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| --- | --- | --- | --- |
| **Unit:** |  | **Unit head:** |  |
| **Assessor(s):** |  | **Date:** |  |

| **General**  ([Sponsored Programs – Principal Investigator GUIDE](http://www.montana.edu/research/osp/grants/piman.html)) | **Yes**  **No**  **NA** | **Process Description (who, when, how)** |
| --- | --- | --- |
| Sponsored programs administration authority and responsibility are clearly assigned. |  |  |
| 1. Record retention requirements for sponsored programs are met (MSU expects faculty members to retain research data for a period of three years). |  |  |

| **Pre-Award** | **Yes**  **No**  **NA** | **Process Description (who, when, how)** |
| --- | --- | --- |
| Sponsored programs proposals are properly approved. |  |  |
| 1. Commitments of effort are reasonable (e.g., not over 100%, joint contracts between universities) and are met within the flexibility allowed by the sponsor. |  |  |

| **Post-Award** | **Yes**  **No**  **NA** | **Process Description (who, when, how)** |
| --- | --- | --- |
| Compensation for personal services is set and changed in compliance with applicable requirements (e.g., amount limitations). |  |  |
| 1. Time and effort reporting is accurate, complete, timely and properly certified. |  |  |
| 1. Cost transfers are minimized, properly approved, completed in a timely manner and reasonable in amount and frequency. |  |  |
| 1. Cost sharing and matching funds are provided, tracked and timely reported in compliance with applicable agreements and requirements. |  |  |
| 1. Subaward monitoring system is in place (e.g., performance, budget). |  |  |
| 1. Budget compliance monitoring system is in place. |  |  |
| 1. Costs charged to sponsored programs are incurred during the program period. |  |  |
| 1. Costs charged to sponsored programs are allowable. |  |  |
| 1. Program income is correctly determined, recorded and used in accordance with program requirements. |  |  |
| 1. Financial reports are complete, accurate (e.g., reconciled to accounting records) and reviewed, approved and submitted in a proper and timely manner. |  |  |
| 1. Program technical performance and reporting monitoring systems are in place. |  |  |
| 1. Equipment and property management and reporting systems are in place. |  |  |
| 1. Research misconduct allegations are addressed in compliance with applicable requirements. |  |  |