

Post-Award Responsibilities

Congratulations on your recent award! This document provides an overview of the shared responsibilities between PI/PDs and ORI in the successful administration of your grant. Direct questions to adiaz@calbaptist.edu.

	Office of Research Initiatives (ORI) Responsibilities		PI/PD Responsibilities
	<i>Accounting</i>	<i>ORI</i>	
Before Project Begins	<p><u>Award Set-Up</u></p> <ul style="list-style-type: none"> – Create Account Number 	<p><u>Award Set-Up</u></p> <ul style="list-style-type: none"> – Review award agreement – Verify all grant required forms have been submitted to the sponsor/agency – Set up meeting with PI to discuss grant specifics, including budget and grant processes and reporting requirements – Meet with department administrators responsible for supporting grant requisitions 	<p><u>Award Set-Up</u></p> <ul style="list-style-type: none"> – Understand award requirements – Review award for accuracy – Notify ORI of any changes
During Funding Timeline	<p><u>Award Management</u></p> <ul style="list-style-type: none"> – Ensure accurate expenses and balances in Banner 	<p><u>Award Oversight</u></p> <ul style="list-style-type: none"> – Review all expenses for compliance – Act as a liaison between PI/CBU and sponsor – Assist with and approve budget requests, including requests for budget reallocation – Provide guidance and ensure compliance with applicable rules and regulations – Prepare and process subcontracts – Assist with no-cost extension applications, if needed – Remind PI/PD of progress report requirements several weeks before the deadline 	<p><u>Award Management</u></p> <ul style="list-style-type: none"> – Initiate and approve grant requisitions for expenditures (Access our Grant Spending Guidelines on InsideCBU for accounting requirements) – Approve grant-funded employee timesheets – Prepare technical/progress reports; send to ORI one week before deadline to submit – Maintain communications with ORI about project’s progress, budget, compliance, and other administrative needs.
End of Funding Period	<p><u>Award Closeout</u></p> <ul style="list-style-type: none"> – Retain financial documents 	<p><u>Award Closeout</u></p> <ul style="list-style-type: none"> – Notify PI/PD of project end date and reporting requirements – Prepare and submit financial reports – Participate in audits – Retain award file for required period 	<p><u>Award Closeout</u></p> <ul style="list-style-type: none"> – Prepare and submit final technical report to ORI at least three days before the deadline – Retain technical documents as required

Post-Award Administration

Award Set-Up

When official notification of an award is received by ORI, a copy is emailed to the PI/PD and Finance. ORI must receive documentation of an award before a grant can be set up in the accounting system (Banner). Normally this documentation consists of the original grant acceptance letter along with a copy of the approved grant proposal and budget.

PI/PD and ORI Meeting: The PI/PD will meet with ORI to ensure that all aspects of the grant are properly set up and both the PI/PD and ORI are aware of the specific requirements set forth in the grant. The PI/PD will then receive a new grant account number to use for all grant expenses.

A. Award Notification: Elements of an Award Notice

- Awarding Agency
- Award Number
- Recipient
- PI/PD Name
- Project Title
- Funding Amount
- Project Start/End Dates
- Reports & Deliverables
- Terms & Conditions

B. PI/PD and Support Staff Action Steps:

- Review the award letter
- Review the budget

Allowable Grant Expenditures

All expenses charged to a grant must be necessary to achieve the objectives of the approved grant, allocable to that particular project, and allowable under the terms of the grant.

To make the process more transparent and accessible, PIs/PDs are encouraged to seek information on award terms, CBU policies, and federal regulations that govern transactions posted to sponsored accounts. These policies regulate the process and timeline required for potential grant-related processes including purchasing equipment, paying participants, and seeking reimbursements. You can find these important information by referring to InsideCBU ([Access Research Initiatives Forms on InsideCBU](#)) which serves as a valuable reference point for guidance and compliance.

The PI/PD assume responsibility for ensuring transactions posted to sponsored accounts comply with the terms and condition of the award, CBU policies and federal regulations. ORI will

work with Accounting to process all approved grant expenditures and post them to the grant correctly.

Budget Changes

Please note that grant budgets cannot be transferred between budget categories/line items without prior approval according to the terms and conditions of the grant. Reporting needs to show how the funds were spent in relation to how they were budgeted.

ORI must authorize changes to approved budgets or other grant terms (in accordance with sponsor policy). Contact ORI to determine the procedures required to spend funds on items that are not included in an awarded grant budget.

Processing Grant Expenses

Grant expenditures are processed like other University expenditures. Departmental staff will initiate the requisition based on information provided by the PI/PD. The approval will route to ORI automatically in Banner and Laserfiche work flow. If the expense is unallowable under the terms of the grant or there is not enough money remaining in that budget category, the requisition will be denied. To prevent denial, the PI/PD or departmental staff may want to consult with ORI prior to initiating a requisition, to confirm allowability and the availability of funds.

Costs must meet the following general criteria to be allowable:

- Be necessary and reasonable for the performance of the award
- Be consistent with grant policies and procedures

Reporting Requirements

ORI prepares various financial reports required by the sponsoring agency.

The PI/PD is responsible for all technical reports. Many sponsoring agencies require annual progress reports; check the specific grant terms and conditions. Copies of all narrative reports and correspondence related to grants should be forwarded to ORI.

No-Cost Extensions

Some funding agencies allow the grant termination date to be extended if more time is needed to finish the project. Many federal grants enable the university to authorize these “no-cost extensions.” In all cases, such extensions must be requested well before the approved termination date (approximately two to three months before the grant’s end date). Please contact ORI for the appropriate procedures.

Summary

There is a shared responsibility between ORI, PI/PD and the support staff to manage an award/grant. Communication between these parties is very important.