DEPAUL UNIVERSITY

EXTERNAL AWARD MANAGEMENT GUIDE FOR FACULTY AND STAFF

Office of Research Services

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INTRODUCTION

The External Award Management Guide was created by the Office of Research Services to serve as a helpful resource for faculty and staff engaged in sponsored research activities at DePaul University.

Designed to supplement the wealth of information provided by Award Management personnel and available across the various ORS and DePaul websites, this document aims to inform Principal Investigators, Co-Investigators, Senior Key Personnel, Staff, and other project personnel about the policies and procedures governing grant related work at DePaul.

Throughout the guide, there are embedded links directly to important information about the referenced departments, policies, procedures, and required forms.

1. CONTACTS AND SUPPORT FOR GRANTS AT DEPAUL UNIVERSITY

Various departments and teams across DePaul University work together to assist faculty members in obtaining and managing sponsored research and program support. These collaborative efforts are critical for the successful management of grants, projects, and awards from initiation to closeout.

1.1 Office of Research Services (ORS)

The Office of Research Services' mission is to promote, facilitate, and support research, scholarship, teaching, and creative activities that are conducted by DePaul University faculty, students, and staff, and are consistent with the university's mission. ORS is comprised of three main areas: Pre-Award and Research Development Services, Award Management and Compliance, and Research Protections. These areas are linked through common goals and values such as promoting, facilitating, and supporting research, scholarship, teaching, creative activities, and innovation endeavors that are conducted by DePaul University faculty, students, and staff.

Click HERE to view a list of ORS personnel and contact information.

1.2 DePaul Research Enterprise: Departments Supporting Sponsored Research

DePaul's research and innovation ecosystem encourages faculty to apply their research to real-world problems in the communities we serve. The University provides several resources through university- and college-wide funding programs. The result is a vibrant scholarly community that contributes to learning and scholarship, influences Chicago communities, and impacts the world. The ecosystem transcends both externally and internally. DePaul promotes faculty research work as public intellectuals, and its teacher-scholar model allows faculty to bring cutting-edge and societally impactful ideas and projects into their classrooms and empower students.

The DePaul research, scholarship, creative activities, and innovation enterprise consists of a few critical drivers that are interconnected and are the critical drivers to support and provide adequate and dependable resources. The Office of Research Services is the steward of the University's research enterprise and provides the foundation that connects people, resources, and opportunities for the creation and dissemination of knowledge with an emphasis on bridging schools and disciplines.

The DePaul University Research Enterprise
Innovation That Matters
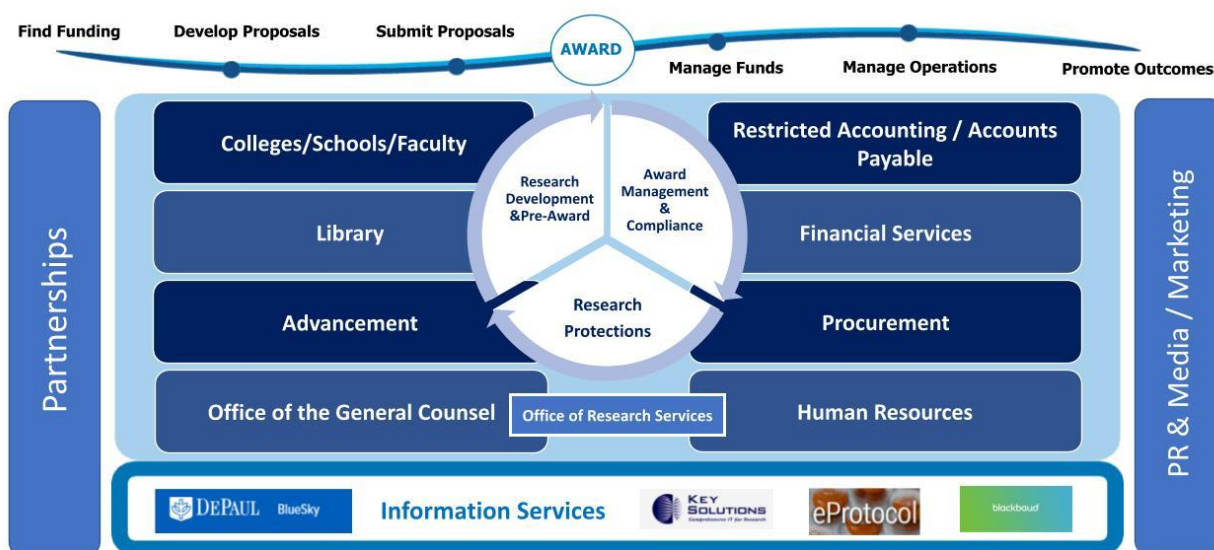
1.3 Corporate and Foundation Relations

The DePaul Corporate Relations and Foundations Relations teams take unique approaches to building meaningful partnerships between DePaul and its corporate and philanthropic partners

Foundation Relations (FR) serves DePaul University by building and maintaining relationships with private foundations and philanthropic grant makers. The FR team focuses on efforts to secure philanthropic gifts and grants from private foundations for university programs and priorities, faculty and student research, and campus and community initiatives.

1.4 Financial Affairs

Under the leadership of the Executive Vice President, the mission of Financial Services is to support the University in its operational and strategic goals, protect and enhance the financial resources of the University.

Accounts Payable

The Accounts Payable Department processes all non-payroll payments for goods or services received, including invoices, voucher payment requests, independent contractor or guest speaker payments, and employee travel and expense reimbursements.

Financial Accounting

Financial Accounting works with all areas of the university to ensure timely and accurate processing and reporting of financial transactions. More information about Financial Accounting here.

Payroll

The Payroll Department processes compensation payments in a timely and efficient manner while maintaining compliance with university policies and governmental regulations.

Procurement Services

Procurement Services supports the university in processing purchase orders, administering ProCards, travel services, and other vendor related actions. Refer to the Procurement Services website for important information on vendor selection, general purchasing procedures, and other helpful resources.

Restricted Accounting (RA)

The Restricted Accounting Department is responsible for grant award accounting, compliance with governmental and grantor regulations, completing grant audits including the A-133 audit and negotiating the facilities and administrative (Indirect) cost rate for the University. RA also assists Principal Investigators and budget managers with questions related to grant financial activity, preparing and submitting financial reports, cost share reports, and invoices to grantors, and other financial functions related to grants.

1.5 Academic Units

Each academic unit at DePaul has select personnel (College Budget Manager) that may work with Principal Investigators on grant-related items. These items include, but are not limited to: assisting Principal Investigators with salary reallocations and redistributions, budget modifications, position hiring, submitting reimbursement requests, and reporting.

1.6 Office of the General Counsel

The Office of the General Counsel (OGC) provides legal services and support to DePaul University's Trustees, Administrators, Faculty, and Staff. OGC places high priority on providing first-rate legal services tailored to DePaul University's needs. All contracts with an actual or estimated value of $50,000 or more or with "Special Risk" must be reviewed and approved by the OGC before execution.

2. ESTABLISHING NEW AWARDS

2.1 Pre-Spending

Pre-Award Spending and Bridge Funding can be requested for specific circumstances in which grant funds are expected, but where spending needs to take place prior to a fully executed grant agreement being established. As such, the University assumes a risk that funds budgeted and expensed may not be recovered should a legally binding agreement between the sponsor and DePaul never be finalized. Therefore, approvals must be obtained from a hierarchy of College and University staff. The criteria below is used to determine eligibility for Pre-Award Spending or Bridge Funding.

Criteria for Pre-Award Spending:
- No award has yet been issued for the project by the sponsor.
- Indication has been provided by the sponsor, outlining intention to fund the activity.
- Time-sensitive circumstances where spending would need to occur immediately.

Criteria for Bridge Funding:
- The sponsor has provided regular incremental obligations to a particular project (usually annually).
- The upcoming grant period is considered a continuation of an existing activity.
- The sponsor has already indicated that funding will continue for an additional period.
- Time-sensitive circumstances require that funds for the next period be posted immediately.

If it is determined that Pre-Award Spending or Bridge Funding is eligible, complete Part I of the relevant form and submit to the appropriate Dean or Vice President for signature. Once a signature has been obtained at the college level, the form then needs to be submitted to ORS for review and processing.

>   Form for Pre-Award Funding Requests
>   Form for Bridge Funding Requests

2.2 Training and Certification Requirements

Grants Management Training

Grants Management training is required for all Principal Investigators engaged in the management of sponsored projects on behalf of DePaul University, and any person assisting in the financial management of grant awards.

Training modules are available in the BlueSky Learning Management System for Federal, Non-Federal, and Internal grant awards. Visit the ORS Award Management Training page for more information and to access the training.

Responsible Conduct of Research Training

The National Science Foundation (NSF) requires training and oversight in the responsible conduct of research (RCR) for undergraduates, graduate students, and postdocs who are supported by NSF to conduct research.

To address this NSF requirement, DePaul offers CITI (Collaborative Institutional Training Initiative) as its source of RCR training materials. Visit the CITI website at www.citiprogram.org.

The National Institutes of Health (NIH) requires that all trainees, fellows, participants, and scholars receiving support through any NIH training grant, career development award, research education grant, or dissertation research grant must receive instruction in RCR. For the complete text of the requirement, see NIH's Update on the Requirement for Instruction in the Responsible Conduct of Research.

Please contact ORS if you have any questions about these guidelines or need assistance.

Conflict of Interest Certification

The Office of Research services (ORS) maintains two policies on financial conflicts of interest that apply specifically to externally sponsored projects, including externally sponsored research. Click here to review specifics regarding the two conflicts of interest policies, which include Conflicts of Interest in Externally Sponsored Research and Conflicts of Interest in Public Health Service (PHS) Funded Research.

Principal Investigators and other key project staff that are responsible for the design, conduct, or reporting of a sponsored project must complete a Conflict of Interest Form when a proposal is submitted for funding, annually for multi-year projects, and when a change in circumstances causes any answers to the form to change from "no" to "yes".
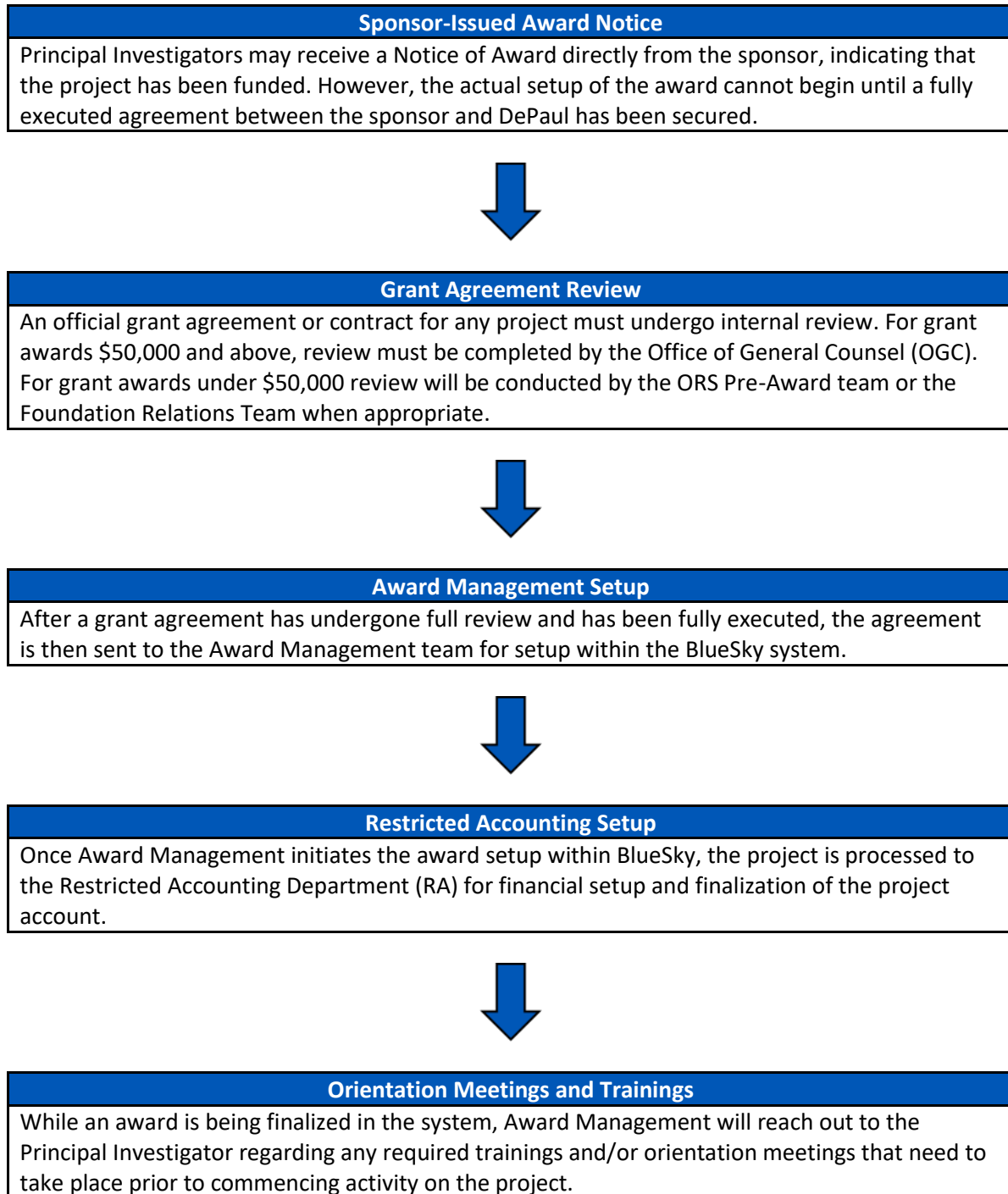
Research Protections

Research Protections within the Office of Research Services is responsible for the administrative oversight of and providing administrative support for three committees:

- Institutional Review Board (IRB)
- Institutional Animal Care and Use Committee (IACUC)
- Institutional Biosafety Committee (IBC)

For questions regarding the submission and review processes for these different committees and the different protocol materials and forms required, visit the Research Protections section on the ORS website, or contact orp@depaul.edu.

2.3 New Award Setup Process

New Award Setup Process – What to Expect:

Sponsor-Issued Award Notice
Principal Investigators may receive a Notice of Award directly from the sponsor, indicating that the project has been funded. However, the actual setup of the award cannot begin until a fully executed agreement between the sponsor and DePaul has been secured.

Grant Agreement Review
An official grant agreement or contract for any project must undergo internal review. For grant awards $50,000 and above, review must be completed by the Office of General Counsel (OGC). For grant awards under $50,000 review will be conducted by the ORS Pre-Award team or the Foundation Relations Team when appropriate.

Award Management Setup
After a grant agreement has undergone full review and has been fully executed, the agreement is then sent to the Award Management team for setup within the BlueSky system.

Restricted Accounting Setup
Once Award Management initiates the award setup within BlueSky, the project is processed to the Restricted Accounting Department (RA) for financial setup and finalization of the project account.

Orientation Meetings and Trainings
While an award is being finalized in the system, Award Management will reach out to the Principal Investigator regarding any required trainings and/or orientation meetings that need to take place prior to commencing activity on the project.

Notice of Grant Award (NOGA)
When all required trainings and meetings have taken place and the grant account is finalized by RA, Award Management will issue a NOGA to the PI and College Budget Manager with important details and information for how to start spending on the grant. See below for an example of what information can be found in a NOGA.

NOGA Example:

DEPAUL UNIVERSITY

Report: DePaul Notice of Grant Award

Award Number: 1234
Title: Title of Project
Project Director: Name of Principal Investigator
Budget Period: Budget Period 1
Budget Period Dates: 9/1/2022   **Through:** 8/31/2025

Project: 123456
CFDA Number: [Federal Awards; Catalog of Federal Domestic Assistance Number]
Sponsor Name: External Sponsor
Award Organization: Department Cost Center (Ex: 556100 – College of Science and Health)
Program: 00000
Fund: 500 – (Municipal, Federal, A/C/I/O, Foundation)
Activity: 80 – Research

Funding Source: External Sponsor

Budget Category	Total by Budget Category
501G – FULL TIME SALARIES	5,000.00
520G – PART TIME SALARIES	3,000.00
540G – BENEFITS	1,750.00
552G – TRAVEL-DOMESTIC	250.00
573G – INDIRECT COST	2,000.00
Total	**12,000.00**
Grant Total	**12,000.00**

2.4 Establishing Grant-Related Positions

The Principal Investigator is responsible for ensuring that all faculty and staff needing to be hired for grant-funded research and activities are hired in a timely manner and consistent with DePaul HR practices and hiring procedures.

Hiring New Full- and Part-Time Positions

Hiring individuals for grant-funded activities requires different processes depending on the status of the individual. For new hires, in all cases (Full-Time, Part-Time, and Students) a new position that is associated with the grant account must be created and approved. This is completed through the "Request a New Position" within BlueSky.

Refer to the Hiring Grant Staff section on the ORS website for more detailed information about the different hiring processes and BlueSky Account Codes for personnel.

Hiring New Student Employees

On-campus jobs are an important part of the campus ecosystem, and provide numerous benefits to both students and the university.

The student employee recruiting and hiring process involves several DePaul systems. Job posts and application process management is done through the Office of Student Employment, through the Campus Job Board. Once a student is ready to be hired, the process will take place through the OSE Hiring Center, a new system that is housed in Campus Connect and connects to BlueSky. *The OSE hiring center replaces the old paper hiring form formerly known as the Student Employment Action Form (SEAF).*

Learn more about the recruiting, hiring and onboarding process on the Office of Student Employment website.

Existing Personnel

DePaul staff or faculty, whose salary will completely be covered by a new grant account, must have their current positions associated and paid for with the new grant account.

Principal Investigators must work with their College Budget Manager/HCM Manager to complete the necessary steps to assign a faculty or staff to a grant. The College Budget Manager will submit the request through BlueSky and the request will proceed through an electronic approval process.

Refer to the Assigning Grant Staff section on the ORS website for more detailed information.

2.5 Establishing Subcontracts and Selecting & Engaging Consultants

Sub-contractors are normally written into a proposal and approved within the primary agreement between DePaul University and the Sponsoring Agency. The unanticipated use of Subcontractors/Subgrantees after a grant is awarded almost always requires sponsor approval.

Once approval is granted for the use of a subcontractor, and it has been determined that a subcontract is the most appropriate method to establish a working relationship under a grant, the following processes apply:

Federal Subcontracts

DePaul follows procedures for the issuing and monitoring of federal subawards that are compliant with federal rules and regulations, including the new Uniform Administrative Requirements (2 CFR 200) issued by the Office of Management and Budget. These procedures include a delineation of roles and responsibilities that facilitates cooperation among grants staff in Restricted Accounting, the Office of Research Services (ORS), and Principal Investigators (PIs) managing federal grant projects.

Non-Federal Subcontracts and Professional Service Agreements

The Office of Research Services is required to issue any non-federal subcontracts and professional service agreements for all grant-related activity. The Principal Investigator is responsible for contacting Award Management to request that a subagreement be prepared. Learn more about the subcontract process and requirements on the Preparing Subcontracts section of the Award Management website.

3.   MANAGING AWARDS

3.1 General Quality Assurance and Compliance

As a budget manager at DePaul, Principal Investigators are responsible for conducting business in compliance with the university's management standards and to help streamline the administrative responsibilities required of a budget manager. The emphasis is on standards that provide sound internal controls, support operational effectiveness and minimize the risk of financial loss.

The Manager Control Self-Assessment (MCSA) Certification is required of all budget managers and Principal Investigators for grant awards at DePaul.

The certification is the formal document that all budget managers and Principal Investigators for federally funded grant awards must complete annually to certify that he or she is following DePaul's policies and procedures, adhering to applicable laws and regulations, and upholding the university's management standards.

Refer to the Compliance & Risk Management website for more information and to complete the MCSA Certification.

Maintaining Grant Records

DePaul University maintains a Records Management Policy supervised by the Office of General Counsel. DePaul's Records Retention Schedule is an official policy document that defines standard, legally approved retention periods and disposition instructions for official records regardless of storage media. The purpose of the University Records Retention Schedule is to ensure that:

- Official records are maintained for as long as they are needed to satisfy legal, regulatory, and operational requirements.
- Obsolete records are disposed of in a systematic and controlled manner.
- Records of continuing value are identified for preservation.

In addition to DePaul's policies, the Principal Investigator is responsible for maintaining all grant-related files associated with their project for the duration of the project and for a period of retention determined by the sponsor after the project end date has passed. Refer to the original grant agreement, any data use agreements, amendments, and sponsor guidelines for information on maintaining grant records.

Monitoring Grant Activity (BlueSky Grant Reports)

The most important tools at the Principal Investigator's disposal in determining project status and implementation progress are the various project reports that can be generated from BlueSky. All Principal Investigators are granted access to view these reports and can delegate the access rights to others as they are identified.

Accessing BlueSky Financial Reports:
1) Log in to Campus Connect using DePaul credentials (username and password)
2) Select the BlueSky tile
3) Follow the Guidelines for PI Grant Reports

Principal Investigators have access to four different reports to support financial monitoring:
- DePaul Grant Report
- DePaul Cost Share Report
- Payroll Costing Report
- Position Costing Report

Principal Investigators or University Staff can request that key project staff have access to BlueSky Grant Reports and other grant information. To make such a request, a BlueSky Grant Access Request Form must be submitted.

Refer to the Financial Reports section of the ORS website for more detail on helpful reports in BlueSky.

FCOI Updates and Annual Certification

Noted in section 2.2 of this document, Principal Investigators who are responsible for the design, conduct, or reporting of a sponsored project for which DePaul University is requesting or receiving funding must complete a Conflict of Interest Form during the following instances:

- When a proposal is submitted for funding.
- Annually for the duration of a multi-year sponsored project.
- When a change in circumstances causes any of your answers to change from "no" to "yes."

Responsible Conduct of Research

The National Institutes of Health (NIH), National Science Foundation (NSF), and U.S. Department of Agriculture (USDA) require certain categories of researchers to receive Responsible Conduct of Research (RCR) training.

As work progresses on a grant project, staffing changes may occur. It is vital that all personnel hired onto the project throughout various points during the project period have completed RCR training as required by the sponsoring agency. Refer to section 2.2 of this document for more details on Responsible Conduct of Research training.

Time and Effort Certification

Time and Effort reporting is required by federal regulations as part of the standards for documentation of personnel expenses outlined in 2 CFR 200.430(i). Time and Effort Reporting is used to verify that the charges to federal awards for salaries and wages are based on records that accurately reflect the work performed.

Follow these instructions for completing time and effort certification.

3.2 Financial Activity

Purchasing Equipment and Supplies

The purchase of Equipment and Supplies is initiated by the Principal Investigator according to the procedures outlined by the Procurement Services staff of Financial Affairs. General rules regarding equipment and supplies:
- Supplies must be utilized for and allocable to the implementation of the grant project.
- Equipment must be included in the original budget or proposal. Contact the Office of Research Services (ORS) if this is not the case.
- Allowable grant-related items may be purchased using a ProCard and entering the grant coding information in the monthly statement. Refer to the Procurement Services website for more information on ProCards.
- Any procurement where the total purchase (not unit price) exceeds $3,500 must have a purchase order created in BlueSky before the items can be obtained or paid for. View the section on Requisitions below to learn more about purchase orders.
- Staples Advantage is the most efficient method to purchasing non-specialized supply items.

Requisitions

For DePaul to pay subcontractors and Third-Party Professional Services, a requisition is required to encumber the related funds to the associated grant account. Once routed through BlueSky, the requisition will then become an official Purchase Order that the Procurement Services Department can fulfill.

Follow this step-by-step guide on submitting requisitions.

Travel Purchases

The process of traveling under grant funds requires three straightforward steps to ensure compliance with both Sponsor and DePaul regulations and a timely and accurate reimbursement of expenses incurred. Below is a brief outline of steps for domestic and international travel. More important information is detailed on the Procurement & Travel section of the ORS website.

Domestic Travel:
- Ensure travel budget exists in grant account.
- Incur travel expenses.
- Complete and submit an expense report through BlueSky for reimbursement after travel has occurred.

International Travel:
- Confirm sponsor authorization
- Ensure travel budget exists in grant account.
- Incur travel expenses.
- Complete and submit an expense report through BlueSky for reimbursement after travel has occurred.

More important information can be found on the ORS website, in the International Travel section.

Expense Reimbursement Requests

For the policy guidelines related to Employee Reimbursements see the University's Employee and University Guests Reimbursement policy.

Subject to this policy, the University will reimburse employees and university guests performing services for the benefit of the university for reasonable business expenses incurred while conducting authorized university business. Employees are encouraged to use their University ProCard for expenses in lieu of incurring out-of-pocket expenses whenever available. In addition, all expenses submitted for reimbursement must be an allowable charge on the associated grant project. Continue to the Financial Affairs Help Desk knowledge base articles linked below for more information.

Coding ProCard and Reimbursement Expense Reports to a Grant
Expense Approver Responsibility – Reimbursement & ProCard
Accessing Expense Reports Pending Your Approval

Stipend Payments

Participant Support costs will be processed as an Individual Compensation Plan (ICP) within BlueSky. Connect with your College Budget Manager or Financial Services Representative to initiate the requests in BlueSky. ORS will then give approval through the approval chain.

Budget Modification Requests

During the course of a project, it is typical for changes to occur. These changes may result in a need to make minor adjustments to the original award budget, shifting funds among the existing budget categories to cover insufficient funds.

The Principal Investigator is responsible for determining which of the existing budget categories are likely to have, or already have, a shortfall in funds and which categories have surpluses that can be reassigned. ORS must be notified of the requested changes in order to review for further discussion or for processing by Restricted Accounting. Budget Modifications can be requested by completing the Grant Budget Modification.

It is important to refer to the Budget Reallocation section of the ORS website for more details on restrictions that may prohibit making such changes to the budget, or changes that may need prior sponsor approval. For assistance in determining which costs need prior approval on a Federal Award, reference the Prior Approval Matrix.

For substantive budgetary revisions, see Section 3.6 Award Changes of this guidebook.

Payments to Research Participants
Institutional Review Board (IRB) approval is required for payments to research participants, including the use of gift cards. Contact orp@depaul.edu for more information about obtaining IRB approval.

3.3 Personnel Activity

Salary Reallocations

Salary Reallocations are needed when *past* salary payments (normally, but not necessarily with associated benefits) are to be added or removed from a particular grant activity's expenses. To submit a request for a salary reallocation to be processed, the Grant Salary Reallocation must be completed and submitted through the Financial Services Help Desk for review and approval.

To review the process of salary redistributions and establishing full- and part-time personnel and student employees, refer to section 2.4 Establishing Grant-Related Positions of this document

3.4 Project Deliverables

Deliverables for every grant-funded project are tracked within BlueSky. The Principal Investigator should receive an automated deliverable reminder 30 days prior to a deliverable due date. The Office of Research Services may also send report due and overdue reminders through an email notification. A reports due notification will be sent within 30 days of a deliverable due date and a reports overdue notification will be sent each month after the deliverable due date has passed until the deliverables is marked as completed within BlueSky.

Program and Financial Reporting

Externally funded projects usually require that the recipient prepares regular updates on the status of program implementation. For multi-year projects, this normally occurs on an annual basis, although more frequent reports are sometimes required. Principal Investigators should review the sponsor's grant documentation to determine frequency and format of technical reports.

The Principal Investigator is responsible for ensuring that programmatic reports are submitted as per the sponsor guidelines outlined in the grant agreement and prior to the listed due date. A copy of the report must be sent to the Award Management team so that ORS can maintain accurate project records and mark deliverables as completed in BlueSky.

The Principal Investigator is responsible for reaching out to the Restricted Accounting Department for any financial reports that are required throughout the duration of a grant award. Best practice is to email RA_Dept@depaul.edu at least 30 days prior to the due date of a financial report.

FFATA Reporting

The Federal Funding Accountability and Transparency Act of 2006 as amended (FFATA), requires disclosure of all entities and organizations receiving federal funds through a single publicly accessible website. The website includes information on each federal financial assistance award and contract over $30,000, including such information as:

- The name of the entity receiving the award
- The amount of the award
- Information on the award including transaction type, funding agency, etc.
- The location of the entity receiving the award
- A unique identifier of the entity receiving the award; and
- Names and compensation of highly-compensated officers (as applicable)

Subaward reporting is specific to each agreement. A prime recipient is required to report subawards where the obligations are equal to or greater than $30,000 in federal funds. If a subaward is initially funded at less than $30,000, the prime recipient does not have to report the subward to the Federal Funding Accountability and Transparency Subaward Reporting System. However, if the prime recipient subsequently provides additional funding to increase the subaward amount to $30,000 or more, the subaward must be reported in the FSRS.

The Award Management team within the Office of Research Services is responsible for compliance with FFATA reporting related to prime Federal grants and contracts. Award Management is responsible for submitting required information to the Federal government through the FFATA Sub-award Reporting System (FSRS.gov) in accordance within established deadlines.

3.5 Subawards

It is the responsibility of the PI to maintain oversight of the sponsored project. Unbiased research activities and cultivating an environment of research integrity are paramount. While the PI may delegate responsibility for some project activities, the PI is ultimately responsible for compliance with all applicable regulations and policies. ORS and Restricted Accounting share responsibilities with the PI, to maintain overall compliance for sponsored projects.

Once the subaward agreement is issued, the PI should be monitoring the activities and performance of the subrecipient throughout the life of the subaward by:

- Receiving data and progress reports
- Receiving deliverables defined in subaward agreement
- Participation in project conference calls
- Subrecipient will submit invoices to the Unit in accordance with the subaward agreement, but generally not more frequently than monthly

Refer to the Issuing and Monitoring Federal Subawards section of the ORS website for further guidelines and procedures.

3.6 Award Changes

Amendments
For awards that are incrementally funded, or in cases where a sponsor issues additional funding that was not originally planned and budgeted for, an Amendment to the grant will be executed and the project account updated with the new information (additional funds, adjusted dates, new deliverables, etc.)

The amendment process is similar to that of a New Award Setup. The amending agreement will go under internal review, a fully executed agreement will arrive in the Award Management area for setup, and then Restricted Accounting will complete the finalization of the account.

Major Revisions: Budget, Personnel, and Scope of Work Changes

During the life-cycle of the grant, a Principal Investigator may need to make changes or adjustments that are significant enough to alter the original grant agreement. These are considered Major Revisions and usually include one or more of the following circumstances:

- Substantive Budgetary Revisions
- Changes to Key Personnel
- Modified Scope or Objective

In all circumstance, approval must be requested of and granted in writing by the sponsoring agency. Refer to the Major Revisions section of the ORS website for guidelines on how to submit a request.

No-Cost Extensions

Within the last four months of a grant period, the Principal Investigator (PI) must consider whether additional time will be necessary to accomplish all activities in their program. If additional time is needed and sufficient funds remain, the PI may request a no-cost extension from the sponsoring agency.

In general, no-cost extensions must be requested from a sponsor through the Office of Research Services and an approval or denial received in writing before ORS incorporates the extension into the grant information within BlueSky.

To read more about whether Expanded Authorities apply to your grant, see the No-Cost Extension section of the ORS website. To notify ORS that you would like to apply for a No-Cost Extension, complete the No Cost Extension Request on the Financial Services Help Desk.

4. CLOSING OUT AWARDS

4.1 Closeout Reminders

Starting four months before the scheduled end of a grant, ORS will send the Principal Investigator monthly reminders that the expiration date is approaching. These notifications will include the scheduled end date and the current expenses relating to the budgets (grant and cost-share). The notifications will be sent at the following intervals:

- 120 Days Prior to Expiration Date
- 90 Days Prior to Expiration Date
- 60 Days Prior to Expiration Date
- 30 Days Prior to Expiration Date

4.2 Closeout Procedures

Once it has been determined that a grant project is going to be closed, it is the responsibility of the Principal Investigator to ensure the necessary actions have been completed either before or immediately after the end date has passed.

Refer to the Grant Closeout section of the ORS website for more details on what is expected from the Principal Investigator prior to and during the closeout of an award.

Procurement Activities

The Principal Investigator must ensure that all grant-funded procurements have been completed, encumbered as a Purchase Order, or submitted as a voucher **before the end date of the grant**. This includes ending or moving recurring expenditures.

Final Deliverables

Final programmatic and/or technical reports need to be completed as required by the sponsoring agency. A copy of the report(s) must be sent to ORS for documentation after submission and acceptance by the sponsor.

Final financial reports must be completed in coordination with Restricted Accounting. Contact the RA_dept@depaul.edu resource email for assistance in completing and submitting financial reports.

Personnel Management

The Principal Investigator must determine which grant-funded positions will need to be moved back to their original department cost centers or to other grant-funded projects, and which grant-funded positions will be terminated at the end of the grant.

Position Redistribution:	For positions that need to be moved off the ending project and onto another grant-funded project, their effort must be redistributed for future salary payments by submitting a Salary Redistribution Request through BlueSky. College Budget Managers/Department HCM Managers must assist with the submission of position redistributions.
Position Termination:	For positions that will be terminated at the end of the project, an advance notice of 30 days to the employee is required. The PI must work with their college budget manager, DePaul HR, and/or the Office of Student Employment to ensure that the necessary steps are completed to properly terminate a position.

Protections

For questions regarding the closeout of any research protections protocol and any additional information that may be required to fully closeout a grant project, contact orp@depaul.edu

Award Closeout Survey

The Principal Investigator will receive an Award Closeout Survey after the grant period has ended. This is a brief, confidential, and anonymous satisfaction survey. Feedback from this survey will be used to improve services in post award management.

5. APPENDIX

5.1 Useful Resources

Award Management Website
BlueSky Learning Management System (LMS)
Office of Research Services Website
Office of Research Services Org Chart

Grant Background

Principal Investigator

Grant Accounting

Grant Expense Reports and Procurement

General Expense Report Help