



Principal Investigator \_\_\_\_\_  
 Co-PIs, Key personnel \_\_\_\_\_  
 Budget Manager \_\_\_\_\_  
 Sponsor \_\_\_\_\_  
 Sponsor Type \_\_\_\_\_  
 Prime Institution \_\_\_\_\_  
 Project Title \_\_\_\_\_

SU Activity String: \_\_\_\_\_  
 Project # \_\_\_\_\_  
 Sponsor Award ID# \_\_\_\_\_  
 Project Period \_\_\_\_\_  
 Total Amount Expected \_\_\_\_\_  
 Current Amount Received \_\_\_\_\_

Is this award for research? \_\_\_\_\_

Type of Research \_\_\_\_\_

**Congratulations on your new award!**

**Terms and Conditions of the Award**

As Principal Investigator, you are responsible for ensuring that all grant funded activities comply with the terms and conditions of the award and sponsor and university policies.

**Financial Management**

It is your responsibility to reconcile your financial transactions to ensure accuracy. The Controller's Office provides several tools to assist:

- *Power BI*: SU financial reporting system based on fiscal year
- *Projects Accounting*: Grant specific financial reporting system based on project period and includes a budget to spending comparison
- *Quarterly Financial Reports*: these reports will be sent for your review and approval from the Grant Accountant

For more information, policies and processes regarding financial management, please visit our website: <https://www.seattleu.edu/sponsored-projects/manage/budget-management/>- *Power BI and Projects Accounting are available at the my.seattleu.edu portal, "Financial Management" tab*

**Purchases**

All purchases must be in alignment with your approved project budget, in accordance with SU's procurement policies, and through ProcureSU. Purchases should take place within the timeframe proposed to the sponsor.

All purchases must be allowable by the sponsor and SU, allocable to this specific process and reasonable.

All spending should conclude well ahead of the project's end date to ensure all purchases are used by the end of the project period.

Dollar Amount	Bidding Requirements	Bidding Process
\$0 - \$3,000	Verbal quote required	If pricing is considered reasonable, there is no requirement to solicit a competitive quote/proposal.
\$3,001 - \$10,000	1 written quote required	Include documentation from at least 1 qualified source for supplies or services with the requisition.
\$10,001 - \$50,000	2 written quotes required	Obtain a quote/proposal from at least 2 qualified sources for supplies or services. Include documentation from both sources with the requisition.
\$50,001 - \$150,000	3 written quotes required	Obtain a quote/proposal from at least 3 qualified sources for supplies or services. Include documentation from both sources with the requisition.
Over \$150,000	RFP/RFQ competitive proposals	The University will evaluate the proposals received, and will award the contract to the responsible firm whose proposal is most advantageous to the program, with service levels, price and other factors considered.
Sole Source	Sole Source Justification form (SSJ-1)	If only one source is qualified to provide the goods and services, it is an emergency purchase or required by a federal awarding agency, the purchase may be made without competition.

**Student Employees**

Please use the Student Employment Action Form (SEAF) available on the Student Financial Services website to hire your student employee(s).

This form will need to be signed by your project's Activity Manager and you should be named as the Primary Supervisor. Below is what was budgeted for student employees:

**Salary Support**

Please work with your budget manager for payroll assignments to be set-up accordingly. Summer stipend requests should be coordinated with your budget manager in June. Faculty Stipend requests are created by budget managers, sent to OSP for review and approval and then forwarded onto Faculty Services for execution.



<b>Award Salary &amp; Effort Details</b>				
Year	Name	AY Effort	Summer effort	Summer \$ budgeted

**Describe planned or anticipated leaves (sabbaticals, etc.) and timeframes:**

**Effort Certification**

Under federal regulation and University policy, the Principal Investigator and all project personnel are required to certify effort on each federally-funded project. OSP will distribute effort reports on a bi-annual (fall and spring) basis to each project personnel.

**Subawards**

Each subawardee will undergo a risk assessment based on their subaward commitment form. The risk assessment is performed by OSP and the Grant Accountant and will determine if they are low, moderate or high risk. A subrecipient monitoring plan will be based on the risk level and individual factors.

The PI is responsible for ensuring all subwardees have fulfilled their scope or work and must approve all invoices prior to payment.

<b>Subawardee Details</b>				
Subardee Name	Period of Performance	Total amount	Execution Date	Risk level, if available

**Consultants & Independent Contractors**

All consultants and independent contractors funded in part or whole by a sponsored project must have an Independent Contractor Agreement in place prior to starting work. The PI is responsible for providing the scope of work, rate of pay, and total contract value to the OSP. The OSP will provide an institutionally-approved agreement tailored for this project for the contractor's signature. The OSP will facilitate any negotiations to the agreement and final institutional sign-off.

<b>Consultants &amp; Independent Contractors Details</b>			
Contractor Name	Period of Performance	Total amount	Execution Date

**Prior Approvals**

All changes to a project's budget, scope of work, personnel or no-cost extension requests require that an Institutional Prior Approval Form be completed, approved and submitted to OSP prior to implementing changes. The OSP will review in accordance with the sponsor's guidelines and will submit for approval when required by the sponsor.

**Sponsor prior approval requirements:**

**Reporting Requirements**

You are responsible for the reporting requirements of this award as outlined by the sponsor. The Grant Accountant will provide the financial reports for all required financial reports. The OSP will send Outlook Calendar notifications to remind you six weeks in advance of your upcoming report deadline for all deadlines noted below.

<b>Report deadlines</b>			
Deadline	Type of Report	Reporting Period	Internal Approval Required

**Who should receive report reminders?**

**Responsible Conduct of Research**



All personnel working on an NSF or NIH-funded award are required to complete responsible conduct of research training. The PI is responsible for ensuring all personnel have completed this training prior to beginning work on the project. All other researchers are highly encouraged to complete the training. SU subscribes to the CITI Program ([www.citiprogram.org](http://www.citiprogram.org)) to fulfill this requirement.

#### Human Subjects - Institutional Review Board (IRB)

All projects involving the collection of information from living individuals or using their private records must consult with IRB about submission requirements prior to beginning the study. Please contact the IRB administrator at: [irb@seattleu.edu](mailto:irb@seattleu.edu)

The PI is responsible for sending a copy of the IRB determination letter to the OSP once received.

#### Chemical Hygiene/Biosafety/Animal Protections

The use of hazardous materials, recombinant DNA, vertebrate animals, and other biosafety concerns must be managed in coordination with Sheila Lockwood, Chemical Hygiene and Biosafety Officer. The OSP will connect you with Sheila to begin discussing the management plan for this project.

#### Export Controls

Because your PTF Addendum C: Export Control Checklist indicated export restrictions, the Director of OSP will contact you to develop an export control mitigation plan to ensure compliance with federal export control laws and regulations.

#### NSF & NIH Sexual Harassment Policy

Seattle University is required to notify NSF of any finding/determination regarding a PI or any co-PI (1) that demonstrates a violation of university policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault; and/or (2) if the PI or any co-PI is placed on administrative leave or if any administrative action has been imposed on the PI or any co-PI by the university relating to any finding/determination or an investigation of an alleged violation of university policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.

Seattle University must also report to the NIH if a principal investigator or other key personnel named on an NIH grant award is no longer able to fulfill their obligations to conduct research because they have been removed from the workplace or from a position to carry out the NIH project for sexual harassment.

The PI or co-PI on an NSF or senior/key personnel on an NIH award is required to notify the Office of Institutional Equity if placed on administrative leave or if any administrative action has been imposed by the university relating to any finding/determination or an investigation of an alleged violation of university policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.

#### Award Close out

Formally closing out a sponsored project is the critical final step of the project's lifecycle. It includes PI's completion of the project, filing of non-financial reports, submission of final financial reports and invoices, final payment requests, submission of project deliverables, and meeting any other terms and conditions of the sponsored agreement. Most awards have strict deadlines for completion of closeout activities. Failure to complete closeout within the deadline can result in non-payment of the final amount due or may affect the ability to obtain another award from the sponsor. SU's close out process:

- The OSP will provide a close out form at the end of your project period.
- The PI is responsible for completing the top of the close out form and returning to OSP within 60 days for processing.

#### ScholarWorks

Details of the grant, including but not limited to, sponsor information, terms, grant dollars awarded and project abstracts will be uploaded to the Seattle University ScholarWorks Repository. This information will be online and available to the Seattle University community as well as the general public. No confidential information, such as salaries, will be included. Requests for complete or partial redaction of any grant information from the ScholarWorks Repository should be made below:

#### Sharing your proposal with SU Colleagues

Would you be willing to allow the OSP to share your funded proposal (with any sensitive information redacted, particularly the salary or personnel info) with your SU faculty colleagues to assist them with their proposal writing? Please note any specific sections you would like to NOT be shared.

Yes

On a case-by-case basis

No

#### Publicity of Award



OSP will celebrate your award by alerting your Dean, including it in our next OSP Observer (quarterly newsletter), highlighting on our "News & Awards" webpage, and in our annual report, per sponsor publicity guidelines. Please make any restriction notes or preferences below. Additionally, may we notify:

SU Marcom

Campus Announcement

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**Notes:**

I acknowledge that I have reviewed the terms and conditions of the award, the budget, and my responsibilities as the Principal Investigator:

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**Principal Investigator Signature**

**Date**