STOCKTON | RESEARCH &
UNIVERSITY | SPONSORED PROGRAMS

Office of Research and Sponsored Programs
Post-Award Guidelines for Processing an Award
FY2023

I. Award Negotiation

In the event that a sponsor/funder contacts a Principal Investigator (PI)/Project Director (PD) during the final stages of award review and requests changes and/or adjustments in the project or its budget, the PI/PD should immediately refer the sponsor/funder to the Office of Research and Sponsored Programs (ORSP) and the Budget Unit Manager (B.U.M.) to discuss the request. ORSP will oversee all discussions regarding award negotiation with sponsors/funders.

Once any revisions have been accepted, the revised documents (budget, scope of work, etc.) require written approval within the University from the B.U.M., ORSP Executive Director, if deemed necessary by ORSP, Administration and Finance (A&F). Once approval is given, the changes will be sent to the sponsor/funder for processing.

II. Award Notification

When a project is approved for support from an external source, the award is made to the University, not an individual PI/PD. The PI/PD who will direct the project does so on behalf of the University.

Notice of an award may be sent to the PI/PD, ORSP, or another institutional official. Any award notifications received by anyone other than an ORSP staff member should immediately forward the award notification to grants@stockton.edu as well as jennifer.kosakowski@stockton.edu. ORSP monitors and manages all awards and serves as the University repository for award documentation.

ORSP will forward award documentation to A&F for processing per the established workflow. If the award notification requires an acceptance signature, the appropriate institutional representative (per Procedure 6416: Signatory Authority) will sign the award notification.

Award notifications often contain special terms and conditions of the award, which should be read carefully. These terms and conditions may include start and end dates, requirements for making changes, and completing reports for the project. ORSP will ensure through a PI/PD initial meeting that the PI/PD is aware of any terms and conditions in the award letter.

II-A. Budget Set-Up

Once an official award notice has been received from an external funder, the Grants Analyst in ORSP will secure a budget number and set up the budget using the appropriate University budget categories. The budget is allocated according to the award notice.

If necessary, the PI/PD may be consulted on the distribution of funds, particularly if the amount awarded does not match the original amount requested. Budget setup sheet and appropriate documents are sent to Grants Accounting in A&F for entry into the Banner system. Once established, a notice of the account number is sent to the PI/PD and the appropriate B.U.M. According to the schedule identified by the funder, A&F will check with the ORSP Grants Analyst for review of the budget.

A&F will bill the funder or "draw down" portions of the award on a regular basis. A private foundation may send a check at the beginning of the project. In this case, the check should be given to the Grants Analyst who will forward it and any appropriate information to assure that it is credited to the proper account.

III. Pre-Award Expenditures

Generally, pre--award expenses are not permitted. However, some federal agencies allow expenses to be charged to the project budget within a certain limited time before the official start date. In these situations, the University might agree to "front" a start--up budget, based on the award notice. If such expenses are critical to the project, consult with the Office of Research and Sponsored Programs.

IV. Responsibilities of Principal Investigator (PI)/Project Director (PD)

The PI/PD is the primary administrator of grant-funded activities and the budget. Since responsibilities associated with these obligations rest with the PI/PD, the PI/PD must plan for, initiate expenses for, and implement the activities funded by the award.

IV-A. Monitoring an Account

Soon after an account for an externally funded award has been established, the PI/PD will meet with ORSP to go over initial award documents and post-award processing guidelines.

The PI/PD will then hold a second meeting with the Grants Manager/Grants Accountant, B.U.M., and/or other departmental representative to outline a spending plan. This meeting has the purpose of reviewing responsibilities and answering questions for a timely use of funds.

The ORSP will request financial system administrators to set up access for the PI/PD to the University's accounting system and assure that the PI/PD receives budget reports to help monitor the budget. Non-salary budget items should be almost entirely spent by the end of the third quarter of the project period.

IV-B. Drawing on an Account

Once the award has been assigned a number, the PI/PD can initiate expenses and draw on that account. Critical to managing a budget is the staff person in each School/Division and B.U.M. assigned to budget-related tasks. This person will support the PI/PD by processing paperwork. Most often paperwork is processed electronically through the University accounting system.

When initiating payments or purchases of any kind, it is the responsibility of the PI/PD to make certain that that the following items have been considered and that, when appropriate, the paperwork includes:
- the proper account number(s)
- the project budget allows the expense(s) requested
- the expense falls within the grant or contract period
- the required signatures are in order, including PI/PD
- the cost is reasonable and necessary

IV-C. Reallocation of Funds

If during the budget period a reallocation of the funds is required, and it is allowable within the terms and conditions of the agreement/contract/award from the sponsor/funder, the PI/PD should request such changes in writing to the ORSP Executive Director. The memo should specify a) the item cost; b) how the purchase relates to the goals of the project; c) the budget categories affected by the reallocation; d) effects on the goals of the project; and e) any specific information required by the

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funder.

Any changes made against a grant must be valid according to the rules of the sponsor/funder and relate to the scope and purpose of the funded project. The ORSP Executive Director will ensure compliance with the sponsor/funder's terms and conditions by contacting the sponsor/funder, if necessary, as many sponsors/funders require prior approval of budget changes, which must be obtained in writing.

V. Post-Award Considerations

The PI/PD is responsible for initiating all paperwork required for the project. The paperwork is processed through the regular University accounting system by the staff person/B.U.M. responsible for doing so in each School/Division.

V-A. Personnel

Employees hired with grant funds must follow the regular University procedures and guidelines, available from the Office of Human Resources and the B.U.M. Fringe benefits must be associated with each salary at the current rate for part-time, summer, and full-time employment.

Salary payments will be made on regular paydays and not until paperwork has been completed and approved. Personnel working on a project ought to receive a salary payment, at whatever amount, in order to be covered by the University insurance and liability policies.

- **To hire a new employee**, the PI/PD should initiate a Position Action Request (PACT) form. If the employee is part-time, temporary, or a student worker, a Temporary Employment Service (TES) form should also be used. This form, together with a W-4, copy of social security information, and I-9 must be processed through the B.U.M. to complete the hire.

- **To pay an employee already on the payroll,** whether as supplemental pay, an overload or for work during the summer, the PI/PD or B.U.M. must utilize the internal system for doing so.

- **To pay a consultant or a professional for special services** to the project who is not on a regular salary, the PI/PD must develop a Service Provider Agreement, which includes a description of the work to be completed. Once the contract is developed and approved/signed by by an official signatory, the consultant's SS# and pertinent information will be entered by Purchasing staff into the University electronic system to establish the consultant as a vendor. *(If travel is to be reimbursed, see appropriate section below.)* When the consulting services are finished, the PI/PD must notify staff/the B.U.M. to complete a Direct Pay voucher, which generates a check to the consultant.

V-B. Equipment

The purchase of any equipment or computers also follows the guidelines and procedures associated with all University purchases. Under certain conditions the purchase of equipment may require written quotes or bids from suppliers. This step can be required depending on the cost of the equipment and its level of sophistication.

The PI/PD must initiate a purchase through the B.U.M. to ensure a Requisition is developed (which is electronically converted to a Purchase Order (PO) through processing.) When the equipment arrives, the supplier's receipt should be copied, and the original receipt turned in for processing. It is University policy that all equipment purchased with University or grant funds remains the property of the University. Grant-funded purchases should be initiated during the first quarter of the project

period.

V-C. Travel
Most travel requires the PI/PD to complete an Authorization Request for Reception/ Travel/Staff Training (ARRTV) form. This form is also used to request reimbursement for expenses made while traveling like tolls, parking, registrations, etc., which all require receipts for reimbursement. This form should be used when performing any project--related or University-related activities off--campus so that participants are covered by University liability and insurance policies.

V-D. Purchases of Supplies, Software/Other Materials
The PI/PD's divisional B.U.M. completes a Requisition form in order to initiate specified purchases. This form is put into the University's electronic system and converted to a purchase order with the supplier. Once the supplies are received, the clerical support staff must be notified so the budget account can show that the materials actually arrived.

V-E. Time and Effort Reports
Federal regulations Circular A-21 require that time spent on funded projects be documented. Circular A-21 allows an after-the-fact certification of an individual's time and effort. To satisfy this requirement for professional personnel involved on a project, the ORSP collects reports which have been reviewed by the PI/PD to verify time spent on a project. Direct salaries and wages of non-professionals will be verified through daily time and payroll documents.

V-F. Extension of Project Dates and/or Budget
A no-cost extension of time can usually be requested in writing to the funder and notice sent to the ORSP Executive Director, who will notify A&F. This request should be submitted to the ORSP at least 15 days before the sponsor/funder's deadline for requesting no-cost extensions. ORSP will assist with the development and submission of all no-cost extension requests. When a request for more time includes a request to carry forward grant and/or University match funds, the request must be approved. Such a budget modification must be reviewed and approved in writing by the B.U.M., ORSP, and Grants Analyst in accordance with University policies and sponsor/funder's guidelines.

V-G. Changes in Scope or Director of the Project
A change in scope of a project usually requires a written request to the funder, who will then approve/decline the request. Any changes in scope should first be submitted to the ORSP Executive Director for discussion and review. Similarly, a change in PI/PD on a project, or in time devoted to a project, requires approval from the sponsor/funder. The ORSP Executive Director must be contacted if there is the need for such changes, and will help to facilitate development and submission of the request to the sponsor/funder.

V-H. Writing Progress Reports and Submitting Financial Reports
The PI/PD is responsible for the on-time submission of all technical/program reports according to the terms of the sponsor/funder. Grants Accounting in A&F is responsible for all financial reports, also according to the terms of the grant. A&F reviews terms of the award, proposal, and comments from ORSP before submitting the financial report. ORSP will monitor budget activity regularly throughout the project period. The contract or award notice usually outlines the topics to be addressed in the progress reports, the methods by which financial reports are submitted, and the due dates for all reports. The ORSP will assist all PIs/PDs with the development and submission of all interim and final reports.

Table 1: Items, Required Forms, and Require Signatures

Category	University Form	Signatures
Salaries	PACT or TES	PI, B.U.M., VPAA, A&F, HR/Payroll, Payee
Students	PACT, TES, W--4, SS#, I--9	PI, B.U.M., HR/Payroll, Payee
Overload, Summer	Supplemental Payroll Spreadsheet	PI, B.U.M., Payee
Consultant, Professional Services, Student stipends	Contract thru A&F, then entered as Vendor, then paid with Voucher	PI, B.U.M., A&F, Payee.
Equipment	Requisition, then Receipt of goods	PI, B.U.M., Purchasing
Supplies, small equipment, books, stuff.	Requisition	PI, B.U.M., Purchasing
Travel	AART	PI, B.U.M., Admin. Services
Memberships, Licenses	Voucher	PI, B.U.M.
Time and Effort	Timesheets	PI, ORSP

Referenced Staff Members

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