

**CARLETON COLLEGE**  
**FUNDAMENTALS FOR NEW AWARDEES**  
 FACULTY MEMBER & STAFF GRANT MANAGEMENT REVIEW FOR NEW 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
<b>Federal/Other Funding Agency Requirements</b>	
1. Review award <b>terms and conditions</b> with PI/PIs, including <b>performance and financial reporting</b> requirements, and <b>compliance issues and requirements</b> (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 <b>award management guidelines</b> Each PI/Co-PI/PD is to have a copy or access to the notice of award, budget, or research terms and conditions (for NSF, ( <a href="https://www.nsf.gov/awards/managing/rtc.jsp">https://www.nsf.gov/awards/managing/rtc.jsp</a> ), and any special terms and conditions.	
3. Review grant specifics, such as: allowable <b>travel expenses</b> , and the Fly America Act requirements if <b>international travel</b> is included in a federal award; <b>post-award changes</b> that warrant notification of funder; funder’s <b>publicity requirements</b> (for NSF GC-1, p24 <a href="https://www.nsf.gov/bfa/dias/policy/gc1/feb19.pdf">https://www.nsf.gov/bfa/dias/policy/gc1/feb19.pdf</a> ).	
4. If your budget includes a <b>subaward or contract</b> , refer to “Subrecipient Policy” ( <a href="https://apps.carleton.edu/cfr/compliance/subrecipientpolicy/">https://apps.carleton.edu/cfr/compliance/subrecipientpolicy/</a> ) for Carleton’s practices and PI’s responsibilities. Review requirements for PI to <b>monitor activity on any subawards</b> relative to proposed effort and timeline, and to <b>receive annual reports</b> from subawardee. For challenges experienced in this process, contact Susan Benson (x5990, Grant & Cash Manager). Verify completion of Subrecipient vs. Contractor checklist.	
5. Review <b>evaluation plan</b> 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 <b>budget adjustments</b> .	
7. Review funder requirements for <b>requesting no cost extensions</b> .	
8. Review funder requirements for <b>equipment disposal</b> (contact Randie Johnson, x4178).	
9. As necessary, review <b>use of funder electronic grants management portals</b> , such as <a href="#">Fastlane</a> and <a href="#">Research.gov</a> (NSF), <a href="#">eRA Commons</a> and <a href="#">PubMed</a> (NIH), <a href="#">eGMS</a> (NEH).	
10. <b>If NSF or NIH award</b> , 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: <i>a)</i> Each student must successfully complete <a href="#">CITI - Collaborative Institutional Training Initiative</a> modules for RCR. Refer to <a href="#">the RECR page, TRAINING section</a> 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. <i>b)</i> 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.	

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<p>11. <b>For NIH &amp; NSF award recipients</b>, read and comply with the funder’s Public Access Policy:</p> <ul style="list-style-type: none"> <li>- NSF Public Access information: <a href="https://www.nsf.gov/news/special_reports/public_access/">https://www.nsf.gov/news/special_reports/public_access/</a></li> <li>- NIH Public Access Policy <a href="https://publicaccess.nih.gov/policy.htm">https://publicaccess.nih.gov/policy.htm</a></li> </ul>	
<p>12. <b>For federal award recipients</b>, read and comply with the funder’s anti-sexual harassment policy: NSF’s Sexual Harassment page <a href="https://www.nsf.gov/od/odi/harassment.jsp">https://www.nsf.gov/od/odi/harassment.jsp</a> NIH’s Anti-Sexual Harassment page <a href="https://grants.nih.gov/grants/policy/harassment.htm">https://grants.nih.gov/grants/policy/harassment.htm</a></p>	
<p>13. <b>If applicable</b>, register with Carleton’s research boards: IRB (<a href="#">Institutional Research Board</a>), IACUC (<a href="#">Institutional Animal Care and Use Committee</a>), IBC (<a href="#">Institutional Biosafety Committee</a>)</p>	
<p><b>Institutional Procedures/Requirements</b></p>	
<p>1. Remind PI to carefully review their grant’s <b>quarterly financials</b> provided by Susan Benson, confirm or correct the financials, sign and return to Susan. Also see <a href="#">PI’s Responsibilities</a> in Post-Award Grants Manual.</p> <p><b>REVIEW EXAMPLE OF QUARTERLY REPORT SPREADSHEET</b></p> <ul style="list-style-type: none"> <li>• <b>Carefully examine proper use of expenses codes</b></li> <li>• <b>Discrepancies/corrections should be promptly addressed (and should be avoided)</b></li> <li>• <b>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</b></li> <li>• <b>Share in Dropbox</b></li> </ul>	
<p>2. If the PI holds <b>multiple awards</b>, review institutional and funder requirements to <b>separate expenditures charged to each award</b>, based on each award’s proposed or most recent approved budget and activities.</p> <p><b>REVIEW USE OF BUDGET MANAGER REPORTS ON THE HUB</b></p>	
<p>3. Review <b>allowable and unallowable costs</b> and purchasing requirements for using federal funds. (<i>Further questions? Ask Randie Johnson x4178</i>)</p> <p><b>SEE GRANT MANUAL UNDER COST PRINCIPLES AND ALLOWABLE EXPENSES: ALLOWABLE; REASONABLE; ALLOCABLE BASED ON YOUR AWARD. The following are NOT ALLOWABLE:</b></p> <ul style="list-style-type: none"> <li>• <b>Alcoholic beverages</b></li> <li>• <b>Entertainment costs</b></li> <li>• <b>Personal expenses or purchases</b></li> <li>• <b>Lobbying</b></li> <li>• <b>Participant support costs not specifically addressed in your award letter</b></li> <li>• <b>International travel costs not specifically addressed in your award letter</b></li> </ul> <p><b>ALLOWABLE – should be outlined in budget (i.e., advertising expenses)</b></p>	
<p>4. Review institutional procedures for <b>requisitions</b>.</p> <p><b>See Randie for larger purchases and international travel.</b> <a href="https://apps.carleton.edu/campus/business/riskmanage/travelriskmanagement/">https://apps.carleton.edu/campus/business/riskmanage/travelriskmanagement/</a></p> <p><b>Vendor selection form necessary for equipment &gt;\$10k.</b></p>	
<p>5. Review institutional procedures for <b>reimbursement</b> of expenditures.</p> <p><b>SAME PROCEDURE FOR COLLEGE BUT MUST BE APPROVED OR CHARGED BY AUTHORIZED (GRANT) PERSON.</b> Auditors look for approvals on purchases. <b>Notify Business Office if others have signing authority</b></p>	
<p>6. Find needed Business Office forms at <a href="http://apps.carleton.edu/campus/business/businessofficeforms/">http://apps.carleton.edu/campus/business/businessofficeforms/</a>.</p>	

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<p>7. Review institutional requirements for <b>employing personnel</b> 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 <a href="#">Independent Contractor Information Sheet &amp; Checklist</a>.</p> <p><b>STUDENTS – WORK WITH STUDENT EMPLOYMENT (SFS), EMPLOYEES – WORK WITH HR</b> <b>Benefits may actually exceed budget or come in under budget – plan accordingly</b></p>	
<p>8. If <b>students</b> or <b>post-docs</b> are employed on grant, review institutional and/or funder requirements for appropriate/required <b>training</b>, e.g., Responsible and Ethical Conduct of Research (RECR), Human Subjects, Animal Safety, or Biosafety.</p> <p><b>WORK WITH the Grants Office</b></p>	
<p>9. Review institutional requirements to <b>document PI</b> or <b>Co-PI time/percent-of-effort</b> expended on the award (Time &amp; Effort Certification Reports), and frequency of documentation requirements.</p> <p><b>EFFORT REPORT FORM AND PROCEDURE (when required).</b></p>	
<p>10. Review procedures to <b>pay stipends</b> 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.)</p> <p><b>PI must submit stipend requests – Business Office Forms under Payroll. Not an automated process</b> <b>Workshop stipends – pay after the fact – Business Office Forms under Payroll</b> <b>Course releases must be communicated to the DOC and Business Office – manual process to charge grant</b></p>	
<p>11. Review institutional and funder requirements to <b>document any match</b> offered at the proposal stage by the institution or by any project partners: identify who will pay for new actual expenses vs. release of work already budgeted. PI responsible for tracking source of college match.</p>	
<p>12. Review institutional requirements for <b>budget adjustments</b>.</p> <p><b>FLEXIBLE TO A POINT WITH THE EXCEPTION OF PARTICIPANT SUPPORT. PREAPPROVAL NECESSARY FOR SIGNIFICANT REALLOCATION, NEW PI, CHANGE OF SCOPE, OR PARTICIPANT SUPPORT.</b></p>	
<p>13. <b>Review/train</b> PI/Co-PI's in use of the Hub (if needed), how to run <b>budget queries</b> and <b>reports</b>, and how to use other institutional tools/software.</p>	
<p>14. Carleton <b>point(s)-of-contact</b>, for various grant management activities: <b>Grants Office - Institutional:, Christopher Tassava x4047, Quinn Arnold x4046</b> <b>Faculty: Charlotte Whited x5833, Dee Menning x4441</b></p> <p>(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</p> <p><b>Susan Benson – x5990</b> for grant questions, subaward contracts, expense transfers, account questions <b>HR – x7471</b> if you are hiring Research Assistants or Postdocs <b>Payroll – Shari Mayer – x4022</b> if you are hiring students <b>Environmental health or safety – Elisabeth Haase – x4146</b></p>	
<p>15. <i>Other Clarification(s):</i></p>	

<b>MID-PROGRAM YEAR CHECK-IN MONTH:</b>	
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