

I Got a Grant! Now what?

A Sponsored Projects Services Webinar

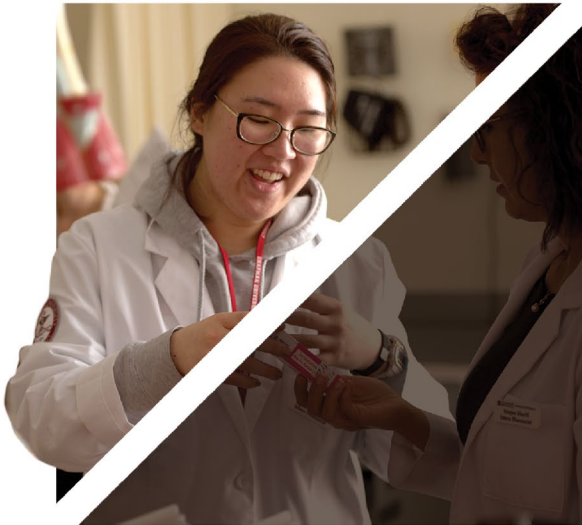
Presented by:

Megan Faulkner, CRA, Senior Research Administrator

Shawn Scott, Senior Contracts & Grants Administrator



CHAPMAN
UNIVERSITY



Housekeeping

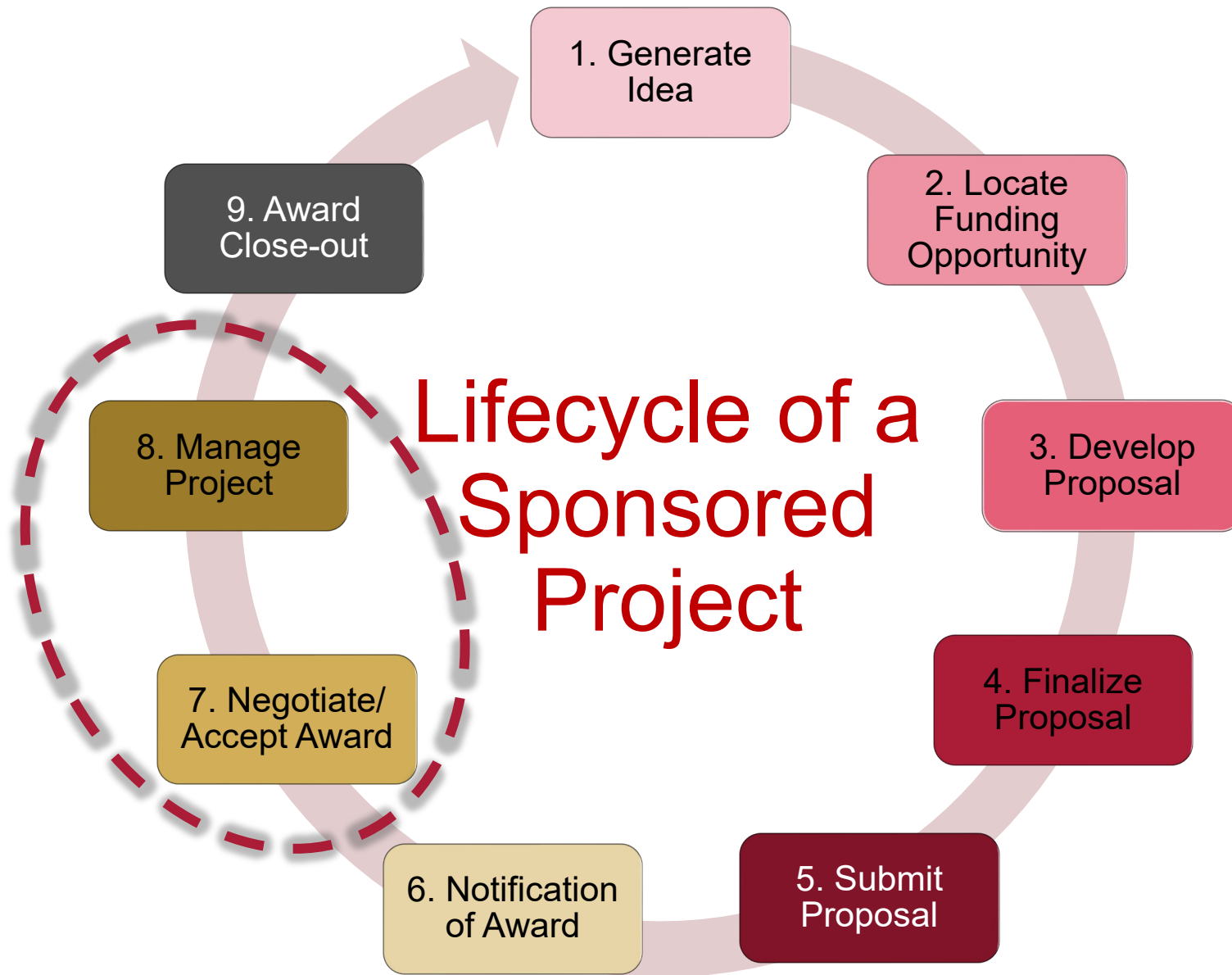
- Webinar will be recorded
- Link will be emailed & posted to our website
- Keep microphones muted
- Type questions into the Q&A section or unmute at the end



Learning Objectives



- Understand how the university accepts, negotiates, and processes new awards
- Become familiar with the tools available for staying on track
- Understand what actions a PI needs to take at project kick-off
- Learn what steps are necessary to pay external collaborators (subawards, consultants)
- Know what to do when changes are needed
- Get to know your SPS teams and how we support you



Lifecycle of a Sponsored Project



Award Receipt

What happens when a new award is received, and when can I start spending?

Award Receipt & Negotiation

- SPS Pre-Award reviews the award document and/or negotiates the contract to ensure terms & conditions are acceptable and Chapman can comply.
 - Exception: Industry Alliances & Commercialization office handles Industry-sponsored agreements and research-related Service Contracts.
- Agreements/Contracts must also be reviewed by Legal Affairs and signed by Chapman's authorized signatory (EVP/COO).
- Agreements/Contracts are not legally binding until signed by both the sponsor and Chapman.

Compliance Approvals

- SPS Pre-Award reviews the project to ensure all necessary compliance approvals are in place.
 - Human Subjects? → IRB Approval
 - Animal Subjects? → IACUC Approval
 - Biohazardous Materials? → IBC Approval
 - Chemical Hazards? → EH&S Approval
 - Conflict of Interest? → COI Management Plan



Award Setup

SPS Pre-Award

- Processes the new award in Cayuse SP and PeopleSoft Financials
- Assigns the Project ID number and chartfield
- Inputs important terms and milestone deadlines
- Notifies Post-Award

SPS Post-Award

- Distributes the budget
- Works with IS&T and Financial Services to establish the new account and set up securities
- Sends Award Synopsis Report (ASR) to PI and dept contacts

Important Reminders

- Work/Spending should not begin until all previous steps are completed and you have received your Award Synopsis Report (ASR)*
- Verbal agreements and/or emails are not legally binding
- Some sponsors do not allow pre-award spending



*The ASR serves as your approval notice to start work/spending.
Approval is not dependent on the University receiving actual funds from the sponsor.

What if I need access to my funds urgently?

Options are available to avoid delay

Advance Accounts

- Allows award setup to proceed before award receipt or final contract execution
- Requires approvals from Dean and Director of Sponsored Projects
- A 'guarantee account' must be specified (e.g., startup funds, PI or school IDC fund, etc.)

- **Involves risk!** If the award is never received or expenses are found to be unallowable, costs will be transferred to the guarantee account



Release of Funds Prior to Compliance Approval

- Allows award setup to proceed before compliance approvals (IRB, IACUC, IBC) are obtained
- Requires approvals from Chair, Dean, and AVP for Research and Compliance

- **Important!** PI is responsible for ensuring that no spending or activity related to the outstanding compliance approval occurs
 - Human subjects
 - Animal subjects
 - Biosafety





SPS Tools & Services

What tools & services does SPS provide to help me stay on track?

Award Synopsis Reports (ASRs)

- ASRs are sent via email* to the PI and unit administrators when:
 - A new award is processed
 - An action is processed on an existing award
- Read your ASR carefully and keep a record of it!
 - Budget string/chartfield (i.e., 160-XXXX-8100X-501XXX)
 - Used to charge expenses to your project
 - Milestone due dates (progress reports, etc.)
 - Important Terms & Conditions of your award

*Email Subject line:

"Award Synopsis Report (ASR) for Sponsored Project Acc: 160-XXXX-8100X-501XXX"

**SPONSORED PROJECTS SERVICES
AWARD SYNOPSIS****Project: 501XXX**

Grant/Contract Number:	10XXX-CU	Proposal No:	24-0XXX
Principal Investigator:	Bird, Big	Award Status:	Accepted
Subdivision:	445B Pharmacy - Practice	CFDA #:	93.865
Administrative Dept:	4510 Pharmacy - Practice		
Sponsor:	Avian University (C000000552)		
Prime Sponsor:	National Institute of Child Health and H (C000000121)		
Award Type:	Incoming Subcontract		
Award Purpose:	CLIN - Clinical Research		
Project Title:	Impact of vitamin D supplements on feather growth		
Prime Award #:			
Period of Performance:	08-01-2024 to 12-31-2024		
SPS C&G Administrator:	Scott, Shawn		

Certifications:

IRB-Inst. Revw Board Protocol	Cert No:
Approval Date: 10-17-2024	Expiration Date:
Comments:	
IBC-Inst. Biosafety Committee	Cert No:
Approval Date: 10-14-2024	Expiration Date:
Comments:	

Awarded to Date: \$150,000.00

ASR Example (Part 1)

Award Modifications:

Ref Awd No.	Period	Seq No	Issue Date	Begin Date	End Date	Amount	Comment
10250-CU	1	1	10-25-2024	08-01-2024	12-31-2024	150,000.00	New award in the amount of \$150,000 released under an approved Release of Funds Ahead of IRB Approval which expires 12/31/2024.

Subrecipients: CHOC CHILDRENS**Terms and Conditions:**

Carryover Needs Prior Approval- Carryover is restricted by the Federal Awarding Agency. Submit carryover requests to PTE PI.

No Cost Time Extension-Requires Sponsor approval- Requests for a NCE shall be directed to the PTE PI not less than 30 days prior to the desired effective date.

OtherTerm and Cond01- Acct: 160-4570-81001-501XXX; Fringe @ 28.6, 22, 11, or 5% depending on position; IDC @ 38.5%

OtherTerm and Cond02- Must comply with the Resource/Data Sharing Plan (see subaward agreement for details).

Research Terms and Conditions- <http://grants.nih.gov/policy/notices.htm>; <http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>; <https://www.nsf.gov/awards/managing/rtc.jsp>

Unallowable Exp-Other- Expenses related to human subjects work are NOT ALLOWED until IRB approval is obtained.

Reports:

Progress Report Due Date: 05-17-2025

Final Report Due Date: 09-29-2025

Invention Report Due Date: 09-29-2025

Final Invoice Due Date: 09-29-2025


ASR Example (Part 2)

Grants Dashboard

- Track your spending, remaining balance, and recent expenses
- Important to stay on track – avoid over- or under-spending
- Check out our [video tutorials](#) for tips on getting the most out of the Dashboard!




Grants Dashboard Example


Back to Panther Analytics

Home | Budget Summary Reports | Available Budget | Recent Expenses | Definitions

Sponsored Grants Available Budget | IDC Projects Available Budget | Legacy

 **Project** NOTE: If your project ID number is below 500340, please
500612 - Developing a mechanistic frame

Sponsored Grants Available Budget

Account	Budget	KK Actuals	Encumbrance	Pre Encumbrance	Remaining Budget
[-] Revenue	0	(164,513)			(164,513)
[-] Revenue Excld Pledge	0	(164,513)			(164,513)
[-] REV_EX_PLEDGE_ACCT Revenue Excl...	0	(164,513)			(164,513)
[+] 463010 - Federal Grants & Contracts	0	(164,513)			(164,513)
[-] Expenses	200,000	(168,646)	(18,145)	0	13,209
[-] Grants Direct Expense	175,151	(145,862)	(18,145)	0	11,143
[-] PAYROLL Grants Payroll	42,839	(54,899)			(12,060)
[+] 501570 - Faculty-Non Teaching	2,094	(3,168)			(1,074)
[+] 501605 - Acad Profnl Exempt FT	25,625	(47,273)			(21,648)
[+] 503000 - Students UG	15,120	(4,408)			10,712
[+] 503045 - Students Sick/OT/Meal Penalty		(50)			(50)

Remaining Direct Cost balance

Automated Reminder Emails



- Upcoming milestone (i.e., reporting) deadlines
- Sent as a courtesy - PIs should read their awards and ASRs carefully and be aware of all reporting responsibilities.

Chapman Reports Server (No-Reply)
90 Days Report Due Date Notification for Project 500489
Project: 500489

Budget Projections



- Allows you to see how much money you'll have left over after all obligations (such as payroll) are accounted for.
- Your unit may have a support person (e.g., Grants Analyst) who provides these on a regular basis
 - If not, Post-Award can provide them on an as-needed basis.



New Project Kick-off

What actions do I need to take as PI?

Initiating Personnel Expenses

- Need to hire new personnel on your grant?
 - Contact your department administrator who handles hiring
- Need to charge existing personnel (**including yourself**) to your grant?
 - Work with your department admin to allocate the appropriate amount of effort to the project



Personnel changes do not happen automatically!

IMPORTANT



Summer Pays

- Notify your Grant Analyst (or similar) when/if you need a summer pay request to be processed
 - Up to 3 months for 9-month faculty
 - Up to 2 months for 10-month faculty
- Requests should generally be processed no later than the 1st week of May
 - Exception: when we are awaiting the next budget increment/ project extension



Purchasing & Subject Payment

- To purchase supplies, equipment, etc., contact your department administrator who normally handles purchasing
 - Be sure to use the appropriate budget string/chartfield for your project!
 - Expense requests will be automatically routed to SPS for approval
- For human subject payment options, see: [Payments to Research Participants \(Human Subjects\) - Procedures](#)





Outgoing Agreements & Contracts

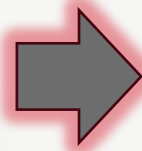
How do I make sure my collaborators get paid for their work on my project?

Subaward Agreements

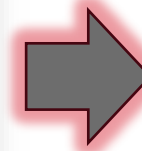
- Reach out to your Grant Analyst (or similar) to initiate subaward agreements
 - Agreements must be reviewed/approved by SPS and Legal Affairs, and negotiated with the Subcontractor
 - SPS is required to conduct initial and annual risk assessments
 - Once negotiations are complete, agreements must be signed by Chapman's EVP/COO and the authorized signatory of the Subcontractor



Prime Sponsor



Chapman



Subrecipient

Independent Consultant/ Contractor Agreements (ICAs)



- Contact your Grants Analyst (or similar) to initiate the ICA.
- ICAs require:
 - AB5 review by Human Resources
 - Provost's Office approval via the [Academic Contract Request \(ACR\)](#)
 - Review/approval from Legal Affairs & Risk Management
- Work should not begin until ICA is fully executed.
- Scope of work should be detailed and written in plain language
- Payment terms should be clearly outlined.
 - No pre-payment, generally

See Legal Affairs webpage:
[Academic and Administrative Contract Approval & Legal Review Process](#)



Changes During Performance Period

What if I need to make changes to my budget, scope of work, etc.?

Prior Approval Requests

- Requirements vary by project and by sponsor – it depends!
 - Changes to SOW, rebudgeting, carryover, no-cost extension, etc.
- Contact us as soon as you anticipate a change
 - SPS will determine whether prior approval is needed
 - If so, we'll facilitate that request to the sponsor
- Better to ask for permission, not forgiveness!
 - PI/Chapman will have to repay any expenses sponsor determines were unallowable

DENIED

Documenting Prior Approval

- Verbal agreements are not binding!
- Award/Sponsor terms & conditions dictate what documentation is needed:
 - Revised Notice of Award
 - Legally binding amendment
 - Email approval from authorized sponsor official
 - **EXAMPLE:** NIH Grants Management Officers (GMOs) are authorized to approve changes
 - NIH Program Officers (POs) do **not** have authority to provide prior approval!



Key Takeaways

- **New award receipt/negotiation/setup takes time, but options are available if you need access to funds sooner.**
- **The ASR is your notification of approval to start work/spending.**
- **SPS provides several tools to help you stay on track.**
- **The PI is responsible for initiating expense requests and ensuring funds are spent appropriately and on-time.**
- **Changes are inevitable. Reach out to us early and often to determine if prior approvals are necessary.**
- **SPS is here to support you!**



Sponsored Projects Services (SPS) Teams

Pre-Award & Non-Financial Post-Award

- Final review, approval, and submission of proposals
 - Post-submission materials, JIT, etc.
- Award/Subaward negotiation and processing
- Review & submission of progress reports (RPPRs)
- Process amendments for incoming & outgoing agreements (i.e., subawards)
- Facilitate prior approval requests

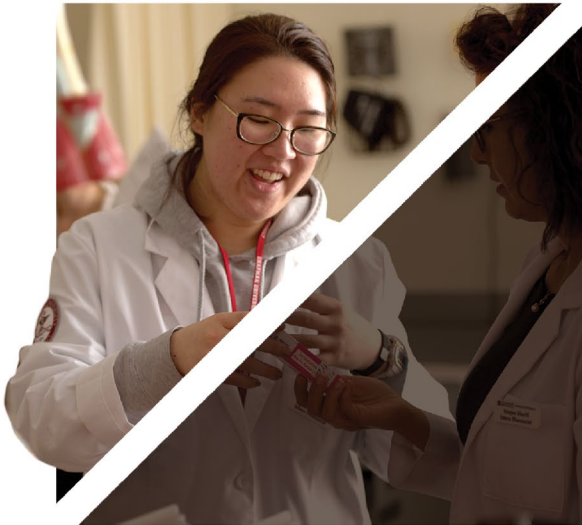
Financial Post-Award

- Review & approve expense requests
- Review & approve outgoing invoices
- Prepare and submit financial reports
- Provide projections as needed (for units without Grants Analysts or similar)
- Project Closeout

Other Resources

- [SPS Support by College/Unit](#)
- [OOR & GE Policies and Guidance](#)
- [OOR & GE Events](#) - Workshops, virtual office hours, and more!
 - **Pre-Award** Virtual Office Hours: 1st Thursday of each month, 11:00 am – 12:00 pm
 - **Post-Award** Virtual Office Hours: Last Tuesday of each month, 9:30 – 10:30 am
- Research Roundup
 - Monthly newsletter with important announcements from OOR&GE, funding opportunities, sponsor policy updates, and more!





Thank You!

Questions?

Sponsored Projects Services (SPS):
sps@chapman.edu

Submit a ticket to the Office of
Research via [JIRA](#)



Visit our website: <https://www.chapman.edu/research/about-our-office.aspx>