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Post-Award checklist

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| **POST -AWARD PROCESSES - CONTRACTS, AGREEMENTS, MANAGEMENT & REPORTING**  **Quick Reference Guide** |
| |  |  | | --- | --- | | **MAY TAKE 3 – 24 MONTHS**  post-award | * **Main Contract** * **Collaboration Agreement** * **Variations** | |
| * MAIN CONTRACT * Provisional Award 🡺 Final Award   **THIS STAGE MAY TAKE 1-6 MONTHS**   * **Provisional award letter** * If provisional award notification sent directly to CI (rather than R&D) forward all provisional award documentation to R&D ([funding@UHBW.nhs.uk](mailto:funding@UHBW.nhs.uk)) * Meet with R&D to discuss if necessary * Reviewers’ comments   + Respond to reviewers’ comments (with input from collaborators if required) * Finance queries - R&D / Finance will respond to finance queries * IP queries / checks - R&D will respond to IP queries * **Receive Final Award Letter & Draft Main Contract** |

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| * Final Award letter 🡺 Fully-executed Main Contract   **THIS STAGE MAY TAKE 1 WEEK – 2 MONTHS**   * **Final Award Letter & Draft Main Contract** * If sent directly to CI (rather than R&D), please forward to R&D ([funding@UHBW.nhs.uk](mailto:funding@UHBW.nhs.uk)) * R&D will initiate Collaboration Agreement processes * **Contract / Finance meeting / discussion (may be virtual)** * R&D will arrange meeting with CI, R&D Research Accountant, Research Management Facilitator, other appropriate members of study team   + discuss phasing of payment schedule with R&D Research Accountant   + Ensure appropriate contractual agreements in place e.g. Site Agreement(s), Pharmacy Technical Agreements; collaboration agreements   + Discuss staff recruitment   + Discuss collaborating institutions * Start UHBW recruitment processes as early as possible * CI will submit sponsorship request to R&D (RMFs) (Quote EDGE Local Reference ID in request) * **Main Contract revisions** * R&D will request revisions from funder if necessary and return payment schedule * **Receive Main Contract from NIHR** * Forward Main Contract to R&D (funding@UHBW.nhs.uk) if necessary * R&D will check, sign and return Main Contract to funder * Fully-executed contract will be received and filed in R&D * Submit approval/s request to R&D (RMFs) * **On receipt of Start Certificate via email from NIHR**   (and once Ethics approval received, if required), Start Certificate signed by CI & forwarded to R&D   * Start Certificate signed by R&D and returned to NIHR |
| * COLLABORATION AGREEMENT * **Draft Collaboration Agreement**   **THIS STAGE MAY TAKE 1-6+ MONTHS (AFTER RECEIPT OF FINAL AWARD LETTER & DRAFT MAIN CONTRACT)**   * **On receipt of Final Award Letter & Draft Main Contract, R&D decides on type of agreement/s required e.g. collaboration, subcontract, framework** * R&D notifies UHBW Contract Adviser (Lynne Austin, [Lynneaustin64@aol.com](mailto:Lynneaustin64@aol.com) (LA)) that collaboration / other agreement needed and forwards:   + Grant application   + Main Contract   + PoCs for all collaborators * **LA generates template agreement** * **Check draft Collaboration Agreement (or other) details (draft information already gathered at pre-award stage):**   + Payment details for each party   + Staff list & contact details for contract   + Combined Financial Summary   + Lead Party’s representative for the purpose of receiving reports and other notices   + Collaborating Party’s/Parties’ representative/s for the purpose of receiving reports and other notices (name, position, address) checked   + Information for Schedule 1: Co-Investigators (name & organisation)   + Payment schedule (totals for organisations & financial years)   + Detailed breakdown of funding and WTE for each organisation if applicable * Forward template agreement to all PoCs for review (with deadline for comments) |
| * **Draft Agreement Revisions**   **THIS STAGE MAY TAKE 1-6+ MONTHS AFTER SENDING DRAFT AGREEMENT TO OTHER ORGANISATIONS**   * + Receive comments back from other organisations   + Respond to other organisations’ comments   + Revise agreement if necessary, and return to collaborators   + Send agreed copy to R&D (EG & CN)   + Email out final copy of Collaboration Agreement to collaborators for signature with instructions (each will return xx signed pages) |
| * **Fully-Executed Agreement**   **THIS STAGE MAY TAKE 1+ MONTHS AFTER SENDING FINAL COPY OUT FOR SIGNATURE**   * + Fully executed Collaboration Agreement received by R&D   + Collaboration Agreement scanned & saved in R: Active studies folder   + PDF (& wet ink if requested) signature pages sent out to collaborators   + Original filed in Study folder |
| * EXTENSION REQUESTS & VARIATIONS TO CONTRACT * **Cost and no-cost extensions and variations may require contract amendments** * Please discuss any required changes to the Main Contract with R&D ([funding@UHBW.nhs.uk](mailto:funding@UHBW.nhs.uk)). These may include:   + Change to completion date   + Change to approved cost   + Amendments to research plan   + Change profile of expenditure * **Extension /Variation** * Discuss with R&D * Submit Extension /Variation Request to funder * Formal extension / variation   + signed & sent by funder (VtC)   + signed by UHBW   + returned to funder * **Amendments to Collaboration Agreement/s** * If amendments to the agreement/s are required, discuss with R&D * Amendments sent to collaborator/s for signature * Signed amendments returned to UHBW |

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| * Checklist for CIs * **Main Contract**  |  |  |  |  | | --- | --- | --- | --- | | Provisional award letter forwarded to R&D | Reviewers’ comments - input from collaborators required | Reviewers’ comments - input from collaborators received | Responded to reviewers’ comments | |  |  |  |  | | Final Award Letter & Draft Main Contract received & forwarded to R&D | Sponsorship request submitted to R&D | Approval/s request submitted to R&D | Start Certificate signed & forwarded to R&D | |  |  |  |  | | UHBWrecruitment processes started | Contract / collaboration variations discussed with R&D |  |  | |  |  |  |  | |

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| * Checklist for R&D  |  |  | | --- | --- | | * **MAIN CONTRACT** | | | * **Provisional Award** 🡺 **Final Award** | | | 1. Finance queries forwarded to R&D Finance ([Elizabeth.Wilkinson@UHBW.nhs.uk](mailto:Elizabeth.Wilkinson@UHBW.nhs.uk)) |  | | 1. Input / agreement from other organisations’ finance (if necessary) (R&D Finance) |  | | 1. IP queries / checks |  | | 1. Confirm funding total |  | | 1. Agree / write wording for Schedule C |  | | 1. Agree / write wording for Schedule D |  | | * **Respond to funder queries** |  | |
| |  |  | | --- | --- | | * **Final Award Letter & Draft Main Contract** | | | 1. Forward payment schedule to R&D Finance |  | | 1. Contract checked |  | | * + Check wording for Schedule C |  | | * + Check wording for Schedule D |  | | * + Check dates on draft contract |  | | 1. Payment schedule discussed with CI |  | | 1. Contract / finance meeting / discussion |  | | * + Recruitment discussed |  | | * + Collaborating institutions discussed |  | | * + Payment schedule |  | | 1. Revisions requested from funder if necessary (R&D Finance) |  | | 1. Payment schedule returned to NIHR |  | |
| |  |  | | --- | --- | | * **Main Contract received by R&D** | | | 1. Main Contract checked |  | | 1. Main Contract signed |  | | 1. signed Main Contract returned to funder |  | |
| |  |  | | --- | --- | | * **Fully-executed contract received** | | | 1. Scan & save electronically |  | | 1. Make up new study file and file original copy |  | | 1. Notify CI that Collaboration agreement fully-executed |  | | 1. Signed Start Certificate received from CI |  | | 1. Check Ethics approval received (if required) |  | | 1. Start Certificate signed |  | | 1. Start Certificate returned to NIHR |  | |
| |  |  |  |  | | --- | --- | --- | --- | | * **COLLABORATION / OTHER AGREEMENT/S** | | | | | * **Agreement/s required** | | | | |  | **Required** | **Details** | | | * + Main contract |  |  | | | * + Collaboration agreement |  |  | | | * + Subcontract/s |  |  | | | * + Material Transfer Agreement (MTA) |  |  | | | * + Framework Agreement |  |  | | | * + Site Agreement |  |  | | | * + Data-sharing Agreement |  |  | | | * + Non-Disclosure Agreement |  |  | | | * + Service Level Agreement |  |  | | | * + Letter of Intent to enter into a Collaboration Agreement |  |  | | | * + Partnership Agreement |  |  | | | * [**Collaboration Agreement**](#_COLLABORATION_AGREEMENT) **process initiated** | | |  | | 1. UHBW Contract Adviser notified that agreement/s required: | | |  | | * + Grant application   + Main Contract   + PoCs for all collaborators | | |  | |
| |  |  |  |  | | --- | --- | --- | --- | | * **VARIATIONS** | | | | | * **Main Contract** |  | * **Collaboration / Other Agreements** |  | | 1. Extension /Variation Request submitted to funder |  | 1. Amendments discussed with R&D |  | | 1. Formal extension / variation signed & sent by funder (VtC) |  | 1. Amendments sent to collaborator/s for signature |  | | * + signed by UHBW |  | 1. Signed amendments returned to R&D |  | | * + Returned to funder |  |  |  | |