GD\_003

Post-Award checklist

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| **POST -AWARD PROCESSES - CONTRACTS, AGREEMENTS, MANAGEMENT & REPORTING****Quick Reference Guide** |
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| **MAY TAKE 3 – 24 MONTHS**post-award | * **Main Contract**
* **Collaboration Agreement**
* **Variations**
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| * 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)
* 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)
* 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
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| * 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 (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)
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| * **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). 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**

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| 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

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| * **MAIN CONTRACT**
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| * **Provisional Award** 🡺 **Final Award**
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| 1. Finance queries forwarded to R&D Finance (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**
 | [ ]  |

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| * **Final Award Letter & Draft Main Contract**
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| 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
 | [ ]  |

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| * **Main Contract received by R&D**
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| 1. Main Contract checked
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| 1. Main Contract signed
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| 1. signed Main Contract returned to funder
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| * **Fully-executed contract received**
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| 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
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| 1. Check Ethics approval received (if required)
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| 1. Start Certificate signed
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| 1. Start Certificate returned to NIHR
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| * **COLLABORATION / OTHER AGREEMENT/S**
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| * **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:
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| * + Grant application
	+ Main Contract
	+ PoCs for all collaborators
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| * **VARIATIONS**
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| * **Main Contract**
 |  | * **Collaboration / Other Agreements**
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| 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
 | [ ]  |  |  |

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