Grants Pre-Award Services
Brown Bag Luncheon Series

Finance Research Staff
College of Arts & Sciences
Date: Thursday, June 28, 2012
Presenters: Kay Gilstrap and Julie Stoverink
Special Guests from OSP: Jill Borland, Natasha Stark, and Lillian Winfrey
Expectations for Today:

- Discussions of:
  - Proposals
  - Proposal Processes
  - IPAS Forms
  - IPAS forms processes

- Participation of everyone in the discussions
Proposals

- **OSP Policy:** Proposals should be received in the OSP office 5 working days prior to the due date. Final/complete package should be submitted to OSP 2 working days prior to the due date.

- **COAS policy:** Proposals should be submitted to G&C Officer in Suite 620 6 working days prior to the due date.
Why is review important?

- In College:
  - Salary rates: of all personnel
  - Cost Share: how much is being committed and from which accounts
  - Buy-out: rate, allowable in solicitation
  - Space: If additional space needed, Dean’s Office must review and discuss
  - Collaboration with another college: IDC split agreement attached
  - F&A Waiver: appropriately attached, justification
  - Research Compliance: IACUC, IRB, International participants/sponsor, etc.
Why is Review Important?

- In OSP
  - Solicitation
  - Budget
  - Format
  - University commitment
  - Final signature
  - Proposal is submitted from GSU – not the PI
And the Challenge is:

The bus is driven by the PI!
## Timeliness of Proposal Submissions by Department FY2012

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<tr>
<th>Department</th>
<th>Delinquent Count</th>
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<th>Total Count</th>
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<td>189</td>
<td>41%</td>
<td>272</td>
<td>59%</td>
<td>461</td>
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</table>
Discussion

- Receiving the Proposal:
  - What do you receive?
  - When do you typically receive it?
  - Who completed the docs?
  - How do you receive it?

- Best Practices – Note: discussion notes included at the end of this presentation
For Departments without G&C Officers

- College provides same service as described in slide 4.
- If information is received well in advance, can also:
  - Provide general assistance/guidance according to guidelines
  - Create budget
  - Input/upload data in systems
  - Preparation of forms
Contracts

- Different from proposals:
  - Most are received “after the fact” (i.e., no routed proposal).
  - OSP has 10 days to review
  - If necessary, forwarded to Legal after OSP review
  - Negotiations begin after review – usually takes the most time
    - Many contain terms GSU cannot agree to
  - Are still routed through College and to OSP officer
    - Officer will forward to Contracts Officer for review
    - Once negotiations are completed – Contracts Officer returns executed agreement to OSP Officer for set-up/finalization
IPAS Forms

• Process in Department
  • Who prepares the forms?
  • When do you receive the information/documents?
  • What kind of review do you perform?

• Discussion: Best Practices

• Note: discussion notes included at the end of this presentation
IPAS Forms

• Process in College
  • Review
    • Sponsor Solicitation/Guidelines
    • Proposal
    • Greensheet with Award Documents
    • Prior account activity
  • Importance:
    • Restrictions in solicitation
    • What was proposed
    • What was awarded
    • Additional restrictions

• Process in OSP
IPAS Form: Specifics

- No Cost Extension
  - To be used for *any* no cost extension request
  - Attach any approvals from sponsor
    - System print-out (FastLane, eCommons, nSpires, etc.)
    - Email from PD/PO/TC*
      - NOTE: Final approval is from the authorized official – rarely PD/PO/TC*
  - Audit proof justification

* PD=Project Director, PO=Program Officer, TC=Technical Contact
IPAS Form: Specifics

- **Pre-Award Requests**
  - Most Federal awards contain a “90 days prior to award” clause. Specifically, it allows allowable expenditures incurred 90 days prior to the start date to be charged to the award.
  - On the IPAS form, the Pre-Award function should only be used to request approval of expenditures which occurred prior to the start date of the award. This function applies only to existing awards.
IPAS Form Specifics: Pre-Award (continued)

- **Notes:**
  - In general, only allowable for federal grants – check first
  - Budget information must be included (categories)
  - Pre-Award requests are for any charges prior to the start date when the speedtype number has been assigned
  - “Effective Date” should be the date of the first charges within the 90 days
  - A copy of the latest spectrum report showing category balances should be included
IPAS Form Specifics:

- **Advance Account Requests**
  - Used when documentation from the sponsor is provided stating the project has been awarded but an official award has not been received
  - Only up to 25% of the first year of direct costs may be requested
  - No Sub-Awards can be requested on an Advance Account Request
  - Budget information & justification to be included (categories)
  - Include any documentation from the sponsor regarding the expected award
IPAS Form Specifics: Advance Account (continued)

- “Effective Date”: First date funds are expected to be charged
- “Anticipated Date of Award”: Date funds are expected to arrive from the sponsor
- “Total Costs”: Total amount requested for this action
- “Justification”: Audit proof
IPAS Form Specifics:

- **RISK TO THE DEPARTMENTS:** If start date is delayed or sponsor does not approve/award: 
  department is responsible for covering expenditures made during that time period.
IPAS Form Specifics:

- Rebudgeting:
  - A budget within categories must be provided (a spreadsheet may be attached)*
  - The amounts in the initial award should be entered in the “Original” column
  - Audit proof justifications
  - In general, up to 25% of the total value of the award may be rebudgeted within existing categories
  - Some of the categories that cannot be changed without prior approval from the sponsor
    - Participant Support/Trainee Costs
    - Sub-Awards when there is a change in the Scope of Work

* G&C Officers in the College will provide a 3-column spreadsheet. (Original, Current, Requested)
Helpful Links:

- **URSA Proposal Page:**
  - [http://www.gsu.edu/research/proposal_development.html](http://www.gsu.edu/research/proposal_development.html)

- **NSF Fastlane:**
  - [https://www.fastlane.nsf.gov/index.jsp](https://www.fastlane.nsf.gov/index.jsp)

- **NSF Data Management Plan:**

- **Grants.gov link:**
  - [http://grants.gov/](http://grants.gov/)
Thank you!
Best Practices suggested at Brown Bag session on June 28, 2012

- Email or meet with faculty members in your dept. every 2-3 months and ask:
  - Are you planning to submit any proposals in the next 3 months. If yes,
    - Who is the sponsor?
    - Can you provide a copy of the solicitation or the solicitation number?
  - Are you planning to have Co-PIs? If yes, who?
  - Are you planning to include sub-awards? If yes, who?
  - What is the due date?
Best Practices - continued

• For faculty members with current grants
  • Attach a note requesting they let you know if they are applying to something new.

• Add the policy statement to the signature line on your email. (Proposals are due to the College of Arts & Sciences office 6 business days prior to the sponsor deadline. The OSP deadline is 5 business days prior to the sponsor deadline. Deadline for completed proposals/packets to OSP: 2 business days prior to sponsor deadline.)
Best Practices - continued

- Explain services available to faculty from the College Grants & Contracts Officers.
- Share positive experiences with faculty.
Comments from OSP:

- The person contacted by OSP with questions, etc. regarding proposals is the contact person listed on the proposal routing form.
- Some of the OSP Officers forward submission confirmation to the contact person listed on the form and the PI. Will include College contact if aware who it is.
- New Task List sent to Departments:
  - To let us know what is still in the queue
  - Please do not email but call if you need something processed right away.
  - Please call if something is not on the list and should be
Comments from OSP:

- If they know the department is waiting on a greensheet to take care of business practices, please let them know and they will email the speedtype number before the greensheet is generated.
- Email requests for IPAS functions cannot be processed without an IPAS form.
- IPAS forms are to be submitted through the normal route (through the College) and then to OSP, not RFS.
- Also use the IPAS form for other administrative changes such as change in PI. This serves as confirmation of approval by PI, Chair, and College of any administrative changes.
Comments from OSP:

- Can request a copy of old documentation retained by OSP if copies were not retained in the department/college.
- 2nd No Cost Extension – The norm is for OSP to contact the sponsor to request it. However, dependent upon the relationship the PI has with the PD/PO/TC, they will contact. A copy of the justification or approval needs to be attached to the IPAS form.