

I Got a Grant! Now what?

A Sponsored Projects Services Webinar

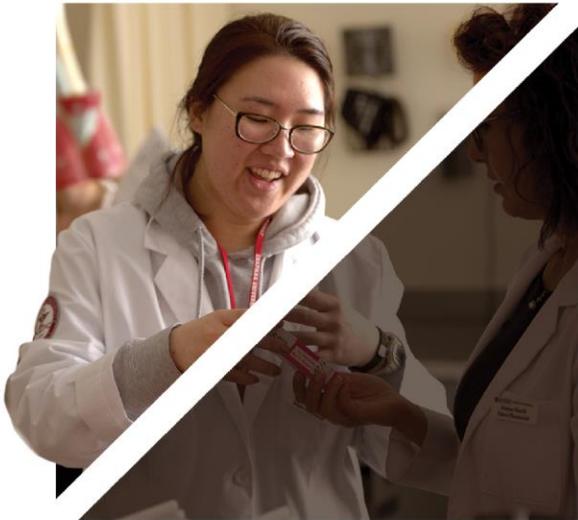
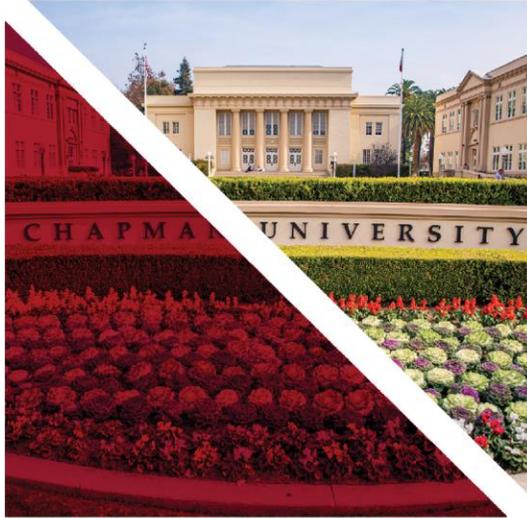
Presented by:

Megan Faulkner, CRA, Senior Research Administrator (Pre-Award)

Stephanie Wenning, Post-Award Research Administrator



CHAPMAN
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Housekeeping

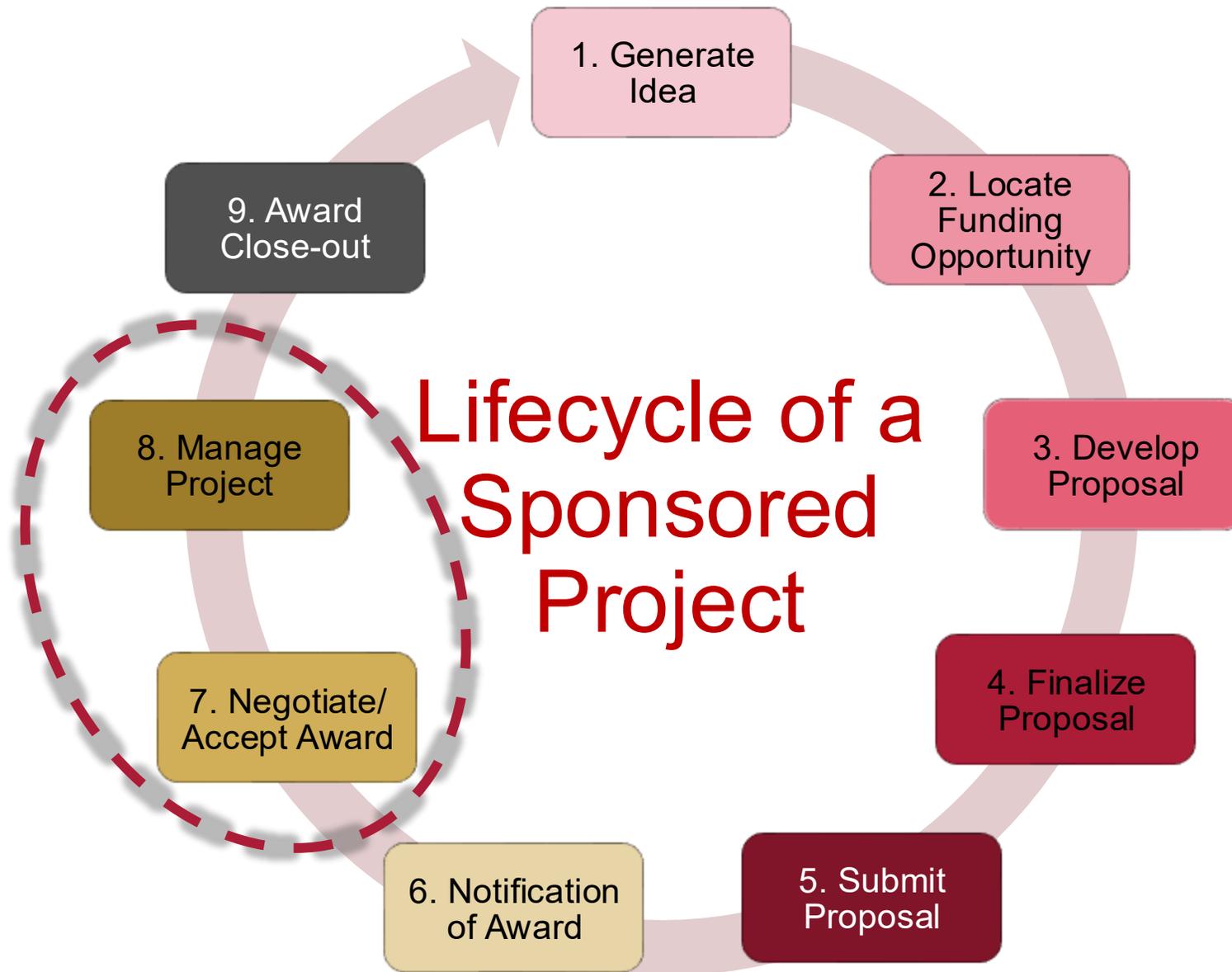
- Webinar is being recorded
- Link will be emailed & posted to our website
- Keep microphones muted
- Type questions into the Q&A section or unmute at the end



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 (subrecipients, consultants)
- Know what to do when changes are needed
- Get to know your SPS teams and how we support you





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 the Office of the General Counsel (OGC) 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 budget string
- 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 when we are awaiting:
 - A new award or final contract execution
 - A new increment of funding on an existing award
- 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 (i.e., 160-XXXX-8100X-501XXX)
 - This is used to allocate expenses to your project
 - Milestone due dates (progress reports, etc.)
 - Important Terms & Conditions of your award

*Example ASR email:

Rogoff, Sandra

Award Synopsis Report (ASR) for Sponsored Project for Acc: 160-4570-81001-501

Dear Principal Investigator and PI Department Staff, An action has recently been processed for

**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

Approval Date: 10-17-2024**Comments:**

IBC-Inst. Biosafety Committee

Approval Date: 10-14-2024**Comments:****Cert No:****Expiration Date:****Cert No:****Expiration Date:****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

SPONSORED PROJECTS AVAILABLE BUDGET

For Internal Use Only PeopleSoft Data as of: Jan 8 2026 4:07AM

Project

501131 - Integrative biology of fiber-r

NOTE: If your project ID number is below 500340, please go to the Legacy tab to view your balance information.

Level 1 - Account	Budget	KK Actual	Encumbrance	Pre Encumbrance	Remaining Budget
Revenue	0				0
Revenue Excld Pledge	0				0
REV_EX_PLEDGE_ACCT Revenue Excld Pledge Accts	0				0
463010 - Federal Grants & Contracts	0				0
Expenses	728,724	(12,795)	(3,986)	0	711,943
Grants Direct Expense	552,353	(9,442)	(3,986)	0	538,926
PAYROLL Grants Payroll	329,467	(7,140)			322,327
501570 - Faculty-Non Teaching	54,236				54,236
501605 - Acad Profnl Exempt FT	142,100				142,100
502105 - Admin and Staff - FT	88,271				88,271
502140 - Admin and Staff 50%	0	(7,140)			(7,140)
502175 - Admin and Staff Temporary	34,608				34,608
503000 - Students UG	10,252				10,252
FRINGES Grants Fringes	76,174	(1,571)			74,603
SUPPLY_SVC Grants Supply & Services	133,762	(731)		0	133,031
510005 - Professional Services	600				600
510050 - Participnt Supprt Fellowsh Awd	26,100				26,100
517005 - Supplies	24,978	(585)		0	24,393
517075 - Postage/Shipping		(147)			(147)
520010 - Participnt Supprt Travel	6,000				6,000
520015 - Participnt Supprt	1,000				1,000

Remaining DIRECT Cost Balance 538,926	Remaining INDIRECT Cost Balance 173,018	Remaining TOTAL Balance 711,943
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Use the drop-down menu to select the appropriate project ID. All balances are as of close of business yesterday (any new expenses posting to the project since close of business yesterday will not appear).

The 'Remaining Budget DIRECT Expenses' bubble displays the unobligated Direct Cost balance on your award.

The 'Remaining Budget INDIRECT Expenses' bubble displays the unobligated Indirect Cost balance on your award (Note: This is NOT your discretionary IDC Account balance. Please see the 'IDC Accounts' report for that information).

The 'Remaining TOTAL Expenses' bubble displays the TOTAL (Direct + Indirect Cost) balance on your award. To view individual expenses, right click on the value under 'KK Actual' and select Drill Through > KK Actuals.

Fringe benefit expenses and Indirect costs will not post until 2 – 3 weeks into the following month (for example, the costs for the month of January will not post until 2 – 3 weeks into February).

Payroll expenses only post at the end of each pay period (biweekly or monthly depending on personnel).

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

*Remember to send a copy of your progress reports to sps@chapman.edu!

Shadow Budget & Projections



- Allows you to see how much money you'll have left over after all obligations (such as payroll) are accounted for, including those that have not posted yet.
- 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 department admin 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



See Chapman Policy:
[Summer and Overload Pay for Faculty on Sponsored Activities](#)

Purchasing & Subject Payment

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





Outgoing Agreements & Contracts

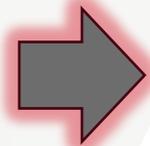
How do I make sure my collaborators get paid for their work on my project?

Subaward Agreements

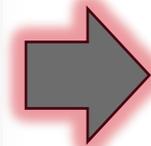
- SPS Pre-Award will:
 - Conduct initial and annual risk assessments of the Subrecipient
 - Draft outgoing subaward agreements
 - Route agreements to OGC for review and approval
 - Manage contract negotiation with the Subrecipient
- Once negotiations are complete, agreements must be signed by Chapman's EVP/COO and the authorized signatory of the Subrecipient



Prime Sponsor



Chapman



Subrecipient

Independent Consultant/ Contractor Agreements (ICAs)



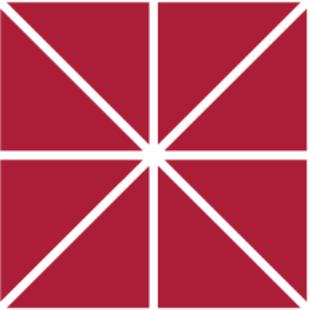
- Contact your department to initiate the ICA
- ICAs require:
 - AB5 review by Human Resources
 - Provost's Office approval via the [Academic Contract Request \(ACR\)](#)
 - Review/approval from OGC & Risk Management
- Work should not begin until ICA is fully executed
- Scope of work should be detailed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

See Office of the General Counsel webpage:
[Academic and Administrative Contract Approval & Legal Review Process](#)

Monitoring of External Collaborators



- The PI is responsible for monitoring the work of subrecipients and independent consultants/collaborators
 - Ensure subrecipients comply with prime sponsor policies and contract terms and conditions
 - Make sure progress reports, deliverables, etc. are submitted on time in accordance with contract terms and conditions
 - Review and approve invoices submitted by external collaborators
- Communicate to SPS if any concerns arise



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, addition of a subrecipient not included in the proposal, 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
 - Unallowable expenses could result in Audit Findings and negatively affect future funding opportunities.

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

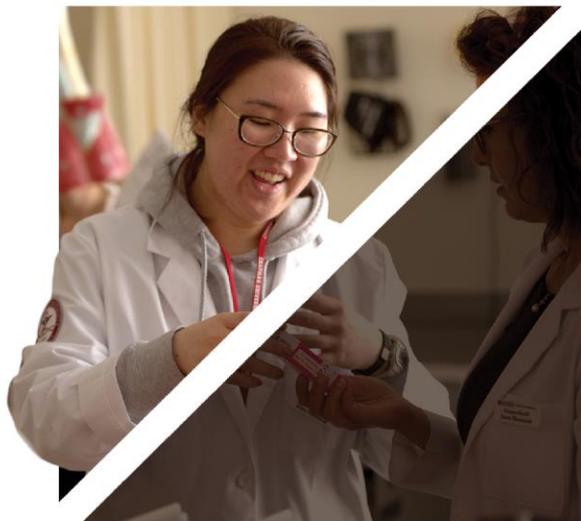
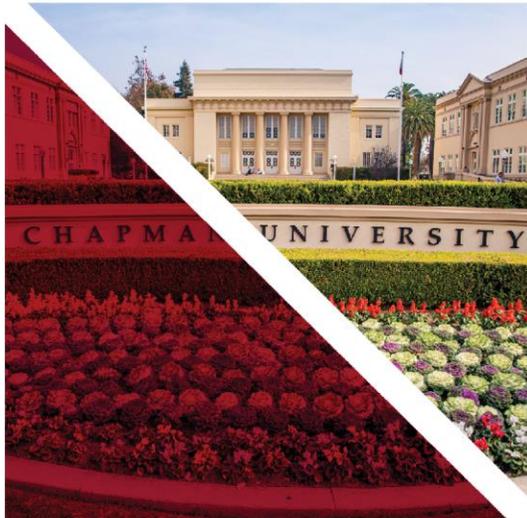
Financial Post-Award

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

Other Resources

- [SPS Support by College/Unit](#)
- [OOR Policies and Guidance](#)
- [OOR Events](#) - Workshops, virtual office hours, and more!
- Research News Roundup
 - Monthly newsletter with important announcements from OOR, funding opportunities, sponsor policy updates, and more!





Questions?

Contact us: sps@chapman.edu

Join us at our upcoming OOR events!

- **Funding Fridays Series Spring 2026 (in person)**
 - 1 – 2:30 pm each Friday (Feb 13 – May 8)
 - See website for full schedule
- **Virtual Office Hours (monthly)**
 - Pre-Award: 2nd Thurs, 11 am–12 pm
 - Post-Award: last Tues, 9:30–10:30 am



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Visit our Events website: <https://www.chapman.edu/research/events.aspx>