

Subject: Grant Post-Award Processing Guidelines & Procedures

Date First Put into Effect: May 5, 2019
Date of Latest Revision: May 5, 2019
To: InCHIP PIs, Staff, & Students

These guidelines and procedures are in effect until superseded.

➤ **InCHIP Grant Post-Award Processing**

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➤ **Purpose**

To work collaboratively with InCHIP PIs and Sponsored Program Services (SPS) to provide efficient and accurate Post-Award services to the PIs.

To make sure that all expenditures on grants abide by Federal law, sponsor's guidelines, and University policy.

➤ **Post-Award Processing**

1. **AWARD SETUP** – When the award notice is received, the InCHIP Grant Manager will contact SPS to set up an account and the budget in the Kuali Financial System (KFS).
2. **PRE-AWARD CODING OR ADVANCE ACCOUNT** - Pre-Award Coding, or an Advance Account, allows the Principal Investigator (PI) to begin a project and incur expenses, prior to having receipt of the award notice. The InCHIP Grants Manager can request Pre-Award Coding from SPS.
3. **SUBAWARD OR PO SETUP** - If there are any subcontracts or consultants in the budget, the InCHIP Grants Team will work with the PI to prepare Subawards & Purchase Orders and all other paperwork required.
4. **PARTICIPANT INCENTIVES** – If the PI needs an advance for participant incentives, the InCHIP Grants Team will make a request to SPS to set up a participant incentive account. The PI needs to submit the IRB registration and get approval before SPS can set up the budget and the advance.
5. **PAYROLL AUTHORIZATION** – The InCHIP Grant Manager can help PIs process payroll authorizations.
6. **BUDGET PROJECTIONS** – The InCHIP Grants Team will set up the budget projection spreadsheet, reconcile all expenses, and work with the PI to plan and manage the grant's projected expenses.
7. **PURCHASING** – InCHIP Grants Team will ensure that goods and/or services are purchased of the right quality, in the right quantity, at the right price, from the right source, and at the right time, consistent with the grant, the sponsor, and University policies.
8. **TRAVEL** – InCHIP Grants Team will make travel arrangements (book flights and process travel advances) to ensure that employees and other persons are reimbursed accurately, efficiently, and in a timely manner, and to ensure that all travel costs are accounted for accurately.

9. **COST TRANSFERS** – The InCHIP Grants Team will reconcile and process cost transfer expenses, if needed. Cost transfers are needed, for example, when there are clerical or data entry errors, or when a project is being continued on a new account. A justification is needed from the PI to accompany the cost transfer request.
10. **RE-BUDGET** - During the course of a project, the Principal Investigator may find it necessary to move funds between budget categories in order to meet project objectives. The InCHIP Grants Team will process a re-budget request to SPS. A justification is needed from the PI.
11. **NO COST EXTENSIONS** – A no-cost extension gives the PI extra time to complete the scope and objectives of the project without additional funds being provided by the sponsor. The Grant Manager will request a no-cost extension if there is money available in the budget.
12. **PROGRESS REPORT AND CARRYOVER** – When a grant requires a progress report or a carryover budget, the Grant Manager can help the PI to prepare the report and/or carryover budget to submit to the sponsor.
13. **EFFORT REPORT** – An effort report is a report that indicates the percentage of total time dedicated to University activities for a given period for any person on a grant award. The InCHIP Grants Team will review, reconcile, and verify with the PI that the percent of effort listed on the effort report is correct.
14. **AWARD CLOSEOUT** – The InCHIP Grant Manager will work with the PI and SPS in submitting the final progress and financial report to the sponsor. All expenditures related to the project must be processed, open encumbrances closed, effort verified, and participant incentive accounts have been closed. A closeout summary form will be completed the PI.