



Subject: Grant Post-Award Processing Guidelines & Procedures

Date First Put into Effect: February 17, 2009
Date of Latest Revision: February 1, 2015
To: CHIP PIs, Staff, & Students
From: CHIP Director & Associate Director

These guidelines and procedures are in effect until superseded.

➤ **CHIP Business Unit Staff Responsible for Grant Post-Award Processing**

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➤ **Purpose**

- To work collaboratively with CHIP 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** – Award setup is the creation of an account in the Quali System (KFS) for a project. When the award notice is received, the CHIP Grants Team will contact SPS to set up the account and the budget in KFS.

For projects receiving funding from PHS or any other sponsor following PHS regulations (NSF, FDA), the policy has been changed. Effective from August 24, 2012, before setting up the account, SPS will need to make sure that the PI and all investigators have signed the Financial Conflict of Interest form (FCOI) and complete an online training (CITI training). Please [getogo to](http://research.uconn.edu/fcoi-home/) SPS website: <http://research.uconn.edu/fcoi-home/>.

2. **PRE-AWARD CODING OR ADVANCE ACCOUNT** - Pre-Award Coding, or an Advance Account, allows the Principal Investigator (PI) to incur expenses, process payroll authorizations, or otherwise begin a project prior to the actual start date of an award or receipt of the award notice. The CHIP Grants Team can request Pre-Award Coding from SPS. Please see the policy at <http://research.uconn.edu/sps-proposals/proposal-preparation-guidelines/pre-award-roles-and-responsibilities/proposals-and-awards-policies/>
3. **PSA SETUP** - If there are any subcontracts or consultants in the budget, the CHIP Grants Team will work with the PI to prepare Subawards & Personal Service Agreements (PSA) and all other paperwork required.

4. **PARTICIPANT INCENTIVES** – If the PI needs an advance for participant incentives, the CHIP Grants Team will make a request to SPS to set up a participant incentive account. In this case the PI needs to submit the IRB registration and get approval before SPS can set up the budget and the advance.
5. **PAYROLL AUTHORIZATION** - CHIP Administrative Manager can help PIs process payroll authorizations. Contact humanresources@chip.uconn.edu.
6. **BUDGET PROJECTIONS** – The CHIP Grants Team will set up the budget projection spreadsheet, reconcile all expenses, and work with the PI to plan and manage the grant in order to be accurate and compliant.
7. **PURCHASING** – CHIP 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. Contact purchasing@chip.uconn.edu.
8. **TRAVEL** –CHIP 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. Contact travel@chip.uconn.edu.
9. **COST TRANSFERS** – The CHIP Grants Team will reconcile and cost transfer expenses, if needed. Cost transfers are needed, for example, when there are clerical or data entry errors, when there are expenditures which benefit a project other than the one charged or more than one project, 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. **REBUDGETING** – 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 CHIP Grants Team will request a rebudget when requested by a PI or when the budget shows a deficit (overdraft). A justification is needed from the PI for a rebudget request.
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 CHIP Grants Team will request a no-cost extension if there is money available in the budget and the PI needs extra time to complete the project.
12. **PROGRESS REPORT AND CARRYOVER** – When a grant requires a progress report or a carryover budget, the CHIP Grants Team can help the PI to prepare the report and/or the 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 paid from a federally sponsored or other grant award. The CHIP Grants Team will review, reconcile with the payroll authorization, and verify with the PI that the amount spent on salaries is reasonable in relation to the effort devoted to the project.
14. **AWARD CLOSEOUT** – Financial reports are due within 90 days of the award expiration on federal awards; the deadline may be even shorter for state and private awards. All expenditures

related to the project must be processed, open encumbrances closed, cost sharing verified, and the account(s) reviewed for errors or necessary changes in order to prepare the final financial report. The CHIP Grants Team will review a Draft Report of Expenditures (DROE) that is sent by SPS to verify all appropriate expenditures have been posted to the account, all open encumbrances are liquidated or cancelled, and participant incentive accounts have been closed. Unallowable costs will be transferred to other accounts as appropriate.