award Management	Principal Investigator	Research Division	Support provided in Academic Department/Research Centre
Project Start Up	<ul style="list-style-type: none"> Project Plan and Implementation Familiarisation with T & Cs of award and financial regulations. Provide RD with relevant information. 	<ul style="list-style-type: none"> Organise start up meeting with PI Advice on T & Cs, financial regulations, school regulations and procedures etc. Notifications and set up on systems Notify authorisation to spend 	<ul style="list-style-type: none"> Awareness of project Assistance in providing resources needed for project where necessary – computers, space, stationary etc.
Recruitment	<ul style="list-style-type: none"> To initiate 	<ul style="list-style-type: none"> Provide advice Budget and eligibility advice Funding and eligibility approval 	<ul style="list-style-type: none"> Assistance with HR recruitment processes e.g. liaison with HR, filling in relevant forms
Expenditure against award	<ul style="list-style-type: none"> To initiate To submit expenses and supplier invoices correctly and completely, on a timely basis and in line with financial regulations, award T & Cs and Accounts Payable procedures. To authorise expenditure against their project and in doing so they are authorising, as Principal Investigator and Budget Holder, that the expenditure is an appropriate use of School funds and confirm that it falls with the general guidelines outlined in the School's financial regulations and is eligible under the terms and conditions of the award. Keep track of expenditure and commitments. At the moment this is done through Aptos and updates from RAMs but this will be made easier through implementation of Convis. 	<ul style="list-style-type: none"> Quality control and assurance and compliance to financial regulations and T & Cs Advice on procedures Fund and eligibility checks RD authorisation. In providing authorisation RD signs off that it has checked that expenditure is eligible with in terms and conditions of the award and that funds permit. It also carries out checks to confirm that the expense claim or invoice falls within general guidelines given in the LSE financial regulations and AP guidelines. 	<ul style="list-style-type: none"> Assistance with completing forms and providing supporting vouchers in correct format Advice on Financial regulations and Account Payable procedures Sign expense claim forms in 'Line Manager' section. In doing so they are authorising that the expenditure is an appropriate use of School funds and confirm that it falls with the general guidelines outlined in the School's financial regulations Liaison with AP on unpaid claims/invoice off Assistance with keeping track at project level of expenditure and commitments

Advances	<ul style="list-style-type: none"> • Initiate request with justification • Account for advance appropriately e.g. provide all supporting vouchers, provide breakdown of expenditure incurred referenced to receipts submitted, return unspent funds. • To ensure that others on the project receiving an advance accounts for it properly as above. 	<ul style="list-style-type: none"> • Process advance • Quality control, assurance and eligibility checks • Reconcile accounting for advance and project adjustments • Ensure all advances are accounted for 	<ul style="list-style-type: none"> • Assist PI in initial request and then collating vouchers in appropriate format for submission to RD
LSE Financial Regulations	<ul style="list-style-type: none"> • Compliance with the Financial Regulations is compulsory for all staff connected with the School. • The Principal Investigator is the Budget Holder. Responsibilities of Budget holders are detailed in section C2.2 of the financial regulations 	<ul style="list-style-type: none"> • Carries out checks that Financial Regulations are being adhered to • The Research Division is Budget Controller for all Research Projects running through the Research Division. Responsibilities of Controllers are detailed in section C2.1 of the financial regulations • Provide advice 	<ul style="list-style-type: none"> • It is the responsibility of heads of departments and spending units to ensure that their staff are made aware of the existence and content of the School's Financial Regulations and of the importance of observing its provisions, and that an adequate number of copies are available for reference within their departments
Funding regulations	<ul style="list-style-type: none"> • Be aware of them • Apply them 	<ul style="list-style-type: none"> • Be expert in them; provide definitive guidance and judgement as controller • Check they are being adhered to • Advice • 	<ul style="list-style-type: none"> • Be aware of them (centre managers should have more in-depth knowledge)
Financial reporting	<ul style="list-style-type: none"> • Review 	<ul style="list-style-type: none"> • To carry out • Make sure we get paid 	<ul style="list-style-type: none"> • Review (This is currently done in Research Centres by the Centre Manager. In academic department this can be a delegated function)
Scientific Reporting and other project deliverables	<ul style="list-style-type: none"> • PI responsibility 	<ul style="list-style-type: none"> • Follow up to make sure that they are done • Obtain necessary signatures • Monitor against deadlines 	<ul style="list-style-type: none"> • Possible admin support. Centre Managers already perform this function.

Financial and Budget Management	<ul style="list-style-type: none"> PI as budget holder has responsibility for the financial management of their research account. They should keep a record of their expenditure and commitments. Check transactions on Aptos (and later converis). Make sure they do not overspend (or underspend). Adhere to financial regulations. Responsibilities of Budget holders are detailed in section C2.2 of the financial regulations 	<ul style="list-style-type: none"> The Research Division is Budget Controller for all Research Projects running through the Research Division. Responsibilities of Controllers are detailed in section C2.1 of the financial regulations Advice Budget info and forecasting Oversight 	<ul style="list-style-type: none"> Financial and budget management is carried out in Research Centres by the Centre Manager
Contracts: including amendments, subcontracts, service contracts, terminations, transfers)	<ul style="list-style-type: none"> Initiate Liaise and Inform RD of requirements 	<ul style="list-style-type: none"> Advice Coordinate and liaise with relevant parties Draw up contracts or other documents Organise signatures 	<ul style="list-style-type: none">
Audits	<ul style="list-style-type: none"> Input as required 	<ul style="list-style-type: none"> Facilitate and coordinate; follow up 	<ul style="list-style-type: none"> Input as required
Liaison and correspondence with Sponsor on contract and finance issues	<ul style="list-style-type: none"> Provide information to RD as necessary 	<ul style="list-style-type: none"> Carried out by RD 	<ul style="list-style-type: none"> Liaising with Research Division is usually performed in Research Centres by the Centre Manager.
Buyout	<ul style="list-style-type: none"> PI to discuss with HoD Inform RD of requirements at application stage Complete necessary forms 	<ul style="list-style-type: none"> Funding check Transfer funds to substitute teaching account 	<ul style="list-style-type: none"> HoD Approval Help with forms Manage substitute teaching budget
Timesheets	<ul style="list-style-type: none"> To complete and get appropriate approval e.g. line manager Submit to RD. Ensure that all project members are completing timesheets and approval of their timesheets 	<ul style="list-style-type: none"> Advice Set up timesheets for individuals and advise when completion necessary Collate timesheets Review timesheets 	<ul style="list-style-type: none">
Closing Projects	<ul style="list-style-type: none"> Make sure final scientific deliverables are submitted All claims submitted Keep RD informed 	<ul style="list-style-type: none"> Remind PI of project end date. Advice on closing projects Check all deliverables submitted Close and archive project 	