

FUNDAMENTALS OF GRANT MANAGEMENT
 FACULTY MEMBER & STAFF REVIEW FOR NEW AWARDS

Date: _____ **Attendees:** _____

PI(s)/Co-PI(s)/PD(s): _____

Funder/Program: _____

Project Title: _____

Award Date: _____ **Award Amount:** _____ **Index(Account #):** _____

Award/Subaward Number: _____ **Project Period:** _____

Prime Institution (if other than F&M): _____

Subrecipient Institution (if applicable): _____

Federal/Other Funding Agency Requirements	YES	NO	N/A		
1. The Notice of Award and the terms and conditions of the award were reviewed with the PI(s)/Co-PI(s)/PD(s)					
2. Does the funder have award management guidelines (ex.. NSF has the PAPPG)? If YES , then point the PI to where the guidelines can be found.					
3. Does the funder require the use of an electronic grants management portal, such as eRA Commons, NSF Fastlane, Research.gov (NSF reporting), Pubmed (NIH publications)? If YES , discuss with the PI(s)/Co-PI(s)/PD(s)					
4. Does the award amount differ from the proposed budget? If YES , then the OCG staff member in attendance and the Senior Accounting Analyst (SAA) will review the budget revisions with the PI to ensure the grant account is setup properly.					
5. Does the funder allow pre-award costs ? If YES , review the funder's policy					
6. Does the funder allow budget reallocations? If YES , review funder's policy and discuss the institutional procedure for reallocating grant budget.					
7. Review the funder's or the prime recipient's reporting and/or deliverables requirements per the terms and conditions of proposed timeline. Suggest the PI create a calendar event as a reminder to submit reports on the following due dates:					
8. Does the funder allow a time (no-cost) extension? If YES , review funder's requirements for requesting no cost extensions .					
9. Is this a federal award? If YES , review the Fly America Act requirements. Federal travelers are required by 49 U.S.C. 40118, commonly referred to as the "Fly America Act," to use U.S. air carrier service for all air travel and cargo transportation services funded by the U.S. government. One exception to this requirement is transportation provided under a bilateral or multilateral air transport agreement. Visit http://www.gsa.gov/portal/content/103191 for more information					
10. Point the PI to the Academic Policies webpage. <table style="width: 100%; border: none;"> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> • Copyright & Fair Use Policy • Export Controls Policy • Financial Conflict of Interest Policy • Governing Principles of Research • Human Subjects Policy </td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> • Intellectual Property Policy • NSF Funded Grantees Drug-Free Workplace Policy • Research Integrity Policy • Research Use of Animals Policy </td> </tr> </table>	<ul style="list-style-type: none"> • Copyright & Fair Use Policy • Export Controls Policy • Financial Conflict of Interest Policy • Governing Principles of Research • Human Subjects Policy 	<ul style="list-style-type: none"> • Intellectual Property Policy • NSF Funded Grantees Drug-Free Workplace Policy • Research Integrity Policy • Research Use of Animals Policy 			
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Federal/Other Funding Agency Requirements	YES	NO	N/A
<p>11. Is this a federal award? If YES, review Responsible Conduct of Research (RCR) training requirements per F&M's Research Integrity Policy.</p> <p>NOTE: The individual faculty member conducting research, in conjunction with her/his department, will have the primary responsibility to provide training in ethics and responsible conduct of research (RCR) for her or his students or postdoctoral researchers. Franklin & Marshall College offers RCR training through the CITI Program module. All research-active faculty should complete this training program, which covers the relevant core areas of RCR.</p>			
<p>12. Is this an NIH award? If YES, all investigators funded by the NIH are required to submit or have submitted for them to the 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.</p>			
<p>13. Does the grant include a subaward to another institution? If YES, review requirements for PI to monitor activity on any subawards relative to proposed effort and timeline, and to receive reports as needed from the subrecipient.</p>			
<p>14. Each PI and co-PI listed on the project must update their financial disclosure form annually within the period of the grant. Please complete and sign the attached Significant Financial Disclosure form. Refer PI to Financial Conflict of Interest Policy. Complete attached form.</p>			
Institutional Procedures/Requirements			
<p>15. Does the PI hold multiple awards? If YES, 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.</p>			
<p>16. Suggest PI use an Excel spreadsheet for shadow accounting of award.</p>			
<p>17. Is this a federal award? If YES, review the Procurement Policy for Federal Grant-Funded Purchases with the PI.</p> <p>For purchases greater than or equal to \$3,000:</p> <ul style="list-style-type: none"> • A minimum of three (3) bids are required. Each vendor must be provided with the same precise and accurate description of the specifications and technical requirements for the item or service. Web price lists and catalogue listings can be considered bids. • Buyers must complete a Vendor Selection Form. • Review allowable vs. unallowable cost guidelines. 			
<p>18. Review the process for entering requisitions.</p>			
<p>19. Review institutional procedures for reimbursement of expenditures. The reimbursement forms are available on Inside F&M-->Accounts Payable--> Forms. DO NOT use the Provost's Office's FRPDF form for reimbursement of grant expenditures. The department chair MUST approve the PI's reimbursements from the grant.</p>			
<p>20. Does the award include funds to employ non-F&M personnel on the award? If YES, please consult with Maryann Otruba Gusst, ext. 4848 about recruitment, vetting of candidates, and annual employee performance review requirements.</p>			
<p>21. Does the budget includes funds for "Participant Support Costs?" If YES, please use the following line item codes: Travel - 7288; Subsistence - 7298; Stipends -7327</p>			
<p>22. Does the budget includes funds to pay faculty grant salary? If YES, the PI should complete a Faculty Salary Request form. Please contact Molly Dellinger, ext. 4517 to request the form.</p>			

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YES NO N/A

23. Each PI or Co-PI receiving grant salary must document percent-of-effort expended on the award and will be asked to do so at the mid-year check-in or when appropriate.	
24. Does the budget include a subaward or contract ? If YES , then a requisition/purchase order should be created to reserve the funds using account code 7328 .	
25. Does the budget include funds to hire a consultant or pay for professional services? If YES , point PI to the Contracts Guidance Policy . The Associate Vice President for Finance (AVPF) has been authorized to execute contracts on behalf of the College. All contracts should be sent to the AVPF for review and approval. Standard College contract templates can be found at https://www.fandm.edu/finance-administration/purchasing-and-contracts	
26. Does the funder require a match or in-kind contribution? If YES , review institutional and funder requirements to document the match.	
27. As needed, review/train PI/Co-PI's in use of Banner, how to run budget queries and Cognos reports, and how to use other institutional tools/software.	
NOTES:	

By signing below I acknowledge that I've received instruction in the Fundamentals of Grant Management and that I understand my role and responsibility as the PI listed in the Notice of Award.

PI's Signature:

Date:

F&M point(s)-of-contact, for various grant management activities:

Molly Dellinger, ext. 4517
Grants Management Coordinator, OCG

- Rebudgeting/reallocation (along with Andrea Sherman)
- No cost extensions
- Setting up user accounts in eRA Commons, NSF, and other agency portals
- Subaward agreements/contracts (along with Tiffany Forte)
- Annual/Final/Other Technical Reports
- Summer/Academic Year Salary Requests

Andrea Sherman, ext. 4220
Senior Account Analyst, OCG & Business Office

- Grant accounting
- Budget queries
- Cognos reports
- Rebudgeting/reallocation (along with Molly Dellinger)
- Miscalculated transactions
- Financial reporting

FRANKLIN & MARSHALL COLLEGE
SIGNIFICANT FINANCIAL INTEREST DISCLOSURE FORM

Before completing please read the [Financial Conflict of Interest Policy](#). **This disclosure must be updated whenever applying for funding or at least annually, and whenever new reportable significant financial interests are acquired.**

Definitions

Significant Financial Interest: refers to anything of monetary value, including but not limited to: Remuneration for services exceeding \$5,000 in the twelve months prior to the disclosure (e.g., speaking or consulting fees, paid authorship); Equity interest exceeding \$5,000 in the twelve months prior to disclosure (e.g., stock, stock options, other ownership instruments); Gains from intellectual property rights (e.g., patents, copyrights, royalties); Travel reimbursed by other than a government agency, college or university, or academic medical institution. Significant Financial Interest does **not** include: remuneration from Franklin & Marshall College; Income from investment instruments (e.g., retirement account, mutual funds) in which the Investigator does not control investment decisions; Income from speaking or teaching engagements sponsored by any government agency, college or university, or academic medical institution; income from service on a review panel or advisory committee affiliated with any government agency, college or university, or academic medical institution.

Investigator: refers to all personnel, regardless of title or position, responsible for the design, conduct, or reporting of research under the terms of a federal grant or contract, or the subaward to a federal grant or contract. All Investigators are required to disclose any of their own Significant Financial Interests **or those of their spouses, partners, or dependent children.**

Please complete the information, sign and date below. After you have electronic signed the form, it will go to the Associate Dean of the Faculty who will review and sign it if no additional information is needed. A fully signed copy will then be emailed to you.

PI(s)/PD(s)/co-PI(s):	Submit Date (if pending):
Sponsor/Program:	Award Date (if applicable):
Project Title:	
<i>I DO NOT have any significant financial interest to disclose at this time.</i>	
<i>I DO have significant financial interest to disclose at this time and the total amount I've received from all sources below was:</i>	
TYPE OF ORGANIZATION:	
<input type="checkbox"/> pharmaceutical firm <input type="checkbox"/> biotech firm <input type="checkbox"/> engineering firm <input type="checkbox"/> software firm <input type="checkbox"/> other	
NATURE OF REMUNERATION	
<input type="checkbox"/> salary <input type="checkbox"/> royalties <input type="checkbox"/> consulting <input type="checkbox"/> licensing <input type="checkbox"/> honoraria <input type="checkbox"/> reimbursed travel expenses <input type="checkbox"/> other	
TYPES OF HOLDING	
<input type="checkbox"/> stocks/stock options <input type="checkbox"/> patents/copyrights <input type="checkbox"/> other <input type="checkbox"/> estimated value \$	
EQUITY INTEREST	
Enterprise or Entity:	Description:
REIMBURSED OR SPONSORED TRAVEL EXPENSES within the last 12 months	
Purpose of the trip: Sponsor:	Destination: airfare other transportation (limousine, taxi, etc.) meals hotel /other accommodation other
Type of payment: gift income Value \$ (If the organization above provided the reimbursement "in kind," please estimate)	
SIGNATURES	
Investigator's Signature:	Date:
Associate Dean of the Faculty Signature	Date:

*** Please note: a separate form is required for each enterprise or entity in which a significant financial interest is identified. Supporting documents may be required.**