

NEW AWARD PORTFOLIO

*Note this document is meant to be an aid & is not inclusive of all applicable guidelines or terms and conditions of your award. The applicable guidance and award agreement should always be referenced.

| | |
|----------------------------|--|
| Grant Title: | |
| Sponsor: | |
| ASU PI: | |
| Co-Investigator(s): | |

| | | | |
|--------------------------------|--|-------------------------|--|
| Funding Proposal (FP)#: | | Sponsor Award #: | |
| ASU Award #: | | Grant Account #: | |

| | | | |
|---------------------------------------|--|----------------------------------|--|
| Agreement Type (ex. Contract): | | Award Type (ex. Federal): | |
| Period of Performance: | | Budget Period: | |
| Total Award: | | 1st Funding Increment: | |

| Research Administrator (RA) Support Staff | Name | Phone | Email |
|---|------|-------|-------|
| Pre-award Administrator: | | | |
| Post-award Administrator: | | | |
| HR Support for Hiring: | | | |

| AWARD CHARACTERISTICS | | | |
|--|---|-------------------|--|
| No Cost Extension (NCE) Necessary: | <input type="checkbox"/> YES <input type="checkbox"/> NO | NCE Deadline: | |
| Carryforward: | Automatic: <input type="checkbox"/> YES <input type="checkbox"/> NO | Request Required: | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| *Spending is limited year by year so it may require initiating an at-risk each year. Please contact your Post award Research Administrator for more information. | | | |
| Intellectual Property: | <input type="checkbox"/> YES <input type="checkbox"/> NO | Page #: | |
| Notes: | | | |
| Prior Approval Requirements: | <input type="checkbox"/> YES <input type="checkbox"/> NO | Page #: | |
| Notes: | | | |

| RESEARCH INTEGRITY & ASSURANCES | | | |
|---|--|--------------|--|
| Protocols | | | |
| IRB Protocol (Human Subjects) | <input type="checkbox"/> YES <input type="checkbox"/> NO | Notes | |
| IACUC Protocol (Animals) | <input type="checkbox"/> YES <input type="checkbox"/> NO | Notes | |
| IBC Protocol (Biohazardous Materials) | <input type="checkbox"/> YES <input type="checkbox"/> NO | Notes | |
| No funds will be released if the protocol is not current. | | | |
| Submit and renew your protocols as required. | | | |
| Information regarding Research Compliance Policies can be found here: https://researchintegrity.asu.edu/ | | | |

| Foreign Component | | | |
|---|--|--------------------------------------|--|
| Foreign Element | <input type="checkbox"/> YES <input type="checkbox"/> NO | Country | Restricted <input type="checkbox"/> YES <input type="checkbox"/> NO |
| Notes | <ul style="list-style-type: none"> • ORIA Export Controls and security information: https://researchintegrity.asu.edu/export-controls-and-security • All air travel funded by federal government are required to use a "U.S. flag" air carrier services. For more information you can access the Fly America Act. • ASU's Approved Foreign Conversion Site | | |
| Publications | | | |
| Publication Restrictions: | <input type="checkbox"/> YES <input type="checkbox"/> NO | | |
| Restriction Detail: | | | |
| Conflict of Interests | | | |
| Conflicts of Interest Applies to this Project: | <input type="checkbox"/> YES <input type="checkbox"/> NO | COI Management Plan Approved: | <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA |
| COI Information: <ul style="list-style-type: none"> • Initial disclosure/COI Training required • Submit Annual COI Disclosures • Key Personnel disclosures required Other Research Compliance Considerations: <ul style="list-style-type: none"> • NIH- The NIH Public Access Policy requires PIs 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. | | | |

| REPORTING & DELIVERABLES | |
|----------------------------------|--|
| Annual/Interim Reporting: | |
| Final Reporting: | |
| Project Deliverables: | |

| BUDGET CHARACTERISTICS | | | |
|--|--|------------------------------|--|
| Budget Revision Required: | <input type="checkbox"/> YES <input type="checkbox"/> NO | | |
| Position Accounting | | | |
| Position Accounting Update Required: | <input type="checkbox"/> YES <input type="checkbox"/> NO | | |
| Personnel Name: | | Percentage of Effort: | |
| Adjustment Period (i.e. fall semester): | | | |

| | | | |
|---|--|------------------------------|--|
| Personnel Name: | | Percentage of Effort: | |
| Adjustment Period (i.e. fall semester): | | | |
| Personnel Name: | | Percentage of Effort: | |
| Adjustment Period (i.e. fall semester): | | | |
| Personnel Name: | | Percentage of Effort: | |
| Adjustment Period (i.e. fall semester): | | | |
| Personnel Name: | | Percentage of Effort: | |
| Adjustment Period (i.e. fall semester): | | | |
| Cost Share | | | |
| Cost Share: | <input type="checkbox"/> YES <input type="checkbox"/> NO | | |
| Cost Description (ex. Personnel, Tuition, F&A) | | | Total (\$) |
| | | | |
| | | | |
| | | | |
| <ul style="list-style-type: none"> Review Cost-sharing commitments in proposal/award: https://researchadmin.asu.edu/cost-sharing/manage-commitments#General%20Information Review Cost-sharing Basics: https://researchadmin.asu.edu/cost-sharing Maintain documentation for cost-sharing by department or third party Cost share agreement is approved by the Dean and/or Provost at submission. | | | |
| Consultants | | | |
| Consultant(s): | <input type="checkbox"/> YES <input type="checkbox"/> NO | | |
| Name: | | Email: | |
| Total Cost: | | | |
| Period of Performance: | | Named in Proposal: | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| Name: | | Email: | |
| Total Cost: | | | |
| Period of Performance: | | Named in Proposal: | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| Name: | | Email: | |
| Total Cost: | | | |
| Period of Performance: | | Named in Proposal: | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| Name: | | Email: | |
| Total Cost: | | | |

| | | | |
|---|--|---------------------------|--|
| Period of Performance: | | Named in Proposal: | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <ul style="list-style-type: none"> Review Consultants RSP 503-03 and FIN 421-01 on how to pay Consultants and Independent Contractors. For less than \$25,000 the RA will complete REQ in Workday. For greater than \$25,000 we must follow ASA and or Federal Procurement requirements (if applicable). Independent Contractor Information: https://cfo.asu.edu/independent-contractor-information-faqs | | | |
| Subcontracts | | | |
| Subcontracts: | <input type="checkbox"/> YES <input type="checkbox"/> NO | | |
| Institution: | | Grant Acct. # | |
| PI: | | Email: | |
| Period of Performance: | | Total Award: | |
| Institution: | | Grant Acct. # | |
| PI: | | Email: | |
| Period of Performance: | | Total Award: | |
| Institution: | | Grant Acct. # | |
| PI: | | Email: | |
| Period of Performance: | | Total Award: | |
| Institution: | | Grant Acct. # | |
| PI: | | Email: | |
| Period of Performance: | | Total Award: | |
| <ul style="list-style-type: none"> Review PI roles & responsibilities with subcontracts: https://researchadmin.asu.edu/subawards/roles-responsibilities Monitor Subcontract Performance. A monitoring package will be provided to you for each subcontract. Refer to the subcontract for monitoring policy for more information. Subaward Procedures and Forms: https://researchadmin.asu.edu/subawards/during-award Additional Subrecipient Information: https://researchadmin.asu.edu/subawards/subrecipient-information#Management%20and%20Monitoring | | | |

POST AWARD ACCOUNTING

1. Review Grants Accounting policies and procedures
2. Inception-to-date financial reports
 - Request FMS Workday Access for all personnel that will review financial reports.
 - Contact your Research Administrator for training and using reports. Contact ORSPA if you need access to a grant.
3. Personnel
 - Hire personnel according to Human Resources Department Procedures
 - Process payroll and time according to Payroll and Department Procedures.
 - Review [Recruitment & Hiring Information](#)
4. After-the-Fact Reports Review
 - Ensure that all faculty and monthly staff charging to the grant are aware of after-the-fact reporting requirements.

- Certify compensation within 45 days as required by the protocol.
5. Expenditures
- Expenditures must be allowable on the grant.
 - Provide appropriate documentation and obtain CHS approvals.
 - Get P-Card
 - Recharge Center Expenses
 - Open Purchase Orders
 - PUR 301: Methods of Procurement and Dollar Limits
 - Federal Procurement Checklist: <https://www.asu.edu/purchasing/pdf/Federal-Procurement-Checklist.pdf>
 - For Requisitions and Reimbursement Requests access the [Purchasing PowerForm](#)
6. Contractors & Subcontracts
- Consult RA to initiate Supplier Registration for any new consultant involved in your research
 - Verify invoices reflect work conducted for the period within the scope of work.
 - Initiate new contract annually for year-by-year agreement. ORSPA will not initiate.
 - Verify scope of work has been completed and all deliverables met before approving final invoice.
 - Ensure invoices are received before the final closeout.

CLOSEOUT

ORSPA will send a Project Expiration notice 90 days prior to the end of the award. **Please complete and return to ORSPA within 10 days of receipt.**

Review the Project Management Closeout Checklist and initiate required actions for closeout

FOLLOW UP REQUIRED

| Task | Assigned To |
|------|-------------|
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ADDITIONAL DOCUMENTS INCLUDED

| | | | | | |
|----------------|--|-----------------------|--|-----------------------------|--|
| Budget: | | Justification: | | Award Agreement/NOA: | |
|----------------|--|-----------------------|--|-----------------------------|--|

PRINCIPAL INVESTIGATOR (PI) SIGNATURE

| | |
|-------------------|--|
| SIGNATURE: | |
| DATE: | |