



Guide Contents

Purpose & Use	2
Definitions.....	2
• Uniform Guidance (2 CFR 200).....	2
Procedure.....	2
• Office of Research.....	2
• Principal Investigator.....	2
Form Routing	3
Statuses.....	3
• DRAFT.....	3
• AWAITING SIGNATURE.....	3
• SIGNED BY PI.....	3
• COMPLETED.....	3
Recipients.....	4
• Email Link To.....	4
Initiator Instructions by Section	4
Award Information.....	4
Principal Investigator Instructions by Section	5
Award Information.....	5
Certification.....	5
Signatures.....	5
Approver Instructions by Action (Office of Research)	5
Complete Form.....	5
Contacts	6
Technical Issues.....	6
Research Policy/Scenario Questions.....	6
Document Notes	7

Purpose & Use

The [Expenditure Certification](#) form is used to monitor expenditures on an award.

Monitoring expenditures is an important aspect to funded projects. The Principal Investigator (PI) or their designee should initiate all expenditures for the projects. Since there is a manual aspect to charging expenditures to a project, a review is necessary to ensure that valid expenditures—payroll and non-payroll—are charged to the project. The review must be performed by someone with the knowledge of the proper expenditures for the project. Since the PI is ultimately responsible for all aspects of the project, the PI will provide a certification regarding the validity of the expenditures.

Definitions

Uniform Guidance (2 CFR 200)

Administrative requirements for managing federal grants. UNO utilizes these guidelines for managing all funded projects.

Procedure

Every three months, the Office of Research will obtain a list of expenditures from the financial system for the previous quarter. The spreadsheet will include a tab to summarize the total expenditures and payroll by employee.

Office of Research

Once the quarter is closed, the Office of Research will obtain the lists of expenditures from the system and initiate the Expenditure Certification form in SharePoint. The expenditure lists will be attached to the form. An email will be sent to the PI by the appropriate accountant; the form link will be included in the email. The form will not be sent directly from SharePoint. The following will be used as the email template:

The Office of Research is sending you the quarterly expenditure certification, [INSERT FORM LINK](#). Please review the expenditures attached to the form to ensure they are allowable, reasonable and allocable. Additional information can be found regarding this procedure can be found in the Expenditure Certification document.

The form must be completed within 30 days of this email.

If you have any questions, please contact me.

After the PI signs the form, the appropriate accountant will review any comments entered by the PI and, if necessary, ensure that the appropriate documents are submitted for corrections. Once all is complete, the accountant will sign the form to mark it as completed. If PI has not responded within a week of the due date, the accountant will send a reminder email. The accountant will also follow-up with the PI if the form is not completed by the due date.

Principal Investigator

Upon receipt of the email from the Office of Research, the PI has 30 days to review the expenditures and sign the certification form. The expenditure review includes ensuring the expenditures are:

- Allowable – item is not specifically forbidden in the award guidelines or in UNO policies & procedures
- Reasonable – cost of the item is what a prudent individual would pay in a similar situation
- Allocable – expenditure provides benefit to the project and is necessary for the project; if the item being charged to the project benefits multiple projects, the expenditures is properly split among the projects

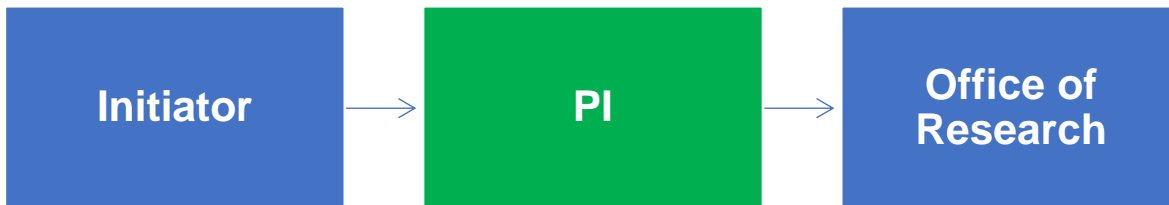
Additional information on the above can be found in the Uniform Guidance, [2 CFR 200.403](#), [2 CFR 200.404](#), and [2 CFR 200.405](#).

If the PI discovers a questionable expenditure, the PI or their designee should contact the appropriate department—such as Accounts Payable, Payroll, or General Accounting—to determine the reason for the expenditure. The appropriate Office of Research accountant may also be contacted to provide additional assistance. Depending on the situation, the appropriate form needs to be submitted to correct the expenditure allocation. For non-payroll expenditures, a [Cost Transfer Request](#) form in SharePoint will be used. For payroll expenditures, utilize the Assign Costing Allocation process in the financial system to correct the distribution.

After the corrections are submitted or if there are no corrections needed, the PI or an Office of Research approved designee will sign the form to certify that all of the expenditures are valid or that the necessary corrections have been submitted.

The quarterly certifications do not replace Effort Certifications sent through the financial system (formerly the Personnel Activity Reports (PARs) sent by the Office of Research). This procedure is in addition to that certification.

Form Routing



Statuses

DRAFT

The form opens in **Draft** status and can be edited by the initiator. Once the form is submitted, it will no longer be in **Draft** status.

AWAITING SIGNATURE

If the initiator edits the form and submits it without the PI's signature, the form will enter **Awaiting Signature** status.

The PI whose email address was entered in the "Email To" field will receive an email requesting review and approval of the form.

SIGNED BY PI

If the form is submitted with the PI's signature, the form will enter **Signed by PI** status.

The grant administrator selected by the initiator will receive notification of the signed form via email; at this point, the grant administrator will process the form.

COMPLETED

If a signed form is approved by the Office of Research, the form will enter **Completed** status.

The PI, grant administrator, and Office of Research will receive an email notifying all of the completed form.

Recipients

- **AWAITING SIGNATURE**
 - PI
- **SIGNED BY PI**
 - Grant Administrator
 - Office of Research
- **COMPLETED**
 - PI
 - Grant Administrator
 - Office of Research

Email Link To

If the form needs to be sent to any recipients, any user can add any UNO email address into the **Email Link To** field and then submit the form. The user will be copied on an email sent to the entered email address.

Initiator Instructions by Section

Award Information

Award Information	
PI Last Name:	<input type="text"/>
PI First Name:	<input type="text"/>
Email:	<input type="text"/>
Telephone:	<input type="text"/>
Primary Grant:	<input type="text"/>
Award Number:	<input type="text"/>
Grant Administrator:	<input checked="" type="radio"/> Charles Chaisson <input type="radio"/> Bing Leng <input type="radio"/> Jesse Sherrell
Comments:	<input type="text"/>
Attachments:	<input type="button" value="Click here to attach a file"/> <input type="button" value="Click to add another attachment"/>
Email Link To:	<input type="text"/>

1. **PI Last Name:** Enter the last name of the principal investigator.
2. **PI First Name:** Enter the first name of the principal investigator.
3. **Email:** Enter the UNO email address for the principal investigator.
4. **Telephone:** Enter a phone number for the principal investigator.
5. **Primary Grant:** Enter the grant number for the primary grant on the award.
6. **Award Number:** Enter the award number.
7. **Grant Administrator:** Select the grant administrator for the award.
8. **Comments:** Enter any necessary comments for the principal investigator to review.
9. **Attachments:** Attach the documents that the principal investigator must review.
10. **Email Link To:** Enter the principal investigator's email address.
11. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.

Principal Investigator Instructions by Section

Award Information

1. **Attachments:** Review the attached documents.

Certification

Certification	
As the principal investigator, I have reviewed the attached expenditures.	
<i>Please select the appropriate item below:</i>	
<input type="checkbox"/>	To the best of my knowledge, all expenditures are allowable, allocable, and reasonable for the project.
<input type="checkbox"/>	Corrections are necessary. Appropriate documents (such as a cost transfer form, personnel action form, etc.) have been submitted for the expenditures needing a correction. An explanation of the correction is in the comments box below my signature.

1. Select whichever radio button is appropriate based on your review of the expenditures.

Signatures

Signatures	
Principal Investigator:	<input type="text"/>
Comments:	<input type="text"/>

1. **Principal Investigator:** Enter your name into the box to sign the form. Your username and the date will auto-populate.
2. **Comments:** Add any necessary comments; if you indicated that corrections were necessary in the Certifications section above, explain the necessary corrections.
3. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.
4. The Office of Research will be notified via email.

Approver Instructions by Action (Office of Research)

Complete Form

Signatures	
Principal Investigator:	<input type="text"/>
Comments:	<input type="text"/>
Grant Administrator:	<input type="text"/>

1. To complete the Expenditure Certification form, scroll down to the **Signatures** section.

2. **Grant Administrator:** Sign the form. Your username and the date will auto-populate.
3. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.
4. The PI will be notified via email.

Contacts

Technical Issues

If you encounter a technical issue with the SharePoint form, contact Julie Landry at jelandr1@uno.edu.

Research Policy/Scenario Questions

If you have a question about your submission or its results, contact the appropriate member of your [service team](#) as indicated on the Office of Research website.

Document Notes

Developed by:

Julie Landry, Office Manager
Office of Research
(504) 280-6836
jelandr1@uno.edu

Created: April 13, 2021

Last updated by:

Julie Landry, Office Manager
Office of Research
(504) 280-6836
jelandr1@uno.edu

Updated: April 29, 2021