

CALS Contracts & Grants Pre-Award Policy 20 & 5

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What are the benefits to CALS faculty & staff?

- To allow **PIs to set their own deadlines**, on or before the sponsor deadline.
- To make possible for CALS' Pre-Award office to more strategically manage workload and better serve faculty through **budget preparation and coordination of sub-award paperwork**.
- To clarify CALS' proposal preparation and submission procedures in order to make **the process more consistent, straightforward, and fair**.

Why are we putting this policy in place?

- **To define the roles of and mutual expectations for PIs and Pre-Award Consultants** during the proposal development and submission process.
- CALS' Pre-Award serves all 12 CALS departments, five Centers and NC Agricultural Foundation.
- **In response to the new University policy requiring more than 24 hours** in order to review and sign-off on proposals. [SPARCS Timely Proposal Submission Policy](#)
- **To afford our proposals the best opportunity for funding**, as our experience has shown proposals submitted closer to deadlines have a greater potential for errors and mistakes.

What proposals fall under this policy?

- **All proposals that are required to be submitted through PINS**, are subject to the new policy.
- **Any exception to this policy will be made in writing as part of the Request for Proposals**, e.g. NC Sweet Potato proposals aggregated by NCARS.
- If the issuance of the RFA/Program Announcement **does not afford 20** business days' notice, please **include all relevant communication** in the PINS record, as these proposals will be **handled on a case-by-case basis**.

Key Points of the 20 & 5 Policy

- Principal Investigator **sets the proposal deadline**
- The “**20**” refers to days prior to the PI’s designated deadline and requires that the **PINS, with just the RFA, is initiated**
- This starts the process of the CALS Pre-Award Consultant reaching out to the PI to **discuss timeline including preparation & review of:**
 - **Budget**
 - **Budget justification**
 - **Subcontract proposal documents**
- The “**5**” refers to days prior to the PI’s designated deadline and **documents & budgets are final**, so proposal can be finalized

Background

- **Over 6 months of discussions, revisions and reworks**
- Discussions with **CALS Research Committee**, **NCARS** and C&G Staff
- Policy draft shared with:
 - CALS Research Committee
 - Department Heads during **DDD Meeting** in January
- Overview of key points shared with **Business Partners** during the January Meeting

Levels of Service – Based upon PI's Deadline

- **Green Zone: *By 12:00pm 20 Business days*** prior to PI's deadline
 - Wide range of Pre-Award support services including budget preparation & subcontract coordination
- **Yellow Zone: *After 12:00pm 20 Business days*** prior to PI's deadline
 - Limited Pre-Award support services
- Please note, **once in a green or yellow zone, if a PI is unable to meet green/yellow zone deadlines, the proposal will move to the Red Zone**

Levels of Service – Based upon PI's Deadline

- **Red Zone: Within 5 Business days of PI's deadline**
 - **No guarantee** proposal will be submitted
 - **Proposal assembled based upon documents received from PI**
 - **No review** prior to submission
 - **PI/Department takes full financial and programmatic responsibility of the final proposal submitted** including any audit/non-compliance issues that may arise from lack of a thorough review, such as unallowable costs, budget shortfalls, mathematical errors, etc.

Timeline of Implementation

- **Implementation of Policy begins February 1st 2019**
 - CALS Pre-Award Consultants will work with PIs to transition into the policy
 - Policy not yet in effect
- **Policy is Effective on March 1st 2019**
 - Level of service will be in effect; including the green, yellow, and red zones for all PINS records

Key Takeaways: CALS C&G Pre-Award Policy-20 & 5

Set your own deadline

Initiate PINS with the RFA

by 12:00 p.m. 20 business days

prior to the PI's designated deadline

Communicate early and often about proposals

Thank you for helping us implement this policy.