

# College of Agriculture and Life Sciences (CALS) Business Operations

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## New Pre-Award Setup Standard Operating Procedures

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**CBO-C&G-402 | New Pre-Award Setup**

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**1. PURPOSE**

1.1. This SOP describes the process by which a new pre-award account should be setup.

1. The University has policies which allow CALS CBO departments/units to request the setup of a project account prior to the issuance of an award and/or agreement.

**2. CBO GUIDELINES**

2.1. Occasionally it may be necessary to establish a project ID (account number) before a sponsored agreement is finalized. When assured that a sponsored agreement is reasonably expected to materialize, a pre-award project ID number can be established for the purposes of beginning the process of recruitment of project employees, ordering of specialized equipment and supplies, and the like in preparation for the start of the project.

**3. ASSOCIATED SYSTEMS/FORMS**

3.1. Systems

1. RADAR

3.2. Forms

1. [BA-148 Form \(CALs version\) - Pre-Award or Segment Request Form](#): Used by the PI/Department to request the pre-award account.

## 4. ROLES AND RESPONSIBILITIES

Relevant Parties	Roles and Responsibilities
<i>Department</i>	
Principal Investigator (PI)	Responsible for completing the BA-148 form and attaching correspondence received from the sponsor that indicates eminent funding.
Department Head	Responsible for reviewing and signing the BA-148 form.
<i>CALS CBO</i>	
Director of Research Administration, Pre-Award and Post-Award Manager	The Director of Research Administration is responsible for reviewing and approving the BA-148 form and attachments. Pre-Award and Post-Award Managers should also review the form and its attachments. Responsible for requesting the pre-award project in RADAR.
Pre Award Consultant (PreAC)	Responsible for assisting the PI in the completion of the BA-148 form and reviewing it for completeness and reasonableness.
<i>University</i>	
SPARCS Assistant Director, Operations	Responsible for monitoring the pre-award account requests and assigning them to SPARCS negotiators accordingly.
Sponsored Programs & Regulatory Compliance (SPARCS)	Responsible for receiving the request and compiling it for set-up by University Contracts & Grants. If agreement is under negotiation/assigned a SPARCS negotiator, the negotiator reviews & signs-off on the request.
University Contracts & Grants (C&G)	Responsible for receiving the request packet and setting up the project in the system
<i>External</i>	
Sponsors	Responsible for providing the confirmation that funding is eminent or an unexecuted agreement or award document denoting funding with performance period and funded amount.

## 5. PROCEDURE

### 5.1. Requesting Pre-Award Project Setup

1. The PI requests the pre-award project, via completion of the BA-148 form, based upon one or more of the following items: discussion with CALS Contracts & Grants, receipt of unexecuted award, communication with Sponsor, and/or discussion with SPARCS negotiator.
  - a) As part of the form, the spending cap is indicated along with acknowledgement that PI and Department Head understand that should a sponsored agreement not materialize, any expenditures you make against the pre-award project ID number will be the responsibility of the department.

- b) Any and all correspondence and relevant documentation received from the sponsor is attached to the form.
2. The PI will then provide the completed form with both PI and Department Head signature to the PreAC for their review.
3. The PreAC will confirm that the form is fully completed and that the necessary documentation to justify the request has been provided.
4. The PreAC will then give the form to the Director of Research Administration for final sign-off.
  - a) The Director of Research Administration will review the form while taking into consideration the reasonableness of the request and inherent risk.
    - For agreements, review the RADAR records for progress on negotiation, any restrictions denoted in uploaded forms in regards to pre-award spending, and any other relevant information.
5. The signed form is then added to the appropriate RADAR record, by the Pre-Award or Post-Award Manager, who then completes the electronic Pre-Award Request form (within RADAR) which routes electronically to SPARCS.
6. Upon SPARCS' receipt of the request for a pre-award project, SPARCS processing staff will print it along with any relevant correspondence uploaded by the college that indicates eminent funding from the sponsor.
  - a) Please note, at this point, the Assistant Director, Operations in SPARCS monitors these requests and assigns them accordingly.
7. The packet is then provided to the assigned SPARCS negotiator for review & inputting into RADAR.
  - a) Negotiator will review the correspondence and the request and note on the e-mail that they have reviewed and find everything in order by initialing or signing the document.
  - b) Negotiator will enter a pre-award transaction in RADAR and print the notice placing it as the first sheet in the entire package.
8. The packet with RADAR pre-award transaction print out is then provided to University C&G for creation of the project.
9. Once the project is created the PI will receive a system generated notification providing the Pre-Award project ID number. Expenses can now be charged against the ledger 5 project.

## **6. REFERENCES**

1. Abbreviations and Definitions- <https://cals.ncsu.edu/intranet/cals-business-operations/abbreviations-and-definitions/>
2. Pre-Award Project (ledger 5) Request: <https://research.ncsu.edu/sparcs/policies-and-procedures/forms/forms-pre-award/>

**7. REVISION LOG**

Date	Version	Nature Of Change	Author
09/04/2018	Draft 1.0	Initial Document	