

PRE-AWARD NIH GRANT REVIEW CHECKLIST

Important NIH Changes! Effect. Jan. 2023

- Must use UEI (not DUNS)
- New biosketch format
- New data sharing plan requirement
- R&R Senior/Key Person required to have an eRA Commons username (Commons ID)

From NAVREF presentation 9-13-2022
by Maggie McCarthy & Rebecca Walker

General information:

- READ sponsor directions! Check for additional directions for:
- Application Form Pages
- Sponsor's required eligibility / Limited Submission
- 0.5" inch margins 11 points or larger
- Smaller text in figures/graphs/diagrams/charts allowed but must be legible
- Doc names 50 characters or less
- No Co-PI role used. (If Multiple PI, list as PI)
- No electronic signatures and Biosketch
- "Validate Application" button before submission to check for errors/warnings
- Updated announcements
- Additional info about priorities, etc.
- Font: Arial, Georgia, Helvetica, or Palatino Linotype
- All files in PDF
- No URLs except for citations in References Cited
- No headers or footers

- SF424 (R&R): Changed/Corrected applications must be submitted before the application due date. If you check the "Changed/Corrected Application" box, then "Field 4.c Previous Grants.gov Tracking ID" is required.
 - Project/Performance Site Location(s): Indicate the Primary Site where the work *will be performed* (usually the VA) and identify other locations will be performed part of the project
 - Project Summary/Abstract: no longer than 30 lines of text.
 - Narrative: no more than short 2-3 sentences.
 - Bibliography & References Cited
 - Facilities & Other Resources: Describe facilities and any useful information for space measurement and tools used for the project such as labs, animal, computer, office, clinical and other. Address capacity to handle biohazards if needed.
 - Equipment: List major items of equipment (= >\$5k) available for project and pertinent capabilities.
 - Other Attachment: (if applicable) Foreign Justification (begin the section with a heading indicating "Foreign Justification" and name the file "Foreign Justification.")
 - R&R Senior Key Persons: **Need eRA Common log in username for all Sr/Key Personnel** (The role of "Co-PD/PI" is not currently used by NIH and other PHS agencies.)
 - Biographical Sketch(s): Limited to 5 pages. (Unless otherwise required in a specific FOA, do not include Current and Pending Support as this comes at the Just-In-Time (JIT) stage) <https://grants.nih.gov/grants/forms/biosketch.htm>
- *** Do not use the "Current and Pending Support" attachment field for NIH or other PHS agency submissions unless otherwise specified in the FOA. For mentored career development award applications, you must include "Current and Pending Support" pages for each of the mentors and co-mentor(s). You do not need to include it for the candidates. *** <https://grants.nih.gov/grants/forms/othersupport.htm>
- The Other Support format page has been re-organized to separate funded projects from in-kind contributions.
Certification statement added, for Program Director/Principal Investigator (PD/PI) and Senior/Key Personnel, to certify

the accuracy of the information reported. Each PD/PI or senior/key personnel must electronically sign their respective Other Support form as a PDF prior to submission.

- Budget Pages: If PI is over salary cap, use current NIH salary cap for budgeting (Current 2021 cap of \$203,700)
 - Budget Periods: Consecutive Dates, Match Cover Page - Budget Total: Matches Cover page
 - PI is listed as PD/PI every budget year - Person Months listed for all personnel (including unpaid effort)
 - Are budget and justification compliant with the costing policies and expectations of Sponsor
 - Overall budget is under maximum request amounts allowed (direct + indirect)MODULAR BUDGET * (ONLY USE IF \$250,000 OR LESS DIRECT COSTS PER YEAR)

- Budget Justification: Contributed (unpaid) time detailed - Time is considered committed effort
 - Follow order of budget - Explain fluctuations over years

- PHS 398 Research Plan:
 - Specific Aims - 1 page limit; state concisely the goals of research and summarize the expected outcome
 - Research Strategy - R03/R21: 6-page limit; R01: 12-page limit.
 - Sections must be labeled with following headers: 1. Significance, 2. Innovation, 3. Approach

- Multiple PD/PI Leadership Plan - Required only if more than 1 PI, not applicable to Co-Is; no page limit; should describe rationale for choosing a multiple PD/PI approach

- Consortium/Subaward Arrangements - Required if a subcontract; no page limit; explains the programmatic, fiscal, and administrative arrangements to be made between the applicant org and consortium org/s
 - Only the first \$25,000 of each subcontract is included in indirect cost base
 - Can get Intent to Sub and Subaward templates from Federal Demonstration Partnership (FDP) site

- Letters of Support - All letters of support in a single PDF document; no page limit; no electronic signatures, letters should describe terms of a collaboration or consultation; must not contain data/figures/tables/graphs, preliminary data, methods, background and significance details that are expected to be found in Research Strategy

- Resource Sharing Plan(s)* - Required if DC of \$500k or more in any budget year, if required by FOA, or if required below; no page limit; highly encouraged – Note: changing (expanding) next year

- PHS Human Subjects and Clinical Trials Information – Detailed information, more expansive info required

- Assignment Request Form (Optional)
Note: Select "Assignment Request Form" after clicking the "Add Optional Form" button on far-left side of ASSIST app
Upload if PI wants to identify requested Institute/Center, Study Section, or Reviewers not to include; provide PI with Assignment Request Form

Compliance Items

- Human subjects Human Subject Assurance (may need assurance #)
- Supporting documents included Select agent/toxin
- Vertebrate animals: Animal Welfare Assurance (may need #) Supporting documents included

Final checks – sample list

- Do you have all sponsor-required sections?
- Do the documents meet the format and naming requirements?
- Appendix (questionnaire, consent form, publications, etc.), if allowed
- No URLs except as instructed (e.g. only references)
- FDP is a resource: <https://fdpclearinghouse.org/organizations>
- Does the budget total cost match the facepage total cost?

DOD FULL APPLICATION CHECKLIST

Peer Reviewed Medical Research Program

Investigator-Initiated Research Award (IIRA)

Funding Opportunity Number: W81XWH-22-PRMRP-IIRA

Catalog of Federal Domestic Assistance Number: 12.420 Military Medical Research and Development

SUBMISSION AND REVIEW DATES AND TIMES

- Pre-Application Submission Deadline: 5:00 p.m. Eastern time (ET), April 29, 2022
- Add internal NPC deadline for proposal
- Application Submission Deadline: 11:59 p.m. ET, May 27, 2022
- End of Application Verification Period: 5:00 p.m. ET, June 2, 2022
- Peer Review: August 2022
- Programmatic Review: December 2022

Key contacts: NPC – Add your contact information

CDMRP: CDMRP Help Desk at Phone: 301-682-5507 (Mon. through Fri. 8:00 a.m. to 5:00 p.m.)

Grants.gov Contact Center 800.518.4726 or support@grants.gov

Award Project Period | Max 4 years

Award Budget Total | \$ direct costs max \$1.6M

Partnering PI option: \$ direct costs max \$2 M

PI/
Admin

SF424

eBRAP log number assigned during pre-application needed

Enter the same project title as used for the pre-application

Enter the same Business Official as used for the pre-application to be able to view in eBRAP

Cover letter N/A

Use PI User Name/email from CDMRP eReceipt system

PI

Attachment 1: Project Narrative

Named "ProjectNarrative.pdf"

15-page limit

No URLs

Use the following outline:

– Background: Present the scientific rationale behind the proposed work. Cite relevant literature. Describe previous experience most pertinent to the project. Include relevant preliminary data; these data may be unpublished or from the published literature.

– Hypothesis: State which FY22 PRMRP Topic Area the proposed research addresses. Additionally, describe how the proposed research project addresses one of the FY22 PRMRP Strategic Goals.

– Specific Aims: These aims should agree with the primary aims/tasks described in the SOW.

– Research Strategy and Feasibility: Describe the experimental design, methods, data collection procedures, and analyses, including appropriate controls, in sufficient detail for analysis. Address potential problem areas and present alternative methods and approaches.

- Clearly describe the statistical plan and the rationale for the statistical methodology as well as an appropriate power analysis.
- If human subjects, human biological samples, or datasets will be used, describe the study population and include a detailed plan for the recruitment of human subjects or the acquisition of samples/datasets (refer to Attachment 9, Public Health Service (PHS) Inclusion Enrollment Report, for additional details). Describe the availability of the proposed study population and past successes in recruiting similar

populations. If active-duty military, military families, and/or Veteran population(s) or datasets will be used in the proposed research project, describe the feasibility of accessing the population(s)/dataset(s). Clinical trials are not allowed under the Investigator-Initiated Research Award.

- If applicable, describe how data will be reported and how it will be assured that the documentation will support a regulatory filing with the U.S. Food and Drug Administration (FDA).
- Describe how the research project will be completed within the proposed period of performance.

PI/
Admin

Attachment 2: Supporting Documentation – NOTE MULTIPLE COMPONENTS BELOW, IN ONE UPLOAD FILE

No page limit except as noted.

Named "Support.pdf" (Admin. can combine all docs as instructed for submission.)

No additional figures, tables, graphs, photographs, diagrams, chemical structures, or drawings.

Upload as single PDF file.

Start each document on a new page.

PI

References Cited – URLs may be included if available

PI

List of Abbreviations, Acronyms and Symbols

PI/
Admin

Facilities, Existing Equipment, and Other Resources – Describe the facilities and equipment available for performance of the proposed project and any additional facilities or equipment proposed for acquisition at no cost to the award.

PI

Publications and/or Patents – Include a list of relevant publication URLs and/or patent abstracts. If articles are not publicly available, then copies of up to five published manuscripts may be included in Attachment 2. Extra items will not be reviewed.

PI/
Admin

Letters of Organizational Support – Provide a letter (or letters, if applicable) signed by the Department Chair or appropriate organization official, confirming the laboratory space, equipment, and other resources available for the project.

PI/
Admin

Letters of Collaboration (if applicable) – Provide a signed letter from each collaborating individual or organization that will demonstrate that the PI has the support or resources necessary for the proposed work.

PI

Intellectual Property – Information can be found in the Code of Federal Regulations, Title 2, Part 200.315 (2 CFR 200.315), "Intangible Property."

- **Intellectual and Material Property Plan (if applicable):** Provide a plan for resolving intellectual and material property issues among participating organizations.
- **Commercialization Strategy (if applicable):** Describe the commercialization plan. The plan should include intellectual property, market size, financial analysis, strengths and weaknesses, barriers to the market, competitors, and management team. Discuss the significance of this development effort, when it can be anticipated, and the potential commercial use for the technology being developed.

PI/
Admin

Data and Research Resources Sharing Plan – Describe how data and resources generated during the performance of the project will be shared with the research community. Refer to the General Application Instructions, Appendix 2, Section K, for more information about the CDMRP expectations for making data and research resources publicly available.

N/A

Use of DoD Resources (if applicable)

PI/
Admin

Use of VA Resources (if applicable – ALWAYS IS APPLICABLE TO VA NPCs) – Provide a letter of support from the VA Facility Director(s) or individual designated by the VA Facility Director(s), such as the Associate Chief of Staff for Research and Development (ACOS/R&D) or Clinical Service Chief, confirming access to VA patients, resources, and/or VA research space.

PI

Attachment 3: Technical Abstract

Named "TechAbs.pdf"

2-page limit

Use only standard QWERTY characters

Do not include proprietary or confidential information.

PI

Attachment 4: Lay Abstract

Named: "LayAbs.pdf"

1-page limit

Graphics not allowed

Describe how the proposed project addresses at least one of the FY21 PRMRP Topic Areas. Include a comprehensive overview of the proposed research project that can be readily understood by readers without a background in science or medicine. Clearly describe the critical problem or question to be addressed and the ultimate applicability and impact of the research. Do not duplicate the technical abstract.

PI

Attachment 5: Statement of Work

Named "SOW.pdf"

3-page limit

The suggested SOW format and examples specific to different types of research projects are available on the eBRAP "Funding Opportunities & Forms" web page (<https://ebrap.org/eBRAP/public/Program.htm>).

Recommended strategies for assembling the SOW can be found at <https://ebrap.org/eBRAP/public/Program.htm>.

- For the FY22 PRMRP IIRA mechanism, refer to the "**Suggested SOW Strategy Generic Research**" document for guidance on preparing the SOW and use the blank SOW format titled "Suggested SOW Format". The SOW must be in PDF format prior to attaching.
- **Partnering PI Option: Both PIs must submit an identical copy of a jointly created SOW. The contributions of the Initiating PI and the Partnering PI should be noted for each task.**

The SOW should include a list of major tasks that support the proposed specific aims, followed by a series of subtasks related to the major tasks and milestones within the period of performance. The SOW should describe only the work for which funding is being requested by this application and, as applicable, should also:

- Include the name(s) of the key personnel and contact information for each study site/ subaward site.
- Indicate the number (and type, if applicable) of research subjects (animal or human) and/or human anatomical samples projected or required for each task and at each site. Refer to the General Application Instructions, Appendix 1, for additional information regarding regulatory requirements.
- If applicable, indicate timelines required for regulatory approvals relevant to animal or human subjects research such as IACUC or IRB, USAMRDC ACURO or HRPO.

PI

Attachment 6: Impact Statement

Named: "Impact.pdf"

1-page limit

Address a critical problem or question in at least one of the FY21 PRMRP Topic Areas.

- Described how project will make important scientific advances in the relevant field of research.
- Describe the short-term impact.

- Describe the long-term impact.

PI Attachment 7: Relevance to Military Health Statement

Named: "MilRel.pdf"

1-page limit

Describe how project is responsive to the healthcare needs of military Service Members, Veterans, and/or beneficiaries. Provide information about the incidence and/or prevalence of the disease or condition in the general population as well as in military Service Members, Veterans, and/or beneficiaries.

If active-duty military, military families, and/or Veteran population(s) or datasets will be used in the proposed research project, describe the population(s)/dataset(s) and the appropriateness of the population(s)/dataset(s) for the proposed study. If a non-military population will be used for the proposed research project, explain how the population simulates the targeted population (i.e., military Service Members, Veterans, and/or beneficiaries).

If applicable, show how the proposed research project aligns with DOD and/or VA areas of research interest. Provide a description of how the knowledge, information, products, or technologies gained from the research could be implemented in a dual-use.

PI Attachment 8: Partnership Statement – for Partnering PI Option

1-page limit

Describe the expertise of the Initiating and Partnering PIs and how each will bring different strengths to the proposed project. Describe how the PIs' unique expertise combined as a partnership will better address the research question, how the unique expertise that each PI brings to the project is critical for the research strategy and completion of the SOW, and why the work should be done together rather than through separate efforts. Outline the contribution and time commitment of each partner and how each will have equal intellectual input on the design, conduct, and analysis of the project. Describe how the PIs will manage the collaboration and workflow to optimize research efforts.

PI Attachment 9: Public Health Service (PHS) Inclusion Enrollment Report, if applicable (non-interventional clinical research studies only):

Upload as "PHS.pdf". Provide an anticipated enrollment table(s) with the proposed enrollment distributed on the basis of sex/gender, race, and/or ethnicity. Studies utilizing human biospecimens or datasets that cannot be linked to a specific individual, gender, ethnicity, or race are exempt from this requirement.

Admin Attachment 10: Representations (if applicable)

Named: "RequiredReps.pdf"

N/A Attachment 11: Suggested Collaborating DoD Military Facility Budget (if applicable)

PI Research & Related Personal Data - Complete form as instructed.

PI/Admin Research & Related Senior/Key Person Profile (Expanded)

- Attach PI Biographical Sketch "Biosketch_LastName.pdf" (5-page limit)
- Attach PI Previous/Current/Pending Support (no page limit) "Support_LastName.pdf"

Note new requirement for signed assurance from senior/key person on Support_LastName .pdfs:

The following statements assure:

- *I certify that the current and pending support provided here is current, accurate, and complete;*
- *I agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award;*
- *I have been made aware of these disclosure requirements as required under Section 223(a)(1) of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 (<https://www.govinfo.gov/content/pkg/PLAW-116publ283/pdf/PLAW-116publ283.pdf>).*
- *I am aware that false, fictitious, or fraudulent statements or claims may result in criminal, civil, or administrative penalties (218 USC 1001).*

- Attach Biographical Sketch (5-page limit)
"Biosketch_LastName.pdf" for each senior/key person
- Attach Previous/Current/Pending (no page limit)
"Support_LastName.pdf" for each senior/key person

PI/
Admin

Research & Related Budget - Attach budget Justification.

Named: "BudgetJustification.pdf"

No page limit

Initiating and Partnering PIs must have a separate budget and justification specific to their distinct portions of the effort that the applicant organization will submit as separate Grants.gov or eBRAP application packages. The Initiating PI should not include budget information for Partnering PI(s) even if they are located within the same organization. Refer to Section II.D.5, Funding Restrictions, for detailed information.

Admin

Project/Performance Site Location(s) Form - Complete form as instructed.

Admin

Research & Related Subaward Budget Attachment(s) Form (if applicable)

FORMATTING GUIDELINES

Font | Times New Roman | 12 point, not condensed Spacing | Single (no more than six lines per vertical inch)

Page Size | 8.5 x 11.0 inches Margins | 0.5 inches all directions | No headers, footers, or page numbers

Multimedia Objects | 15 seconds max | 10MB max | Photos JPEG only | Bit map and TIFF not allowed | Objects not allowed in technical and public abstracts Scanning Resolution | 100 to 150 dots per inch URLs | Only allowed as links to publications Attachment Size | 20 MB max

Signing Official Submission Review Checklist

PI Name:		Internal ID #:	
Title:			
Funder:		NIH-Defined Clinical Trial (Yes/No)	
<input type="checkbox"/> Prime <input type="checkbox"/> IncSub. <input type="checkbox"/> Other:	<input type="checkbox"/> New <input type="checkbox"/> Resub <input type="checkbox"/> Other:		

<u>Proposal Personnel</u>	<i>Required Internal Documents</i>						
Senior/Key Personnel	Salary Source	VA Letter <small>Contributed</small>	VA Letter <small>Paid *</small>	Univ Salary**	VA Paid SF50	NIH Only	
						SFI	TRN
Other Personnel							

[This is a good place for a link to instructions about what all of that above means.]

* Summary of required VA documentation.

** Summary of required university documentation.

Internal Documents

- Service Line Grant Review with PI Assurance optional
- RFA saved, FOA # with Clinical Trials: required
- Vendor vs. Subrecipient Checklist, or n/a not allowed
- Sam.gov results for Vendor/Subrecipient or n/a
- Subrecipient Documents or not applicable: **Non-US** SCF, signed
- SOW DB, justification Biosketches LOI/facepage

Quick List for SO Rev.:

___ Grant Review Form

___ Abstract/SOW

___ Budget

___ Budget Justification

___ Fac/Resources

___ PI Biosketch

___ VA Letters

___ SF50s

___ Outg: SCF, DB+just, SOW

___ Other: _____

SO Initials _____

Core Statements

[This is a reminder to check our template language has been used on admin components]

- Budget Justification (PI salary/contributed, non-SIBCR Staff, IDCs)
- Facilities & Resources (membership, administrative support)
- Biosketch (NPC membership, including year)
- SIRB Plan not applicable reliance exception request

Budget

- Modular Non-Modular
- Single purchase (items/srvces) ≥ Micropur. , ≥ \$250,000, or n/a
- Competitive procurement or Noncompetitive justification
- CRU/Core/Clin. Service use indicated yes no and/or in budget yes no

Return to _____ (GM) – Notes:

Outgoing Subaward Document Requests

[Revise as needed for situations; this is for SCO types subawards listed on prime proposals]

Dear XXXX,

This is a document request for the proposed subaward from SIBCR to your institution for the following project:

Project Title:

Prime PI:

FOA/RFA #:

Project Dates:

Proposed Subaward PI:

Here is the subaward document checklist:

- PHS 398 Face Page or Letter of Intent, signed by subrecipient's Authorized Official
- Subrecipient Commitment Form (blank version attached), signed by subrecipient's Authorized Official
- Statement of Work describing subrecipient's role in the project
- Biosketches for all Senior/Key Personnel with eRA Commons IDs (required for NIH proposals)
- Contact information for Senior/Key Personnel sufficient to complete SF424 contact page-
- Detailed Subaward Budget(s) on SF424 form - can send spreadsheets for initial draft(s)
- Narrative Budget Justification (can attach to budget as a PDF, but please also include Word document)
- Facilities and Resources with information specific to this grant proposal and SOW, including Scientific Environment statement
- Equipment list, if applicable
- Institutional Negotiated F&A Rate Agreement, if applicable
- Letter of Support, signed by subrecipient PI (if requested by SIBCR PI)

For deadlines, we need final versions with signatures by [5 business days before proposal is due]. We need to review/approve your draft budget by the week before that, by [10 business days], so a draft is needed before the [12 business days] to get that done. Sooner would certainly help us out if it's ready sooner. We also need draft SOW, biosketches, facilities/resources, and equipment by the [10 business day deadline].

Please let me know if you need any more details from me.

[GM signature WITH CONTACT DETAILS]

Notice of Award & New Award Checklist

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.

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

Key Data

Sponsoring Agency:

Award Title:

Fund #:

ORG #:

PI Name:

Amount Awarded:

Project Begin Date:

Project End Date:

IRB Protocol #:

IACUC Protocol #:

IBC Protocol #:

VA R&D Committee #:

Please be sure to read the award documents to learn the details of the terms and conditions that apply to you and 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, and publication/acknowledgement terms.

New Award Briefing

Please select one of the following dates/times:

Be sure the PI, grants manager, and any others regarding this award are in attendance. Executive director may wish to sit in.

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
2. Plan ahead if a budget revision or no-cost extension will be needed.
 - Budget change % allowable
 - 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.
 - Automatic carryforward - Carry forward must be requested

Post-Award Administration

1. Subcontracts and Consultants

This award includes subcontracts.

- Review subcontracting forms.
- Ensure Sub-agreement has been executed.
- Monitor subcontractor performance.

This award contains consultants.

- Review contracting procedures and forms.
- Coordinate financial payment agreement.

For both subcontracts and consulting agreements:

- PI will be asked to verify the invoices reflect work conducted for the period within the scope of work.
- Initiate new contract/subaward each year if a year-by-year agreement.
- Verify that scope of work has been completed and all deliverables met before approving final invoice.
- Ensure invoices are received before the final closeout.

2. Matching/Cost-Sharing

This award contains cost-sharing

- Review cost-sharing commitments in award/proposal.
- Review cost-sharing policy/procedures.
- Maintain documentation for cost-sharing.

Research Compliance Requirements

1. IRB/IACUC/IBC Requirements

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

IRB Protocol: Status: Date:

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

IACUC Protocol: Status: Date:

IBC: This project contains biohazard research. Institutional Biosafety Committee required.

IBC Protocol: Status: Date:

Submit and renew your protocols as required. Awardees are expected to meet all Research Compliance policies and adhere to requirements of Sponsor Scientific Officer.

VA R&D Committee approval is required before research may begin. VA R&D Committee approval #/date:

DOD Funding Requires 2nd Level ORP Review for human subjects (HRPO) and animal (ACURO) research

HRPO Required [Yes/No]	HRPO #:	HRPO Status:
ACURO Required [Yes/No]	ACURO #:	ACURO Status:

2. Export Control

Contains publication restrictions

3. 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
 - Establish due dates and for planning and preparation.
 - Review reports monthly at a minimum.
 - Contact your Grant Analyst for training and using reports.
3. Personnel
 - Hire personnel according to Human Resources policies.
 - Process payroll and time according to Payroll policies.
4. Effort Certifications
 - Review effort certification requirements for all relevant project participants.
 - Maintain appropriate documentation to support effort.
 - Certify effort as required.
5. Expenditures
 - Expenditures must be allocable, allowable and reasonable under grant.
 - Provide appropriate documentation and obtain required approvals.

Closeout

- Flag Project Expiration Notice 60 days prior to the end date of the award.
- Review the Project Management Closeout Checklist and initiate required actions for closeout.
- Ensure all proper expenses are handled 30 days prior to the end of the award to avoid audit issues.

Project/File Set-Up Checklist

PI: _____

Title: _____

Funder/Sponsor: _____

Proposal #: _____

 Federal Non-Federal

Account #: _____

 Prime Contribution Subaward

Initial Award Notification

Review application file for required docs:

 Application VA Review signed-off by PI Service Line and NPC. It indicates: Human subjects (IRB) Vertebrate Animals (IACUC) VA Core Services of Clinical Services over/above standard of care: _____ VA Letters for contributed effort, signed or N/A _____ PHS funding: or N/A SFI for required Investigators FCOITRN for required Investigators JIT-Congrats Email (send "Congratulations" email now if don't have on file) Send Accounting subawardee information for risk evaluation (if not completed at JIT) or N/A Outgoing Vendor Agreements/Subawards: or N/A Subrecipient/Vendor Determination (SCC) Subrecipient Commitment Form (SCF) Email SCC & SCF to Accounting with budget/award for risk assessment (stage v)

R&D Approval/Award Notice Terms

Yes or N/A

Date

_____ R&D Approval Memo

_____ IRB Approval Memo

_____ Stamped, Approved Consent Form or Waiver of Consent Consent Form in file per SOP

_____ Human Subjects Training up to date for all staff and faculty

_____ IACUC approval letter

_____ IACUC Side-by-side comparison confirmation (NIH only)

_____ ORP dual review completed (DoD- HRPO Humans & ACURO Vert. Animals)

_____ Clinical Services Reimbursement Agreement/Research Use Agreement

Services over and above standard of care

_____ Clinicaltrials.gov registration required for study as a whole

_____ Clinicaltrials.gov required by SIBCR as Responsible Party for study

*Registration required for **all clinical trials funded wholly or partially by NIH****proposed and initiated after Jan 2017, and other "applicable clinical trials": controlled**clinical investigations (not phase 1 clinical investigations) of drugs or biological**products subject to FDA regulation; or applicable trials of devices.*

_____ Award Notice

 Notable Award Notice terms? (Read for prior approvals, reporting, etc.)

Notes: _____

 Copy sent to PI with notable terms highlighted Copy sent to Finance/Accounting

PI NPC Member (If not, see New Member SOP)

PI/NPC internal agreement fully signed

Correspondence required by this checklist should be saved in grant file.

Outgoing Agreements Outgoing Agreements or N/A Sub / Vendor 1: _____ Sub / Vendor 2: _____ Sub / Vendor 3: _____ Sub / Vendor 4: _____ Sub / Vendor 5: _____See "Outgoing Subaward Set-Up Checklist" <----- *Reference to another checklist!* AP Personnel Agreements or N/A Senior/Key Personnel Salary 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ Staff Salary 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____ 8100 JPA VA/UW MOUF on file. Name: _____**File Set-up Activities and Notification Emails** PI (Award w/ notable terms highlighted, Progress Report Due Dates, publication language requirements, inform of account #) Accounting/Finance (Attach award, approved budget, R&DC approval, JPA/Sub plan, account #) HR (Forward Accounting email, explain new JPAs, new employees, EE changes, account #) Post-Award by PI file created Account # in file name JPA/Outgoing subaward folders if needed Shortcut to pre-award folder(s) Monitoring spreadsheet set-up <----- *Reference to another checklist!* Grant record completed**Sponsored Programs Internal Review**

_____ Initials

_____ Date

Notes/Comments: _____

BUDGET & EXPENSE REPORT

PI: Post-Award Researcher
Accounting ID: GH4-UP98
Award No.: R01AG09876
Inc. Subaward No.: TEL890

Start 1-Jul-2019
End 30-Jun-2023
Grant Dates: 1-Jul-2019 30-Jun-2023
Current Grant Year: 1-Jul-2021 30-Jun-2022
Expenses Reported through: 31-May-22
Indirect Cost Rate (budget): 30.0%

	Budget	Carry Forward	Total Available	Current Expenditures to 05/31/22	Encumbrances (see worksheets)	Total Expenditures (current + encumbered)	Budget Remaining	Percentage Remaining
Personnel								
NPC - Salary	100,000	-	100,000	73,845	5,879	79,724	20,276	20.3%
NPC - Benefits	35,000	-	35,000	25,847	2,093	27,940	7,060	20.2%
Personnel Agmts	135,000	-	135,000	53,496	6,582	60,078	74,922	55.5%
Total Personnel	270,000	-	270,000	153,188	14,553	167,741	102,259	37.9%
Supplies	23,000	-	23,000	5,623	-	5,623	17,377	75.6%
Subcontracts and Agreements	45,000	-	45,000	25,098	25,002	50,100	(5,100)	-11.3%
Equipment	-	-	-	-	-	-	-	0.0%
Subject Fees/Expenses	6,500	-	6,500	10,500	-	10,500	(4,000)	-61.5%
Other Exps.	-	-	-	14,000	14,900	28,900	(28,900)	0.0%
CORE charges	-	-	-	750	-	750	(750)	0.0%
Printing, Postage, Publications, Cor	1,500	-	1,500	2,000	-	2,000	(500)	-33.3%
Conferences, Meetings, Staff Dev.	1,000	-	1,000	967	-	967	33	3.3%
Telecommunications	-	-	-	-	-	-	-	0.0%
Travel	2,500	-	2,500	1,978	-	1,978	522	20.9%
Carry Forward (direct cost balance)	-	67,932	67,932	-	-	-	67,932	100.0%
Total Direct Cost	349,500	67,932	417,432	214,104	54,455	268,559	148,873	35.7%
Indirect Cost Base					29,453	<i>218,459</i>	<i>153,973</i>	
Indirect Costs	104,850	-	104,850	56,702	8,836	65,538	39,312	37.5%
TOTAL BUDGET	454,350	67,932	522,282	270,806	63,291	334,097	188,185	36.0%

NPC Staff	Fringe Rate: 35.60%					Cost/Month		Months	Encumbrance		
	Start Date	End Date	Salary	Effort	Fringe	Salary	Benefits	Remaining	Salary	Benefits	
Staff Member 1	6/1/2022	6/30/2022	65,000	35%	35.6%	1,896	675	1.0	1,833	652	
Staff Member 2	6/1/2022	6/30/2022	85,000	55%	35.6%	3,896	1,387	1.0	3,766	1,341	
	6/1/2022	6/30/2022		0%	35.6%	-	-	1.0	-	-	
	6/1/2022	6/30/2022		0%	35.6%	-	-	1.0	-	-	
	6/1/2022	6/30/2022		0%	35.6%	-	-	1.0	-	-	
									5%	280	100 % Buffer
									5,879	2,093	

Personnel Agmt	Salary/Benefits Obligated	Admin Obligation	Invoiced (Salary/Benefits)	Invoiced (Admin)	DC Remaining Encumbrance	IDC Remaining Encumbrance
University JPAs						
Post-Award Researcher	34,587	3,459	30,045	3,005	4,542	454
-	-	-	-	-	-	-
-	-	-	-	-	-	-
-	-	-	-	-	-	-
VA MOUs						
Staff Member 3	25,491		23,451		2,040	
-	-		-		-	
-	-		-		-	
-	-		-		-	
Total	60,078	3,459	53,496	3,005	6,582	454

Monitoring				
% JPA/MOU Budget Remaining	% Time Remaining	Expected Invoice Amount	Receiving Invoices	Notes
Monthly				
13%	8%	2,882	Yes	
	8%	-		
	8%	-		
	8%	-		
Quarterly				
8%	8%	6,372.75	Yes	
	8%	-		
	8%	-		
	8%	-		

INVOICED TO DATE DIFFERENCE FROM MIP TOTAL EXPS (should be \$0 or very close) \$ -

Other Outgoing Agreements	Direct Cost Obligated	Indirect Cost Obligation	Total Costs Obligated	Invoiced to Date	Encumbrance Remaining (Total Cost)
Subawards					
Small Outgoing Sub	39,000	11,100	50,100	25,098	25,002
-	-	-	-	-	-
-	-	-	-	-	-
-	-	-	-	-	-
-	-	-	-	-	-
Total	39,000	11,100	50,100	25,098	25,002

Monitoring				
% SCO Budget Remaining	% Time Remaining	Expected Invoice Amount	Receiving Invoices	Notes
Monthly				
64%	8%	3,250	No	
	8%	-		
	8%	-		
	8%	-		
	8%	-		

INVOICED TO DATE DIFFERENCE FROM MIP TOTAL EXPS (should be \$0 or very close): \$ -

Vendor Agreements	Direct Cost Obligated	Indirect Cost Obligation	Total Costs Obligated	Invoiced to Date	Encumbrance Remaining (Total Cost)
Large Vendor Agreement	28,900		28,900	14,000	14,900
-	-		-	-	-
-	-		-	-	-
-	-		-	-	-
Total	28,900	-	28,900	14,000	14,900

Monitoring				
% SCO Budget Remaining	% Time Remaining	Expected Invoice Amount	Receiving Invoices	Notes
52%	8%	615	Not recently	
	8%	-		
	8%	-		
	8%	-		

INVOICED TO DATE DIFFERENCE FROM MIP TOTAL EXPS (should be \$0 or very close): \$ -

GRANT MONITORING CHECKLIST

PI Name Post-Award Researcher
 Account # GH4-UP98

Budget Period

Start: 1-Jul-21
 End: 30-Jun-22
 Report Date: 31-May-22

Accounting Budget Report Monitoring

Remaining (as a percent)		> than 25%?
Time	8%	No
Overall budget*	49%	Yes
Personnel/NPC	26%	Yes
Personnel/JPAs	60%	Yes
Personnel/Total	43%	Yes
Subaward budget	44%	Yes

* Contact PI if number is greater than 25% in the last quarter of the budget period or less than 10% at any point.

Outgoing Agreement Monitoring

Agreement Name	Type of Agreement	Remaining % Funds	Remaining % Time	Receiving Invoices?	Notes
<u>Post-Award Researcher</u>	<u>JPA</u>	<u>13%</u>	<u>8%</u>	<u>Yes</u>	
<u>Staff Member 3</u>	<u>MOU</u>	<u>8%</u>	<u>8%</u>	<u>Yes</u>	
<u>Small Outgoing Sub</u>	<u>Sub</u>	<u>64%</u>	<u>8%</u>	<u>No</u>	<u>Inquire</u>
<u>Large Vendor Agreement</u>	<u>Vendor</u>	<u>52%</u>	<u>8%</u>	<u>Not recently</u>	<u>Inquire</u>

Personnel Requiring Prior Approval to Adjust Effort

Individuals who require prior approval for effort reductions above (%): 24%

Senior/Key Personnel Effort		VA Paid	VA Unpaid	Univ.	Other	Total	OK?	Committed
Name	Effort Source							
<u>Post-Award Research</u>		<u>0%</u>	<u>4%</u>	<u>10%</u>	<u>0%</u>	<u>14%</u>	<u>TRUE</u>	<u>15%</u>
<u>Other Co-I 1</u>		<u>0%</u>	<u>20%</u>	<u>0%</u>	<u>0%</u>	<u>20%</u>	<u>TRUE</u>	<u>20%</u>
<u>Staff Member 1</u>		<u>0%</u>	<u>0%</u>	<u>0%</u>	<u>25%</u>	<u>25%</u>	<u>TRUE</u>	<u>25%</u>

Report/Deliverable Deadlines

Next Deliverable Due	Type:	Notes:
<u>6/15/2022</u>	<u>PRSCI - RPPR</u>	<u>PI must initiate in eRAC</u>
Table of Reporting Deadlines		
Date	Type:	Notes:
<u>6/15/2019</u>	<u>PRSCI - RPPR</u>	<u>Completed 5/25/19</u>
<u>6/15/2020</u>	<u>PRSCI - RPPR</u>	<u>Completed 6/15/20</u>
<u>6/15/2021</u>	<u>PRSCI - RPPR</u>	<u>Completed 7/1/21</u>
<u>6/15/2022</u>	<u>PRSCI - RPPR</u>	
<u>3/31/2023</u>	<u>End/NCE Reminder</u>	
<u>10/28/2023</u>	<u>Final Reporting</u>	

Prior Approvals

Notable P.A.s Req'd: Standard NIH SNAP prior approvals required

Next Prior Approval Due	Type:	Completed:	Date
<u>5/1/2023</u>	<u>NCE Request</u>	<u>Not yet</u>	
Table of Prior Approvals			
Date	Type:	Notes:	
<u>5/1/2023</u>	<u>NCE Request</u>	<u>Expect will want NCE</u>	
<u>11/17/2021</u>	<u>Sr/Key Personnel</u>	<u>Staff Member #1 replaced Co-I 2</u>	
<u>11/17/2020</u>	<u>Equipment Add'n</u>	<u>Addition of microscope over 25k</u>	

Other Notes/Action Items

Working on RPPR with PI now - note more than 25% carry-forward. Planning on NCE after 2023. May add a subaward in final year to complete transliteration.

Monitoring Sign-Off						
	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6
Initials	<u>rew</u>	<u>rew</u>	<u>rew</u>	<u>rew</u>	<u>rew</u>	<u>rew</u>
Date	<u>8/7/2021</u>	<u>#####</u>	<u>10/31/2021</u>	<u>11/17/2021</u>	<u>12/23/2021</u>	<u>1/6/2022</u>
	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12
	<u>rew</u>	<u>rew</u>	<u>rew</u>	<u>rew</u>	<u>rew</u>	
	<u>2/3/2022</u>	<u>#####</u>	<u>4/30/2022</u>	<u>5/1/2022</u>	<u>6/10/2022</u>	