CARLETON COLLEGE
FUNDAMENTALS FOR NEW AWARDEES
FACULTY MEMBER & STAFF GRANT MANAGEMENT REVIEW FOR <u>NEW</u> AWARDS

PI/Co-PIs:	
Funder/Program:	
Project Title:	
Award Number:	
Award Date:	
Project Period:	
Award Amount:	
Installments scheduled (if applicable)	
Account #:	
Match Acct. #: (if applicable)	
Fringe/Indirect:	
Subawardee Institution: (if applicable)	
Subaward Agreement #: (if applicable)	

New Award Checklist *(One copy for Grant Document repository, one copy to each PI/Co-PI)*

TOPIC	REVIEW DATE OR **N/A**
Federal/Other Funding Agency Requirements	
1. Review award **terms and conditions** with PI/PIs, including • **performance and financial reporting** requirements - **NSF**: submitted through research.gov; refer to About Project Reports; Download a project report template *Annual* reports due in 90-day window prior to anniversary date, *Final* reports due within 120 days after expiration - **NIH:** submitted through eRA Commons; refer to NIH RPPR website for links information requested for the Research Performance Progress Report (RPPR). In brief, the PI receives an email from NIH two months prior to due date, initiates report and routes to SO; SO receives email request to review RPPR, and logs in to check and submit the report. Annual reports are due on or before the anniversary of the budget/project period start date of award. Final reports are due within 120 days of project expiration. - **NASA**: use RPPR format; (for what to include see p 48 of GCAM) Progress report: 60 days prior to anniversary date of grant agreement – email to Technical Officer, NASA Grant Officer, New Technology Repr Final reports 120 days after expiration date of grant – Final performance report -email to numerous offices (see award doc); Subject Inventions/Reportable Items Interim and Final Summary Report, electronically on the New Technology Reporting Web site (eNTRe) located at http://invention.nasa.gov, other reports are to be emailed to NSSC-closeout@mail.nasa.gov. - **NEH**: most often final; submitted through eGMS Reach; refer to Performance Reporting Requirements • **compliance issues and requirements** (see below: RECR, Public Access). Review budgeting revision requirements for when the proposed budget amount differs from the award amount.	
2. As applicable, provide PI/Co-PI with funder **award management guidelines** Each PI/Co-PI/PD is to have a copy or access to the notice of award, budget, or research or special terms and conditions - for NSF Grant General Conditions - for NIH: Grants Policy Statement - for NEH: Grant Management page	
3. Review grant specifics, such as: • allowable ***travel expenses,*** and the Fly America Act if **international travel** is included in a federal award; Travel & Transportation (International Air Travel) • *post-award changes* that warrant notification of funder	

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- **NSF**: Significant Project Changes" such as transfer of project effort (subawards); changes in objectives or scope; long-term disengagement of PI/coPI (reduction of 25% or more in time to project, or disengaged for continuous period of more than 3 months) OR "Participant support cost changes"; see Prior Approval Requirements
- **NIH**: Change in scope, in status of senior personnel, or rebudgeting funds from trainee costs. See Administrative Requirements-Changes in Project and Budget-Prior Approval Requirements-Change of Scope)
- **NASA**: must notify if change in PI or change in scope
• funder's *publicity requirements*
  - for **NSF:** GC-1, item 27 https://www.nsf.gov/bfa/dias/policy/gc1/oct21.pdf); see also Acknowledgement of Support. Acknowledge
    -- in any publication (including Web pages) of any material based on or developed under this project, in the following terms: "***This material is based upon work supported by the National Science Foundation under Grant No. (NSF grant number).***"
    -- orally during news media interviews: popular media such as radio, television, and news magazines.
  - for **NIH** Rights in Data (Publication and Copyrighting) "Each publication, press release, or other document about research supported by an NIH grant must include:
    An acknowledgment of NIH grant support such as: "*Research reported in this [publication, release] was supported by [name of the Institute, Center, or other funding component] of the National Institutes of Health under grant number [specific NIH grant number in this format: R01GM012345].*"
    A disclaimer that says: "*The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.*"
  -for **NASA:** cite NASA as a source of support identifying the award number, use disclaimer for non-prof journals (see p 84 of GCAM); when publishing, see also NASA Insignia Guidelines
  -for **NEH:** Acknowledgment and Publicity Requirements for NEH Awards	

4. If your budget includes a **subaward or contract**, refer to "Subrecipient Policy" (https://apps.carleton.edu/cfr/compliance/subrecipientpolicy/) for Carleton's practices and PI's responsibilities. Review requirements for PI to **monitor activity on any subawards** relative to proposed effort and timeline, and to **receive annual reports** from subawardee. For challenges experienced in this process, contact Susan Benson (x5990, Grant & Cash Manager). Verify completion of Subrecipient vs. Contractor checklist.	
5. Review **evaluation plan** and recommendation for PI to implement any evaluation activities per the proposed timeline and to regularly review activity of external evaluator and receive an annual report.	
6. Review funder requirements for **budget adjustments**; refer to the Prior Approval Matrix.	
7. Review funder requirements for **requesting no cost extensions** - for **NSF**: 1st extension at least 10 days prior to expiration, 2nd request at least 45 days prior to expiration; can be started by either PI or grants office - for **NIH**: 1st extension of up to 12 months must be requested by a SO no earlier than 90 days before end of project period and no later than project end date; "Submit No-Cost Extension" page, NIH's No-Cost Extension (NCE) helps - for **NASA**: request extension up to 10 days before end of grant period (beyond that need written approval)	
8. Review funder requirements for **equipment disposal** (contact Randie Johnson, x4178).	
9. As necessary, review **use of funder electronic grants management portals**, such as Fastlane and Research.gov (NSF), eRA Commons and PubMed (NIH), eGMS (NEH).	
10. *If a federal award*, be aware that Responsible and Ethical Conduct of Research (RECR) training is required for all students participating in NSF- or NIH-funded research. RCR training includes these components: *a)* Each student must successfully complete CITI - Collaborative Institutional Training Initiative modules for RCR. Refer to the RECR page, TRAINING section for instructions to access CITI training. Successful completion will be documented by the Compliance Specialist in CFR assigned administration role in CITI. Grants Office (G.O.) will maintain documentation until grant closes, available in OnBase or Dropbox space.	

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b) Grants Office will notify the PI when their research student(s) completes the CITI modules; PIs will notify G.O. and document when the student has received any additional person-to-person RCR training appropriate to the research and discipline. _____
 	
11. ***For federal agency award recipients***, read and comply with the funder's Public Access Policy:
- **NSF** Public Access information: https://www.nsf.gov/news/special_reports/public_access/
- **NIH** Public Access Policy https://publicaccess.nih.gov/policy.htm; submit to "*National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication*"
 NIH When and How to Comply page outlines instructions for
  o making your peer-reviewed articles publicly available on PubMed Central (PMC)
  o including your PMC reference number (PMCID) in citations (note: The Difference Between a PMCID and a PMID)
  o creating a Commons linked My NCBI account
  o NASA Research Access page; publications submission instructions at NASA PubSpace (How to deposit NASA-funded papers)
- **NASA** Research Access page; publications submission instructions at NASA PubSpace (How to deposit NASA-funded papers)
- **NEH** Publicizing Your Project	

12. ***For federal award recipients***, read and comply with the funder's anti-sexual harassment policy: NSF's Sexual Harassment page https://www.nsf.gov/od/odi/harassment.jsp NIH's Anti-Sexual Harassment page https://grants.nih.gov/grants/policy/harassment.htm NASA Term and Condition Required Notification of Harassment https://missionstem.nasa.gov/term-condition-institutional-harassment-discr.html; Federal Register policy	
13. ***If applicable***, register with Carleton's research boards: IRB (Institutional Research Board), IACUC (Institutional Animal Care and Use Committee), IBC (Institutional Biosafety Committee)	
<mark>*Institutional Procedures/Requirements*</mark>	
1. If the PI holds **multiple awards**, review institutional and funder requirements to **separate expenditures charged to each award**, based on each award's proposed or most recent approved budget and activities. • **REVIEW USE OF BUDGET MANAGER REPORTS ON THE HUB**	

2. Remind PI to carefully review their grant expense transactions on The Hub, as well as the quarterly budget-to-actual reports provided by Susan Benson, shared via DropBox folder. Quarterly Certification of review is required and managed via OnBase Workflow. Also see PI's Responsibilities in Post-Award Grants Manual.
 	
REVIEW EXAMPLE OF QUARTERLY REPORT SPREADSHEET
 • Carefully examine proper use of expenses codes
 • Discrepancies/corrections should be promptly addressed (and should be avoided)
 • Cost transfers must be supported by clear and detailed description, and/or attached documentation (online transfer form). Paper trail to initial expense REQUIRED for audit purposes
 	
Viewing award expense detail in Budget Manager Reports
1. Select Fiscal Year
2. Select Report Mode – detail
3. Select "Sources" – enter the second set of digits in grant acct number, i.e. 28-**1234**-5555
4. Click on green Submit button
5. Your report will appear
  o Hyperlinks may be clicked on for further detail
  o You may also export to Excel	

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3. Review **allowable and unallowable** costs and purchasing requirements for using federal funds. *(Further questions? Ask Randie Johnson x4178)* **SEE GRANT MANUAL UNDER COST PRINCIPLES AND ALLOWABLE EXPENSES: ALLOWABLE; REASONABLE; ALLOCABLE BASED ON YOUR AWARD. The following are NOT ALLOWABLE:** • Alcoholic beverages • Entertainment costs • Personal expenses or purchases • Lobbying • Participant support costs not specifically addressed in your award letter • International travel costs not specifically addressed in your award letter ALLOWABLE – should be outlined in budget (i.e., advertising expenses) Note: Federal expenditures are subjected to further review by auditors.	
4. Review institutional procedures for **requisitions**. **See Randie for larger purchases and international travel** • International Travel Record • https://apps.carleton.edu/campus/business/riskmanage/travelriskmanagement/ **Vendor selection form REQUIRED for goods and services in excess of $10k.**	
5. Review institutional procedures for **reimbursement** of expenditures. • Use of P-Card to the greatest extent • Out of pocket (OOP) is preferred method for reimbursing employees • Allow at least seven business days for processing cash advances (processed weekly) **SAME PROCEDURE FOR COLLEGE <u>BUT MUST BE APPROVED OR CHARGED BY AUTHORIZED (GRANT) PERSON.</u>** Auditors look for approvals on purchases. • Notify Business Office if others have signing authority	
6. Find needed Business Office forms at http://apps.carleton.edu/campus/business/businessofficeforms/.	
7. Review institutional requirements for **employing personnel** on the award, including students. For non-student employees, discuss recruitment and vetting of candidates, and annual employee performance review requirements. • Prior to hiring an **independent contractor**, consult with HR using the Independent Contractor Information Sheet & Checklist. • Payment for Services to Foreign Vendors outside of US **Hiring Students:** • SRPs: contact DOC https://www.carleton.edu/research/for-faculty/data-form/ • SRAs: contact Student Employment: https://www.carleton.edu/student-employment/supervisor-portal/ • Employees: contact HR https://www.carleton.edu/human-resources/hr-forms/ o NOTE: Benefits may actually exceed budget, or come in under budget – monitor and plan accordingly	

TOPIC	REVIEW DATE OR **N/A**	
8. Review procedures to **pay stipends** to self as PI, or to other Carleton faculty for projects or workshops. (Reminder: full-time staff are generally not eligible for workshop stipend payments.) • **PI must submit stipend requests – Business Office Forms under Payroll. Not an automated process** • **Effort Report Form will be sent in regards to summer stipend/salary, other professionals**	N/A	

9. Carleton **point(s)-of-contact**, for various grant management activities:
Grants Office - Institutional:, Christopher Tassava x4047, Quinn Arnold x4046
        Faculty: Charlotte Whited x5833, Dee Menning x4441
  (1) No cost extensions
  (2) Annual/Final/Other Reports
  (3) Budget adjustments/reallocation (along with Susan Benson x5990; possibly also HR, Payroll)
  (4) Summer/Academic Year Salary Requests
Susan Benson – x5990 for grant questions, subaward contracts, expense transfers, account questions
HR – x7471 if you are hiring Research Assistants or Postdocs
Payroll – Shari Mayer – x4022 if you are hiring students
Environmental health or safety – Elisabeth Haase – x4146		

Other Clarification(s):		

MID-PROGRAM YEAR CHECK-IN MONTH: