



Grant Post-Award Overview

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Grant Post-Award Overview

Purpose

The purpose of this document is to give general guidance to Grand Valley State University (GVSU) Principal Investigators (PIs) on what happens when a grant is awarded. As all grant awards are different and funding agencies often have different requirements, information provided in this document is meant to provide a general overview of what to expect in the post-award stage.

Award Notification

Funding agencies usually send an email or letter to the PI, Office of Sponsored Programs (OSP), and/or the University President indicating a project has been funded. This email or letter normally includes a “Grant Award Agreement” or contract, which typically includes the amount of the award, the award period, the funding agency’s grant number, terms and conditions specific to the grant, reporting requirements, names of grant or program officers, and other fiscal information.

The PI’s Grants and Contracts Specialist (GCS) in OSP will review the award/grant agreement and provide it to the Director of Sponsored Programs for review and signature. PIs are not authorized to accept awards or sign agreements on behalf of the University and should send all award documentation and materials they receive from the funding agency to their GCS. *Do not sign any documents or attempt to provide the contract directly to the President.*

Once an award has been fully executed and signed by the authorized official of both the external sponsor and GVSU, OSP’s GCS will compose an award email that is sent to the PI, the PI’s Grants Accountant in GVSU’s Business and Finance Office, and other stakeholders. Typically, the award email sent by the GCS is the point at which the project moves from pre-award status with OSP to post-award status with Grants Accounting. The Grants Accountant sets up an expense account for the project and provide the PI with “worktags.” Worktags allow Grants Accounting and project teams to describe and categorize transactions and are required for a project to be able to spend funds. In addition to setting up accounts and worktags the Grants Accountant will also meet with the PI to discuss next steps. This happens at a time that is mutually convenient, usually within a couple of weeks of the notice of award. The PI should always feel free to contact their Grants Accountant with questions or if unsure about next steps.

Budget Modifications

If the sponsoring agency requires modifications to your budget, email your GCS with details about what modifications are being requested and they will assist you in updating and resubmitting your project budget.

Sub-Award Agreements with Other Organizations

GVSU may be a sub-recipient of a grant made to another university or community partner. Like grants submitted by GVSU PI, sub-award submissions, in partnership with another organization, go through the same review and approval. Therefore, your GCS likely has all the information required to process the subaward agreement with the lead agency but may ask you for other documents.



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Roles and Responsibilities of the Principal Investigator

A funded grant has specific deliverables that must be accomplished within a specific budget and timeline. *The Principal Investigator should not make any grant expenditures until the College has an official agreement with the agency and the grant accounts and worktags are established.*

The Principal Investigator serves as the project director and steward of the project, provides overall leadership for the project, and is responsible for the grant implementation.

Specific responsibilities include:

- Ensuring that the scope of work and deliverables are completed in a quality manner, on time, and within budget.
- Defining tasks and developing the project work plan.
- Implementing the work plan, including all aspects of the project.
- Preparing professional progress/performance reports in collaboration with the project team, in advance of deadlines and in *the specific format required by grantor*. Many progress/performance reports are submitted through agency portals (such as Research.gov for NSF) and your GCS and the Office of Sponsored Programs can assist in submission. Principal Investigators must know what is expected of the performance reports. Reports should be written in a professional business tone, be complete and understandable to program officers, and convey a positive image of GVSU. The reports often include:
 - Project narrative.
 - Ongoing performance assessment and quality improvement of study processes.
 - External evaluator report.
 - Status of program objectives, obstacles encountered, demographics, etc.
 - Financial reports.
- Coordinating evaluation of the grant project and working with external evaluators.
- Complying with regulations regarding:
 - Institutional Review Board for the Protection of Human Subjects (also known as the IRB)
 - Financial conflict of interest.
 - Research misconduct.
 - Federal and state grant administration.
 - Data management, including data security, confidentiality, and any regulatory requirements.
 - Data safety and monitoring if required.
- Adhering to all GVSU fiscal policies and procedures, including meeting deadlines for reports and invoice submission.
- Spending all project funds according to budget.
- Reviewing financial reports monthly and understanding financial activity during that reporting period.
- Monitoring sub-awardees by
 - Maintaining active lines of communication with sub-awardees.
 - Ensuring sub-awardee performance goals are achieved.



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- Reviewing sub-awardee technical reports.
- Reviewing invoices to ensure charges are reflective of work performed.
- Approving invoices in a timely manner and forward to Grants Accounting.
- Developing materials for communication and dissemination, as appropriate.
- Ensuring proper record retention.
- Hiring and training grant personnel.
- Monitoring the budget along with the grant accountant.
- Purchasing equipment and supplies (work with procurement, or IT)

Principal Investigators should monitor the following aspects of their project.

If there are partners (vendors or sub-awardees), answer questions A through H for each partner.

- A. Are activities related to accomplishment of objectives progressing on schedule?
- B. Is there any indication of a failure to perform with any vendors or sub-awardees? Any significant problems?
- C. Is the budget significantly underspent or overspent, either by line item or total?
- D. If any budget amendments are needed, did you involve the Office of Sponsored Programs?
- E. Is there documentation of the grantor's approval of any and all amendments?
- F. Have some project activities been adversely affected by slow startup or unfilled positions?
- G. If the project serves participants:
 - a. Have all the required participant eligibility requirements been followed?
 - b. Is the project achieving the number of participants in proposal projections?
- H. If the project involves human subjects and research, has the GVSU Institutional Review Board approved the research protocols?
- I. Are the grant project key personnel and/or project team working together effectively and productively?
- J. Has the project established and is it maintaining a data system to collect appropriate data needed to document success, report performance, and evaluate the project?
- K. Has the project implemented the evaluator or program officer recommendations?
- L. Is the project supplanting, co-mingling funds, or making unauthorized expenditures? (*Note: This is illegal.*)
- M. If matching funds or in-kind contributions are required, is appropriate data being compiled that can be presented to an auditor?
- N. Does the project follow GVSU's standard administrative procedures?
- O. Are reports of high quality and submitted on time?
- P. Is work proceeding cooperatively and are key individuals informed about problems, planned changes, and communications with the sponsor?

<i>Activities that the Principal Investigator should not do</i>
Accept a grant award.
Sign any legal documents.
Overspend the project budget.
Commit GVSU to anything without prior approvals.



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GVSU Post-Award Resources and Contacts

Office/Functional Area	Assistance
Admissions & Enrollment	<ul style="list-style-type: none"> • Enrolling students participating in the project into the college.
Student Employment	<ul style="list-style-type: none"> • Assisting with hiring students
Financial Aid	<ul style="list-style-type: none"> • Coordinating scholarships funded by the project with other forms of financial aid. • Reaching eligible students for the scholarships.
Grants Accounting	<ul style="list-style-type: none"> • Assist with budget modifications when necessary. • Training project team on Workday Grants Module. • Ensuring that salaries are accurately charged against a grant based on the Effort Certification Report certified by grant employees at the end of each semester. • Setting up the sponsored budget in Workday. • Addressing post award concerns. • Completing financial reporting with sponsors. • Invoicing sponsors and/or requesting drawdown of funds. • Maintaining official financial records in Workday. • Executing fiscal close out. • Monitoring financial sub-awards. • Working with PI/Department to ensure Costing Allocations are set up correctly for each employee working on a grant. • Provide guidance and support for the grant team in terms of budget expenditures, reports, and revisions.
Human Resources	<ul style="list-style-type: none"> • Approving job descriptions. • Advertising positions. • Hiring a qualified candidate. • Onboarding the selected candidate to GVSU. • Working with Grants Accounting and Payroll to get personnel correctly charged against project budgets.
Information Technology	<ul style="list-style-type: none"> • Advising on equipment and software selection to solve business process problems. • Advise with purchasing equipment and software that is compatible with the GVSU infrastructure. • Setting up PCs and printers, connecting devices to the Internet. • Source for high-performance computing services



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Institutional Analysis	<ul style="list-style-type: none">• Fulfilling data requests• Accessing student demographic and performance information.• Advising on survey design.• Advising on data requirements for projects.• Advising on FERPA requirements.• Advising on tracking student performance.• Interpreting student performance data.• Collaborating with external evaluators.
Institutional Review Board for the Protection of Human Subjects (IRB)	<ul style="list-style-type: none">• Approving protocols for projects involving the following types of research activities: surveys of students, surveys of faculty and staff, focus group sessions with students, focus group sessions with faculty and staff
University Marketing	<ul style="list-style-type: none">• Advising on publicizing the project.
Payroll	<ul style="list-style-type: none">• Working with HR and Grants Accounting to get personnel correctly charged against project budgets.
Procurement	<ul style="list-style-type: none">• Aiding with purchasing supplies, equipment and services.• Securing an expense ("P card").
Parking Services	<ul style="list-style-type: none">• Supplying parking permits