PROPOSAL & AWARD WORKSHOP

FOR INVESTIGATORS

BEFORE WE BEGIN…

HANDOUTS
Q&A
RECORDING & SLIDES
EVALUATIONS
NEXT EVENTS

ORED Seminar Series
October 1, 2021

The
Partners

The Office of Research & Economic Development (ORED) oversees, provides support for, and disseminates information on all research and outreach initiatives.

ORED support units work collaboratively to reduce administrative burden on investigators and to ensure institutional compliance with federal, state, and institutional regulations, and to support successful research outcomes and impact.

Office of Sponsored Projects

Office of Research Compliance & Security

Office of Technology Management

Office of Research Development

Office of Lab Animal Resources

Office of Environmental Health & Safety*

Office of Sponsored Projects (OSP)

- Serve as Authorized Organization Representative; represent MSU in communication with agencies/sponsors

- Review for compliance with **federal, agency, and institutional regulations**

- Review proposals for correct formatting, completeness, and accuracy prior to submission

- Agree to required assurances and other submission protocols

- Ensure appropriate notification and processing of regulatory matters concerning safety and human protections, security, etc.

- Confirm PI credentials with sponsor

- Facilitate communication with Program Officer/ Sponsor Representatives

- www.osp.msstate.edu

- https://www.osp.msstate.edu/procedures

Overview of Other Roles & Responsibilities

Associate Deans for Research

- Work with ORED in identifying strategic initiatives and opportunities for collaboration

- Advocate for faculty and manage the research/funding portfolio for their respective College

- Convene as a body with the Faculty Research Advisory Council, Faculty Senate, and ad hoc for research-related issues

- ADRs are involved in research policy formulation and implementation

- Serve as a resource for faculty and admin staff regarding opportunities, services, policies, and procedures

Dean/Director/Dept. Head

- Manage personnel portfolios regarding research expectations and appointment type

- Support PIs by disseminating relevant funding opportunities, identify strategic opportunities, collaboration, etc.

- Support OSP protocol by adhering to policies and procedures concerning submission timelines and sponsor requirements regarding responsible conduct of research

- Authorize cost share, in-kind, and matching funds, where applicable

- Provide letters of support for projects on behalf of college/department, as appropriate

- Approve final proposal submission as evidenced by signed IAS

Overview of Other Roles & Responsibilities

Unit Administrators

- Responsible for maintaining policies and procedures of the department/college

- Assist with budget development (locating source info for costs, ie. salary, travel, student employee, fringe and F & A rates, etc.)

- Assist with preparation and compilation of supplemental documents such as personnel docs, letters of support, commitment, subs, etc.

- Assist with formatting/packaging to agency guidance

- Assist with upload of proposal components into submission vehicle

- Facilitate internal review and approval of leadership; forward to OSP

- Coordinate with OSP for administrative review

- Other pre- and post-award tasks by role

PI/Project Lead

- Overall leadership and direction of project; team management

- Technical expertise

- Coordination with collaborators (including potential subrecipients, evaluators, advisors, etc.)

- Responsible for data-collection, review of literature, coordination with collaborators, timeline, and scope of work

- Drafts proposal components (with assistance as requested)

- Responsible for initiating all processes for development and submission

Senior Personnel (co-Is)

- Complete proposal components as requested by PI

- Contribute supplemental documents in timely fashion and in correct format

- Commit fully to participation and production of quality product (ex. time and effort/involvement in development)

The Project Lifecycle

Positioning
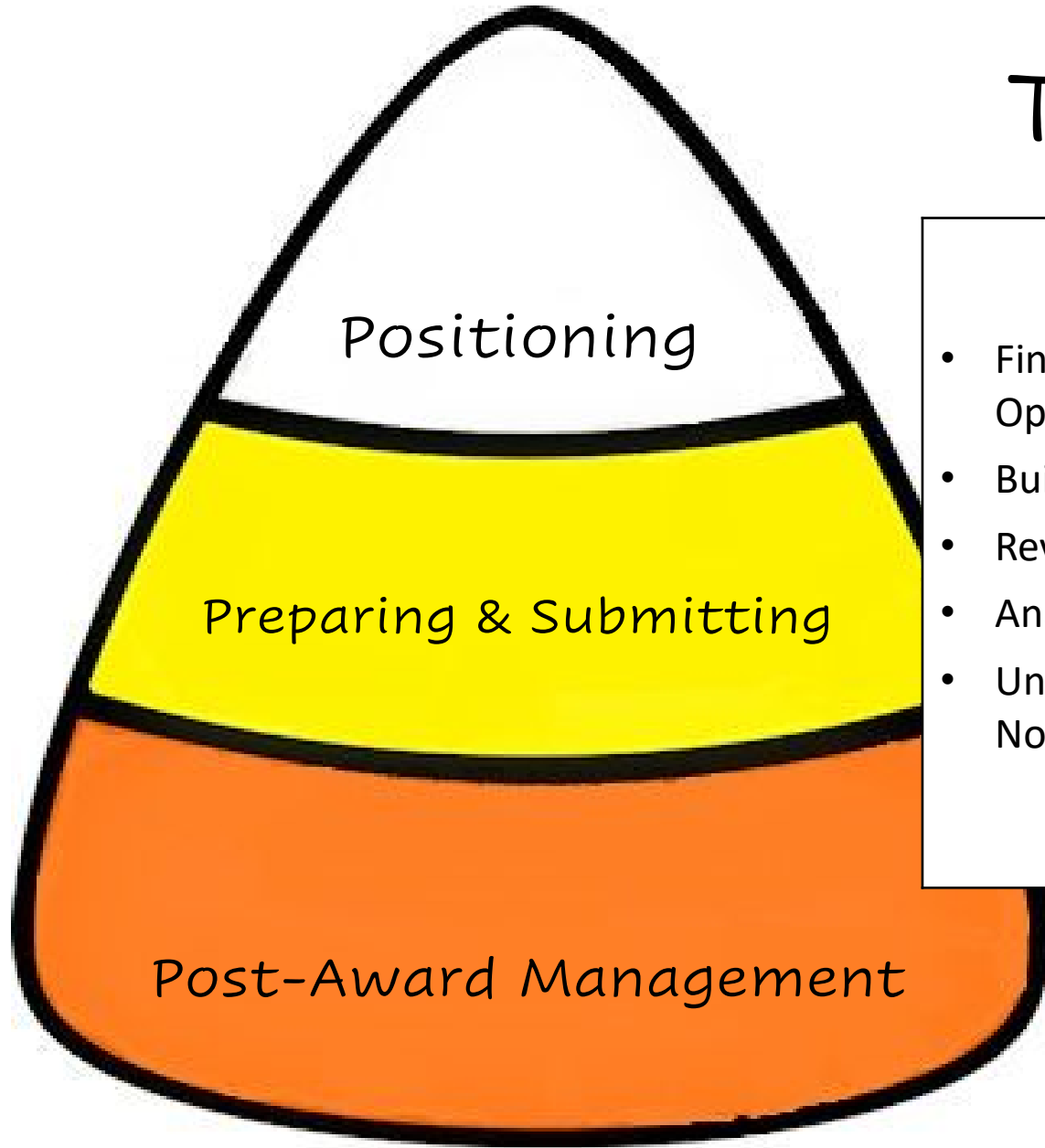
- Find Opportunities
- Build Team
- Review Processes
- Analyze RFP
- Unit & OSP Notifications

Preparing & Submitting

- Proposal Components
- RCR/Compliance Processes
- Submission Registration
- Budget Prep
- Unit & OSP Approvals

Post-Award Management

- Award notification and negotiation
- Fund Creation
- Modifications as Needed
- Reporting & Deliverables
- Closeout

Positioning for Success

Positioning & Planning Activities

- Develop your Research Agenda

- Build Capacity

- Visionary Planning

- Finding Funding

- ORD can help!

Develop Your Research Agenda

- What are your strengths, interests, and proven history? (a proposal is not really the time to try techniques and methods new to you.)

- What were you hired to do? How do your goals align with your appointment?

- Where does your expertise and capacity fit in the big picture? (funder's priorities, etc.)

- Can you provide strong evidence that you (and your team) are experienced, capable, and have the resources necessary for the work?

- Where are you best equipped to contribute to the overall advancement of science in your area of expertise?

- How will you fill in the gaps?

- Where does it fit in YOUR big picture? Short v. long-term goals to pursue

Building Capacity

- Understanding the vision, priorities, and capacity of the dept/college/MSU

- Self-promotion! Meet with administrators, potential collaborators, resources, etc. Are there existing working groups/teams to join? Where to get publicity?

- Awareness of processes; networking; sharing opportunities

- Habits: Dedicated writing time; Maintaining standard elements or resource library (e.g. bios, C&Ps, budget templates, letter templates)

- Explore agency guidance & resources and internal resources (evaluation, data, foundation, etc.) *know enough to be dangerous!*

- On-going Professional Development (in-house, technical, administrative, personal, funder-offered activities)

- Knowledge of "other" types of funding (contracts, non-financial agreements)

Visionary Planning

- Funders are looking for impact. Start thinking of your work in bigger terms to be attractive to more cross-cutting opportunities

- Who or what is affected? How and to what extent? What is the magnitude? Involve stakeholders who are affected by the issue.

- Why does it matter? What happens if no one acts? Why now? Think about data sources to establish performance objectives.

- Plan for more than one and stay ready to respond to quick proposal turnaround. Think about proposals and scholarly products as a "pipeline" and create systems to support your efforts.

Finding Funding Opportunities

- Pivot RP
  - Quick start and tutorials in handout
  - Introduction

- Traditional sources/databases
  - Grants.gov
  - Federal Register
  - Agencies/corporations/foundations directly

- ORED
  - Limited submissions
  - Internal funding

- The "development" approach:
  - Using agency resources
  - Understanding priorities and trends
  - Focus on impact

$118.08B
of funding is available!
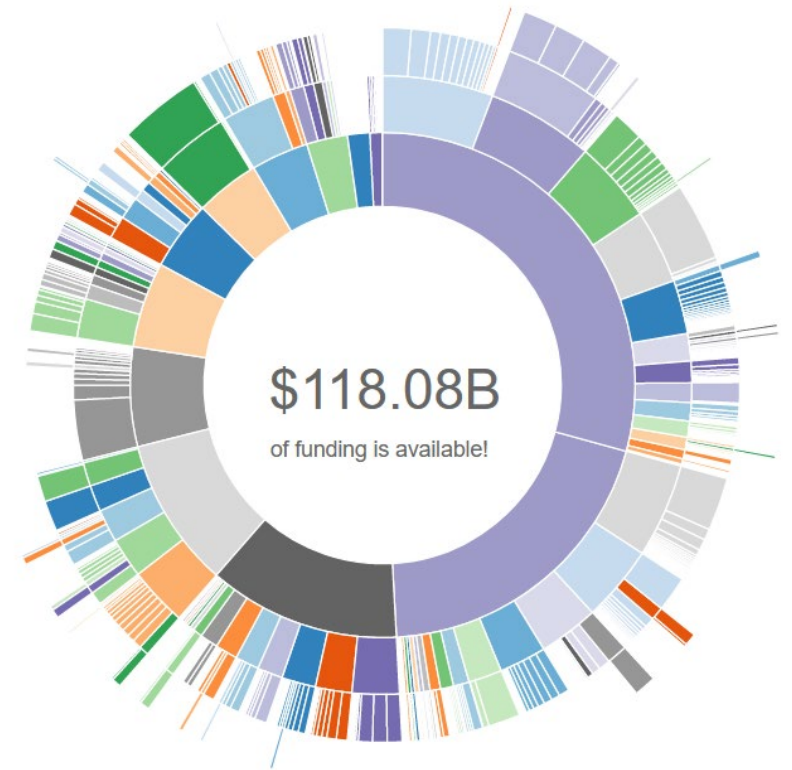
ORD Can Help!

- Strategic planning for proposal development and aligned with goals of MSU, ORED, and unit

- Preparation and management of rfp-specific development outlines and timeline

- Team building and coordination of proposal assignments

- Facilitate resources for pertinent data/services/collaborators (ex: community, institution, demographic, student, evaluation, stakeholder engagement, consultants, etc.)

- Provide templates and boilerplate language for narrative components and supplemental documents, when available

- Editorial, formatting, stylistic reviews; including facilitation of peer/technical review

- Review for compliance with review criteria, agency guidance, and sponsor's funding priorities

- Serve as a liaison between PI/Department and OSP regarding processes and policies

Office of Research Development

Proposal Preparation Steps

Proposal Preparation & Submission Overview

1. Notification of Dept. Head/Dean/Director, etc. of intent to apply

2. Create OSP Service Request Portal Ticket

3. Solicitation analysis (assist PI with project planning and design, ID collaborators, create checklists/tasks, etc.)

4. Review funder/agency guidance and any supplemental guidelines

5. Register for agency and/or submission platform credentials, if needed

6. Complete Responsible Conduct of Research/Financial Conflict of Interest & human/animal subjects, EHS, and/or security protocols if applicable.

7. Initiate Internal Approval Sheet

8. Coordination with collaborators (subawards & non-financial agreements)

9. Finalize and approve budget, budget justification, etc.

10. Create proposal package in submission portal (ex. Fastlane, Cayuse)

11. Collect and Finalize Proposal Components

12. Upload all content into submission vehicle & provide submission authorization to OSP

13. Internally process submission package and status

1. Notification of Intent to Apply

Who?

- Department Head
- Department Administrators/Support Team
- OSP (Portal Ticket) – step 2
- Director/Dean, as appropriate
  - Collaborators? Be sure to have them notify their respective approval chains.

When?

- As soon as you know you plan to submit a proposal
- Consider Timeline (final product must be ready for OSP review no less than 3 days prior to funder deadline)
- What are your internal/departmental processes?

2. Notify OSP via Service Request Portal

Initiate a ticket for **ALL service types** via https://www.osp.msstate.edu/servicerequestportal/

- System allows for tracking and transparency
- You are assigned directly to the OSP specialist for the funding agency (or lead entity)
- All necessary parties can be added/removed as proposal evolves
- Confirmation with MSU Foundation
- New users create an account with MSU ID, ex. sth207@msstate.edu
- *technology/useability issues (i.e. no pasting docs; digital signatures; versions of adobe, etc.)

A ticket is required for LOIs, concept note, pre-proposals **ONLY** if sponsor requires AOR and/or a budget is required.

- Create request as you know you plan to submit
- Clarify the submitting ORG/UNIT
- Attaching RFP is essential; include draft IAS if special considerations are involved and ORED LS.
- *Later than 3 days? Consult your dept. and ADR for VP approval (OP 70.01)*
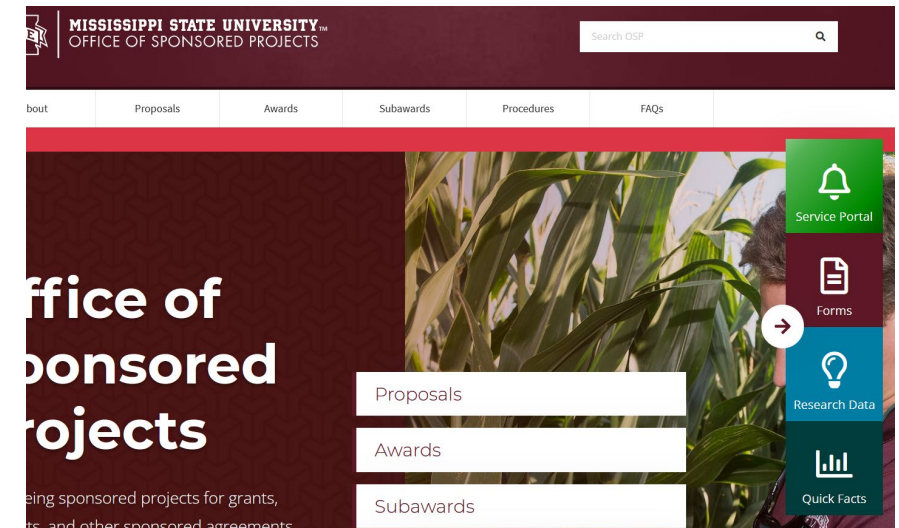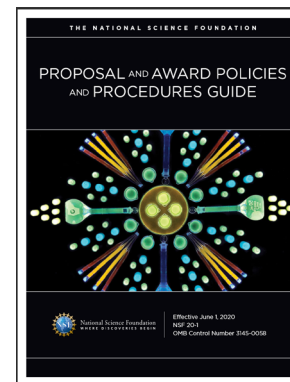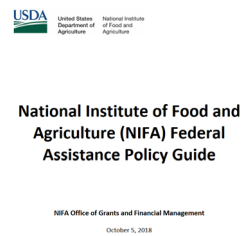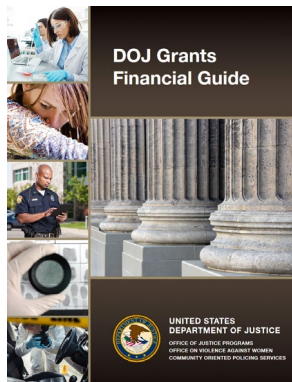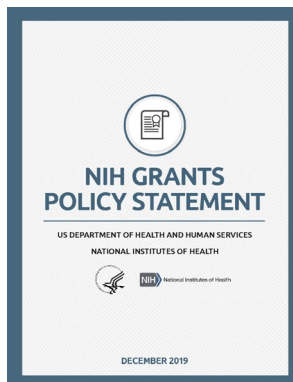
3. Review & Analyze Solicitation

- Eligibility (PI, institution, career status, etc.)

- Limited Submission?

- Review criteria varies by agency; some are standard, some are solicitation specific

- Submission procedures

- Deadlines (reasonable timeline?)

- Budget caps/ matching?

- Agency contacts/ Program Officers

- Request ORD assistance, if needed, for development support services (competitive intelligence, outline, timelines, referrals, etc.)

- *all of these apply if PI is only submitting a scope of work/budget as a contributor as a potential subawardee with collaborator at an external institution also!

- You might prepare a checklist of requirements – we do a checklist and a narrative outline

- More info on Solicitation Analysis

4. Review Agency guidelines/guidance, etc.

- Guidance documents at agency sites

- Check for updates!
  - Usually at the "front" of new guidance; web sources/webinars
  - [Federal Demonstration Partnership meeting sessions](#)

- Review supplemental guidelines/instructions (noted within the RFP or in package); look for amendments, too!

5. Register for Agency/Platform Credentials

- Use the OSP Form for NIH Commons and/or Cayuse OR use the OSP portal to create a "sponsor portal access" ticket.

- Who does this at the dept/college level?

- Each agency/project has a submission process. (eCommons, Grants.gov., Research.gov., Cayuse, NEA-go; email directly); OSP can assist with creation or affiliations of existing accounts to MSU.

- Standard preferences are NSF's Fastlane until otherwise unusable; and Cayuse

- Proxy access/ "other authorized user" –using PIN discussion

- Always NEW platforms and processes emerging (i.e. DoD Nvision; NSF's slow migration to Research.gov)

- **OSP is the authorized organizational representative for MSU.**

- If a sponsor or platform requires the PI to submit, OSP must still approve and all processes must be followed per usual.

6. PIs Complete Required Protocols

All Key Personnel should be up to date with training in RCR and FCOI as required by the funding agency to which the proposal is submitted.

See info at the Office of Research Compliance to check status and enroll/complete training.

- Responsible Conduct of Research – all PHS at proposal stage; NSF at award
- Financial Conflict of Interest Disclosure – ALL FEDERAL
- Animal Subjects – approval before award (link)
- Human Subjects/ IRB (full or developmental approval needed? Use Firefox!)
- FRGTRP – every DOEnergy training, if applicable
- Biohazards – IBC (EHS) protocol is managed via OEHS: https://www.ehs.msstate.edu/
- Working with OCRM, if needed: https://www.ocrm.msstate.edu/
- ITAR/security, etc. – (foreign nationals, final determinations made before award.
- What is expected timeline/roles and responsibilities at dept/college/center level

7. Internal Approval Sheet

Always use CURRENT iteration of the IAS (OP 70.01)

Phase 1: Initiated/draft IAS is a tool for making impacted offices aware of plans/activities and alerts OSP to contact the right offices – TCP, checks limited submission, EHS, etc.

- Early is important! Routed internally at dept level?
- Credit split
- Covid addition/disciplines, etc… Why we capture this; HERD data for NSF rankings

Phase 2: Before submission - IAS must be complete and signed by all investigators, appropriate dept. heads, and deans of all MSU investigators. *Cost share, if applicable, should be noted and approved as instructed on the IAS.* OSP will not submit a proposal without a completed IAS.

- IAS is essential for MSU's data collection as a Research University
- Ensures correct assignment of credit to investigators
- Ensures compliance with regulations

8. Coordinate with Collaborators: Subawards/subcontracts

- ALL types! (*internal/external; public/private, etc.*)
- [subawards v. consultants](#)
- Establish preferred communication method and with whom at collaborator institution
- Collect collaborators' agency credentials if needed/explain "collaborative" proposal NSF Subaward information required from form or [Federal Demonstration Partnership clearinghouse](#)
- [Subrecipient Commitment Form](#) (work with dept./college/OSP)
- Sample request form tool (handout)
- Collect required proposal components from partners* (*may not be ready at this stage*)
- Other types of non-financial agreements (*MOU, MTA, teaming agreement, NDA, etc.*)
- Procure required letters (*varies by solicitation and type*)

9. Prepare Budget and Budget Justification

- Regardless of the method of submission, you will prepare an internal budget. Confirm with your dept/college/center if a there is a preferred format/template.

- Be prepared for and aware of potential issues with budget approval (Cost Share? Matching? In-kind? Recovered Indirect? Internal processes/course release/buyouts?)

- Consider collaborators – the final budget request amount from consultants/subs, etc. is needed to complete forms. Wait for it or give them a cap?

- Proposals submitted via Cayuse use a standard R&R budget format.

- NSF's Research.gov/Fastlane and others require budget forms to follow their **agency guidance**.

- Other budget topics:
  - Time and effort calculations ([effort person-months converter)](#)
  - [F&A](#)
  - Allowable costs – Uniform Guidance; Sponsor Guidelines; Program-specific; Institutional.
  - [Cost share](#)
  - Travel? Foreign Travel?

- See OSP's [budget resources](#) page and [budgeting FAQs](#). (worksheet handout)
  - OSP quick facts w/ current F&A, Fringe & Tuition rates , [Fringe Calculator,](#) templates

10. Create Proposal Package in Platform

- Can start as early as the initiator wants it to once the RFP is selected. Who does this?

- Any proposal that should be submitted via grants.gov goes through [MSU's Cayuse system](). Create your proposal package and follow instructions/prompts.
    - Setting up a user via OSP
    - Routing and permissions

- If your proposal is to the National Science Foundation, you will create a proposal in Fastlane/Research.gov. [www.research.gov](). (setting up users and accounts and initiating a proposal)
    - Other agencies have unique portals; some have "phases" – i.e. Grants.gov; DoD, DoE, NEA ☹, etc.

- Some proposals go to sponsors via email; OSP will package and submit with MSU AOR letter of transmission. Proposals to another university will typically be submitted this way.

- If your submission must go through an organizational website directly submitted by PI , OSP must still approve and receive confirmation of submission being received –post to portal.

11. Prepare/Collect all Proposal Components

Typical Proposal Components*:
- Abstract/ Summary
- Narrative/Project Description/ Statement of Work/ Research Strategy
  - Introduction/ Overview
  - Need statement/ Problem Statement (data sources; broader impact - ORD)
  - Goals and Objectives
  - Methods/Work Plan/Timeline/Approach/Intervention
  - Capacity (personnel, infrastructure, facilities, management plan) (OIDI)
  - Evaluation (SSRC, RCU, NSPARC)
  - Dissemination and/or Sustainability
- Budget & Justification*
- Supporting and Supplementary Documents*
  - Letters, references, facilities, mentoring, protocols, bios, data mgmt.

*ordering varies by funder, program, solicitation

ask for graphics support; reference support; data sources support

12. Upload & Authorize Submission

- Converting and uploading tasks (who does this in your dept.?)

- Final IAS signed and uploaded to OSP Portal - MUST be complete and signed. Cost Share approved if included.

- Final PI authorization to submit is received through Portal, Cayuse, or email.

- OSP will submit once permission is granted by approved person

PIs and support personnel are not authorized to submit proposals on behalf of MSU.

13. Internal Processing of Submission Package

- Shortly after submission, OSP will provide notification and tracking updates acknowledging receipt in Portal.

- Confirmations and acknowledgments will also be placed in the proposal package and emailed as one file to dept and PI.

- OSP administrator takes the final proposal and support items (confirmations, etc,) combined into one file for data entry in banner and assigned an "S" number and stored internally in OSP as a "pending" proposal.

- Package is marked for follow up by security, compliance, etc. for their next steps (if awarded).

Portal ticket on proposal is closed.

OSP or PI will receive notification from sponsor as to funding status.

- IF NOT funded, the "S" file is pulled from pending to not funded.

- If sponsor wants revisions/JIT info etc, OSP may re-open proposal ticket OR new and reference/link former ticket and S number.

Proposal Purgatory

Proposal Purgatory

- OSP won't always get notified by the sponsor if an award is NOT selected.
- A best practice is to know approximate announcement dates an/or contact PO.
- IF you receive any info regarding notice of award or requests for Just In Time or other info, notify OSP immediately.
- If you are given notice of a pending award or award, but prior to an official Grant Award Notice, you may want to initiate preliminary account request
- No spendy until Fund or PAR is set up.

If NOT funded, consider using reviews & working with ORD to revise and re-submit if appropriate!

Preliminary Account Requests

- [PARs](#) may be initiated upon notice of forthcoming award from sponsor.

- Most common reason is to hire new personnel or purchase supplies to be ready to begin on start date.

- There is typically a 90-day pre-award limit, but the sponsor may have other limits noted.

- You acknowledge risk of potential non-funding on the form.

- PI/dept initiate process: form, budget, proof of notice are provided to OSP, then go to accounting for set up.

Post-Award Management

Post-Award Management

- Award Negotiation and Acceptance
- Subaward set up
- Next Steps with Compliance & Security
- Working with SPA
- Award Processing/ Fund set up
- Child Accounts
- Modifications
- Procurement
- New Hires
- Management Activities
- Reporting
- Closeout

1. Award Negotiation & Acceptance

- OSP negotiates and accepts all awards & communicates with funder; PI may contact a technical POC, but not administrative.

- OSP is first steps for accepting, processing and setting up awards (includes awards not the result of a "proposal" – contracts/SMOA/formula funds

- Initiate Portal Ticket using "Award" option. It is a NEW ticket*. Those copied on tickets vary by college/dept.

- OSP reviews and negotiates as needed to receive final notice of award documents

- OSP verifies status with legal, OTM, ORCS, Biosafety, IACUC, etc.

- Upon complete execution, an award is processed, in banner (FRAGRNT) by OSP.   The file is labeled with G number, and the full package is emailed to the PI/dept. and saved to the OSP/SPA shared internal drive. OSP is done unless mods are needed.

Helping PIs manage their projects:

- Banner Research Tab; Follow up with ORCS, etc., as required.

OSP Award Resources & Info
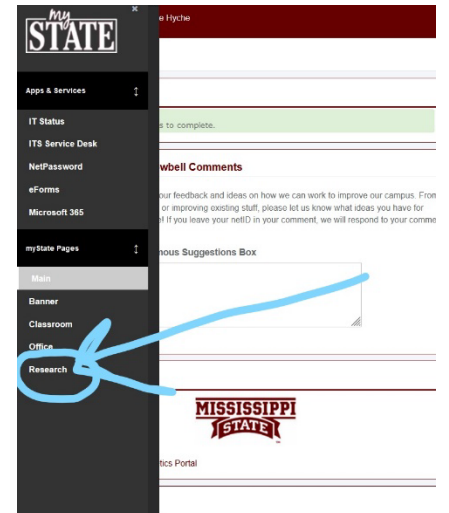
2. Post-Award Subawards

- The OSP system does not automatically prompt OSP to generate subawards "out" when a proposal is awarded.

- A Subaward Creation ticket must be created for EACH sub when it is ready to be awarded.

  New Subaward

  Subaward Modifications

  Subrecipient Commitment

- Subs will invoice MSU (via SPA) and payment is processed via the regular SPA processes

- OSP's Subaward Roles & Responsibilities Matrix

Highlighted Services

Proposal Submission Request

Award/Contract Review

Award Modification Request

Review of a Non-Financial Agreement/Other Request

Subaward Creation/Modification

Sponsor Portal Access

3. Compliance & Security

- Follow up with ORCS if your project had Human/animals to confirm approvals prior to beginning work. Likewise with biosafety

- Make any amendments in myProtocol.

- Technology Control Plan (export controls, ITAR, EAR)

- Conflicts of Interest (any new personnel added/changed since proposal?)

- Security – foreign nationals as personnel/visiting scholars

4. Working with Sponsored Programs Accounting

- [Find the assigned accountant](#)
- [Forms](#)
- [Policies](#)
- [FAQs](#)
- [Training and instruction resources](#)
- Pro Tip! Manage your awards proactively.
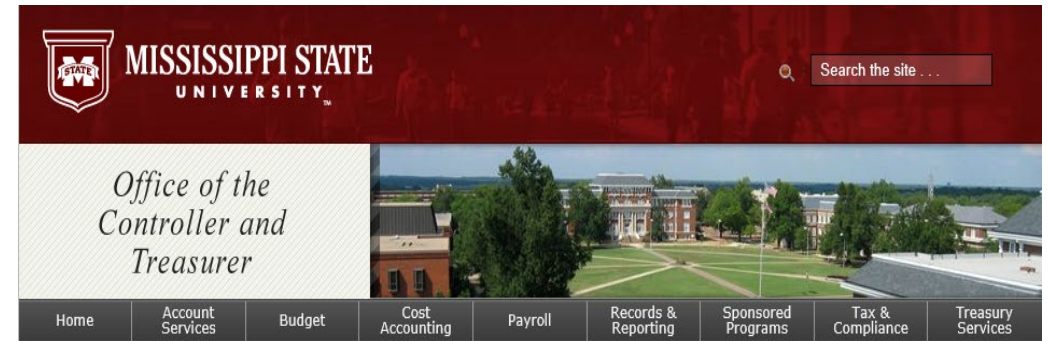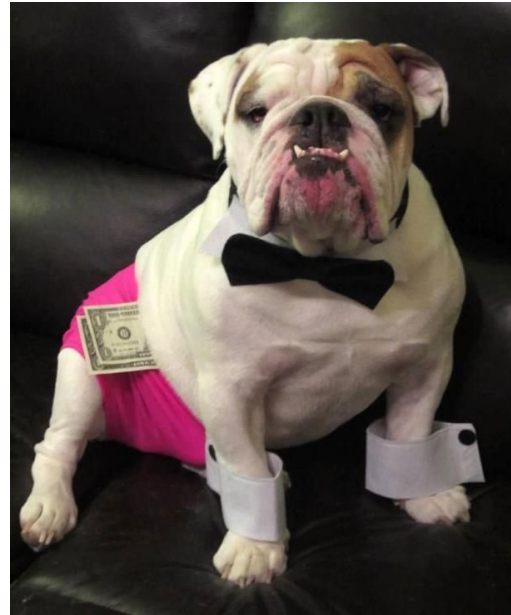
SPA is responsible for managing the restricted funds of Mississippi State University. This includes calculating and posting overhead, invoicing the appropriate agencies, monitoring timely receipt of the funds, and preparing financial reports for external agencies. Additionally, our office coordinates the time and effort reporting cycle, processes cost transfers, performs non-sufficient fund checking on restricted funds and continuously monitors accounts for compliance purposes. It is our goal to provide friendly, efficient service to all users of the sponsored programs accounting system.

5. Setting up Fund Numbers

Fund Setup

- SPA receives award info from OSP; Sets up in Banner and Imported into Xtender; the Restricted Fund Budget is loaded and the Fund/Award Notification email is sent to PI and unit personnel/leadership.

- Cost share funds (if applicable) are set up by SPA at the same time as the Restricted Fund using the CS budget in the award package.

- Personnel may access the scanned Award in Xtender through FRAGRNT; Review Terms & Conditions; set up dept. internal processes.

- Begin charging to the fund(s).

6. Child Accounts

- Expectation of a Child Account should have been noted on IAS to streamline set up; OSP will instruct SPA to set that up when fund is created.

- It can also be requested at time of award by completing a [Child Fund Request Form](#). OSP notes the request in Banner and alerts accounting to setup fund and notify dept.

- A budget and Dean/Director/Dept. Head approval for the child account is required.

7. Modifications

Need for Modifications to an Award include:
- Change in PI/effort
- Add/remove subs
- No Cost Extension (NCE)
- Budget revisions (form required)

- Modifications are initiated with an OSP Ticket – OSP communicates on behalf of the institution.

- Most require sponsor approval; PI should provide appropriate documentation to justify request. In some cases, new info is uploaded into the sponsor's platform. In others, OSP and SPA handle, etc.

- Some Mods are allowed by funders via "Expanded Authority."

Highlighted Services

Proposal Submission Request

Award/Contract Review

Award Modification Request

Review of a Non-Financial Agreement/Other Request

Subaward Creation/Modification

Sponsor Portal Access

8. Procurement

Equipment & Purchasing

- Only items costing $5,000 per (with exceptions, see [Receiving & Property Control website](#)) or more per unit should be listed as equipment.

- Less than $5,000 is supplies/commodities

- SPA approves all equipment purchases on restricted funds. If you have entered a requisition for a piece of equipment that was not listed in the original budget, but you have received approval from the funding agency, email Sponsored Programs Accounting a copy of the approval

- If you are purchasing equipment with your Procurement Card, you must get approval from SPA prior to making the purchase.

- Title to equipment determines account code to use. This is noted in terms of award and may be found at FZMSPGB in Banner

- [Procurement Forms](#)

- [Receiving and Property Control Forms](#)

9. New Hires & Personnel on Grants

[Uniform Guidance Quick Reference](#)

- Administrative and clerical staff are typically not allowed to be funded on a sponsored project. If necessary, then it needs to be adequately documented and justified in the proposal and noted on the IAS

- Reference: UG 200.413

- Be cautious with funding anybody at 100% on restricted funds. Their "other duties" (i.e. attending departmental meetings, writing proposals, etc.) need to be taken into consideration and funded elsewhere (i.e. departmental funds) as appropriate.

- [Supplemental Pay](#) must be specifically approved by sponsor. Uniform Guidance section 200.430

- Be aware of any restrictions on the award such as only U.S. Personnel being allowed to work on the project.

- If a controlled project, make sure all paperwork is in place with the Office of Research Compliance & Security before the individual starts working on the project.

- With hiring [GRAs](#) in the summer, make sure they are enrolled in enough hours to be on an assistantship.

- Completing [Job Labor Redistribution and Justification](#) (JLR) forms in a timely manner is important. Sometimes work will start but salaries won't post for a couple of months at the beginning of projects then they'll continue to post after the project ends.

10. General Award Management Activities

Archived Seminar: A Cradle to Grave Look at Managing Externally-Funded Projects (AKERS, 2020)

SPA Procedures in Detail

SPA Accounts
- Review
- Monitor
- Provide High-Level Oversight

Department Responsibilities
- Direct Charge Expenses to the Appropriate Fund
- Run Ledgers and Reconcile **ALL FUNDS EVERY MONTH** (OP 61.01)
- Monitor Effort Charged on all Funds; maintain 5% or less variance
- Meet & Cover all Cost Share Obligations
- Submit Confirmation of Effort Reports by the Specified Due Dates
- Revise Budgets as needed (Sponsor Approval May be Required)
- Communicate Pertinent Information to SPA Accountant
- ****Reasonable, Allocable, Allowable****
- ****Utilize your SPA Accountant if/when Needed****

10. Award Management cont.

DIRECT CHARGING
- All Journal Vouchers must be Keyed with Journal Type **FT04** for Proper Approval Routing when keying on a **Restricted Fund (30 Fund)**

- Prevent the need for Cost Transfers by Direct Charging expenses to the appropriate funds (i.e. Reduces Administrative Burden on all of Us)

JV APPROVAL
- Scan and email a copy of the completed JV with proper supporting documentation to spaccounting@controller.msstate.edu

NSF QUEUE – Insufficient Funds
- Most Common Reasons JVs are Deemed NSF
  - No line item budget
  - Line item budget overspent
  - Incorrect Org and/or Prog keyed

- SPA will request budget revisions as needed
- The NSF Queue is monitored daily. We strive to address all NSF entries within a 24-hour time period.

10. Award Management cont.

FUND RECONCILIATION
- Close at 8am on the 4th Business Day of the Following Month
- Refer to MSU OP 61.01
- This Responsibility Should include PI Involvement

INVOICING SPONSOR
- SPA invoices and reports in standard installments; draws typically 2x/month
- Documentation is saved in Xtender for use by dept during reconciliation
- Dept. should provide documents, when requested, to spadocuments@controller.msstate.edu
- Dept. Admin should ensure PI has been copied and involved when requested.
- Communicate pro-actively with SPA Accountant.

COST SHARE REVIEW (80.13)
- Expenses should be charged and covered on a consistent basis
  - No transfers between fiscal years from E&G funds
  - Use Budget Transfer to transfer revenue to cover expenses
- FWREXCS – very helpful report in monitoring Cost Share funds

10. Award Management cont.

TIME AND EFFORT REPORTING – (OP 70.08)

- Required for restricted funds; due 90 days after period end
- The department will be sent an email to run the report
- 12 month employee reports are for July- Dec & Jan - June
- 9 month employees are by semester (Fall, Spring, & Summer)
- Submit signed reports to spaccounting@controller.msstate.edu

Fund/Org/Prog (FOP) ERRORS

- SPA Accountants review an error report on quarterly basis
- Type of error dictates who must make the correction
- ORG & PROG autopopulate when keying JV
- Make SPA Accountant aware of any funds using multiple Orgs

11. Responsible Reporting

PI Roles

- Activity Reports
- Progress/deliverables/formative Reports
- ORCS (IRB, security, human/animal subjects, etc.) Reports
- Final Technical Report

OSP Roles

- Confirms submission and compliance with other administrative matters – IP, Invention Disclosures, procurement, etc.
- subaward reports
- Submits closeout reports to sponsor

SPA Roles

- Fiscal Reports (timely spending) and Final Spending
- Time & Effort Reports

*Failure to report timely and accurately will result in red flags on MSU for future opportunities.

12. Closeout

Preparation should begin several weeks prior to the actual end date of the award. SPA sends an Expiration Memo to PI/Dept 90 days prior to end date. Neither the work nor the expenditures should continue past the end date of the project. Any NCE should be requested well before award end date, if needed, and SPA notified.

Depts/PIs should:
- Begin performing a thorough review of your fund
- Complete JLRFs to ensure no salaries post after term
- All orders for necessary supplies have been ordered
- Cost Share obligation has been met and covered
- Confirm equipment disposition process
- **Cost Transfers completed at the end of a project raises red flags for auditors and increases audit risk. Per policy 61.01 All Cost Transfers must be completed at least 30 days prior to the date the final report is due to the sponsor.*****

SPA will send final invoice to funder and internal form to banner reflecting cumulative charges in banner
- Review the closeout amounts to ensure our numbers agree with yours
- Communicate any discrepancies providing supporting documentation substantiating any outstanding charges remaining

Final financial report will be submitted to the sponsor by SPA. The departmental contact for the award will be asked to work with the PI to certify that all expenditures have posted.
Final technical report should be submitted by PI by the due date. Department should maintain a copy of the final report on file.
Records Retention: Status in Banner will be changed to "Inactive". The department should maintain documentation related to the award, including backup for expenditures depending on terms of award.

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QUESTION TIME!

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