**College of Arts & Sciences  
Department & Principal Investigator Checklist   
Early Sponsored Program Terminations**

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| --- | --- | --- | --- |
| Project Title: |  | | |
| Workday Award #: | AWD- | | |
| Principal Investigator (PI): |  | | |
| Department or Unit: |  | | |
| Prior End Date: |  | New End Date (per termination notice): |  |

This is a suggested order of actions to take. Wherever possible, actions should be taken in parallel.

1. **Initiate award modification process:**
   * **Create a SAGE Award MOD**
     + **If OSP first receives the notification:** OSP will create a SAGE Award MOD and notify the PI. The PI (or department staff) should complete the required components of the MOD, and route to OSP.
     + **If the PI first receives the notification:** The PI (or department staff) should create a SAGE Award MOD, route to OSP, and email the notification letter to OSP [osp@uw.edu](mailto:osp@uw.edu) with the MOD#.
     + [Guidance on Federal Administration Research Policy – Early Terminations](https://www.washington.edu/research/or/guidance-on-new-admin-policy/#early-termination)
     + [Instructions for submitting a Schedule Change > Early Termination MOD](https://www.washington.edu/research/myresearch-lifecycle/manage/award-changes/#early-termination)
   * **Notify the Dean’s Office**:Email the notification letter to Xiaosong Li (Associate Dean for Research, xsli@uw.edu) and Gretchen Davis Richey (Director of Research, [gsd@uw.edu](mailto:gsd@uw.edu)) in the CAS Research Deans Office with the SAGE MOD# and any supporting documentation.
2. **Alert research and support teams**
   * Notify your Chair and Administrator.
   * Contact relevant grant managers and fiscal analysts to solicit their assistance with termination planning and administrative actions.
   * Schedule an early brief meeting with the research team (researchers and trainees) to let personnel know about the early termination, that plans are being made, and that more information will be forthcoming soon.
3. **Stop expenditures effective the New End Date (per termination notice):**
   * Contact your department's payroll representative to update the costing allocations for personnel paid under the award, effective from the New End Date. Ensure that the new costing allocations are assigned to an allowable department resource.
   * Contact personnel responsible for procuring goods and services on the grant and direct them to stop. Any in-progress transactions that have a purchase date after the New End Date should be cancelled. If cancellation is not possible, ensure that the costs are assigned or transferred to an allowable department resource.
   * For animal studies and research with human subjects: Identify short-term department/unit back stop funding to maintain critical care for animals and to mitigate immediate risks to human participants. Follow reporting requirements available at:
     + [Office of Animal Welfare](https://sites.uw.edu/oawrss/potential-stop-work-order-instructions/)
     + [Human Subjects Division](https://www.washington.edu/research/announcements/hsd-swo/)
     + [Clinical Trials Office](https://clinicaltrials.uwmedicine.org/our-team/)
4. **Prioritize Invoicing:**
   * Check Award Line Information page in [Award Portal](https://finance.uw.edu/gca/award-portal) to ensure draws/invoices are on track per terms of agreement. Contact GCA via an Award Portal ticket if any delays are noticed.
   * For accounting adjustments or deficit transfers that may need to be completed for closing and final invoicing:
     + Work with CAS AST for [accounting adjustments](https://admin-support.artsci.washington.edu/form/accounting/correct-entries). Add Cara Ball and Linda Nelson as Watchers on the request form.
     + Work with CAS AST for [grant closeout](https://admin-support.artsci.washington.edu/form/grants) actions. Add Cara Ball and Linda Nelson as Watchers on the request form
     + **Points of Contact:** Cara Ball, AST Associate Director, ([ballc2@uw.edu](mailto:ballc2@uw.edu)) and cc Linda Nelson (lindaros@uw.edu)

1. **After MOD Has Been Processed**

* **GCA will update End Date and any award tasks associated with the Early Termination.** Work with [GCA](https://finance.uw.edu/gca/node/1720) via Award Portal to clear any outstanding issues (e.g., cost share/backup documentation/fabrication) to allow for the timely completion of closeout deliverables.

1. **Contact Subaward Sites and Subcontractors, if applicable:**
   * OSP will send the official university notification of termination to subaward recipients as soon as possible, and before receiving the request to modify the subaward in SAGE.
     + Please submit a request to modify the subaward(s) in SAGE Subawards Module for the early termination and email [ospsubs@uw.edu](mailto:ospsubs@uw.edu) to alert OSP to this action as early as possible. The subject line should include “Early Termination and the MOD#, and then the sponsor and PI last name”.
     + Ensure OSP has required final information to issue a formal amendment.  See the Subawards section of [Guidance on Federal Administration Research Policy](https://www.washington.edu/research/or/guidance-on-new-admin-policy/#subawards).
   * If subaward or subaward modification issuance from UW is still pending in OSP, email [ospsubs@uw.edu](mailto:ospsubs@uw.edu) to alert OSP.
   * In addition to OSP’s email, the PI should direct collaborators at subaward sites, and any suppliers or vendors under contract paid by the award, to stop all work effective the New End Date.
   * Ask subaward sites to prioritize invoicing the university for all work completed up to the New End Date.
2. **Human Resources Actions: Staff, Students, Faculty and Academic Personnel:**
   * Evaluate whether the duration of the loss in funding is temporary, unknown or permanent.
   * Work with your payroll manager to identify the list of personnel paid from this award.
   * **All Employees Other than Student Employees:** Review options for managing salary and wage impacts listed on the website below and work with your [HR consultant](https://hr.uw.edu/contact-us/hr-consultant-list/).
     + [Managing salary and wage impacts due to loss of funding](https://hr.uw.edu/fedpolicy/layoffs-reduction-furlough/managing-salary-and-wage-impacts-due-to-loss-of-funding/)
   * **Student Employees:** Identify departmental and/or PI funding sources and update payroll sources to alternative funding via Workday Costing Allocations before the next payroll deadline if possible. Hourly student employees may have their scheduled weekly hours reduced.
     + [Payroll and Workday HCM Deadline Calendar](https://employeehelp.workday.uw.edu/workday-payroll-calendar/)
   * If payroll expenditures post to the award after the new effective end date, process Workday payroll accounting adjustments (PAAs) to move those costs to alternative allowable department/PI funds sources.

1. **Review Appeal Information, if applicable**
   * Review the termination notice for information related to the option (if any) to appeal the agency’s decision to end this project early. Consider whether or not the PI is interested in appealing and whether the department supports that decision. If so, OSP is responsible for submitting the appeal, and they will work with the PI in developing the justification.
     + **Appeal Points of Contact:**
       - Xiaosong Li, Associate Dean for Research, CAS ([xsli@uw.edu](mailto:xsli@uw.edu))   
         Gretchen Davis Richey, Director of Research, CAS ([gsd@uw.edu](mailto:gsd@uw.edu))
       - OSP: Contact OSP Director Carol Rhodes at [carhodes@uw.edu](mailto:carhodes@uw.edu) with Award number, PI name and request to coordinate on the appeal.
2. **Wrap up any final reporting and other closeout steps that may be required by the sponsor.**