Award Acceptance Checklist

To Do: Grant Acceptance

- ☐ If sponsored project, NGA will come to OSR and the PI.
- ☐ Appropriate University agent will negotiate terms of the grant on behalf of the University.
- ☐ PI and department will assist OSR as needed during negotiations of contract terms.
- ☐ Modify budgets, scope of work with OSR or the Office of Development to finalize agreement.
- ☐ University Agent will accept modified terms at the conclusion of negotiation.
- ☐ Update InfoEd, etc. with revised terms and conditions.
- ☐ Notify appropriate regulatory offices if new project scope will affect protocols.
- ☐ Review the award notice for all reporting due dates – create a tracking calendar for the grant.

To Do: Establish Project Accounts

- ☐ Work with OSR to open chart string
- ☐ Establish pre-spending account if needed for the PI
- ☐ Receive project PAS and reconcile with NGA and proposal. Establish grant folder in department.
- ☐ Request pre-award accounts and cost-sharing accounts (192 accounts for each grant) if necessary.

To Do: Review Award Effort Commitments and Adjust if Needed

- ☐ If award budget is less than proposed budget, determine whether proposed effort commitment should be adjusted or if cost share is required.
- ☐ Apply for cost share approval if applicable.
- ☐ Document changes in budget with sponsor if they meet appropriate thresholds (more than 25% change in effort.)

To Do: Establish Payroll for all NU Personnel

- ☐ Use the grant effort and salary commitments to enter payroll information for the PI and research personnel in your department.
- ☐ Notify Research Administrators in collaborating NU departments of the effort of their research staff on the project with the appropriate chart string and project dates.
- ☐ Assign cost-share amounts for research faculty in your department with salaries above the NIH cap (note, these should be 192 accounts).

To Do: Work with OSR/ASRPS to Establish all Subcontracts

- ☐ For subcontracts, initiate a new OSR 6/7 if there are changes/amendments to subcontracts (or to initiate new subs).
- ☐ Subcontracts will be tracked in an OSR database and ASRPS will encumber funds when the signed paperwork has been received (keep a copy and track them to ensure timely execution).

To Do: Establish all IRB/IACUC/Safety Documentation, Complete and Document all Training

- ☐ Ensure that the PI and all research staff have completed all necessary training for specified protocol
- ☐ Submit protocols to IRB, IACUC, and all safety review boards to implement systems access, approval and initiation of protocol
- ☐ Initiate material transfer agreements/review incoming MTA's

☐ Document approvals, reviews and monitor communications to begin ordering equipment, requesting materials transfers, and requesting access to begin research.

Award Management Checklist

To Do: PI - Conduct Scientific and Program Management

☐ Submit interim technical reports
☐ Provide oversight for all research activity
☐ Provide local oversight on University, state and federal policies and regulations
☐ Oversee appointments of individuals to the project
☐ Initiate and review programmatic changes to the project
☐ obtain institutional endorsement to sponsor for requests for administrative or programmatic changes to project by PI from OSR

To Do: Department/Lab - Open Purchase Orders, Monitor Award Expenses and Projections Monthly

☐ Initiate non-salary purchases that are in compliance with A21 requirements and award terms and conditions.
☐ If applicable, place order for animals.
☐ Verify protocol is linked to chart string number.
☐ Review and confirm charges and reconcile with CCM.
☐ Prepare SSJ forms if required for purchases larger than $20K
☐ Reconcile GL045 statements monthly and review with PI
☐ Post, monitor and approve P-card expenses on a weekly basis.
☐ Ensure that all grant transactions post to the appropriate grant chart string within 30 days (no cost transfers)
☐ Project expenses against budget given project status on a monthly basis for PI review
☐ Identify any "unneeded" supplies or equipment as early as possible in order to re-budget project and utilize funds; discuss with PI and OSR.
☐ Initiate request for re-budgeting and provide justification if required.

To Do: Monitor and Sign Subcontractor (Consultant) Invoices Monthly

☐ Have PI review and sign subcontractor invoices regularly; track paid invoices.
☐ Ensure submitted invoices provide adequate documentation to ensure adequate justification for work performed.
☐ Maintain documentation of submitted and paid subcontractor invoices and work product in department.
☐ Ensure subcontractor invoices are submitted on a timely basis (work is going as planned according to PI).
☐ Discuss any subcontractor performance issues in a timely manner with PI and OSR to address budget issues on grant.
☐ Initiate request for re-budgeting and provide justification if required.

To Do: Monitor Personnel Effort and Salary Expenditures

☐ Maintain effort commitment spreadsheet for all department faculty that specifies sponsored and non-sponsored effort, including clinical commitments for NMFF faculty. Track appointments at other institutions (Children's Memorial Hospital, VA, etc.) for disclosure in proposals to sponsors.
☐ Ensure that HRIS effort = committed effort = certified effort in effort reporting system. Work with PI to monitor changes in committed effort (to maintain HRIS) and post-certify effort in ERS with faculty.

☐ Reconcile Vista payroll accounts on grant monthly and review personnel effort on grant with PI
☐ Anticipate new appointments (personnel changes) on grants based on monthly meetings with PI; enter payroll into HRIS (inform home departments) proactively
☐ Process retroactive payroll changes within 90 days.
☐ Handle HR and payroll documentation for all new hires/terminations on research grant
☐ Track effort of key personnel on grants in home department and review total effort with PI to ensure committed effort remains reasonable and accurate and ensure that deliverables will be met.
☐ Initiate any procedures relating to key personnel or PI's leaving NU or arriving to NU with grant funding.

To Do: Cost Sharing

☐ Document cost sharing and/or matching expenses (192 account for salaries over the NIH cap; 191 account for expenses required to cost share/match on grant)
☐ Identify source and notify ASRSP of cost sharing/matching expenses
☐ Collect and report on cost sharing commitments (coordinate with ASRSP) to sponsor

To Do: Review Due Dates and Produce Technical and Financial Reports

☐ Assist PI with completion of progress reports for non-competing renewals (as indicated)
☐ Assist PI with technical reports or case reports for protocols as indicated
☐ Provide interim financial reports as indicated; ensure all charges have posted in a timely manner.
☐ If applicable, work with ASRPS to review and submit invoices to sponsor (with PI review).
☐ Receive payments from sponsors, and deposit to university sponsored research accounts.
☐ Coordinate with ASRPS if any invoices remain unpaid for more than 30 days.

To Do: Inventions

☐ Disclose invention information
☐ Provide information to Department Chair and Dean's office
☐ If applicable, pursue invention disclosure with TTP office and sponsors and prepare patent forms to file with US Patent Office.

To Do: Anticipate Grant Closeout, Including New Submissions

☐ Completed deliverables checklist, including requirements for financial and technical reports
☐ Is a no-cost extension or carryover of funds required? Prepare for this request now.
☐ Will current research staff need new assignments/sources of funding (trainees?)
☐ Is there a new research opportunity that builds on the data from this proposal? What are the dates for that submission?