



UNIVERSITY of DENVER

RESEARCH & SPONSORED PROGRAMS

Notice of Award & New Award Checklist

Congratulations! The Office of Research and Sponsored Programs has received notice that your proposal has been awarded.

Sponsoring Agency: _____

Award Title: _____

DU Grant #: _____ DU Fund #: _____ ORG Code: _____ Cost Share Code: _____

PI Name: _____

Project Administrator: _____

Project Accountant: _____

Amount Awarded: _____ Project Begin Date: _____ Project End Date: _____

IRB Protocol #: _____ IACUC Protocol #: _____ IBC Protocol #: _____

Please review the “New Award Checklist” below, regarding the responsibilities related to this project. The checklist is a tool to assist you in managing this project.

Please be sure to read the award documents to learn the details of the terms and conditions that apply to you as the Principal Investigator. Details you should pay special attention to within the award document may include the following: *interim and final reporting requirements, scheduled deliverables, prior approval requirements, export control regulations, as well as invention reporting requirements.*

Attached is the “Signature Authorization Form.” This form must be signed and returned to ORSP for any individual other than the PI and department Budget Officer needing signature authorization.

New Award Briefing

Please select one of the following dates/times:

I will contact ORSP to schedule a more convenient time.

I have reviewed the “New Award Checklist” and understand the policies, procedures, and my responsibilities and am opting out of the briefing.

Please be sure the PI, Departmental Administrator, and any others regarding this award are in attendance.

Please email the above selection to ORSP within 5 business days.

Again, congratulations on your award! We wish you continued success with your research endeavors!

New Award Checklist

The following checklist should be used as a monitoring tool for the management of the award.

General Award Management

1. Read the award document and make note of special terms and conditions, including:

Interim and Final Reporting Requirements

Scheduled Deliverables

Prior Approval Requirements

Intellectual Property Provisions

2. Plan ahead if a budget revision or no-cost extension will be needed.

Sponsor approval required for budget revision: _____

Deadline for no-cost extension: _____

3. Award Period

Award is for the full project period.

Award is for the current year of a multiple year award. Spending is limited year by year. *This may require initiating a pre-award each year. Please contact your Project Administrator for more information.*

Automatic carryforward

Carryforward must be requested

Post-Award Administration

1. Review post award policies and procedures.
2. Subcontracts and Consultants

This award contains subcontracts.

- a. Review subcontracting procedures and forms.
- b. Complete and submit to ORSP the “Request for Subagreement” and “Competitive Bid Disclosure.”
- c. Monitor subcontractor performance. *A monitoring package will be provided to you for each subcontract. Refer to the subcontractor monitoring policy for more information.*

This award contains consultants.

- a. Review consulting procedures and forms.
- b. Complete and submit to ORSP the “Request for Consulting Agreement.”

For both subcontracts and consulting agreements:

- a. Verify the invoices reflect work conducted for the period within the scope of work.
 - b. Initiate new contract each year if a year by year agreement. ORSP will not initiate without approval.
 - c. Verify that scope of work has been completed and all deliverables met **before** approving final invoice. Ensure invoices are received before the final closeout.
3. Cost-Sharing

This award contains cost-sharing

- a. Review cost-sharing commitments in award/proposal.
- b. Review cost-sharing policy/procedures.
- c. Maintain documentation for cost-sharing by the department or third party.
- d. Cost-share agreement is with the Dean and/or Associate Provost.

Research Compliance Requirements

1. IRB/IACUC/IBC Requirements

This project contains human subject research. Institutional Research Board (IRB) required.

IRB Protocol: _____ Status: _____ Date: _____

This project contains animal research. Institutional Animal Care & Use Committee required.

IACUC Protocol: _____ Status: _____ Date: _____

This project contains biohazard research. Institutional Biosafety Committee required.

IBC Protocol: _____ Status: _____ Date: _____

Submit and renew your protocols as required. No funds will be released if the protocol is not current. Information regarding Research Compliance policies can be found here.

2. Export Control/OFAC Considerations

Contains publication restrictions

Export controlled activities

Project restricts foreign nations

Export Control Office Determination: _____

Technology Control Plan: _____

Foreign Sponsor: _____

Foreign subcontractors or consultants: _____

Foreign nationals on project

OFAC Determination: _____

Review export control policies here.

3. Conflict of Interest Disclosures

Initial disclosure required/COI Training required

Submit annual COI Disclosures – will be requested by Research Compliance

Key Personnel disclosures required

Conflict of Interest disclosed and exists for this project

Approved Management Plan exists: _____

Management plan required. Complete by: _____

Review Conflict of Interest policy here.

4. Other Research Compliance Considerations

NIH – The NIH Public Access Policy requires PI's to submit final peer-reviewed journal manuscripts that arise from NIH funds immediately upon acceptance for publication.

NSF – NSF awards require Responsible Conduct of Research (RCR) training. All personnel on NSF awards are required to complete CITI training.

Post-Award Accounting

1. Review Grants Accounting policies and procedures.
2. Inception-to-Date financial reports
 - a. Request Banner and Banner Finance Access for all personnel that will review financial reports.
 - b. Review reports monthly at a minimum.
 - c. Contact your Budget Officer for training and using reports. Contact ORSP if you need access to a grant.
3. Personnel
 - a. Hire personnel according to Human Resources and Departmental policies
 - b. Process payroll and time according to Payroll and Departmental policies.
4. Effort Certifications
 - a. Ensure that all faculty and monthly staff charging to the grant have completed Effort Certification training.
 - b. Review effort certification requirements with all faculty and monthly staff.
 - c. Maintain appropriate documentation to support effort.
 - d. Certify effort in Banner system within 30 days as required under policy.
5. Expenditures
 - a. Expenditures must be allowable under grant.
 - b. Provide appropriate documentation and obtain required approvals.

Closeout

1. ORSP will send a Project Expiration Notice 60 days prior to the end date of the award. Please complete and return to ORSP within 10 days of receipt.
2. Review the Project Management Closeout Checklist and initiate required actions for closeout.