All awards must be processed through The Citadel's Office of Research and Grants (ORG) before commencing project activities or obligating award funding for expenses. The primary point of contact is Dan Yates, Post-Award Coordinator and Grants Compliance Officer, The Citadel (dyates4@citadel.edu).

Award Negotiation and Contract Execution

Sponsors notify grant applicants of their decision to fund through a Grant Notice of Award. This notice may be as simple as a letter to the Principal Investigator (PI) or an email with contract documents or instructions to access a specific portal to accept the award. All communications from the Sponsor must be forwarded to Leigh Lipscomb, Director of Grants, The Citadel Foundation (lipscombl@citadelfoundation.org) within 24 hours of receipt. The ORG will coordinate all signatures and ensure the Sponsor and The Citadel have all application materials and fully executed documents. The ORG is responsible for reviewing award notifications and contract documents, then submitting them to an authorized Signatory Official for execution. Grant applicants (e.g., faculty members and Deans) do not have the authority to sign award documents. This process typically takes between 2 to 5 business days.

Grant Index and Budget

Upon determination that all documents are on file, the Post-Award Grant Coordinator (Coordinator) will submit a request to the Grants Accountant to establish an Index Number in Banner for the project and request that the Budget Office load the projected budget in the new index. Each new award contract will be assigned to a separate index. This process typically takes between 3 and 5 business days.

No project activities or expenditures may occur until the Coordinator has notified the PI that these steps are complete. If there are any new positions (temp, student, graduate assistants, etc.) funded by the award, no work can begin until position numbers have been requested by the PI to the Budget Office and the hire approved by Human Resources through an EPAF completed by the PI (or a departmental administrative assistant). If work is started on a grant without an index number, position number, and approval by Human Resources, the PI is at risk of having to find alternate funding sources to cover the expenses incurred prior to approval.

Once an index has been assigned, it is requested that the PI use the index number in the subject line of all email communication with the ORG. Having the index number in the subject line improves the ORG's efficiency and accuracy with information retrieval, ultimately improving response times.

Post-Award Planning Meeting

The Coordinator will meet with the PI within 30 days of receipt of the fully executed grant award to review terms and conditions, project activities, budgeting and invoicing, compliance, reporting dates, and responsibilities. This planning meeting is critical to the overall success of the project, and as such, this is a requirement that may only be waived by the Assistant Provost for Research.

A summary of the PI's responsibilities include:

- maintaining satisfactory progress in the technical conduct of the project;

- complying with ORG policies and procedures, including financial conflict of interest; misconduct in research and scholarship; the use of human participants in research; the care and use of animals used in research and instruction; and intellectual property;
- complying with state regulations and institutional policies and procedures, including those related to human resource management, procurement, travel, and research safety;
- responsibly managing project funds, including expending funds within the project period and designated budget categories;
- requesting budget modifications and no-cost extensions and notifying the ORG;
- completing and submitting technical reports according to established time schedules;
- certifying time and effort to ORG promptly, including ensuring that ALL personnel paid with Award Funds document and certify time and effort;
- providing documentation of grant/contract expenditures and cost-share and external matching contributions to the Grants Accountant promptly; and,
- assisting Grants Accountant in account closeout.

Invoices to Sponsors

The Grants Accountant is responsible for the timely and accurate submission of invoices to the Sponsor. Unless the Sponsor directs The Citadel to invoice for funds prior to expenditures, the Grants Accountant will submit invoices and required supporting documentation on a cost-reimbursement basis per award guidelines. In no case may anyone other than the Grants Accountant/Finance Office submit an invoice to a Sponsor. The ORG will notify the PI each time an invoice is submitted.

Reporting

Sponsors require two types of reports – technical and financial. Reports are required at various intervals and at the project end. The PI is responsible for preparing and submitting Technical Reports to the Sponsor. The ORG and Finance Office are responsible for preparing and submitting the Financial Reports to the Sponsor and/or PI. PIs are not authorized to prepare the Financial Report. The ORG and the PI should submit reports as soon as possible, preferably one week before the deadline. Late submission of technical and financial reports to the Sponsor may jeopardize future funding to The Citadel.

Budget Modifications and No Cost Extensions

Any changes to the Award Agreement, including budget modifications and no cost extensions, need to be agreed upon by both the PI and the Sponsor. These changes need to be communicated in writing by the Sponsor to the Coordinator. The Coordinator will notify the Grants Accountant who will obtain any required signatures and ensure the budget is revised in Banner.

Closeout

Ninety days before the end of the Performance Period, the PI will meet with the Coordinator to plan for the closeout of the award. The Coordinator will collaborate with the Grants Accountant and PI to ensure all steps required by the Sponsor and the Finance Office are followed.

Documentation Storage

The ORG maintains the official record of all award documents and reports. These documents will be held in SharePoint in individual folders accessible to only the PI and ORG staff. The Coordinator is responsible for maintaining this file. The Grants Accountant will keep a duplicate copy of executed award documents, budgets, and all documentation required by the State of South Carolina to receive and manage external funds.

Likewise, it is the responsibility of ORG to monitor the Document Retention and Destruction requirements of the Sponsor, the State of South Carolina, and The Citadel and notify all parties, including the PI, which documents need to be retained and for how long, and then notify all parties when appropriate documents need to be destroyed. PIs are permitted to retain allowed research and work products but may not retain other documents which ORG mandates need to be destroyed.