

Compliance Confirmation Checklist
(ver 1.1; 16 Oct 2024)

Principal Investigator

Senior Key Personnel

Sponsor

Grant Number/Title

Due Date

Award Date

Compliance Confirmed by:

FCOI

RECR

Mentor Training

Mentor Plan

SIWE

IRB

IACUC

Confirmed by:

Policy	Description	NSF	PHS/NIH	Other
Financial Conflict of Interest (FCOI)	To identify financial interests that may interfere is contracted duties; Due annually in October; updated w/in 30 days, as necessary	All Senior Key Personnel; Updated as necessary with award submission; prior to accessing funds; as new potential conflicts arise	All Senior Key Personnel; Updated as necessary with award submission; prior to accessing funds; as new potential conflicts arise	All Senior Key Personnel; Updated as necessary with award submission; prior to accessing funds; as new potential conflicts arise
RECR	Completed for all grants classified as “research” by Senior/Key Personnel identified in grant; (**see <i>Determination of Research Status checklist</i>)	At the time of submission	Collected prior to submission; required Prior to accessing funds	Collected prior to submission; required Prior to accessing funds
Mentor Training	Completed by Senior Key Personnel on all funding involving students and/or Post-doctoral Fellows	At the time of submission	Collected prior to submission; required Prior to accessing funds	Collected prior to submission; required Prior to accessing funds
Mentor Plan	Outlining how students or post-doctoral fellows will be supported	At the time of submission	Collected prior to submission; required Prior to accessing funds	Collected prior to submission; required Prior to accessing funds
Safe and Inclusive Work Environment for Offsite Research (SIWE)	Outlining processes and points of contact for personnel involved in sponsored activities occurring away from UNC, whether for field/off-site research or travel	At the time of submission	Collected prior to submission; required Prior to accessing funds	Collected prior to submission; required Prior to accessing funds
IRB	For all studies involving human subjects	Prior to accessing funds	Just In Time (JIT)	As defined by the sponsor or prior to accessing funds
IACUC	For all studies involving animal subjects	Prior to accessing funds	Just In Time (JIT)	As defined by the sponsor or prior to accessing funds