

SECTION 4:

GRANTS: POST AWARD

4.1 NOTIFICATION: CONDOLENCES OR CONGRATULATIONS?

First submissions of proposals are frequently turned down and agencies often include reviewer comments with their notification letter. If this happens, revise and resubmit. A resubmission addressing reviewer concerns increases the likelihood of acceptance.

If detailed reviews are not included with the agency response, your proposal may fall into a general category for refusal. According to a survey of nonfunded grant applications to a government agency,* the most common reasons for rejections are:

- ❖ The problem is of insufficient importance.
- ❖ The proposed research is based on a doubtful or unsound hypothesis.
- ❖ The problem is more complex than the investigator appears to realize.
- ❖ The proposed tests, methods, or procedures are unsuited to the stated objectives.
- ❖ The description of the approach is vague.
- ❖ The investigator does not have adequate experience/training for this research.
- ❖ The investigator appears to be unfamiliar with recent literature/methods.
- ❖ The budget is unrealistic.
- ❖ The time commitment is unrealistic.

4.2 FUNDED PROPOSALS

If your grant proposal has been funded, congratulations!

Most agencies request a formal acceptance of the terms of the grant before any funds are sent. Depending on agency requirements, the official signature is

* Allen, Ernest M. "Why Are Research Grant Applications Disapproved?" *Science* (November 25, 1960) 1532-34.

generally provided by either the President of the University or the Dean of The Graduate School. As an official signatory for outside funding requests, the Dean is authorized to approve contract and grant agreements. Individual employees are not authorized to sign documents which obligate the University.

The Director of Sponsored Research will notify the Controller's Office of the award, process the signed award, and forward a copy to you. Work cannot be started on the grant until the signed award form is received.

4.3 ROLE OF THE PRINCIPAL INVESTIGATOR

In most cases, the project should not be started until funds from the agency are received in the Controller's Office. Once the account is set up, you will be responsible for the following:

- ❖ Monitor funded project and all expenditures including hiring personnel following established University guidelines.
- ❖ Ensure funds are spent in accordance with the terms of the grant.
- ❖ Submit purchase orders and invoices \$500 or over and all salary, personal reimbursements, and travel expenses for signature by the Graduate Dean.
- ❖ Process other expenditures by following normal University policy.
- ❖ Notify the Office of Sponsored Research and other appropriate University departments when hiring students and other personnel. See appendix for policy statement on hiring employees for grant-funded positions.
- ❖ Keep adequate records for audit purposes.
- ❖ Notify the Director of Sponsored Research of any problems.
- ❖ Prepare and submit any required reports to agency by required due date. Failure to comply with agency reporting deadlines may jeopardize future funding.
- ❖ Submit a completed Disclosure of Interests Form to the Graduate Dean for each active award on an annual basis.
- ❖ Notify the Office of Sponsored Research when the project is completed and the funds spent. The Office of Sponsored Research will notify the Controller's Office to begin close out procedures.

For more information, visit the post award site on the Sponsored Research web:

<http://www.jcu.edu/research/grants/postaward>

4.4 ROLE OF THE OFFICE OF SPONSORED RESEARCH

The Director of Sponsored Research can assist with all administrative matters relating to subsequent funding of proposals. Listed below are some of the services provided:

- ❖ Coordination of any acceptance signatures.
- ❖ Liaison with agencies on changes of principal investigators or budget line items.
- ❖ Coordination of reports submitted to the agency, when applicable.
- ❖ Notification of report deadlines, when requested.

- ❖ Assistance in obtaining and completing any required forms.
- ❖ Editorial assistance for final reports.

4.5 ROLE OF THE CONTROLLER'S OFFICE

The Senior Accountant in the Controller's Office will set up an account to receive payments from the granting agency according to the proposal budget and will assist in compiling any required financial reports. The Banner Finance system will track grant expenditures and credits for any given period including multiyear periods, e.g., the life of the grant.

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