Salt Lake Community College
Office of Sponsored Projects
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Transitioning from Pre to Post Award

Review Dates: _____ _____ _____ _____ _____ _____

Revision Dates: _____ _____ _____ _____ _____ _____

Obsolete Date: _____   Made Obsolete By (initials): _____

Approved By: _____ _____
                                        OSP Director/Designee   **Date**

PURPOSE, SCOPE, AND PRINCIPLE:
The purpose of this Standard Operating Procedure (SOP) is to delineate the steps to transition a project from pre-award status to post-award status in the Office of Sponsored Projects (OSP). This process only applies to new awards - those projects that have newly receiving funding from the sponsor.

The steps listed for the Principal Investigator (PI) are listed only to provide clarification to OSP personnel. OSP is not responsible to ensure the steps listed are followed exactly as written but rather that the documents required are completed accurately and in a timely matter.

RESPONSIBILITIES:
A. OSP Personnel
   1. Read the documents associated with the Notice of Award (NOA)
   2. Review PR 5.0, to determine if award contract requires review
   3. Follow GP:7 and fill in the required section of the "Project Lifecycle Form"
   4. Work with the PI, Business Office (BOF) and others to accurately accept and set-up the award

B. OSP Director/Designee
   1. Identify the staff member transitioning the award, and, if different, the staff member responsible for post-award management; send this information to the PI and Business Office (BOF)

C. PI
   1. Read all documents associated with the NOA
   2. Determine if programmatic changes to the award are needed
   3. Sign the programmatic portions of the contract, if applicable

DOCUMENTS/RESOURCES NEEDED:
Project Lifecycle Form (shared drive/SOP DOCUMENTS/Forms/Active)
Applicable Working Budget Template (shared drive/SOP DOCUMENTS/Templates)

DEFINITIONS:
   • **Working Budget:** A document that allows the PI, OSP and the BOF to actively track and project expenses. The purpose is to allow PIs and others to judiciously determine future expenses and make timely adjustments in project operations or prepare for budget modifications if required. Actual

expenses may be included from Banner.
- **Notice of Award:** A document (sometimes legally binding) sent by the sponsor that officially notifies the College that a grant application has been funded. This document can be an email, a contract, a grant agreement or other form. Ex. Many times a sponsor will send an email announcing an award before sending the contract or grant agreement. The email in this instance is considered the notice of award as long as it can reasonably be considered official communication from the sponsor and contains language clearly stating that the application has been funded.

PROCEDURE:
A. OSP Director/Designee
   1. Per PO 1.0, send out the Notice of Award (NOA) and assign OSP Personnel to the award

B. OSP Personnel, Award Transition (the process of accepting the award)
   1. Ensure an electronic and physical project file has been created for the award per SOP GP:7 and complete the required sections of the "Project Lifecycle Form"
   2. File the NOA and any accompanying documents in the applicable location, see GP:7
   3. Read and review all documents in the project file
      a. Identify any areas of concerns with regards to applicable regulations and potential conflicts between Sponsor conditions and the application (i.e. review pre-award documents to determine if discrepancies exist)
   4. Contact PI to identify and discuss concerns with the NOA or accompanying documents
      a. Review major programmatic elements, timeline and budget
   5. If changes are needed, negotiate changes with the sponsor
      a. Incorporate changes or have sponsor send revised agreement
      NOTE: If the sponsor contacts the PI directly to make changes to the application/agreement, the PI may serve as the negotiating party. However, OSP must be made aware of the changes and the negotiation process to provide appropriate compliance oversight.
   6. If a contract requiring a signature is part of the NOA documents, perform the steps outlined in SOP PR:5 before proceeding; otherwise proceed to step 8
   7. Work with PI and Grant Accountant to set-up index (GP 1.0) and working budget
      a. The OSP "Working Budget Template" may be used
   8. If there will be a change in OSP Personnel assigned to the award, inform PI, Grant Accountant and others, as applicable

C. OSP Personnel, Post-Award
   1. Move project file from the New Award folder to the Active Award folder per GP:7
   2. Ensure the physical OSP project file contains all documents found within the electronic project file
   3. Review project file
   4. Communicate with PI, Grant Accountant, OSP Personnel and others to understand award

D. PI
   1. Review the NOA and all accompanying documents
   2. Convey concerns about the NOA/accompanying documents to assigned OSP Personnel
   3. Negotiate changes with aponsor, if appropriate
   4. If a contract must be signed and PI will route contract, perform steps outlined in SOP PR:5
   5. Sign programmatic portions of the contract, if applicable
   6. Work with OSP and Grant Accountant to populate the grant index set-up form and working budget
   7. Communicate with assigned OSP personnel to review award compliance requirements and roles

REFERENCES: N/A