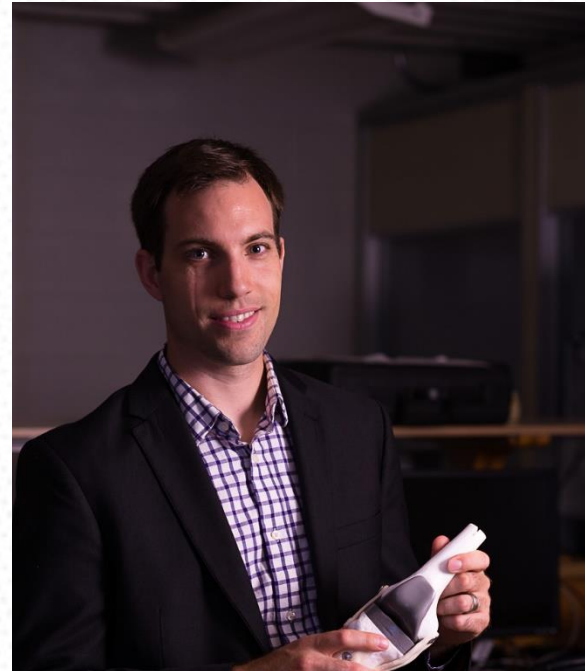
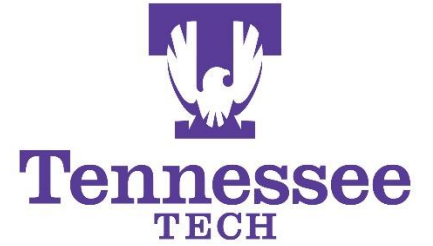


Getting Started with Research Grants

September 20, 2024



Post-Award Overview

You won the award ... now what?

Key Elements

- Project launch – kickoff meeting and award activation
- Post-award processes – contracts, reporting, etc.
- Bookkeeping overview
- Compliance issues – common issues, assistance and resources



Launching Your Project

Terminology

- Award Activation – the process of setting up the award in the financial system (Banner)
- Kickoff Meeting –meeting with PIs and support staff covering roles and responsibilities
 - PI
 - Bookkeeper
 - Office of Sponsored Programs (OSP)
 - Grant Accounting



Award Activation

The activation process sets up the project in the ERP (Enterprise Resource Planning) system, i.e. the accounting system. Elements include:

- Internal approvals, such as cost share or teaching release time
- Internal budget (vs. funding agency budget)
- Personnel effort calculations
- Certifications (conflict of interest, debarment, etc.)

Activation duplicates some of the proposal process, as project details can evolve between submission and receipt of award. Confirmation is required.



Award Kickoff Meeting

Face to face meeting to cover roles and responsibilities for PIs and support staff.

- **PIs** – performance of the project, including financial decisions and compliance requirements
- **Bookkeeper** – day-to-day business operations, such as purchasing, reconciling accounts, human resources
- **Office of Sponsored Programs** – signature authority, grant/contract changes, compliance support
- **Grant Accounting** – setting up financial system, invoicing, financial reporting



Post-Award Processes

- Subawards/subcontracts
- Annual and final reports
- Day to day operations – bookkeepers and Grant Accounting
- Compliance functions



Subawards/Subcontracts

Subaward/Subcontract – agreement for collaboration on the research.

Contractor – work on a fee-for-service basis, not providing input on how research is conducted, even if critical for research.

- OSP drafts subawards.
- Purchasing handles fee-for-service contracts.
- Both are processed through Eagle Buy.
- OSP has “Subrecipient v Contractor” worksheet if you’re not sure.



Reporting

OSP will assist with any reporting processes. Funders or individual programs may have unique reporting requirements. The most common reports:

Report	Responsible Party	Signatory (if needed)
Technical/Progress	PI	OSP
Financial	Grant Accounting	Business
Invention/ Intellectual Property	PI	OSP
Property Inventory	PI/Facilities	Varies, usually OSP
Anti-discrimination (Title VI, IX, etc.)	PI/OSP/Compliance	Varies, usually Compliance



Reporting Requirements

- Technical Reports – PI responsibility
- Financial Reports – Grant Accounting prepares, with PI review
- Intellectual Property – OSP prepares with PI input
- Property Inventory – team effort with OSP, facilities and PI



Grant Accounting

- Grant Accounting reports to the Vice President for Planning and Finance via the Associate Vice President for Business and Fiscal Affairs

- Grant Accounting staff:

Gail Ligon, Director ext. 3312

Tara Lytle, Assistant Director ext. 3026

Lauren Murphy, Grant Accountant II ext. 6560



Grant Accounting Responsibilities

- Establish restricted FOAPAL for each externally sponsored grant award
- Monitor budget/approve expenses in Eagle Buy as well as travel claims processed in Chrome River
- Approve expenses moved to/from grants
- Invoice/draw down reimbursement for grant expenses monthly
- Prepare and submit Federal SF425 quarterly reports



Grant Accounting Responsibilities con't

- Prepare SEFA, NSF, and other restricted reports
- Monitor grants for overspending and coordinate with project bookkeepers and principal investigators on resolution
- Approve subrecipient contracts in Eagle Buy
- Prepare and disseminate effort reports on a semester basis
- Prepare labor distribution change forms based on activations and updates from project bookkeepers



Grant Accounting Responsibilities con't

- Conduct project bookkeeper meetings in conjunction with the Office of Research
- Gather project closeout forms and perform closeout of all grants



Compliance



- Compliance training resources
- Ethics committees
- Sensitive Information
- Export control and foreign influence



Compliance Training

Tennessee Tech contracts with CITI. Minimum training modules include:

- Responsible Conduct for Research (RCR)
- Export Control
- Research Security

<https://about.citiprogram.org/>

No account – Register and affiliate with TTU.

Existing account – Update to TTU email, affiliate with TTU.



Ethics Committees

- Institutional Review Board (IRB) – reviews any project that includes human subjects or human subjects data.
 - OSP contact – Charmian Leong (primary), Ryan Edwards (secondary)
- Institution Animal Care and Use Committee (IACIC) – reviews projects that include use of vertebrate animals.
 - OSP contact – Ryan Edwards (primary), Charmian Leong (secondary)



Sensitive Information

There are several categories of information that may require special handling and security.

- Medical information (HIPAA)
- Student information (FERPA)
- Controlled Unclassified Information (NIST 800-171)

OSP, in conjunction with IT Security, will assist you in navigating any security issues related to sensitive information.



Export Control and Foreign Influence

Inappropriate foreign involvement is currently a very high-profile issue. A few key elements:

- Fundamental research is anything intended to be published in an academic journal, and is generally immune to export concerns.
- Any data or technology accessible to a foreign national is treated as if it has been exported to their home country – a “deemed export.”
- Support from a foreign institution involving questionable elements.
 - Transfer of IP
 - Recruiting other researchers
 - Lack of contract or inability to terminate
 - Paying for work already being done
 - Overseas lab facility
 - Nondisclosure or not acknowledging support

Reach out to OSP with any questions or concerns.



QUESTIONS?

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