CALS Contracts & Grants Pre-Award Policy – Twenty & Five

Implementation begins February 1, 2019, with the Policy becoming effective March 1, 2019

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 SPARCS 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.

What is CALS' Twenty & Five Policy?

The policy describes the level of service for proposal support a PI can expect under each of three possible scenarios. The policy institutes **three service zones based upon how many business days, in advance of the PI denoted proposal deadline, the PINS record is initiated by the PI**. In the case where NC State is a sub-awardee, the deadline is based on when the sub-award package is due to the Prime/Lead Institution, not the final sponsor deadline. The standard business hours for the CALS Contracts & Grants Office are 8:00am-5:00pm, Monday through Friday. 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**.

Green Zone → **20 Business days** prior to PI's deadline→Wide range of Pre-Award support services including budget preparation & sub-award coordination

Yellow Zone → **Within 20 Business days** of the PI's deadline→Limited Pre-Award support services

Red Zone → **Within 5 Business days** of PI's deadline→No guarantee proposal will be submitted & proposal assembled based upon documents received from PI.

Green Zone Procedures and Services → Proposal entered into PINS **by 12:00 p.m. 20 Business days or more before PI's deadline denoted in PINS.** *Pre-Award prepares budget/budget justification & coordinates sub-award documents.*	
→ **By 12:00 p.m. 20 business days** or more prior to PI's deadline denoted in PINS	
PI	**Initiates and routes PINS record → Complete PINS record as well as possible and upload Solicitation (RFA, BAA, FOA, etc.)** and any other relevant documents (draft budget, supplemental instructions, etc).
→ **Within 3 Business days** of PINS record routing	
Pre-Award Consultant	Reach out to PI to discuss proposal, having already reviewed PINS record and solicitation. - Confirm information in PINS (does PI still plan to submit, due date, team, sub-awards, segments, etc.) and clarify any questions related to solicitation/RFP. **Discuss timeline for submission**. NOTE – Submission of proposals 1-2 weeks prior to sponsor deadline, has been shown to improve success rate. **Budget discussion: Schedule meeting if PI prefers. Plan timeline for drafting/reviewing the budget. Pre-Award will assist with drafting budget and justification. Confirm F&A rate.** **Sub-award discussion. If applicable, obtain sub-award sites and points of contact so Pre-Award Consultant can contact other institutions to request sub-award proposal documents.** - Cost share discussion: Needed documentation and timeline for PI securing it. - Institutional Forms: Clarify what, if any, institutional forms are required and timeline for their sign-off by CALS Pre-Award or a Central University Office. - Confirm best way to communicate with PI during development and submission. - Within 3 business days following conversation, Pre-Award Consultant will provide email/ checklist confirming timeline and responsibilities of both PI and Pre-Award Consultant.
→ **By 12 p.m. 8 Business days** prior to PI's deadline denoted in PINS	
PI	**Any documentation required from a sub-award site is due to Pre-Award Consultant**, including but not limited to budget, budget justification, statement of work, and letter of intent signed by an authorized official of the sub-award site.
→ **By 9:00 a.m. 5 Business days** prior to PI's deadline denoted in PINS	
PI	**PI will provide final versions of all documents required for solicitation to Pre-Award.** **Any "in-process" budgets are now considered final.** - If the proposal is assembled in Cayuse/sponsor's web-based submission system, the PI will have access to their proposal and be able to review it as sections are populated/completed.
→ **By 9:00 a.m. 3 Business days** prior to PI's deadline denoted in PINS	
Pre-Award Consultant	**PI provided final version of the proposal to do a final review & edits.**
→ **By 9:00 a.m. 2 Business days** prior to PI's deadline denoted in PINS	
PI	**PI will provide final approval or final edits of the proposal.**
→ **By 5:00 p.m., 2 Business days** prior to PI's deadline denoted in PINS	
Pre-Award Manager	**Proposal will be submitted to the sponsor and/or routed to SPARCS for their sign-off/submission in compliance with SPARCS 24 hour policy for signatures.** - This also complies with recommendations that proposals be submitted through Grants.gov at least two days prior to due date and allows two days to track the application and correct any unforeseen mistakes or errors flagged by the Grants.gov system (or caught by the PI).
→ **1 Business day prior** to PI's deadline denoted in PINS (If applicable)	
Pre-Award Consultant/ Manager	- Receive SPARCS signature and submit to sponsor - Address any errors in the submission of proposal

Yellow Zone Procedures→ Proposal entered into PINS **after 12:00 p.m. 20-6 Business days before PI's deadline denoted in PINS**. Amount of service/review by Pre-Award is dependent on how close to deadline PINS is initiated and number of other proposals Pre-Award is facilitating at the time.	
➔ **After 12 p.m. between 20-6 Business days** before PI's deadline denoted in PINS	
PI	**Initiates and routes PINS record → Complete PINS record and upload as many documents as possible including solicitation** (RFP, BAA, FOA, etc) and **all relevant documents** (budget, budget justification, project narrative, etc).
➔ **Within 3 Business days** of PINS record routing	
Pre-Award Consultant	Reach out to PI to discuss proposal, having already reviewed PINS record and solicitation. • Confirm information in PINS (does PI still plan to submit, due date, team, sub-awards, segments, etc.) and clarify any questions related to solicitation/RFP. • **Discuss timeline for submission** • **Budget discussion: PI responsible for drafting budget/justification. Confirm when draft will be ready for Pre-Award Consultant's review and when they will provide feedback to the PI to make any necessary corrections. Confirm F&A rate.** • **Sub-award discussion**. If applicable, provide PI with documents/templates required for submission. **PI will be point of contact with sub-award sites, with final sub-award documents due by 9:00 a.m. 8 days prior to PI's deadline.** • Cost share discussion: Needed documentation and timeline for PI securing it. • Institutional Forms: Clarify what, if any institutional forms are required and timeline for their sign-off by CALS Pre-Award or a Central University Office. • Confirm best way to communicate with PI during development and submission. • Within 3 business days following conversation, Pre-Award Consultant will provide email/checklist confirming timeline & responsibilities of both PI and Pre-Award Consultant.
➔ **By 12:00 p.m. 8 Business days** prior to PI's deadline denoted in PINS	
PI	• **Any documentation required from a sub-award site is due to Pre-Award Consultant,** including but not limited to budget, budget justification, statement of work, and letter of intent signed by an authorized official of the sub-award site.
➔ **By 9:00 a.m. 5 Business days** prior to PI's deadline denoted in PINS	
PI	• **PI will provide final versions of all documents required for solicitation to Pre-Award.** • **Any "in-process" budgets are now considered final.** • If the proposal is assembled in Cayuse/sponsor's web-based submission system, the PI will have access to their proposal and be able to review it as sections are populated/completed.
➔ **By 9:00 a.m. 3 Business days** prior to PI's deadline denoted in PINS	
Pre-Award Consultant	• **PI provided final version of the proposal to do a final review & edits**.
➔ **By 9:00 a.m. 2 Business days** prior to PI's deadline denoted in PINS	
PI	• **PI will provide final approval or final edits of the proposal.**
➔ **By 5:00 p.m., 2 Business days** prior to PI's deadline denoted in PINS	
Pre-Award Manager	• **Proposal will be submitted to the sponsor and/or routed to SPARCS for their sign-off/submission in compliance with SPARCS 24 hour policy for signatures.** • This also complies with recommendations that proposals be submitted through Grants.gov at least two days prior to due date and allows two days to track the application and correct any unforeseen mistakes or errors flagged by the Grants.gov system (or caught by the PI).
➔ **1 Business day prior** to PI's deadline denoted in PINS (If applicable)	
Pre-Award Consultant/ Manager	• Receive SPARCS signature and submit to sponsor • Address any errors in the submission of proposal

Red Zone Procedures → PINS initiated by 9 a.m. within 5 Business days of PI's deadline denoted in PINS
Pre-Award cannot guarantee proposal will make submission deadline   **PI responsible for all attachments including budget and justification, which the Pre-Award Consultant will utilize to load into the applicable proposal template, without review/corrections.**   - SPARCS requires 24 hour lead time for any institutional signatures required by sponsor   - If proposal needs SPARCS signature and is within 24 hours of deadline, it is considered a RUSH by SPARCS and requires communication from Director of CALS C&G and CALS Associate Dean for Research, Dr. Steve Lommel. (University Policy)   **Operating under Red Zone policy, the 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**. Documentation acknowledging this responsibility must be provided to the Pre-Award Consultant before CALS C&G will request RUSH status from the Associate Dean for Research.   **RUSH proposals will not take precedence over proposals who abide by the 20 & 5 timeline;** therefore CALS Pre-Award will make every effort to submit RUSH proposals by the sponsor designated timeline and will submit proposals even after the deadline.   **CALS Pre-Award will not be held responsible if the proposal is rejected due to errors.**   **CALS Pre-Award reserves the right to withdraw the proposal from the sponsor**, if necessary, upon consultation/approval of CALS Associate Dean for Research.

Role	Responsibilities
PI	**Complete PINS record, upload ALL required documents** into PINS. Include via the "Comments" section **acknowledgement that the 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**. Then initiate the PINS
Pre-Award Consultant	- The **proposal will be assembled**; in the applicable format (e.g. cayuse), **utilizing the documents, budget and budget justification provided by the PI, without review or correction, and will not be provided back to the PI for review prior to submission.** - Provide Director & Dr. Lommel with notification, if applicable, that email to SPARCS is required for submission.
Pre-Award Manager	**The proposal will be submitted to the sponsor and/or routed to SPARCS for their sign-off/submission.** - CALS Pre-Award will not be held responsible if the proposal is rejected due to errors.