

Principal Investigator Award Management Checklist

This list is not exhaustive and may include other responsibilities specific to the sponsor/project.

During Award Acceptance

- ☐ **Reply** to any requests for confirmation/clarification from ERI's C&G team and the Office of Research
- ☐ **Communicate** any urgent project needs to C&G team.
- ☐ **Begin planning** for award activities and expenditures, including how to fulfill any committed cost share contributions.
- ☐ **Take care of** compliance approvals:
 - ☐ Finalize Human Subjects, Animal Subjects, or Stem Cell approvals.
 - ☐ Submit Conflict of Interest disclosure, if required.

During Award Period of Performance

At the start of your project:

- ☐ Review the award terms, email from the C&G team, and approved budget
- ☐ Reach out to the appropriate team to initiate any spending (e.g. payroll for hiring, etc.)

During the entire project period of performance:

- ☐ Complete research project/activities described in award.
- ☐ Communicate as needed with your scientific counterpart at sponsoring agency.

Financial Management:

- ☐ Review Faculty PI Dashboard and transactions regularly (monthly).
- ☐ Reach out to proposals@eri.ucsb.edu to coordinate any actions requiring sponsor approval. C&G administrator will need to route to OR for review and approval.
 - ☐ Common prior approvals required: moving funds out of participant support, certain equipment purchases, rebudgeting between cost categories when a threshold has been set, etc.

Monthly/Quarterly/Annual Reporting:

- ☐ PIs are delegated authority to submit progress reports. Please copy or forward the submission of any reports to proposals@eri.ucsb.edu.

Cost Share *(if applicable)*:

- ☐ Track all time spent on project that will be used to fulfill committed costshare. If volunteer time is committed, collect timecards or documentation of effort.
- ☐ Review and sign Project Contribution Reports (sent regularly by C&G administrator)

Subawards *(if applicable)*:

- ☐ Approve Part Bs in a timely manner.
- ☐ Monitor sub award progress and reporting.
- ☐ Approve invoices in Gateway in a timely manner.
- ☐ Notify C&G right away if there are subrecipient performance issues.

When your award is coming to an end:

- ☐ Notify C&G team well in advance of end date if an NCE will be needed (for subawardees as well).
- ☐ Be aware that certain late expenditures are not allowed (e.g. equipment purchases within last 6 months of period of performance).
- ☐ Note: We will not transfer payroll or other cost transfers onto an award after the close date. Ensure all expenses are on the correct account prior to the end date.

Closeout: After End Date

- ☐ Notify C&G if there will be expenditures after the end date. Review final expenditures and balance in a timely manner.
- ☐ Final Report Submission: PIs are delegated authority to submit final reports. Copy or forward the submission of any reports to your C&G administrator.